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Tradition as Muse

Schoenberg's Musical Morphology and Nascent Dodecaphony

by

Áine Heneghan

A dissertation submitted

in candidacy for the degree of

Doctor of Philosophy

to

The University of Dublin

Trinity College

March 2006

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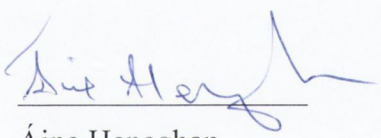

Áine Heneghan

March 2006

Summary of the Dissertation

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by

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March 2006

This study reappraises the evolution of Arnold Schoenberg's method of composing with twelve tones by examining the interrelationship of his theoretical writings and compositional practice. Premised on the idea that theory and practice were interdependent for Schoenberg, I argue, on the one hand, that the richness and diversity of his nascent dodecaphony can be fully appreciated only in the context of the development of his musical thought and, on the other hand, that his terminological concepts—for example, *Grundgestalt*, 'unfolding' [*Abwicklung*], the distinction between *Satz* and *Periode* (sentence and period), and the differentiation of 'stable' and 'loose' construction—came about precisely because of his compositional experiments during the early 1920s.

The discussion and musical analyses of selected movements from the *Klavierstücke*, Op. 23, the Serenade, Op. 24, and the *Suite für Klavier*, Op. 25, in chapters 3, 4, and 5 are preceded, in chapter 1, by a reassessment of Schoenberg's understanding of his musical tradition and, in chapter 2, by a survey of his changing compositional philosophy between 1909 and 1925. I contend that Schoenberg's re-engagement with the music of the past *c.* 1917 enabled him to deepen his understanding of tonality and sharpen his awareness of the qualities required by its replacement. Moreover, I show that it was this renewed interest in the past that led to a reconception of tonality: specifically, it was the *Gedanke* or musical idea—along with its associated laws, principles, and methods—that facilitated the emergence of dodecaphony, presenting itself as the necessary 'key' for unlocking the manifold possibilities of dodecaphony.

Contrary to the one-dimensional portrayals of his *Formenlehre* (theory of forms) and the continued emphasis on motivicization, I aim to highlight the multi-faceted nature of Schoenberg's musical morphology. I, therefore, draw attention in his writings—and in those of his associates (including Anton Webern, Alban Berg, Erwin Stein, Josef Rufer, Erwin Ratz, Hanns Eisler, Leopold Spinner, and Philip Herschkowitz)—to the contrasting principles of polyphony and homophony, showing that one of the tenets of Schoenberg's theory of musical form was the intimate relationship between the technique of motivic presentation and resulting form. Further, I demonstrate that this bifurcation, which formed the basis of Schoenberg's unique conception of music history, was vital to his understanding of his own place in the Austro-Germanic musical tradition, in that his incipient dodecaphony perpetuated the cycles of musical evolution that he identified in the music of the past.

In summary, I propose that, for Schoenberg, the abandonment of tonality precluded the composition of large-scale homophonic form (hence, in the period from 1909 to 1923, the prevalence of text-based pieces and shorter non-developmental forms often labelled *Charakterstücke*), and that his compositions between 1920 and 1923 were characterized by a multiplicity of techniques and practices. The principle of juxtaposition, which formed the basis of the paratactic structures and theme-and-variation forms of movements from Opp. 23 and 24, was superseded by the so-called 'new polyphony'—exemplified by the 'Präludium' from the *Suite für Klavier*—and the emerging emphasis accorded to rhythm as a constructive element. Finally, through a detailed analysis of the 'Menuett' from the *Suite für Klavier*, I argue that the formulation of dodecaphony can be understood in relation to Schoenberg's changing conception of the row, something that facilitated the reincorporation of 'developing variation' and the recapturing of large-scale homophonic form.

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CHAPTER ONE

'The Conservative Revolutionary': Schoenberg and Tradition

> I venture to credit myself with having written truly new music which, being based on tradition, is destined to become tradition.
>
> —Arnold Schoenberg, 'National Music'[1]

'New Music'

Progress for Schoenberg was a *sine qua non* of art. He expressed this conviction with the dictum 'Art means New Art',[2] declaring that 'only the new in art, only what has not been said before, is worthy of being said at all'.[3] When dilating upon the purpose of new art, and new music in particular, in a manuscript from the 1920s, he considered it alongside the invention of different forms of transport. The bizarre comparison notwithstanding, his reflections reveal that, while he regarded the 'railway, car, airplane, etc.' as necessary by virtue of their 'usefulness', new art possessed no such characteristics; rather, it arose from a creative impulse based on 'a need to think further, to work further, to discover further'.[4] It was this quality that he identified in the 'masterpieces' of his German predecessors,[5] and that informed a compositional philosophy characterized by the quest for new forms of expression.

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[1] 'National Music' (1931), in Arnold Schoenberg, *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London and Boston: Faber & Faber, 1975), 174.
[2] 'New Music, Outmoded Music, Style and Idea' (1946), in Ibid., 115.
[3] Arnold Schoenberg, 'New and Outmoded Music, or Style and Idea', in Bryan R. Simms (ed.), *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music* (Belmont, California: Schirmer, 1999), 98. This is Simms's translation of the lecture 'Neue und veraltete Musik, oder Stil und Gedanke' that Schoenberg delivered at the Kulturbund in Vienna in February 1933. (The lecture had been given three years earlier in Prague and was slightly revised for its presentation in 1933.) Having translated the text for a lecture in Boston in 1933/34, Schoenberg reformulated the text as 'New Music, Outmoded Music, Style and Idea' for delivery at the University of Chicago in 1946.
[4] Arnold Schoenberg, 'New Music / My Music', trans. Leo Black, transcribed by Selma Rosenfeld, *Journal of the Arnold Schoenberg Institute* 1/2 (1977), 98–99.
[5] Schoenberg claimed to experience the 'thrill of novelty, scarcely less strongly than it must have been felt at the time the work first appeared'; 'On the Question of Modern Composition Teaching' (1929), in Schoenberg, *Style and Idea*, 374.

Yet Schoenberg's conception of progress was tempered by a reverence for the past. New music, according to his understanding of music history, was rendered truly new only when it displayed an appreciation of the music that preceded it. This can be seen in the distinction Schoenberg drew between J. S. Bach and his contemporaries. Bach's music exemplified Schoenberg's notion of 'new music' in so far as it took as its point of departure the 'secret laws' of the Netherlanders, and managed not only to 'revive' their contrapuntal art based on the seven notes of the diatonic scale but also to 'extend' their laws to embrace all twelve notes of the chromatic scale.[6] In this way, Bach's art was perceived by Schoenberg as proceeding in a teleological manner from that of the Netherlanders, whereas the music of Keiser, Telemann, Mattheson was considered a departure from tradition. In their pursuit for popularity, they created a type of 'light' music and thus negated a 'natural development'; according to Schoenberg's criteria for progress, their compositional aesthetic was more akin to 'revolution' than 'evolution'.[7]

Given these criticisms, it is hardly surprising that Schoenberg sought to dissociate himself from a revolutionary style.[8] This was particularly apparent in his comments from the early 1920s, the period when his method of composing with twelve tones was developing. The text of a speech by Heinrich Jalowetz (a former student of Schoenberg) on the occasion of the performance of two new piano pieces by Schoenberg—most likely the first two pieces from the *Fünf*

---

[6] Schoenberg, 'New and Outmoded Music, or Style and Idea', 100. See also Schoenberg, *Style and Idea*, 117.

[7] 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 408–409.

[8] This did not influence his reception, however. In his 1928 study, Hans Mersmann described Schoenberg as 'the single greatest revolutionary in music of our time'; cited in Joseph Auner, 'Proclaiming the Mainstream: Schoenberg, Berg, and Webern', in Nicholas Cook and Anthony Pople (eds.), *The Cambridge History of Twentieth-Century Music* (Cambridge: Cambridge University Press, 2004), 229.

Klavierstücke (Five Piano Pieces), Op. 23—in Prague in November 1921 bears the following annotation in Schoenberg's hand:

> The impression that 'revolution' was the purpose of the exercise should not be given here. In as far as it really was one (I think it was just evolution, only a means to an end, and it happened at best because it was necessary, like the turning over of the earth before sowing. Is that revolution? I do not think so.[9]

Schoenberg's marginal note was written in response to Jalowetz's remark that, in dispensing with tonality, 'Schoenberg had taken the final plunge'.[10] Two years later, in 1923, Schoenberg was more emphatic: 'I was never *revolutionary*. *The only revolutionary* in our time was Strauss!'[11]

But it was in the *Harmonielehre* that Schoenberg most clearly conveyed his understanding of revolution. While the first edition dates from 1911, the revised third edition was published in 1922 and thus coincided with his earliest twelve-tone compositions. (The second edition, published in 1919, was a reprint of that of 1911.[12]) In the first edition, Schoenberg described the innovations of a 'true composer' as the product of inspiration, whereby the urge to express 'something that moves him, something new, something previously unheard of' is prioritized over 'beauty and novelty' and 'style and art'. Moreover, the development of the 'true artist', as opposed to the young artist who has no self-awareness, is realized only when he is liberated from the shackles of the past:

---

[9] The original German reads: 'Es sollte hier nicht der Anschein erweckt werden, als ob die "Revolution" Zweck der Uebung gewesen sei. Soweit es wirklich war, (ich glaube, es war nur Evolution, war sie nur Mittel zum Zweck und geschah höchstens, weil sie notwendig war, wie das Umgraben der Erde vor dem Säen. Ist das Revolution? Ich glaube es nicht'. Unless otherwise indicated, all translations are my own. The incomplete parenthesis is retained in the translation. See Heinrich Jalowetz, 'Ansprach von Heinrich Jalowetz, gehalten am 26. November 1921 in Aussig und am 27. November 1921 in Prag (in Ivan Vojtěch, "Verein für musikalische Privataufführungen in Prag: Versuch einer Dokumentation")', *Miscellanea Musicologica* 36 (1999), 111–112.

[10] 'Schönberg tut den endgiltigen Schritt'. Ibid., 111.

[11] 'New Music' (1923), in Schoenberg, *Style and Idea*, 137.

[12] See Bryan R. Simms, review of Arnold Schoenberg, *Theory of Harmony*, trans. Roy Carter, *Music Theory Spectrum* 4 (1982), 156.

> *The artist who has courage submits wholly to his own inclinations. And he alone who submits to his own inclinations has courage, and he alone who has courage is an artist.* The literature is thrown out, the results of education are shaken off, the inclinations come forward [...], a personage is born. A new man! This is a model for the development of the artist, for the development of art.[13]

Although he retained this passage in his 1922 edition, a new paragraph was interpolated into the text at this point. It began by christening this model for the development of art and the artist as a 'revolution'; however, he immediately qualified the term with the statement, 'one may call it revolution, if at all, only in a comparative sense'. These comments on revolution—presumably dating from 1920 or 1921, since the revisions were completed in 1921—built upon a comparison he made in a manuscript entitled 'Art and Revolution' ('Kunst und Revolution') of 1919 or 1920 between artistic and political revolutions. The focus of the essay was not, as the title would suggest, an appraisal of Wagner's essay of the same title; rather, the emphasis was on the younger composers who, according to Schoenberg, associated their artistic beliefs with revolution. While conceding that this tendency was understandable in the period following the war, Schoenberg vehemently opposed such a connection claiming that 'art has nothing to do with revolution' and, moreover, that 'art doesn't know revolution, only an evolution, development'.[14]

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[13] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 399–400. The italics are Schoenberg's own. The corresponding text appears on pages 447–48 of the original edition of 1911.

[14] 'Kunst hat nichts mit Revolution zu tun'; 'Die Kunst kennt nicht Revolution, sondern eine Evolution, Entwicklung'. Schoenberg, 'Kunst und Revolution', catalogued at T01.17 in the Arnold Schönberg Center Privatstiftung, Vienna. The date of 1919/1920 was assigned in 1932 when Schoenberg revisited the text and made some annotations. This conception of art as an evolutionary process was reiterated in the essay 'How One Becomes Lonely' of 1937. He described the reception of the 'new approach to expression of moods and characters' in his earliest compositions from the so-called 'atonal' period as follows: 'It called into existence a change of such an extent that many people, instead of realizing its evolutionary element, called it a revolution. Although the word revolution had not, at this time (about 1907), exclusively the ominous political flavour which is attributed to it today, I always insisted that the new music was merely a logical development of musical resources'. Leonard Stein notes that the date should read 1908 or 1909. See 'How One Becomes Lonely' (1937), in Schoenberg, *Style and Idea*, 50. Likewise, in his famous letter to Nicolas Slonimsky of 3 June 1937, he wrote: 'It [the "method of composing with twelve tones"] was neither a straight way nor was it caused by mannerism, as it often happens with revolutions in art. I

This was the tenor of his new paragraph in the *Harmonielehre*. By contraposing the artist and the arsonist, Schoenberg presented innovations in the 'spiritual and intellectual sphere' as the polar opposite of 'political revolutions', asserting that the consequences of the former have a longevity that is entirely absent in the latter.[15] This distinction further clarifies his comments on Bach and his contemporaries: he regarded the 'light' music of Keiser, Telemann and Mattheson as both revolutionary and transitory ('one must doubt that men were inspired geniuses who composed according to such advice, like cooks obeying a cookbook, or some of their music would have survived'[16]) whereas Bach's art was considered '*timeless*'.[17] But this quality was not confined to Bach: Schoenberg celebrated the permanence of the new in 'all great masterpieces' when he claimed that 'the feeling for what is truly new about an idea and its presentation can never be lost, so long as one refuses to stop at the mere externals of the manifest form'.[18] For Schoenberg, the fundamental difference between the 'masters', as he called them,[19] and the revolutionaries pertained to the composer's awareness of music history. Based on his understanding of the practice of these 'masters', Schoenberg averred that the new emerges by revering the past:

> It has never been the purpose and effect of new art to suppress the old, its predecessor, certainly not to destroy it. Quite the contrary: no one loves his predecessors more deeply, more fervently, more respectfully, than the artist who gives us something truly new.[20]

---

personally hate to be called a revolutionist, which I am not. What I did was neither revolution nor anarchy'. See Nicolas Slonimsky, *Music Since 1900* (4th edn; London: Cassell, 1971), 1316.

[15] Schoenberg, *Theory of Harmony*, 401. The new paragraph appears on pages 480–81 of the 1922 edition.

[16] 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 409.

[17] Schoenberg, 'New and Outmoded Music, or Style and Idea', 101.

[18] 'On the Question of Modern Composition Teaching' (1929), in Schoenberg, *Style and Idea*, 374.

[19] See Schoenberg, *Theory of Harmony*, 118, 288, and 433.

[20] Ibid., 401.

Further, by equating the advent of the new with the 'flowering of a tree', he argued for a 'natural growth', as opposed to the somewhat contrived path that he believed was pursued by the revolutionaries.[21]

Thus the model for the development of art and the artist, so emphatically presented in 1911, is altered in 1922 to one that emphasizes continuity in preference to discontinuity; or, to use the terms of his essay 'Art and Revolution', the revised model represents a process of evolution rather than revolution. The markedly dissimilar positions outlined in the two versions of the *Harmonielehre*, albeit in the context of a textbook on harmony, resemble a manifesto in so far as they document a fundamental shift in Schoenberg's compositional credo. The 1911 text reads as a statement of Schoenberg's self-portrait at that time, one which is both undermined and reinterpreted in the 1922 edition.[22] The 'literature' that was perceived in 1911 as an impediment for innovation is reconceived in the early 1920s as a facilitator.

That this revised position was communicated to and adopted by his students is confirmed by Hanns Eisler's essay 'Von alter und neuer Musik' (On Old and New Music) of 1925:

> It would be wrong to believe that the modern artist regards his musical predecessors without respect or with contempt. No one admires the masters of old music more and needs to understand them better than does the modern artist. [...] No branch of art in the world has ever broken completely with the work of its predecessors. [...] He himself must have

---

[21] Ibid. In a letter of 12 June 1922, Berg described the changes in the revised edition as 'jewels of mental and linguistic skill'. He referred to the passage just discussed: 'I particularly like the way you introduce many a polemic point so gracefully—hidden, so subtle, and yet devastating. [...] Particularly the interpolations on p. 480, where you speak about the so-called revolution and don't even use phrases like Bolshevist music (because there will be others tomorrow), but simply talk about "the refuse of political vocabulary"'. See Berg, Letter to Schoenberg, 12 June 1922, *The Berg–Schoenberg Correspondence: Selected Letters*, ed. Juliane Brand, Christopher Hailey, and Donald Harris (New York and London: Norton, 1987), 315.

[22] Schoenberg's compositional aesthetic during his so-called 'atonal' period will be discussed in chapter 2.

> experienced the whole development of music in order to move freely in his art.[23]

The final sentence can be understood as an adumbration of Schoenberg's teaching philosophy in that it entailed a detailed study of the music of the past, not merely for its own sake but, heuristically, to assist the student to acquire an awareness of his place in the historical process.[24] Schoenberg expressed this aim as follows:

> One of the foremost tasks of instruction is to awaken in the pupil a sense of the past and at the same time to open up to him the prospects for the future. Thus instruction may proceed historically, by making the connections between what was, what is, and what is likely to be. The historian can be productive if he sets forth, not merely historical data, but an understanding of history, if he does not confine himself simply to enumerating, but tries to read the future from the past.[25]

Given this categorical aim, Schoenberg's pedagogy, predictably, privileged the music of the past. Indeed, in response to a question about his teaching method, Schoenberg is reputed to have provided the following answer: 'I prohibit the student to write as I do; and I teach him Bach, Beethoven and Brahms. He who cannot write triple counterpoint fluently and flawlessly can never write like me'.[26] Because he believed that 'the laws of the old art are also those of the new art', he insisted that a new method of teaching was not called for: 'If you have correctly perceived and formulated them [the laws], and if you understand how to apply them correctly, then you no longer feel the need for any other, any new teaching'.[27]

The accounts of Schoenberg's students, who attended his lectures at the Schwarzwald School in 1917 and 1918 or were taught privately in his home in

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[23] Hanns Eisler, 'On Old and New Music', in Manfred Grabs (ed.), *Hanns Eisler: A Rebel in Music*, trans. Marjorie Meyer (Berlin: Seven Seas, 1978), 20–21.
[24] See Gianmario Borio, 'Schenker versus Schoenberg versus Schenker: The Difficulties of a Reconciliation', *Journal of the Royal Musical Association* 126 (2001), 252.
[25] Schoenberg, *Theory of Harmony*, 29. This passage appears in both the 1911 and 1922 editions.
[26] 'Ich verbiete dem Schüler so zu schreiben, wie ich es tue, und lehre ihn Bach, Beethoven und Brahms'; 'Wer keinen dreifachen Kontrapunkt fließend und fehlerfrei schreiben kann, der kann auch nie so schreiben wie ich'. Quotations cited in Erwin Ratz, *Gesammelte Aufsätze*, ed. F. C. Heller (Vienna: Universal Edition, 1975), 99.
[27] 'On the Question of Modern Composition Teaching' (1929), in Schoenberg, *Style and Idea*, 375.

Mödling during the post-war period and early 1920s, are entirely consistent with this philosophy. Paul Amadeus Pisk's observed that 'he [Schoenberg] only used works of Bach, the Classics, and some Romantics, but never a contemporary work', and that 'besides technique, Schoenberg emphasized the spiritual aspects and also the position of the composition in the framework of historical development'.[28] Likewise Erwin Ratz, in his description of Schoenberg's 'Seminar for Composition' course at the Schwarzwald School, recalled the importance attached to the compositions of the German masters in learning to articulate form:

> Schoenberg always explained that a certain feeling for form could only be acquired from the works of the classicists [...] To develop this feeling for form we first of all analysed Schubert songs, then Beethoven sonatas and string quartets, finally also works by Bach and Brahms [...] It was characteristic that a student was not permitted to bring a modern composition before he was able to write a quartet movement in the style of Brahms.[29]

Accounts by Josef Rufer, Hans Erich Apostel, Joseph Trauneck, and Felix Greissle, all of whom studied with Schoenberg in the years following the war, similarly emphasized the works of Bach, Beethoven, Brahms and the Viennese classicists,[30] but, clearly, the list of composers whose work merited attention was limited, as evidenced by Eisler's report:

> There was Bach, Mozart, Beethoven above all, and Brahms. We didn't learn any more. He didn't think very highly of Handel, and he actually neglected the other masters. He admired a few things by Schumann; Chopin didn't mean anything to him at all.[31]

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[28] Elliott Antokoletz, 'A Survivor of the Vienna Schoenberg Circle: An Interview with Paul A. Pisk', *Tempo* 154 (1985), 16.

[29] 'Schönberg erklärte immer, das sichere Formgefühl ließe sich nur an den Werken der Klassiker erwerben [...] Zur Entwicklung dieses Formgefühls analysierten wir zunächst Schubert-Lieder, dann Beethoven-Sonaten und -Streichquartette, schließlich auch Werke von Bach und Brahms [...] Es war charakteristisch, daß kein Schüler eine moderne Komposition bringen durfte, bevor er imstande war, etwa einen Quartettsatz im Stile von Brahms zu schreiben'. Cited in Walter Szmolyan, 'Die Geburtsstätte der Zwölftontechnik', *Österreichische Musikzeitschrift* 26/3 (1971), 118–120.

[30] Ibid., 120–122; Otto Brusatti, 'Das Beethoven-Bild Arnold Schönbergs', in Harry Goldschmidt, Karl-Heinz Köhler, and Konrad Niemann (eds.), *Bericht über den Internationalen Beethoven-Kongreß, 20. bis 23. März 1977 in Berlin* (Leipzig: VEB Deutscher Verlag für Musik, 1978), 379.

[31] 'Es war Bach, Mozart, Beethoven vor allem, und Brahms. Mehr haben wir nicht gelernt. Händel hat er nicht sehr geschätzt, und die andern Meister hat er eigentlich vernachlässigt. Er bewunderte

Schoenberg continued to advocate the study of the compositions of his German predecessors throughout his teaching career. In a passage from his 1936 draft for his manual on counterpoint (the final version was published posthumously as *Preliminary Exercises in Counterpoint*), where he highlighted the rhythmic challenges presented by using notes of different value in fifth-species counterpoint, he claimed that rhythmic variety in 'higher musical form' is achieved by 'a sensitive taste developed through culture and experience' and, therefore, recommended that

> The student who wants to become a real musician will have to pass through this study. And perhaps later he will be able to recognize that the difference between old time artists and modernistic-ones [*sic*] is not an essential-one[,] that there might be some difference in accidental matters as style, taste, technic etc, but that the only important matter, the ideas, are the same through centuries and millenniums [*sic*] and that the great men through all the history do only continue there where the prede[ce]ssor ceased. And he will see that he might understand the nature of art more thoroughly when his own thinking is based on the recognition of the thinking of our predessessors [*sic*].[32]

In accordance with this goal, the examples in his *Fundamentals of Musical Composition*, his manual on musical form, are drawn almost entirely from Beethoven's piano sonatas.[33] The ultimate aim here, as in his other manuals, was not simply to construct formal units in the manner of Beethoven but rather to gain a thorough understanding of the workings of that language before tackling the problems posed by contemporary music.

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einiges von Schumann; mit Chopin konnte er wohl überhaupt nichts anfangen'. Second conversation (1958) in Nathan Notowicz, *Wir reden hier nicht von Napoleon. Wir reden von Ihnen! Gespräche mit Hanns Eisler und Gerhart Eisler*, ed. Jürgen Elsner (Berlin: Verlag Neue Musik, 1971), 49.

[32] Schoenberg, Draft for Preliminary Exercises in Counterpoint, November 1936, catalogued at T37.12 (pages 55–56) in the Arnold Schönberg Center Privatstiftung, Vienna. A transcription of the entire draft is found in Andreas Jacob, *Grundbegriffe der Musiktheorie Arnold Schönbergs*, ed. Stefan Orgass and Horst Weber (Folkwang Studien, 1; Hildesheim, 2004, in press). I am grateful to Andreas Jacob for allowing me access to his postdoctoral dissertation.

[33] See Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang with the collaboration of Leonard Stein (London and Boston: Faber and Faber, 1967).

Progress and Tradition

The focus on tradition to assist and inspire innovation was borne out in Schoenberg's compositional philosophy: he took pride in characterizing his role as 'a natural continuer of properly understood good old tradition!'[34] Reflecting on his creative output in the essay 'A Self-Analysis' of 1948, he reiterated this conception of progress:

> It is seldom realized that a hand that dares to renounce so much of the achievements of our forefathers has to be exercised thoroughly in the techniques that are to be replaced by new methods. It is seldom realized that there is a link between the technique of forerunners and that of an innovator and that no new technique in the arts is created that has not had its roots in the past.[35]

In addition, he believed that, by engaging with the music of the past, he was emulating the practice of the masters he so admired: 'Almost every composer in a new style has a longing back to the old style (with Beethoven, Fugues)'.[36] The fusion of tradition and innovation in Schoenberg's *œuvre* was such that it earned him the title of 'the conservative revolutionary', as used in the title of Willi Reich's monograph.[37] Arguably, this description takes its cue from Eisler's essay of 1924, written for the special edition of the Viennese periodical *Musikblätter des Anbruch*, celebrating Schoenberg's fiftieth birthday:

> The musical world must change its views and look at Schoenberg not as a destroyer or subversive but as a master. Today it is clear to us: he created a new material in order to make music with the richness and completeness [*Geschlossenheit*] of the Classicists. He is the true conservative: in fact, he created a revolution for himself, to be able to be a reactionary.[38]

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[34] Schoenberg, Letter to Werner Reinhart, 9 July 1923, *Arnold Schoenberg: Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber, 1964), 100. For a general survey of references to the term 'tradition', see Beat Föllmi, *Tradition als hermeneutische Kategorie bei Arnold Schönberg* (Vienna, Stuttgart and Bern: Verlag Paul Haupt, 1996), 29–37 and 67–74.

[35] 'A Self-Analysis' (1948), in Schoenberg, *Style and Idea*, 76.

[36] Schoenberg, Letter to René Leibowitz, 4 July 1947, *Schoenberg: Letters*, 248.

[37] Willi Reich, *Schoenberg oder der konservative Revolutionär* (Vienna, Munich and Zurich: Verlag Fritz Molen, 1968); Willi Reich, *Schoenberg: A Critical Biography*, trans. Leo Black (London: Longman, 1971).

[38] 'Die musikalische Welt muß umlernen und Schönberg nicht mehr als einen Zerstörer und Umstürzler, sondern als Meister betrachten. Heute ist es uns klar: Er schuf sich ein neues Material,

Eisler's portrayal of Schoenberg as the embodiment of conservatism and modernism dates from the period when his earliest twelve-tone compositions were first performed: Eduard Steuermann, the pianist, friend, and erstwhile student of Schoenberg, premièred the *Fünf Klavierstücke* (Five Piano Pieces), Op. 23, in autumn 1923 and the *Suite für Klavier* (Suite for Piano), Op. 25, in February 1923; the Serenade, Op. 24, received its first public performance in July 1924, while that of the *Bläserquintett* (Quintet for Wind Instruments), Op. 26, took place in September of that year. However, contemporaneous reviews contrasted sharply with Eisler's tribute. The truly negative reception provoked by these works is confirmed by the titles of two of the reviews: 'Konzertsaal oder psychiatrischer Hörsaal?' (Concert Hall or Psychiatric Hall?) and 'Arnold Schönberg, der Psychopath' (Arnold Schoenberg, the Psychopath), both published in the *Allgemeine Musik-Zeitung* towards the end of 1924.[39] Erich Steinhard was similarly negative in his review in *Der Auftakt*, a journal published in Prague, dismissing the Serenade as 'non-music' ('Unmusik') 'with enough mathematically calculated figures, rhythms, and chords to assail the eyes and brain'.[40]

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um in der Fülle und Geschlossenheit der Klassiker zu musizieren. Er ist der wahre Konservative: er schuf sich sogar eine Revolution, um Reaktionär sein zu können'. Hanns Eisler, 'Arnold Schönberg, der musikalische Reaktionär', *Arnold Schönberg zum fünfzigsten Geburtstage, 13. September 1924, Sonderheft der Musikblätter des Anbruch* 6 (1924), 313. Eisler's description of Schoenberg as a 'reactionary' in this essay of 1924 builds on a point made a few years earlier in his diary, the so-called 'Wiener Tagebuch' of 1921–1922 (only two dates appear in the document: 27 August 1921 and 12 July 1922), where he wrote that Schoenberg's music was a 'reaction' to post-Wagnerian music. Eisler claimed that, while Schoenberg embraced Wagner's orchestral colour and sound, he looked back to Bach, Mozart and Brahms for matters relating to form. See Hanns Eisler, *Musik und Politik, Schriften 1924–1928*, ed. Günter Mayer (Gesammelte Werke, III/1; Leipzig: VEB Deutscher Verlag für Musik, 1973), 19.

[39] See Scott Messing, *Neoclassicism in Music: From the Genesis of the Concept through the Schoenberg/Stravinsky Polemic* (Studies in Musicology, 101; Ann Arbor, Mich.: UMI Research Press, 1988), 140.

[40] Erich Steinhard, 'Tonale, Atonale und Antiquierte Musik', *Der Auftakt* 5/9 (1925), 262. The translations here are given by Bryan R. Simms in his introduction to Schoenberg, 'New and Outmoded Music, or Style and Idea', 97.

But it was Pierre Boulez's essay, 'Schoenberg is Dead', that represented the most famous—or, perhaps, the most infamous—reaction to these works. Boulez's diatribe was first published in *The Score* in 1952, just a year after Schoenberg's death, alongside articles by supporters (Roger Sessions and Frank Martin) and former students of Schoenberg (Roberto Gerhard and Karl Rankl).[41] Contrary to the laudatory contributions of his fellow-contributors, Boulez objected to the combination of a radical new language—dodecaphony—and traditional schematic forms in Schoenberg's twelve-tone compositions. He opined that Schoenberg was supremely misguided for incorporating traditional formal thinking ('echoes of a dead world') in his dodecaphonic works, and argued that the 'two worlds' are 'historically unconnected' and 'incompatible', giving rise to an output that is characterized by 'illogic', riddled with 'contradictions', and described as 'a sort of lopsided "romantico-classicism"'. *In nuce*, Boulez condemned Schoenberg for not recognizing the potential of the serial system: firstly, for failing to create 'serial structures' and, secondly, for failing to extend the serial principles to other parameters.[42] In so doing, he evaluated Schoenberg's serialism—that is, Schoenberg's dodecaphony—against the principles of total serialism. It is precisely for this reason that his criticism of Schoenberg is problematic. Boulez's aesthetic judgement was based on *his* conception of musical progress, although Schoenberg's criteria were entirely different.

Recent commentators including Charles Rosen and Richard Taruskin have used the term 'neoclassicism' in their discussions of Schoenberg's dodecaphony.[43]

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[41] Pierre Boulez, 'Schönberg is Dead', *The Score: A Music Magazine* 6 (1952), 18–22.
[42] Pierre Boulez, 'Schoenberg is Dead', in Paule Thévenin (ed.), *Stocktakings from an Apprenticeship*, trans. Stephen Walsh (Oxford: Clarendon Press, 1991), 212–213. This is a revised translation of 'Schoenberg est mort'.
[43] Charles Rosen, *Schoenberg* (London: Marion Boyars, 1976), 79–105; Richard Taruskin, 'Revising Revision', review of Kevin Korsyn, 'Towards a New Poetics of Musical Influence', and

To be sure, 'neoclassicism' was a significant term in reception history during the first quarter of the last century, representing both tradition and innovation. As Scott Messing has shown, its appeal and continued use were due, at least in part, to its ambiguity.[44] However, it is questionable if 'neoclassicism' serves a purpose in present-day scholarship. Indeed, for a number of reasons, it does little to enhance our understanding of Schoenberg's dodecaphony. Firstly, the term is now considered pejorative in that it suggests a backward-looking mindset while undervaluing progressive compositional features. Secondly, its use as a way of generalizing a large body of musical literature has served only to highlight points of similarity, thereby downplaying crucial differences in compositional style and aesthetic. Thirdly, and perhaps most importantly, because the term is used to group together diverse practices and techniques of various composers, it disregards the reasons behind an individual composer's engagement with the past. In particular, it serves to obscure, rather than elucidate, the complexity of Schoenberg's relationship with his musical past. If labels must be used, perhaps, as Hermann Danuser has recently argued, the seemingly paradoxical concept of 'classical modernism' (or 'modernist classicism') may be more appropriate, in that it encourages us to reconsider the opposing ideas of classicism and modernism as well as reappraise their interrelationship.[45]

Joseph N. Straus, *Remaking the Past*, *Journal of the American Musicological Society* 46/1 (1993), 136.

[44] For an excellent account of the origins, history, and development of the term 'neoclassicism', see Messing, *Neoclassicism in Music*. See also Scott Messing, 'Polemic as History: The Case of Neoclassicism', *Journal of Musicology* 9/4 (1991), 481–497. See also Pieter C. Van Den Toorn, 'Neoclassicism and Its Definitions', in James M. Baker, David W. Beach, and Jonathan W. Bernard (eds.), *Music Theory in Concept and Practice* (Rochester: University of Rochester, 1997), 131–156.

[45] See Hermann Danuser, 'Rewriting the Past: Classicisms of the Inter-War Period', in Nicholas Cook and Anthony Pople (eds.), *The Cambridge History of Twentieth-Century Music* (Cambridge: Cambridge University Press, 2004), 280–281. In a similar vein, Christian Martin Schmidt described Schoenberg's relationship with the past as an 'internal classicism'. See Christian Martin Schmidt, 'The Viennese School and Classicism', in Ulrich Mosch, Katharina Schmidt, and Gottfried Boehm (eds.), *Canto d' Amore: Klassizistische Moderne in Musik und bildender Kunst*, trans. Laurie

That it can be helpful to assess, or reassess, a composer's dialogue with the past in the context of more nuanced labels is confirmed by Walter Frisch's study of Max Reger and Bach. Frisch makes a convincing case for understanding Reger's alliance with Bach not as 'neoclassicism' but as an example of 'historicist modernism', a concept that is defined by Frisch as 'music written in the years around 1900 that derives its compositional and aesthetic energy not primarily from an impulse to be New but from a deep and sophisticated engagement with the music of the past'.[46] Despite its suitability for Reger's compositional aesthetic, this term is clearly inappropriate for Schoenberg, given the importance he attached to innovative practices, techniques or modes of expression. Instead, 'classical modernism' seems a more accurate description of Schoenberg's compositional philosophy: it takes account of the incorporation of traditional formal elements in his early twelve-tone works, while also addressing the notion of artistic evolution and musical progress (something that 'neoclassicism' fails to emphasize).

Schwartz and Friedemann Sallis (Basel: Paul Sacher Stiftung, 1996), 358. For related discussions on Schoenberg and tradition, see Rudolf Stephan, 'Schönberg und der Klassizismus', in Rainer Damm and Andreas Traub (eds.), *Vom Musikalischen Denken: Gesammelte Vorträge* (Mainz: B. Schott's Söhne, 1985), 146–154; Rudolf Stephan, 'Schönberg – Berg – Webern – Klassiker', *Beiträge zur Musikwissenschaft* 32/1 (1990), 7–10; Rudolf Stephan, 'Arnold Schönberg und die Wiener Tradition', in Mogens Andersen, Niels Bo Foltmann, and Claus Røllum-Larsen (eds.), *Festskrift Jan Maegaard: On the Occasion of his 70th Birthday* (Copenhagen: Engstrøm & Sødring, 1996), 117–130; Matthias Schmidt, 'Vom Gedächtnis der Zukunft: Die Wiener Schule und die Tradition', *Studien zur Musikwissenschaft: Beihefte der Denkmäler der Tonkunst in Österreich* 46 (1998), 249–292; Matthias Schmidt, 'Neuheit, die niemals vergeht: Anmerkungen zum "Klassiker" Schönberg', *International Journal of Musicology* 8 (1999), 257–288; Matthias Schmidt, 'Klassiker? Mozart–Beethoven–Schönberg', in Andreas Meyer and Ullrich Scheideler (eds.), *Autorschaft als historische Konstruktion: Arnold Schönberg—Vorgänger, Zeitgenossen, Nachfolger und Interpreten* (Stuttgart and Weimar: J.B. Metzler, 2001), 65–90.

[46] Walter Frisch, 'Reger's Bach and Historicist Modernism', *19th-Century Music* 25/2–3 (2001–2002), 296.

Poetics and Polemics

If we wish to reappraise Schoenberg's confrontation with the past during the early 1920s and understand dodecaphony in the context of his tradition, we must investigate Schoenberg's musical poetics—that is, as Dahlhaus explained, 'the essence of historically determined principles and categories, which are at the root of a composer's musical thinking', or, using Danuser's elucidation, 'the way Schoenberg the artist perceived himself, his *Selbstverständnis*' (explicit poetics) combined with 'what can be deduced from his music' (implicit poetics).[47] This approach does not constitute the kind of 'defensive "aestheticizing" and special pleading' that Boulez derides; nor does it amount to a 'recycling' of 'hoary propaganda' as Taruskin maintains.[48] Rather, the aim here is to assess critically Schoenberg's compositional development during the early 1920s in the context of his theory of musical evolution. Admittedly, as countless commentators have remarked, Schoenberg's statements could be construed as defensive and apologetic in tone, but this does not detract from the justness of his epigraph, cited at the head of this chapter, that his new music is predicated on tradition. In order to test such an assertion, it is critical that we bear in mind *Schoenberg's* concept of tradition—rather than our own—or, more generally, that we refer to his poetics, both explicit and implicit.

The preoccupation with tradition during the 1920s was not confined to Schoenberg. On the contrary, there was a reawakened interest in the music of the past in the aftermath of the war as composers sought to restore their cultural

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[47] Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 74; Hermann Danuser, 'Schoenberg's Concept of Art in Twentieth-Century Music History', trans. Gareth Cox, in Juliane Brand and Christopher Hailey (eds.), *Constructive Dissonance: Arnold Schoenberg and the Transformations of Twentieth-Century Culture* (Berkeley, Los Angeles and London: University of California Press, 1997), 179.
[48] Boulez, 'Schoenberg is Dead', 210; Taruskin, 'Revising Revision', 136.

heritage.[49] Not surprisingly, this encounter with tradition manifested itself in varying ways. But, as Schoenberg's explicit poetics reveal, his approach was radically different from that of his contemporaries.[50] In his view, their relationship with the past was problematic. Although he did not object to their evocation of the past, he was implacably opposed to their treatment of their materials:

> The music of my contemporaries [...] manufactures golden watches out of iron, rubber ties out of wood, and so on. It does not, therefore, do justice to its materials, and it expects that the overlay, the coating over the finished product, might do the trick.[51]

In one of his earliest invectives, dating from 1922, he denounced his contemporaries as imitators and expressed his disdain for their compositional methods:

> For me, what needs to be true for nobody else is what I first expect from a work of art: *richness*! This insufficiency in Latins and their Russian, Hungarian, English, and American imitators for me, although it should be comical, is always more ridiculous and painful. This method—variation of the harmonies once in a while produces something 'clever', or until this asinine repetition itself turns out 'witty', since it at least cannot possibly be taken seriously—recalls as much the humour of drunks, clowns, and

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[49] See Messing, *Neoclassicism in Music*, 152; Alan Lessem, 'Schoenberg, Stravinsky, and Neo-Classicism: The Issues Reexamined', *The Musical Quarterly* 68/4 (1982), 528.

[50] The purpose of the following discussion is not to marginalize the contributions of Schoenberg's contemporaries but simply to present Schoenberg's thoughts—his polemics and criticisms—in order to acquire a better understanding of his poetics and, specifically, his conception of and relationship with the tradition. It should be pointed out, however, that it is unclear how much of his contemporaries' music Schoenberg would have heard or known, and that it is possible, and indeed probable, that many of his opinions were formed simply by reading reviews. For example, his essay 'Tonality and Form' of 1925 begins with the statement: 'I read in a newspaper that a group of modern composers had decreed that tonality must be restored, as, without it, form cannot exist'. See Schoenberg, *Style and Idea*, 255. The essay appears to have been written in response to an article by Elsa Bienenfeld, 'Die Musik der Fünf und der Sechs', published in the *Neues Wiener Journal* (no date is given for the article), which is attached to Schoenberg's text manuscript. See 'Tonalität und Gliederung', 29 July 1925, catalogued at T21.11 in the Arnold Schönberg Center Privatstiftung, Vienna. Indeed, it would seem that Schoenberg had no qualms about responding, often polemically, to brief statements or titles, even if he did not understand the work in question or its broader context. One such example was his response to a book by Ernst Kurth, *Grundlagen des linearen Kontrapunkts*, of 1917. Although he conceded that he had not actually read the book ('I must interpolate that I have not read E. Kurth's book *Der lineare Kontrapunkt*, and hardly know more than the title and the odd things I have heard or read'), he presented a scathing critique of Kurth's concept of linear counterpoint. See 'Linear Counterpoint' (1931), in Schoenberg, *Style and Idea*, 291.

[51] Schoenberg, 'Polytonalisten', 21 April 1923, catalogued at T34.07 in the Arnold Schönberg Center Privatstiftung, Vienna. The translation is given in Leonard Stein, 'Schoenberg's Five Statements', *Perspectives of New Music* 14/1 (1975), 167.

> blockheads [...] as much as I am able to extract from it. One certainly smiles to a degree every time from the novelty, but always one does so with little sympathy and especially always with little respect! On the other hand there is a growing displeasure: the feeling of annoyance turning to disgust![52]

Specifically, Schoenberg reproached his contemporaries for the way in which they assimilated traditional features into their compositional practice. For example, in his essay 'Opinion or Insight?' of 1926, he commented on the naïvety of 'modern composers' for thinking that the insertion of a diatonic triad—or a similar device such as a cadence, ostinato, or pedal-point—constituted tonality, thereby implying that they had no cognizance of the harmonic functions of tonality; as suggested by the essay's title, he contended that, in so doing, his contemporaries were more inclined to express their 'opinion' than to display historical 'insight'.[53] A few years earlier, in an aphorism of 1923, he took issue with the 'polytonalists' for providing unnecessarily complicated accompaniments to melodies that were basically tonal and characterized by rhythmic and metrical regularity, a practice, he claimed, that was entirely different from his own.[54] Likewise, in a note entitled 'Historical Parallels', he argued that composers of contemporary music paid little attention to the interaction of melody and accompaniment.[55] Thus the 'polytonalists' were accused of misconstruing musical evolution since their engagement with the past consisted merely of imitation. The 'path' they pursued was 'false',[56] whereas the historically conscious composer demonstrated 'insight' in his response to the music of the past:

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[52] Schoenberg, 'Ostinato', 13 May 1922, catalogued at T34.05 in the Arnold Schönberg Center Privatstiftung, Vienna. The translation is given in Messing, *Neoclassicism in Music*, 146.
[53] 'Opinion or Insight?' (1926) in Schoenberg, *Style and Idea*, 258–259. The essay was first published in the Universal Edition yearbook of 1926.
[54] Schoenberg, 'Polytonalisten' (April 1923), in Stein, 'Schoenberg's Five Statements', 167.
[55] Schoenberg, 'Geschichtsparallelen', 5 September 1923, catalogued at T34.33 in the Arnold Schönberg Center Privatstiftung, Vienna.
[56] Schoenberg, 'Polytonalisten' (April 1923), in Stein, 'Schoenberg's Five Statements', 167.

> An important difference between me and the polytonalists and folklorists and all the others who manufacture folk melodies, dances, and so on in a homophonic manner—Stravinsky, Milhaud, the English, Americans, and everyone else—is that they seek the solution by means of a historical parallel, while I have found it from within, in which I merely obeyed the subject and followed the imagination and the feeling for form.[57]

Schoenberg's use of the term 'new music' (sometimes capitalized) at that time did not embrace his own compositions; it was used, instead, in a derogatory sense to refer to the various compositional trends that emerged during the 1920s.[58] Meditating on the phenomenon of 'new music' in an essay of 1923, he anticipated the thesis of 'Opinion or Insight?' by alleging that its proponents were more likely to be guided by 'certain dislikes, certain enthusiasms, many ideas, much imagination and ability' than by 'principles'.[59] In a related aphorism, composers such as Milhaud, Poulenc, and Stravinsky were charged with 'flooding the market with a new costume every season'.[60] But it was in his *Drei Satiren für gemischten Chor* (Three Satires for Mixed Choir), Op. 28, of 1925 that Schoenberg made his most caustic attack. Drawing attention, yet again, to Stravinsky's propensity for following fashion, as he saw it, Schoenberg mocked him as the 'little Modernsky' in the text of 'Vielseitigkeit' (Versatility), Op. 28, No. 2:

> Well, who is it who's drumming?
> If that is not little Modernsky!
> Has just had a new haircut: with bobs and a tail;
> Looks quite good!
> Like real false hair!

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[57] Schoenberg, 'Polytonalisten', 29 November 1923, catalogued at T34.38 in the Arnold Schönberg Center Privatstiftung, Vienna. The translation is given in Messing, *Neoclassicism in Music*, 146.
[58] For a detailed survey of the etymology and development of the concept 'new music' in the twentieth century, see Christoph Von Blumröder, 'Neue Musik', in Hans Heinrich Eggebrecht (ed.), *Terminologie der Musik im 20. Jahrhundert* (Handwörterbuch der musikalischen Terminologie, Sonderband I; Stuttgart: Franz Steiner Verlag, 1995). He discusses the concept with reference to Schoenberg in Christoph Von Blumröder, 'Schoenberg and the Concept of "New Music"', *Journal of the Arnold Schoenberg Institute* 6/1 (1982), 96–105.
[59] 'New Music' (1923), in Schoenberg, *Style and Idea*, 137.
[60] Schoenberg, 'Das Tempo der Entwicklung' ('probably 1928', according to Schoenberg's annotation on the manuscript), catalogued at T04.17 in the Arnold Schönberg Center Privatstiftung, Vienna. The original German reads: '[…] die ja zu jeder Saison eine neue Tracht auf den Markt werfen'.

> Like a wig!
> Just like (the way little Modernsky sees him),
> Just like old daddy Bach![61]

In employing the metaphor of fashion, Schoenberg continued a pattern that had begun in the nineteenth century. As observed by Christian Martin Schmidt, Wagner ridiculed the diverse characters of Brahms's music in a similar manner: 'Today in the appearance of a ballad singer, tomorrow with Handel's Hallelujah-wig, another time as a Jewish *czardas* player, and then again as the utterly solid symphonist in a "Number Ten"'.[62]

In the foreword to the *Drei Satiren*, Schoenberg cast his net more widely, discommending 'all who seek their personal salvation upon the middle road, because the middle road is the only one which does not lead to Rome': the 'quasi-tonalists' and those who 'nibble at dissonances, wanting thus to pass as modern'; those who 'aspire to "a return to ..."'; the 'folklorists' who avoid homogeneity of style by mixing 'natural, primitive concepts of folk music' with a 'complex way of thinking'; and all those who succumb to fashion by seeing themselves as '-ists'.[63] He underscored many of these points in *Structural Functions of Harmony*:

> Many contemporary composers add dissonant tones to simple melodies, expected thus to produce 'modern' sounds. But they overlook the fact that these added dissonant tones may exert unexpected functions. Other composers conceal the tonality of their themes through harmonies which are unrelated to the themes. Semi-contrapuntal imitations—fugatos taking the place of sequences, which were formerly used as 'fillers-up' in worthless 'Kapellmeistermusik'—deepen the confusion in which the meagreness of ideas is lost to sight. Here the harmony is illogical and functionless.[64]

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[61] Arnold Schoenberg, *Drei Satiren für gemischten Chor, Op. 28* (Vienna: Universal Edition, 1926). Translation by Martin Thurn-Mithoff, in 'Schönberg: Das Chorwerk' (conducted by Pierre Boulez), sleeve notes for compact disc SONY S2K 44571, 1990, 70. It is important to indicate that Schoenberg's perception of Stravinsky did not tally with Stravinsky's own poetics: Stravinsky defended his practice in his short essay entitled 'A Warning' (1927), which is published in Eric Walter White, *Stravinsky: The Composer and His Works* (London: Faber and Faber, 1966), 532.
[62] Cited in Schmidt, 'The Viennese School and Classicism', 358.
[63] Foreword, in Schoenberg, *Drei Satiren*, 3–4. Translation given in Messing, *Neoclassicism in Music*, 144.
[64] Arnold Schoenberg, *Structural Functions of Harmony*, ed. Leonard Stein (Rev. edn; New York and London: W. W. Norton & Company, 1969), 193.

His criticism of pseudo-contrapuntal compositions was illuminated in a commentary on Ernst Kurth's *Der linear Kontrapunkt* in an essay of 1931 of the same title. Schoenberg asserted that, in spite of their claims, composers were returning not so much to 'old forms' as to 'manners, methods, styles, ways of acting and behaving'; in other words, 'they chose ruins as their foundations'. Their adoption of a 'cantata-*tone*' or a 'concerto-grosso-*tone*' facilitated the emergence of a 'new imitative style' that Schoenberg sarcastically classified as 'imitation-imitation'.[65]

The emphasis on fashion or, more specifically, on style was evident not only in Schoenberg's Foreword to the *Drei Satiren* (he referred to the '-ists' as 'mannerists') but also in his writings from the 1930s when his criticisms read more like meditations than polemics. In one such text his understanding of style was clarified with reference to the music of Bach's contemporaries. Their 'new music', although 'not *so* new in content, idea, or technique', was considered 'a new or at least temporarily new *style*'.[66] He was more emphatic in the revised version of this essay of 1946, stating that 'today their New Music is outmoded while Bach's has become eternal'.[67] According to the outline in his retrospective essay 'How One Becomes Lonely', the ephemerality of 'new music' in Bach's era corresponded to the fleeting existence and rapid succession of styles in the 1920s:

> During this time [between 1922 and 1930] almost every year a new kind of music was created and that of the preceding year collapsed. It started with the European musicians imitating American jazz. Then following 'Machine Music' and 'New Objectivity' (*Neue Sachlichkeit*) and 'Music for Every Day Use' (*Gebrauchsmusik*) and 'Play Music' or 'Game Music' (*Spielmusik*) and finally 'Neo-classicism'.[68]

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[65] 'Linear Counterpoint' (1931), in Schoenberg, *Style and Idea*, 292.
[66] Schoenberg, 'New and Outmoded Music, or Style and Idea', 101.
[67] 'New Music, Outmoded Music, Style and Idea' (1946), in Schoenberg, *Style and Idea*, 118.
[68] 'How One Becomes Lonely' (1937), in Ibid., 52.

Style *vs* Idea

Although the central tenets of Schoenberg's conception of musical progress remained unchanged, at least from the early 1920s onwards, there was a greater flexibility in his terminology in the early 1930s. In his lecture on new music from 1933 Schoenberg employed the expression 'new music' to belittle the compositions of both his and Bach's contemporaries—as he did in his 1923 essay—but also, toward the end of the lecture, to designate music that he considered 'truly new'.[69] The former, of course, made reference to the slogan 'New Music' that was invented by a group Schoenberg mockingly called 'historians', since they placed more importance on the 'facts' rather than the 'meaning' of music history. The latter, by contrast, entailed the expression of the 'idea' and was exemplified by Bach; as noted above, his compositions were deemed 'timeless', because 'an idea cannot die', '*an idea can never perish*'.[70] Therefore, in Schoenberg's mind, 'new music' that was based exclusively on style was short-lived, whereas 'new music' that embodied the idea was permanent. Seen in this light, the contrast Schoenberg perceived in the early 1930s between 'new music' premised on style and 'new music' premised on idea echoed the distinction he drew a decade earlier—in his revised edition of the *Harmonielehre*—between 'transient' political revolutions and matters in the spiritual-intellectual sphere that 'endure'.

Yet style was not construed as a negative aspect of music; on the contrary, it was considered an organic and indispensable component of a musical composition. It was defined as 'the sum of characteristics conferred by a creator upon an object', the object being the finished composition. But when Schoenberg

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[69] Schoenberg also used the expression 'new music' to refer to his own compositions in a text of 1927: 'Die alten Formen in der neuen Musik', 12 January 1927, catalogued at T35.18 in the Arnold Schönberg Center Privatstiftung, Vienna.

[70] Schoenberg, 'New and Outmoded Music, or Style and Idea', 97–108. See also 'New Music, Outmoded Music, Style and Idea' (1946), in Schoenberg, *Style and Idea*, 123.

wrote that the 'properties [of style] come both from the creator and the thing itself',[71] he intimated that the creator—the composer—was bound to a certain extent by his material (to the use the term from his aphorism on polytonalists of April 1923),[72] something that was corroborated by his allusion to a plum tree. The metaphor of the tree was also used in the revised edition of the *Harmonielehre*, as mentioned above, to articulate his conception of progress. There it functioned to promote evolution over revolution (the 'appearance of the new' was equivalent to the 'natural growth of the tree of life'), whilst in the 1933 text, and in its revised version of 1946, it was used to explain why Schoenberg was critical of his contemporaries for imposing, as he perceived it, a style on their compositions. By making reference to the tree, Schoenberg could assert the inevitable association between the object and its style: 'A plum tree can only bear what corresponds to its nature, as idiosyncratic as this may be'. To reinforce the point, he added: 'We could demand a plum tree bear glass plums, pears, or felt hats, but I think that even the lower types of plum trees will refuse'. Like the products of the tree, the stylistic features of a composition were predetermined by its nature: 'Style is no particular costume, not a "fancy dress", not something to cover nakedness. Like nakedness itself, it can't be taken off'. The corollary for Schoenberg was that the 'true individual' was 'continually and exclusively occupied with his object, his idea'.[73] Accordingly, he advocated that the composer should 'never start from a preconceived image of a style' but that he should instead 'be ceaselessly occupied with doing justice to the idea'.[74]

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[71] Schoenberg, 'New and Outmoded Music, or Style and Idea', 104.
[72] 'The material [*Material*] from which my music arises is different and accordingly, for this reason, forms and other aspects will also be different'. Schoenberg, 'Polytonalisten' (April 1923), in Stein, 'Schoenberg's Five Statements', 167.
[73] Schoenberg, 'New and Outmoded Music, or Style and Idea', 104.
[74] 'New Music, Outmoded Music, Style and Idea' (1946), in Schoenberg, *Style and Idea*, 121.

Unfortunately Schoenberg shied away from elucidating his conception of the 'idea' in these lectures, apart than noting, rather elusively, that it represented the 'totality of a piece'. Nevertheless, it can be inferred that it held a special significance for him as the artistic core of a work (he wrote about a 'real idea' versus a 'mere style') that was then composed into the finished product: 'An idea is born; it must be moulded, formulated, developed, elaborated, carried through and pursued to its very end'.[75] In order to convey the enduring quality of the idea, he described with enthusiasm the invention of a pair of pliers, which, he claimed, could only be appreciated by taking into account the context in which the inventor sought a new solution:

> The idea of fixing the crosspoint of the two crooked arms so that the two smaller segments in front would move in the opposite direction to the larger segments at the back, thus multiplying the power of the man who squeezed theme to such an extent that he could cut wire—this idea can only have been conceived by a genius.

Schoenberg's reasoning was that, even if the tools were superseded, the idea behind the invention would never become 'obsolete'.[76]

Historical Consciousness

Given his strong views on the perpetuity of the idea, on the one hand, and the inextricability of the object and its stylistic characteristics, on the other, it seemed logical that Schoenberg would categorize his contemporaries' prioritizing of the presentation of style over idea as a 'sort of leapfrog'.[77] What is more, Schoenberg believed that the architects of the 'new music' displayed 'a disturbing lack of responsibility' in their response to the music of the past. For example, he rebuked Krenek for his poor grasp of harmonic theory, maintaining that he confused the

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[75] Ibid., 123–124. The concept of the idea [*Gedanke*] is discussed in chapter 2.
[76] Ibid., 123. For the corresponding passage in the earlier version of this text, see Schoenberg, 'New and Outmoded Music, or Style and Idea', 106.
[77] Schoenberg, 'New and Outmoded Music, or Style and Idea', 107.

bass and the fundamental of a chord.[78] In addition, he identified the following features in the 'new music' of his day, which, to him, were indicative of a superficial engagement with the music of the past:

> Pedal points (instead of elaborate bass voices and moving harmony), ostinatos, sequences (instead of developing variation), fugatos (for similar purposes), dissonances (disguising the vulgarity of the thematic material), objectivity (*Neue Sachlichkeit*), and a kind of polyphony, substituting for counterpoint.[79]

The fact that he considered such features reprehensible is somewhat explained by his own educational upbringing. Despite being self-taught, the environment in which he grew up was such that it fostered a vivid understanding of all aspects of technique and construction:

> In my youth, living in the proximity to Brahms, it was customary that a musician, when he heard a composition for the first time, observed its construction, was able to follow the elaboration and derivation of its themes and its modulations, and could recognize the number of voices in canons and the presence of the theme in a variation; and there were even laymen who after one hearing could take a melody home in their memory.[80]

Nevertheless, Schoenberg's contemporaries were not merely guilty of a poor understanding of techniques and structural organization; according to Schoenberg, their lack of awareness extended to the historical process itself. Their imitations of surface features of the music of the past showed no cognizance of the processes governing the historical development of musical composition, something which Schoenberg found both sad and offensive:

> I saw with regret that many a great talent would perish through a corrupt attitude towards the arts, which aimed only for a sensational but futile success, instead of fulfilling the real task of every artist.[81]

For Schoenberg, carrying out one's duty as an artist entailed the fulfilment of two obligations: firstly, displaying historical awareness of one's tradition and, secondly,

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[78] 'Linear Counterpoint' (1931), in Schoenberg, *Style and Idea*, 294.
[79] 'New Music, Outmoded Music, Style and Idea' (1946), in Ibid., 120.
[80] Ibid., 120–121.
[81] 'How One Becomes Lonely' (1937), in Ibid., 52.

continuing that tradition in order to create something wholly new. It was this commitment to, and extension of tradition that he observed in the works of Brahms: 'He would have been a pioneer if he had simply returned to Mozart. But he did not live on inherited fortune; he made one of his own'.[82] Indeed it was this conception of progress in musical composition which formed the basis of his profound admiration of his predecessors:

> There is no great work of art which does not convey a new message to humanity; there is no great artist who fails in this respect. This is the code of honour of all the great in art, and consequently in all great works of the great we will find that newness which never perishes, whether it be of Josquin des Prés, of Bach or Haydn, or of any other great master.[83]

Their contributions to music history became more conspicuous and more important to Schoenberg in the early 1920s, as revealed by a new footnote in the revised edition of his *Harmonielehre*, when he contrasted the blind alleys of his contemporaries with the essential and dutiful path pursued by the masters:

> The sad part is just that the idea, 'one may write anything today', keeps so many young people from first learning something accepted and respectable, from first understanding the classics, from first acquiring *Kultur*. For in former times, too, one could write anything; only—it was not good. Masters are the only ones who may never write just anything, but must rather do what is necessary: fulfil their mission. To prepare for this mission with all diligence, laboring under a thousand doubts whether one is adequate, with a thousand scruples whether one correctly understood the bidding of a higher power, all that is reserved for those who have the courage and the zeal to shoulder the consequences as well as the burden which was loaded upon them against their will. That is far removed from the wantonness of a 'Direction'. And bolder.[84]

This passage was tantamount to a proclamation, inasmuch as it set out the criteria against which the progress of music should be assessed as well as laying down the agenda that would enable Schoenberg both to become and to be understood as the trustee of the Germanic musical tradition.

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[82] 'Brahms the Progressive' (1947), in Ibid., 439.
[83] 'New Music, Outmoded Music, Style and Idea' (1946), in Ibid., 114–115.
[84] Schoenberg, *Theory of Harmony*, 433.

Schoenberg espoused a dialectical—and quintessentially Germanic—view of music history that can be traced back to the nineteenth century, when composers not only venerated but also confronted the masterpieces of their past: to use Schoenberg's own description, 'Mendelssohn [...] unearthed Bach', 'Schumann discovered Schubert', and 'Wagner, with work, word, and deed, awakened the first real understanding of Beethoven'.[85] This dialectical process is generally attributed to Hegel, whose principle of *Aufhebung* (sublation), understood in the dual sense as both embodiment and transcendence, accounted both for continuity and change;[86] it enabled German composers—including Schoenberg—to justify their innovations with reference to the time-honoured techniques and modes of expression of their German predecessors (Josquin des Prés, cited in a quotation above, was a notable exception in this respect).[87] Dahlhaus eloquently described the historical process thus:

> Schoenberg conceived of music history as a process which brings forth and makes manifest what is contained and prefigured in the nature of music as a possibility longing to be realised, as a process sustained by the composing genius, who is infallible.[88]

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[85] Ibid., 401. In his magisterial account of nineteenth-century music, Dahlhaus referred to 'traditional and progress' as one of the 'dichotomies that dominated musical thought in the 1850s and the decades beyond'. See Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (California Studies in 19th Century Music; Berkeley, Los Angeles, and London: University of California Press, 1989), 250.

[86] See Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1993), 112–114, and 158.

[87] It is possible that the post-war climate reinforced Schoenberg's nationalism. This is seen in a document he wrote on music for the 'Guide-Lines for a Ministry of Art' (1919): 'The most important task of the music section is to ensure the German nation's superiority in the field of music, a superiority which has its roots in the people's talent'. See Schoenberg, *Style and Idea*, 369–370.

[88] 'Schoenberg's Poetics of Music', in Dahlhaus, *Schoenberg and the New Music*, 73. For related accounts of Schoenberg's view of history and his historical consciousness, see Danuser, 'Schoenberg's Concept of Art in Twentieth-Century Music History', 180; Lessem, 'Schoenberg, Stravinsky, and Neo-Classicism', esp. 530 and 538; Christian Martin Schmidt, 'Über Schönbergs Geschichtsbewußtein', in Rudolf Stephan (ed.), *Zwischen Tradition und Forstschritt: Über das musikalische Geschichtsbewußtsein* (Veröffentlichungen des Instituts für neue Musik und Musikerziehung, Darmstadt, 13; Mainz: Schott, 1973), esp. 86–87. For a detailed study of Schoenberg's historical consciousness that considers his writings alongside those of nineteenth- and early-twentieth-century thinkers, see Steven Joel Cahn, 'Variations in Manifold Time: Historical Consciousness in the Music and Writings of Arnold Schoenberg', Ph.D. diss. (State University of New York at Stony Brook, 1996).

In other words, the historically conscious composer, in his confrontation with the 'preexisting data' or handed-down materials, endeavoured to recognize the inherent tendencies in the music of the past and to bring them to their logical conclusion. Theodor W. Adorno's description of the latter stage of this process as 'fulfil[ling] the immanent demands of the material' reiterated Schoenberg's pithy encapsulation:[89] 'For one must continue the ideas. They have not yet been thought out to the end'.[90] This dialectical process was exemplified by one of Schoenberg's teaching objectives, as set out in his *Harmonielehre* (mentioned above), in that he promoted an 'understanding' as opposed to an inventory of music history to allow the student of composition to 'read the future from the past'; however, the process was necessarily contingent on the composer's ability to discern the potential for development in the music of the past, an ability Schoenberg believed his contemporaries did not possess.

In a related vein, Adorno, in his essay 'The Dialectical Composer' of 1934, wrote about the dialectical relationship that existed between a composer and his material, which was articulated variously as the tension between 'the power in him and what he found before him' and between 'subject and object'. He posited an interdependent relationship between the two forces:

> Subject and object—compositional intention and compositional material—do not, in this case, indicate two rigidly separate modes of being, between which there is something that must be resolved. Rather, they engender each other reciprocally, the same way they themselves were engendered—historically.[91]

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[89] 'The Dialectical Composer' (1934), in Theodor W. Adorno, *Essays on Music*, ed. Richard Leppert, trans. Susan H. Gillespie (Berkeley, Los Angeles and London: University of California Press, 2002), 206. The expression 'preexisting data' is taken from another essay: 'The Prehisory of Serial Music', in Theodor W. Adorno, *Sound Figures* (Stanford: Stanford University Press, 1999), 105.

[90] Schoenberg, 'New Music / My Music', 104–105.

[91] 'The Dialectical Composer' (1934), in Adorno, *Essays on Music*, 205.

Adorno's philosophical remarks perfectly capture Schoenberg's confrontation with his material, at least during the early 1920s when his *œuvre* was characterized, dialectically, by a historical continuity. Contrary to Nietzsche's argument advanced in his essay 'On the Uses and Disadvantages of History for Life' that surfeit historical consciousness can inhibit one's self-cultivation (because 'modern man drags around with him a huge quantity of indigestible stones of knowledge'[92]), Schoenberg's fervent engagement around 1917 with the music of the past resulted in a crucial liberation following a period of compositional experimentation. Notwithstanding the fact that he frequently acknowledged that the music of his first period—that is, his output up to the Second String Quartet, Op. 10, of 1907/08—was influenced by the Germanic musical tradition,[93] Schoenberg's revisiting of the literature during the post-war period enabled him to deepen his understanding of tonality and thereby sharpen his awareness of the qualities required by its replacement. Further, this study of the past led to a reconception of the principles of organization governing the masterworks, as revealed by his theoretical writings.[94] Seen in this context, the music of the past, far from impeding his progress, presented itself as the way forward: in fact, it was tradition—or, more accurately, Schoenberg's understanding of that tradition—that facilitated the emergence of dodecaphony. Steuermann was, therefore, absolutely correct to emphasize that dodecaphony should be seen not as an invention but as a

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[92] Cited in Rüdiger Safranski, *Nietzsche: A Philosophical Biography*, trans. Shelley Frisch (London: Granta Books, 2003), 119. For a translation of the essay, see Friedrich Nietzsche, 'On the Uses and Disadvantages of History for Life', in Daniel Brezeale (ed.), *Untimely Meditations*, trans. R. J. Hollingdale (Cambridge Texts in the History of Philosophy; Cambridge: Cambridge University Press, 1997), 57–123.

[93] See, for example, 'My Evolution' (1949), in Schoenberg, *Style and Idea*, esp. 80–82.

[94] This will be demonstrated in chapter 2.

discovery—a discovery that was made precisely because of Schoenberg's re-engagement with the music of the past.[95]

Capturing the 'Essence'

How, then, did the past furnish Schoenberg with the wherewithal to discover dodecaphony? Ultimately, according to his poetics, Schoenberg sought neither to copy nor to imitate his predecessors but, rather, to capture, what he called, the 'essence' of their compositions. He referred to it as such in an analysis of his First Quartet, Op. 7, in which he drew attention to the one-movement form of the work that encapsulated the characters of all four movements of the sonata:

> The great expansion of this work required careful organization. It might perhaps interest an analyst to learn that I received and took advantage of the tremendous amount of advice suggested to me by a model I had chosen for this task: the first movement of the 'Eroica' Symphony. Alexander von Zemlinsky told me that Brahms had said that every time he faced difficult problems he would consult a significant work of Bach and one of Beethoven, both of which he always used to keep near his standing-desk (Stehpult). How did they handle a similar problem? Of course the model was not copied mechanically, but its mental essence was applied accommodatingly. In the same manner I learned, from the 'Eroica', solutions to my problems: how to avoid monotony and emptiness; how to create variety out of unity; how to create new forms out of basic material; how much can be achieved by slight modifications if not by developing variation out of often rather insignificant little formulations. From this masterpiece I learned also much of the creation of harmonic contrasts and their application.
>
> Brahms' advice was excellent and I wish this story would persuade young composers that they must not forget what our musical forefathers have done for us.[96]

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[95] Steuermann wrote: 'It is a discovery, not an invention'. See 'Schoenberg Piano Music', in Edward Steuermann, *The Not Quite Innocent Bystander: Writings of Edward Steuermann*, ed. Clara Steuermann, David Porter, and Gunther Schuller, trans. Richard Cantwell and Charles Messner (Lincoln and London: University of Nebraska Press, 1989), 40.

[96] Arnold Schoenberg, 'Notes on the Four String Quartets', in Ursula v. Rauchhaupt (ed.), *Schoenberg, Berg, Webern: The String Quartets, A Documentary Study*, trans. Eugene Hartzell (Hamburg: Deutsche Grammophon Gesellschaft, 1971), 36 and 39. These notes were written in 1936 to accompany recordings.

Schoenberg again mentioned this 'essence' in an interview conducted by Halsey Stevens in 1949. Although primarily on Schoenberg's paintings, there was a short discussion toward the end of the interview on the influences in his composition:

> H. Stevens: There is hardly any composer of importance now writing who has not been touched in some measure by the tonal explorations which you have conducted. I wonder if you feel that the techniques you have developed in musical composition will become more significant as time goes on.
>
> Schoenberg: I think there is the possibility to learn something of my technical achievements. But I think it is even better to go back to those men from whom I learned them. I mean Mozart, Beethoven, Brahms, and Bach. I owe very, very much to Mozart; and if one studies, for instance, the way in which I write for string quartet, then one cannot deny that I have learned this directly from Mozart. And I am proud of it!
>
> H. Stevens: Then your advice to a young composer, Mr Schoenberg, would be to base a foundation upon the same composers.
>
> Schoenberg: Yes, yes, yes. Of course you cannot imitate it directly; you have to take the essence and amalgamate your ideas with them [*sic*], and create something new.[97]

Tantalizingly, Schoenberg declined in both of these sources to expound on the so-called 'essence'. While I would concede that it is—at least when read in a vacuum—a somewhat nebulous concept, I would nevertheless argue that Schoenberg's invocation of the past in his compositions of the early 1920s has been interpreted rather simplistically and superficially.

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[97] Transcription given in Christian Martin Schmidt, 'Das Bekenntnis zur Tradition: Bemerkungen zu Schönbergs III. und IV. Streichquartett', in Carmen Ottner (ed.), *Kammermusik zwischen den Weltkriegen, Symposion 1994* (Vienna and Munich: Doblinger, 1995), 130. A transcription of this interview also appears as 'Schoenberg talks about his paintings' in *Arnold Schönberg: Gedenkausstellung, 1974*, ed. Ernst Hilmar (Vienna: Universal Edition, 1974), 109–111. A comparison of the transcriptions with the recording of the interview ('Schoenberg as a Painter', Interview with Halsey Stevens, summer 1949, in 'Schoenberg: The Expressionist Years, 1908–1920', compact disc Sony Classical SMK 62020, 1995, track 24) reveals that Schmidt's is the more accurate.

Misreading Misreadings

Two observations, in particular, tend to prevail in relation to Schoenberg's incorporation of elements of the past in his twelve-tone compositions: firstly, the presence of traditional formal paradigms and, secondly, the highly motivic structure of his music. Both pertain to external characteristics, the first to the outer form of a composition and the second to its surface-level features. Concerning the first observation, the focus of Boulez and his adherents on the schematic form of a composition is at odds with Schoenberg's conception of musical form. In fact, Schoenberg strongly objected to the perception of musical form as a fixed shape, something he believed arose because of a linguistic ambiguity:

> The term *form* incites the idea as if there would be a solid and unflexible [*sic*] body like a mould in which to pass material in order to produce a positive reproduction of the mould's negative. In reality the concept of form involves quite a number of different things. [...] There is nowhere in music a thing which justifies to be compared to a mould—not even in the most strict forms. [...] Who considers form like a mould in which to cast material, i.e. tones and tone successions, forgets that musical logic requires a different order and organisation in every individual case.[98]

> The term form in music is misleading in itself and has become even more misleading by the abuse of speaking of 'musical forms', as if they would be moulds to be filled with material, with substances. Even most standardized dance characters—menuet, scherzo, mazurka, valse, polka etc.—are not bound to a mould of a definite form. It suffices to compare a number of menuet themes to realize decisive deviations from a preconceived construction. There appear some analogies: a possible caesura at a certain point, a cadencial [*sic*] turn at another, a modulation, a repitition [*sic*], but it would be superficial to consider this a mould. All these features are inside of the structure, like a skeleton, or a scaffold, a framework without the outer walls.[99]

That notion of musical form was retained by the various members of the Schoenberg School and conveyed to Dmitri Smirnov, a third-generation pupil. In

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[98] Schoenberg, 'Form', undated, catalogued at T51.17 in the Arnold Schönberg Center Privatstiftung, Vienna. Transcription in Arnold Schoenberg, 'Two Fragments', trans. Daniele Bartha, *Theory and Practice* 17 (1992), 2–3.

[99] Schoenberg, 'Form', undated, catalogued at T51.14 in the Arnold Schönberg Center Privatstiftung, Vienna.

an account of his first lesson with Philip Herschkowitz, who had studied with both Berg and Webern, Smirnov reported Herschkowitz's comments: 'Form, you know, is not a vessel that can be filled up—not in the music of the Great Masters'. Taking care to qualify that the 'Great Masters' was not an inclusive term, he added: 'However, for Chopin or Mendelssohn it was a vessel that they filled up'.[100] Clearly, then, the emphasis on the external or schematic form of a composition misrepresents Schoenberg's understanding of musical form.

By contrast, the second observation made about the relationship of Schoenberg's twelve-tone music with the past conforms to his concept of the musical composition as an organic artwork—but only in a generalized sense. Schoenberg's dodecaphonic compositions are indeed characterized by motivic relations, and those relations do, of course, contribute to the work's organicism. However, to discuss Schoenberg's forms—and his *Formenlehre* or theory of form—merely in terms of motivic interrelationships is, perhaps, to confuse his understanding of musical form with that of other theorists. Rudolf Réti, for example, used the expression 'thematic transformation' in his analyses of common-practice music in *The Thematic Process in Music* to indicate the procedure whereby a principal melodic motive is transformed in numerous ways to permeate the entire composition and form the basis of two seemingly contrasting themes.[101] That this type of analysis was recently equated with Schoenberg's theory of form is confirmed by James Hepokoski's description of the various twentieth-century analytical methodologies of the instrumental music of the Viennese Classicists. Of the four categories identified by Hepokoski, three were exemplified by the approaches of Charles Rosen, Leonard G. Ratner, and Heinrich Schenker

[100] Dmitri Smirnov, *A Geometer of Sound Crystals: A Book on Herschkowitz*, ed. Guy Stockton (Berlin: Verlag Ernst Kuhn, 2003), 20–21.
[101] Rudolf Réti, *The Thematic Process in Music* (New York: Macmillan, 1951).

respectively, while the remaining category embraced the work of three analysts and was defined as follows: 'The motivic quest for coherence and "unity", typically seeking to demonstrate the generative, nonformulaic unfolding of structural shapes and contrasting ideas out of a few germinal cells presented near the opening of a piece (Arnold Schoenberg; Rudolf Réti; Hans Keller)'.[102] Elsewhere, Schoenberg's theory of form appears to have been mixed up with that of Schenker. This confusion, seen in Anglo-American scholarship, reflects the diffusion of the two theories: whereas the promulgation of Schoenberg's formal thinking has been chequered (at least until relatively recently), Schenkerian theory has benefited from an almost unbroken continuity from the time its proponents arrived in the United States.[103] Even though both Schoenberg and Schenker espoused an organic conception of form, their approaches were fundamentally different: Schenker's method of analysis entailed reducing the totality of a tonal work to its structural foundation in such a way that the composition could be understood as projecting both the *Ursatz* and the composing-out of the tonic triad.[104]

An example of the merging of Schoenbergian and Schenkerian theory can be seen in Joseph N. Straus's study, *Remaking the Past*. Using principles of Schenkerian theory, Straus offered a critique of the analytical approaches and compositional methods of composers of the early twentieth century, particularly of Schoenberg, Berg, Webern, Stravinsky, and Bartók. He claimed that their analyses of tonal music reveal a preoccupation with, what he calls, motivicization, and that this motivicization is borne out in their compositional practice, both in their own works and in the instrumentations/orchestrations of the music of their predecessors.

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[102] James Hepokoski, 'Beyond the Sonata Principle', *Journal of the American Musicological Society* 55/1 (2002), 91.
[103] Borio, 'Schenker versus Schoenberg versus Schenker', 252.
[104] Ian Bent and William Drabkin, *Analysis* (The New Grove Handbooks in Music; London: Macmillan, 1987), 81–85.

He juxtaposed this assertion with an exposition of Schenker's theory in which he correctly pointed out that motivicization is necessarily secondary to the tonal process that it seeks to articulate ('they [motivic relations] not only are less important structurally than the tonal relations but also function primarily to express and elaborate those relations'). Unencumbered by the individual poetics of these early twentieth-century composers, Straus judged their prioritizing of motivic relations through the lens of Schenkerian theory and thus found in their analyses a misapprehension of tonal music: 'Their central misreading is that of motivicization'.[105]

This notion indicates the extent to which Straus believed motivicization dominated both the musical thought and the composition of early twentieth-century composers; perhaps it also confirms Straus's own preoccupation with motivicization. His fellow North-American theorists and analysts similarly conceived of post-tonal music as motivic music: William E. Benjamin tellingly alluded to 'motivic or, as it is often called, atonal music' while Joel Lester maintained that 'in nontonal works of the twentieth century [...] tonal voice leading and harmonies no longer provide a basis for the pitch structure of a piece. In their place, motivic relationships among groups of pitches generate melody and harmony. Analysis of this music entails locating these motives, and understanding the way they are used'.[106] Taruskin articulated a similar viewpoint, with reference to Schoenberg, from a musicological or musico-historical perspective:

> Motivic saturation ('working with the tones of a motive') is indeed a Schoenbergian sine qua non, since it is that which maximizes self-reference—the *Zweckmässigkeit* that gives the musical art its autonomous *Zweck*, to trace Schoenberg's idealism back to its Kantian roots. It is also

[105] Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, Mass., and London: Harvard University Press, 1990), chapter 2, esp. 21–23.
[106] William E. Benjamin, 'Ideas of Order in Motivic Music', *Music Theory Spectrum* 1 (1979), 23; Joel Lester, *Analytical Approaches to Twentieth-Century Music* (New York: Norton, 1989), 9–10.

> what constitutes the special *Inhalt* of *die heil'ge deutsche Kunst* and keeps it *deutsch und echt*, distinct from all its dialectical rivals. Finally, it is the lifeline to tradition that is presumed to maintain the possibility of musical intelligibility in the absence of degree functions and directed harmony.[107]

This fascination with motivic correspondences has inevitably taken its toll on the analysis of post-tonal music, in the first instance, and, in the second instance, on the portrayal and understanding of Schoenberg's theory of form.

Indeed motivicization is the axiom upon which pitch-class set theory is built. According to Benjamin, set theory 'refines the traditional approach known as motivic analysis', while, for Straus, 'pitch-class set analysis *is* motivic analysis' (Straus's own emphasis).[108] Although the stated aim of Allen Forte's seminal study of 1973, *The Structure of Atonal Music*, was to 'provide a general theoretical framework, with reference to which the processes underlying atonal music may be systematically described', it has since been extended to apply not only to atonal music but also twelve-tone music: as Straus put it, pitch-class set theory is 'our best analytical tool for this entire repertory'.[109] Numerous commentators have already voiced their criticism of this analytical system, some drawing attention to what they see as its inherent deficiencies and others dismissing it as an 'amoebic practice'.[110] It is neither my intention nor my aim to reiterate here these already

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[107] Taruskin, 'Revising Revision', 129.

[108] William E. Benjamin, 'Abstract Polyphonies: The Music of Schoenberg's Nietzschean Moment', in Charlotte M. Cross and Russell A. Berman (eds.), *Political and Religious Ideas in the Works of Arnold Schoenberg* (New York and London: Garland, 2000), 7; Straus, *Remaking the Past*, 24.

[109] Allen Forte, *The Structure of Atonal Music* (New Haven and London: Yale University Press, 1973), ix; Straus, *Remaking the Past*, 23–24.

[110] The problem of segmentation, one of the most contentious issues, has been discussed in a number of texts. See, for instance, William E. Benjamin, review of Allen Forte, *The Structure of Atonal Music*, *Perspectives of New Music* 13 (1974), 177–181; Christopher Hasty, 'Segmentation and Process in Post-Tonal Music', *Music Theory Spectrum* 3 (1981), 54–73; Pieter C. Van Den Toorn, 'What Price Analysis?' *Journal of Music Theory* 33/1 (1989), 177–180; Jonathan Dunsby, 'Thematic and Motivic Analysis', in Thomas Christensen (ed.), *The Cambridge History of Western Music Theory* (Cambridge: Cambridge University Press, 2002), 907–926. Benjamin identifies five further problems in his review of Forte's book: the problem of derivation and order, the problem of context, neglected aspects of pitch-class and pitch structure, the problem of explanation, and the significance of the set-complex. See also Dunsby, 'Thematic and Motivic Analysis', 916–920. The

well rehearsed concerns but, for the purposes of the present discussion, I contend that a system that objectifies the work by representing its surface features via the static identification of melodic motives in their abstract forms, thus favouring content over order and disregarding rhythmic, registral, timbral and other features, fails to do justice to Schoenberg's compositions from the early 1920s; the assumption that the coherence of this music can be explained solely through pitch-class sets is simplistic, especially if we take into account the richness and complexity of Schoenberg's musical thought.[111]

At least two scholars have already hinted at a discrepancy between set theory and Schoenberg's poetics. Ethan Haimo has argued most convincingly that 'his [Schoenberg's] sketches, manuscripts, and other compositional documents offer no support for the notion that composition with unordered pitch-class sets represents Schoenberg's conscious compositional intentions', while Taruskin astutely asserted that the 'concept or doctrine of "developing variation" was downright inimical to the equation of motive with pitch-class set (as defined by specific interval-class content), because it not only allowed but relied on intervallic transformation as a vehicle of that elaborative technique whereby "*different things* can arise from *one thing*."'[112] A closer reading of Schoenberg's writings clarifies the latter observation. In *Fundamentals of Musical Composition*, for example, Schoenberg identified three distinct methods of reproducing the motive:

> A motive is used by repetition. The repetition may be exact, modified or developed.

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expression 'amoebic practice' is given in Richard Taruskin, 'The Poietic Fallacy', review of Allen Shawn, *Arnold Schoenberg's Journey*, *The Musical Times* 145/1886 (2004), 16.

[111] In his otherwise superb pedagogical textbook on post-tonal theory, Straus wrote: 'When we listen to or analyze music, we search for coherence. In a great deal of post-tonal music, that coherence is assured through the use of pitch-class sets'. See Joseph N. Straus, *Introduction to Post-Tonal Theory* (3rd edn; New Jersey: Prentice Hall, 2005), 33.

[112] Ethan Haimo, 'Atonality, Analysis, and the Intentional Fallacy', *Music Theory Spectrum* 18/2 (1996), 175; Taruskin, 'Revising Revision', 130–131. The quotation Taruskin cites is taken from the essay 'For a Treatise on Composition' (1931), in Schoenberg, *Style and Idea*, 266.

> *Exact repetitions* preserve all features and relationships. Transpositions to a different degree, inversions, retrogrades, diminutions and augmentations are exact repetitions if they preserve strictly the features and note relations.
>
> *Modified repetitions* are those whereby only the features of minor importance are changed, simply so that the melody adapts to a change in the harmony; the rhythm is rarely changed here.
>
> *Developing repetitions* are created through variation. They provide variety and produce new material (motive-forms) for subsequent use.[113]

That this passage has not received the attention it deserves is most likely explained by the omission of the description of the second type of repetition from the published text of *Fundamentals*; while the German translation of the book rectifies the error and names three types of repetition, *genaue*, *modifizierte*, and *entwickelnde*, the English includes only two, 'exact' and 'modified', the latter being erroneously given the definition for 'developing repetitions'. Given the changes to which the melodic content of the motive in the second and third types of repetition are subjected, only the first type, exact repetitions, can be accommodated by pitch-class set theory.

Schoenberg apparently gave a more detailed list for varying the motive in the mid 1920s. Adoph Weiss, who attended Schoenberg's master-class at the Akademie der Künste in Berlin in 1925–26, gave the following account:

> Methods of varying a motive are:
> (1) changing the intervals or notes and holding the rhythm;
> (2) changing the rhythm and using the same tones or intervals;
> (3) simultaneous combination of both these methods;
> (4) inversion;
> (5) elongation;
> (6) contraction;
> (7) elision (of one or more notes);

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[113] The description of 'exact repetitions' and 'developing repetitions' is given in Schoenberg, *Fundamentals of Musical Composition*, 9. The translation of the description of 'modified repetitions' is my own. In the German translation, it reads 'Modifizierte Wiederholungen sind solche, bei denen nur die Merkmale von geringer Bedeutung verändert werden, lediglich zu dem Zweck, die Melodie einem Wechsel in der Harmonie anzupassen; der Rhythmus wird dabei selten verändert'. See Arnold Schönberg, *Die Grundlagen der musikalischen Komposition*, ed. Rudolf Stephan, trans. Rudolf Kolisch (Vienna: Universal Edition, 1979), 16. I thank Neil Boynton for drawing my attention to this important point.

> (8) interpolation (of one or more notes);
> (9) the crab-form (*motus cancrizans*, repeating the motive backwards).
> All these devices for variation are coordinating factors in the construction of a piece of music. Schönberg uses them to build not only the complete thematic material but all other parts of the composition as well—secondary voices, accompaniments, harmonies, etc., with the possible exception of the up-beats, connecting links and cadences that are sometimes 'free', and are considered independent of the motive.[114]

Although set theory would take account of some of the above methods of variation, including the operations of inversion and retrogression, the very first method, which conforms to Schoenberg's description of 'modified repetitions' given in *Fundamentals*, would be completely ignored in a set-theoretical analysis.

The perception of an all-pervasive motivicization is also apparent in much of the secondary literature on Schoenberg's writings, especially that in the English language. The wholly disproportionate emphasis that commentators have placed on the Schoenbergian concepts of *Grundgestalt* (basic shape) and 'developing variation'—as evidenced in the number of North-American dissertations devoted entirely to them—is brought about primarily because they are understood as 'motivic conceptions'.[115] An elucidation of these important concepts is, of course, both welcome and necessary, but their frequent discussion in isolation and to the exclusion of other equally significant terms and concepts gives rise to a lopsided depiction of Schoenberg's theory of form. The prominence accorded to 'developing

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[114] Adolph Weiss, 'The Lyceum of Schönberg', *Modern Music* 9/3 (1932), 101.

[115] Straus, *Remaking the Past*, 28. Mark Evan Bonds and Taruskin similarly discuss these concepts in isolation. See Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, Mass., and London: Harvard University Press, 1991), 158; Taruskin, 'The Poietic Fallacy', 24–25. Among the dissertations devoted exclusively to one or both of these concepts, see David Epstein, 'Schoenberg's *Grundgestalt* and Total Serialism: Their Relevance to Homophonic Analysis', Ph.D. diss. (Princeton University, 1968); Graham H. Phipps, 'Schoenberg's *Grundgestalt* Principle: A New Approach with Particular Application to the Variations for Orchestra, Opus 31', Ph.D. diss. (University of Cincinnati, 1976); Jack Boss, 'An Analogue to Developing Variation in a Late Atonal Song of Arnold Schoenberg', Ph.D. diss. (Yale University, 1991); Michael Jude Schiano, 'Arnold Schoenberg's Grundgestalt and Its Influence', Ph.D. diss. (Brandeis University, 1992); Stephen J. Collisson, 'Grundgestalt, Developing Variation, and Motivic Processes in the Music of Arnold Schoenberg: An Analytical Study of the String Quartets', Ph.D. diss. (King's College, University of London, 1994). See also Walter Frisch, *Brahms and the Principle of Developing Variation* (Berkeley, Los Angeles and London: University of California Press, 1984).

variation' in Jonathan Dunsby's recent article on thematic and motivic analysis, for instance, is indicative of the status it has acquired in present-day musicological discourse and analysis,[116] even though a cursory reading of Schoenberg's writings—his published ones at that—reveals that it constituted just one of several motivic techniques. A discussion of form, whether in relation to Schoenberg's musical thought or practice, ought to take this into account. It is infinitely preferable, then, to consider these and other concepts within the broader context of Schoenberg's *Formenlehre*.

Musical Morphology

This study is based on the premise that if we recognize and embrace Schoenberg's multifaceted theory of form, a theory that is much more nuanced than commonly acknowledged, we gain a greater appreciation, at least from a technical or structural perspective, of the intricacies of his compositional thought and practice. An examination of his compositions from the early 1920s in the context of his theory of form, moreover, serves to illuminate our understanding of the evolution of his dodecaphony. Such an awareness can only be achieved, however, by a detailed investigation of Schoenberg's writings on or relating to form. While his statements should not be read uncritically, we should endeavour to interpret his comments in a sensitive manner, paying greater attention to their context to render his terminology as precisely as possible. By the same token, it is imperative not to invoke Schoenberg's concepts in a generalized way but to consider their development in relation to his musical thought. In other words, we should aim for a diachronic, rather than a synchronic, understanding of his terminology. Regina Busch, in her

[116] Dunsby, 'Thematic and Motivic Analysis', 911–916.

detailed discussion of Webern's poetics, highlighted the necessity for such an approach and cautioned against what she called 'proceeding globally':

> That means that virtually nothing is known about the evolution of even a single one of these concepts in the musical thinking of a composer—neither of the 'history' of the concept itself nor of its gradual development in connexion and reciprocal interaction with his composing. That is astonishing, when one considers that it was a characteristic, indeed a defining characteristic, of Schoenberg's Viennese school that composing and theorizing went hand in hand and influenced each other.[117]

Given this close interrelationship of composing and theorizing, it is crucial, when referring to Schoenbergian concepts, that the terminology is appropriate to the music being analysed. In the ensuing discussion, therefore, I privilege his writings from the period 1917–1925 in order to shed light on his practice at that time, taking care to avoid unnecessary ambiguities by referring to the original German texts.

For Schoenberg, *Formenlehre* was one of the three constituent elements of *Kompositionslehre* (the teaching or study of musical composition):

> The materials involved in the teaching of musical composition are commonly divided into three subjects: Harmony, Counterpoint, and Form. These are defined as follows:
>
> Harmony: the study of simultaneous sounds (chords) and of how they may be joined with respect to their architectonic, melodic, and rhythmic values and their significance, their weight relative to one another.
>
> Counterpoint: the study of the art of voice leading with respect to motivic combination (and ultimately the study of contrapuntal forms).
>
> Form [*Formenlehre*]: disposition (of the material) for the construction and development of musical ideas.[118]

Although he had plans, following the completion of his *Harmonielehre* in 1911, to write a number of books on form (a 'Preliminary Study of Form: Investigation into the formal causes of the effects of modern compositions'; 'Form analysis and laws resulting from it', and 'Theory of Form'), they did not materialize.[119] In 1917,

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[117] Regina Busch, 'On the Horizontal and Vertical Presentation of Musical Ideas and on Musical Space (I)', trans. Michael Graubart, *Tempo* 154 (1985), 4.
[118] Schoenberg, *Theory of Harmony*, 13.
[119] These plans are outlined in a letter to Emil Hertzka (the director of Universal Edition) of 23 July 1911, cited and translated in Simms, 'review of *Theory of Harmony*', 157.

however, he almost filled two copybooks with notes on coherence, counterpoint, instrumentation, and form (*Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre*; hereafter *ZKIF*), each constituting the beginning and/or plan for a proposed book on the respective discipline. The goal of *Formenlehre*, as stated in the section on form, 'to offer, in integrated presentation, an optimally large number of proven principles of application and diagrams of form, based on the most general possible principles, suitable for use in creating forms of the smallest to the largest size', was not realized until decades later as *Fundamentals of Musical Composition*.[120] That notwithstanding, Schoenberg was engrossed during the period between 1917 and 1922 in his theory of form, as he conducted a course at the Schwarzwald School entitled the 'Elements of Form', in which students were taught and encouraged 'to find those elements (after due consideration and observation) which are basic to the art of musical form'.[121] Indeed this type of enquiry continued to preoccupy him: his notes on coherence and comprehensibility, seen in the *ZKIF* notebooks as well as a series of manuscripts on the musical idea [*Gedanke*]—the so-called *Gedanke* manuscripts—from the 1920s and 1930s, are similarly concerned with the elements of musical form. According to Schoenberg, it was the recognition and assimilation of these elements that contributed toward a composer's 'formal sense', a quality that determined the originality, and hence the value, of a work:

> For practically any truly new creation the sole criterion is the formal sense possessed by the author, who can say to himself: 'My formal sense, tested in so many cases, trained by the best masters, and the logic of my thinking,

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[120] Arnold Schoenberg, *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (Coherence, Counterpoint, Instrumentation, Instruction in Form)*, ed. Severine Neff, trans. Charlotte M. Cross and Severine Neff (Lincoln and London: University of Nebraska Press, 1994), 104–105.

[121] Schoenberg refers to this and other coursers he gave at the Schwarzwald school in a letter to Joseph Malkin, 11 October 1933, cited in Josef Rufer, *The Works of Arnold Schoenberg: A Catalogue of His Compositions, Writings, and Paintings*, trans. Dika Newlin (London: Faber and Faber, 1962), 149–150.

> which for me is beyond all doubt, and about which I have convinced myself—these guarantee me that whatever I unconsciously write will be correct in form and ideas, even when I renounce the aids given the intellect by theory and convention'.[122]

The principles that Schoenberg extrapolated from tradition, having immersed himself in the study of the masterworks, constituted his theory of form.

To concentrate exclusively on external features, whether on the work's formal schema or on its surface motivic activity, is a misrepresentation of Schoenberg's conception of form. In fact, he took issue with this very approach when he criticized traditional theories of form for relying on mere description.[123] As a composer, Schoenberg was not concerned with the proliferation of motives; likewise, as a theorist and analyst, he was disinterested in the mere identification or cataloguing of motives. On the contrary, the crux of Schoenberg's *Formenlehre* was the organization of those motives: 'Used in the aesthetic sense, form means that a piece is *organized*; i.e. that it consists of elements functioning like those of a living *organism*'.[124] Although he did subscribe to organicism, Schoenberg's understanding of form, unlike that of Schenker and Réti, was predicated on a theory of formal functions:

> A piece of music is (perhaps always) an *articulated organism* whose organs, members, carry out specific functions in regard to both their external effect and their mutual relations.[125]

To that extent, Schoenberg's *Formenlehre* was essentially a musical morphology, taking account, as it did, not only of the external shape, arrangement, and structure of the work but also of its individual components and their interrelations. In the

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[122] 'Linear Counterpoint' (1931), in Schoenberg, *Style and Idea*, 292.
[123] 'Der Mudikalische [*sic*] Gedanke; seine Darstellung und Durchfuehrung', undated manuscript, catalogued at T37.06 in the Arnold Schönberg Center Privatstiftung, Vienna, pages 1–2.
[124] Schoenberg, *Fundamentals of Musical Composition*, 1.
[125] Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 118–119. Schoenberg's underlined text is rendered here in italics. For an excellent account of the differences between Schoenberg's and Schenker's theory of form, see Borio, 'Schenker versus Schoenberg versus Schenker', 250–274.

same vein, he conceived musical form as analogous to the living body, the components of a composition comparable to the limbs responsible for fulfilling essential functions. These components were postulated as members rather than parts: 'If I cut up a whole (for example, a loaf of bread), I get parts. But I will never obtain members in this way. Members are parts that are equipped, formed, and used for a special function'. But 'true members' are active rather than passive (the legs of the table, for example, were deemed passive as they acted merely to support the table) and exist only in organisms where 'they are activated not by energy resulting from an inner driving power but as a result of their organic membership in a living being'.[126] He expressed this notion in a musical context, taking care to highlight the integrality of the members:

> The form of a composition is achieved because (1) a body exists, and because (2) the members exercise different functions and are created for these functions. He who from the outside forces through some function on them all reminds one of the bad craftsmen who, to hide faults of construction, over-upholster, over-daub, over-lacquer, cover with nickel and so on.[127]

By carrying out their respective functions, the members articulated the formal process, whereby each idea was understood to have a 'purpose or meaning or function' in relation to the whole, be it 'introductory, establishing, varying, preparing, elaborating, deviating, developing, concluding, subdividing, subordinate, or basic'.[128]

The manner in which a form was engendered was mentioned in one of Schoenberg's *Gedanke* manuscripts. He believed that a theory of form should not prioritize the resulting form of a composition; to do so would be to treat musical form as 'something given' rather than as 'something coming-into-being'

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[126] Schoenberg, *The Musical Idea*, 118–119.
[127] 'Tonality and Form' (1925), in Schoenberg, *Style and Idea*, 257.
[128] 'Brahms the Progressive' (1947), in Ibid., 407.

[*Entstehendes*] (this was clearly inappropriate for Schoenberg, given that no two scherzo, rondo, or sonata forms are the same).[129] He claimed the emphasis should, instead, be placed on the principles [*Prinzipien*] underlying the form. In fact, he asserted that it is only when these principles are 'correctly recognized and formulated' that the 'true reasons for the evolution of a form' are understood; to put it another way, the musical form and its external features were derived from and determined by the principles. These principles were considered 'constant', like 'eternal laws', whereas the form and its arrangement were unique.[130]

Although he chose not to indicate the principles he had in mind in this manuscript, Schoenberg outlined them in several of his writings. In his *ZKIF* notebooks he listed what he called the 'simplest structural principles':

1. *binding ones*: adhering to the key, meter, rhythm
2. *separating ones*: abandonment of key, meter, rhythm
3. *neutral ones*: (static, fluctuating).[131]

A few pages earlier in the same notebook, he referred to them in more general terms as the principles of repetition, change (variety), development, and contrast,[132] a list that corresponds almost exactly to that given in a *Gedanke* manuscript of 1925 where he mentioned the principles of repetition, variation, and contrast.[133] In addition, the principle of comprehensibility was emphasized in relation to the presentation of the musical idea in this *Gedanke* manuscript, in his *ZKIF* notebooks, and in his more extensive manuscript on the topic of 1934.[134] As the

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[129] 'Der Musikalische Gedanke; seine Darstellung und Durchfuehrung', undated, catalogued at T37.06 in the Arnold Schönberg Center Privatstiftung, Vienna, pages 2–3. A summary of the opening pages of this manuscript is given by Carpenter and Neff in their commentary to Schoenberg, *The Musical Idea*, 45–46.
[130] Ibid.
[131] Schoenberg, *ZKIF*, 44–45.
[132] Ibid., 36–37.
[133] 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna, paragraph 13. The title of the manuscript is given on T37.07.
[134] Ibid., paragraph 1; Schoenberg, *ZKIF*, 22–23; Schoenberg, *The Musical Idea*, 96–97.

description in the above list from *ZKIF* confirms, these were principles that Schoenberg identified in tonal music. What is noteworthy is that he did not consider tonality in itself a form-building principle; instead, he believed that the aforementioned form-building principles were at work in a tonal composition. For instance, at the most basic level, the tonal system embodied the principles of uniformity ('brought about by the tonal effect of the agreement between beginning and end') and diversity ('brought about by those harmonic digressions necessary for expressing the key').[135] Perhaps these principles help us to understand more clearly what Schoenberg meant when re referred to the 'essence' of the masterworks that he was seeking to capture in his own compositions. Indeed, in a short text of May 1923, written shortly after his first forays into dodecaphony, he hinted at these very principles when he stated the aims of his new method of composition:

> For in a key, opposites are at work, binding together. Practically the whole thing consists exclusively of opposites, and this gives the strong effect of cohesion. To find means of replacing this is the task of *the theory of twelve-tone composition*.[136]

Schoenberg's assertion that 'the true laws of art—correctly understood—are eternal' was borne out not only in his teachings, writings, and compositional practice but also in the compositions, writings, and teachings of the Viennese School.[137] That the same principles governed tonal and twelve-tone music was asserted by Leopold Spinner in his essay on the Scherzos from Beethoven's String Quartet, Op. 95 and Webern's String Quartet, Op. 28, respectively, and in his treatise on twelve-tone composition; by Josef Rufer in his monograph on the same

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[135] Schoenberg, *ZKIF*, 46–47. Schoenberg's concept of tonality is discussed in chapter 3.
[136] 'Hauer's Theories' (8 May 1923), in Schoenberg, *Style and Idea*, 209.
[137] 'zu: Darstellung d. Gedankens', 12 November 1925, catalogued at T35.02 in the Arnold Schönberg Center Privatstiftung, Vienna, page 3. The 'Second Viennese School' is a misnomer. As Danuser remarked, 'the Viennese School [...] should not be prefaced by "Second," since at the time of Viennese Classicism there was no "First"'. See Hermann Danuser, 'Arnold Schönberg: Portrait of a Century', trans. Camille Crittenden, in Christian Meyer (ed.), *Schönberg Festival, 14.–19. März 1998* (Vienna: Arnold Schönberg Center, 1998), 30.

topic; and by Webern in his 1932–1933 lectures, published as *The Path to the New Music*, and in the recently published lectures on musical form dating from 1934 to 1945 where the Scherzo of Schoenberg's String Quartet No. 2 was briefly discussed.[138] Even more emphatic, however, was Webern's proposal for a course at the University in Vienna in 1925:

> Analysis of modern music (Strauss, Mahler, Reger, Schoenberg) in the manner of a kind of *Formenlehre* (Doctrine of Form), entailing an examination of formal principles (musical logic) and their connection with those of the older masters, etc.[139]

The applicability of traditional formal principles to the music of Viennese School is further corroborated by the analyses prepared by Berg, Webern, and Eisler of their own compositions.[140]

The countless correspondences, the consistency of thought, and the discussion of the same principles using the identical terminology in the writings of Berg, Webern, Stein, Ratz, Rufer, Eisler, Steuermann, Jalowetz, Deutsch, Spinner, Herschkowitz, Greissle, and Pisk—this list is not exhaustive—point conclusively

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[138] Leopold Spinner, 'Zwei Scherzo-Analysen', in Regina Busch, *Leopold Spinner* (Musik der Zeit, Dokumentationen und Studien, 6; Bonn: Boosey & Hawkes, 1987), 180–191; Leopold Spinner, *A Short Introduction to the Technique of Twelve-Tone Composition* (London: Boosey & Hawkes, 1960); Josef Rufer, *Composition with Twelve Notes Related Only to One Another*, trans. Humphrey Searle (London: Barrie & Jenkins, 1970); Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Bryn Mawr, Pennsylvania: Theodore Presser, 1963); Anton Webern, *Über musikalische Formen: Aus den Vortragsmitschriften von Ludwig Zenk, Siegfried Oehlgiesser, Rudolf Schopf und Erna Apostel*, ed. Neil Boynton, trans. Inge Kovács (Veröffentlichungen der Paul Sacher Stiftung, 8; Mainz et al: Schott, 2002). The brief analysis of Schoenberg's Scherzo appears on pages 400–401.

[139] Webern, Letter to Guido Adler, 20 August 1925, cited in Hans Moldenhauer and Rosaleen Moldenhauer, *Anton von Webern: A Chronicle of His Life and Work* (London: Victor and Gollancz, 1978), 286. The course never materialized.

[140] See Berg's various lectures on *Wozzeck* dating from the late 1920s, his 'Neun Blätter zur "Lyrischen Suite für Streichquartett"', and his open letter to Schoenberg of 9 February 1925 in, respectively, Douglas Jarman, *Alban Berg: Wozzeck* (Cambridge: Cambridge University Press, 1989); Alban Berg, *Glaube, Hoffnung und Liebe: Schriften zur Musik*, ed. Frank Schneider (Leipzig: Verlag Philipp Reclam, 1981), 236–252; *Berg–Schoenberg Correspondence*, 334–337. Webern's analysis of his String Quartet, Op. 28, sent to Erwin Stein in 1939, is given in a translation by Zoltan Roman in Moldenhauer and Moldenhauer, *Webern: Chronicle*, 752–756. Eisler's comments on his *Klavierstücke für Kinder*, Op. 31 (entitled 'Kleine Kompositionslehre für Kinder') and his *Präludium und Fuge über den Namen BACH*, Op. 40, are catalogued at Hanns-Eisler-Archiv 2129 and Hanns Eisler Archiv 2245 respectively in the Stiftung Archiv der Akademie der Künste, Berlin.

to a common source, suggesting that all these authors acquired their knowledge from Schoenberg, albeit second-hand in some cases. Because their writings adumbrate his teaching, they can considerably enhance our knowledge of a particular concept or aspect of Schoenberg's musical thought, especially given the fragmentary and incomplete nature of Schoenberg's writings from the period 1917–1925. I therefore draw freely from documents emanating from the School in the following discussion in order to allow the fullest picture to emerge of the evolution of the twelve-tone method.

All projects on Schoenberg necessarily entail a great deal of revisiting and revision because of the enormous quantity of secondary literature on his *œuvre*. That notwithstanding, there are comparatively few studies exploring the interrelationship of his musical thought and compositional practice, especially in relation to the evolution of dodecaphony. Although the origins and development of Schoenberg's twelve-tone method have already been documented in extraordinary detail in the magisterial studies of Jan Maegaard, Martina Sichardt, and Ethan Haimo,[141] there is a tendency in this literature to privilege elements in the pitch domain. With the benefit of recent scholarship on Schoenberg's theoretical writings by Patricia Carpenter, Severine Neff, Joseph Auner, Andreas Jacob, and those working on the critical edition of Schoenberg's writings at the Arnold Schönberg Center, I attempt, here, to contribute to the continuing discourse on Schoenberg's twelve-tone music by marrying the study of his music with the interpretation of his

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[141] Jan Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg* (Copenhagen: Wilhelm Hansen, 1972); Martina Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs* (Mainz: Schott, 1990); Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914–1928* (Oxford and London: Clarendon Press, 1990). See also Fusako Hamao, 'The Origin and Development of Schoenberg's Twelve-Tone Method ', Ph.D. diss. (Yale University, 1988).

writings.[142] By considering Schoenberg's nascent dodecaphony in the context of his musical morphology, I offer a different reading of the formulation of the twelve-tone method, one that takes cognizance of his compositional philosophy at that time.[143] The discussions in the following chapters, therefore, explores Schoenberg's commitment to tradition, as evidenced in his writings and in the incorporation of traditional formal principles in selected movements of Opp. 23, 24, and 25, all of which were composed between 1920 and 1923. While some may question the potential of such principles to replicate the effect of tonality (Taruskin, for example, has already done so by asserting that Schoenberg's serialism, as he called it, constituted an 'enormous and obvious break with mainstream composing methods'[144]), this study seeks to re-evaluate the extent to which Schoenberg's dodecaphony was determined by *his*, as opposed to *our*, understanding of tradition.[145] The need for such a close reading of Schoenberg's writings was

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[142] The following are among the most important publications/editions of Schoenberg's writings during the past 15 years: Schoenberg, *ZKIF*; Schoenberg, *The Musical Idea*; Joseph Auner, *A Schoenberg Reader: Documents of a Life* (New Haven, Conn. and London: Yale University Press, 2003); Jacob, *Grundbegriffe der Musiktheorie Arnold Schönbergs*. The critical complete edition of Schoenberg's writings—'Kritische Gesamtausgabe der Schriften Arnold Schönbergs'—is currently in progress under the direction of Hartmut Krones, Therese Muxeneder, and Gerold W. Gruber, with the collaboration of Eike Rathgeber, Julia Bungardt, and Nikolaus Urbanek. Transcriptions of Schoenberg's texts are made available on the website of the Arnold Schönberg Center (www.schoenberg.at) as they are completed.

[143] The issue of the 'intentional fallacy' is discussed by Ethan Haimo in his critique of Allen Forte's approach to Schoenberg's compositions. While he acknowledges that a consideration of the composer's intentions does not render an analysis more 'valid' than one that ignores such intention, he rightly concludes that 'it is not unreasonable to suggest that knowing and appreciating what the composer intended can serve both as a helpful stimulus to understanding that composition and as a sobering constraint on potential flights of analytical fancy'. See Haimo, 'Atonality, Analysis, and the Intentional Fallacy', 167–199, esp. 198–199. Schoenberg's poetics have also been invoked in studies of the Variations for Orchestra, Op. 31, and wartime compositions/fragments by John Covach and Jennifer Shaw respectively. See John Covach, 'Schoenberg's "Poetics of Music", the Twelve-Tone Method, and the Musical Idea', in Charlotte M. Cross and Russell A. Berman (eds.), *Schoenberg and Words: The Modernist Years* (New York and London: Garland, 2000), 306–346; Jennifer Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', Ph.D. diss. (State University of New York at Stony Brook, 2002).

[144] Taruskin, 'Revising Revision', 136.

[145] Although this may initially appear similar to Silvina Milstein's stated aim 'to reappraise the extent and nature of the integration of traditional principles of musical discourse and twelve-tone principles of association in Schoenberg', her study focuses on pitch centricity as a way of recreating tonal function: 'In many of Schoenberg's atonal and twelve-tone works, tonal function is not abandoned completely, but single pitch-classes or pitch-levels, rendered prominent by virtue of their

underscored by Erwin Stein (the foremost apologist for the Schoenberg School during the 1920s) when he highlighted the importance of appreciating Schoenberg's independence of thought:

> The difficulty of his art lies in another field; it is intimately related to his personality. He is a man who can observe the world only with his own eyes. Everything presents itself to him as new, seen for the first time, and as if it had never been viewed by any other. Despite this he is not without traditions. He respects the old masters, but not because they have been designated as worthy of reverence. What he learned from them was by his own observation, not in schools but from the works themselves. Such learning is not to be found in treatises in composition; it does not consist of the letter of rule, but is the spirit of art and the spirit of its laws. [...] His thoughts are new, unfamiliar and therefore difficult. But he who undertakes to penetrate this realm is richly rewarded by its depth and beauty and by its brilliant spirit.[146]

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position as boundaries of groupings, are often made to bear implications formerly pertaining to tonal regions or keys and therefore function as true tonal centres displayed centricity within a given context without necessarily carrying all the implications of the tonal system'. See Silvina Milstein, *Arnold Schoenberg: Notes, Sets, Forms* (Music in the Twentieth Century; Cambridge: Cambridge University Press, 1992), xiv and 5.

[146] Erwin Stein, 'Schoenberg's New Structural Form', *Modern Music* 7/4 (1930), 3–4.

CHAPTER TWO

'The Path to the New Music'

Schoenberg's Compositional Philosophy, 1909–1925

> My point of departure was the attempt to replace the no longer applicable principle of tonality by a new principle relevant to the changed conditions: that is, in theory. I am definitely concerned with no other theories but the methods of 'twelve-note composition', as—after many errors and deviations—I now (and I hope definitively) call it. I believe—for the first time again for 15 years—that I have found a key [*Schlüssel*].
>
> —Schoenberg, Letter to Hauer (1923)[1]

Schoenberg's characterization of his dodecaphony as a 'key' in a letter to Josef Matthias Hauer—the Austrian composer who was similarly preoccupied at that time with twelve-tone composition—was neither explained nor qualified. He did, however, describe his renewed capacity to 'compose as freely and fantastically as one otherwise does only in one's youth', a statement that, given his reference to an interval of fifteen years, can be understood as embracing his compositions written before and during 1908 or 1909.[2] This fifteen-year interval was similarly observed by Erwin Stein, when he noted the recapturing in Schoenberg's *Bläserquintett*, Op. 26 (composed in 1923–24), of the classical four-movement sonata structure of his Second String Quartet, Op. 10 (1907–08).[3] That Schoenberg did find a 'key' after a period of fifteen years was corroborated by the flurry of compositional activity in 1923: he completed the two series of piano pieces (the *Klavierstücke*, Op. 23, and the *Suite für Klavier*, Op. 25) and the Serenade, Op. 24—compositions that had been begun during the preceding three years—and began Op. 26 on the very day he

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[1] Schoenberg, Letter to Josef Matthias Hauer, 1 December 1923, *Arnold Schoenberg: Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber, 1964), 104.
[2] Ibid.
[3] Erwin Stein, 'Schönbergs Bläserquintett', *Pult und Taktstock* 3/5–6 (1926), 103–104.

finished the Serenade in April 1923. There were, of course, pragmatic reasons for this revivification, as he explained to Alexander Zemlinsky, his friend and erstwhile teacher, in February 1923:

> I am engaged in some work for the first third of which, for financial reasons, I have allowed myself one month, which will be up in about three weeks from now [...] it is not only that I ought to get something finished again at long last after so many disturbances, but also a matter of a, for me, very large fee to be paid me for 2 works that are only just begun. Now, Hertzka [the director of Universal Edition] has waived his rights in this case solely on condition that I deliver him 2 works, which are, however, still further from completion. So I have to compose 4 works: 2 series of piano pieces, of which not much more than half is finished, the serenade, with 6–7 movements of which 3 are almost finished and 3 sketched out, or rather, begun, and a septet for strings or a violin concerto, both of which are also only just begun. So there's a long road ahead of me, and I should be glad to get the money soon, so long as it still has any value at all.[4]

The contracts notwithstanding, the sheer quantity of music composed and completed during this period, and the rapidity with which it was executed, is indicative of a regained command of compositional materials. The enthusiasm and sense of pride that he conveyed to Hertzka in a letter of March 1923 prefigured the confidence of his pronouncement to Hauer:

> It will please you to hear that I am already working on the Serenade: that is, the two sets of piano pieces (11 movements) are already finished. In this time when I have 'not produced anything new for years', one will soon observe with astonishment how much I nevertheless have composed, once I have completed everything that has been started.[5]

Schoenberg's confidence continued to grow during the 1920s. Following the completion of his *Suite*, Op. 29, in 1926, he wrote to Webern: 'It [the *Suite*]

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[4] Schoenberg, Letter to Zemlinsky, 12 February 1923, *Schoenberg: Letters*, 83. The first series of piano pieces, Op. 23, and the Serenade, Op. 24, were published by Wilhelm Hansen (Copenhagen), while the second series of piano pieces, Op. 25, was published by Universal Edition (Vienna). Although no reference is made in this letter to the quintet, Op. 26 was the second piece that was published by Universal.

[5] Schoenberg, Letter to Hertzka, 13 March 1923, Joseph Auner, *A Schoenberg Reader: Documents of a Life* (New Haven, Conn. and London: Yale University Press, 2003), 167. Schoenberg wrote to Hertzka to complain about the article in the *Neues Wiener Journal* of that same day. According to his letter that article contained the following passage: 'Arnold Schoenberg, the leader of the Expressionists in music, is now working on a violin concerto. It is noteworthy that Schoenberg, who has not produced anything new for years, has with this work abandoned his customary path, and wants to (! ! ! ! ! follow ! ! ! ! ! !) a somewhat more modern style'.

shows more and more that the technique of composition with twelve tones is already capable of achieving everything that one could previously do'.[6] Likewise his comments in an essay published that year in the Universal Edition yearbook evince a certain authority:

> From the very beginning, this was clear in my mind: tonality's aids to articulation having dropped out, one must find some substitute, so that longer forms can once more be constructed. Length is relative and yet is one of music's dimensions; pieces of music can therefore be either long or short, so short pieces can be only an occasional way out. Starting from that premise, I arrived at twelve-tone composition. Some day I shall explain the paths and detours I followed and the reason why I needed a number of important insights about the musical idea and its presentation before that became possible; but first there are a few problems still to overcome, which I am on the verge of solving.[7]

In spite of his expressed intention to do so, Schoenberg never outlined the various 'paths and detours' he pursued in the move toward dodecaphony. Of course, he did acknowledge that it was not achieved in 'a straight way' and that the method had many 'first steps', but his retrospective writings on the evolution of dodecaphony fail to shed light on such 'steps'.[8] Instead, in an attempt to demonstrate a continuity in his compositional practice and technique, the emphasis in his later writings on the development of his method—exemplified by his well known letter of 1937 to Slonimsky and his essay 'My Evolution' of 1949—is on pitch-based serial operations in compositions written between 1914 and 1923, procedures that could be construed, with the benefit of hindsight, as examples of his incipient dodecaphony.[9] But, rather than taking Schoenberg's later statements as our point of

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[6] 'Es zeigt immer mehr, dass die Kompositionstechnik mit 12 Tönen bereits imstande ist, alles zu leisten, was man früher konnte'. Letter from Schoenberg to Webern, 4 May 1926, in *Arnold Schönberg: Gedenkausstellung, 1974*, ed. Ernst Hilmar (Vienna: Universal Edition, 1974), 47.

[7] 'Opinion or Insight?' (1926) in Arnold Schoenberg, *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London and Boston: Faber & Faber, 1975), 263.

[8] Schoenberg, Letter to Slonimsky, 3 June 1937, Nicolas Slonimsky, *Music Since 1900* (4th edn; London: Cassell, 1971), 1315–1316

[9] A number of studies perpetuate this view of the evolution of the twelve-tone method. See, for example, Fusako Hamao, 'The Origin and Development of Schoenberg's Twelve-Tone Method ', Ph.D. diss. (Yale University, 1988).

departure, allowing them to colour our reception of this music and to influence our analytical approach, it is imperative, in a reassessment of the prehistory of dodecaphony, that we privilege his earlier writings. The examination of Schoenberg's own writings will be supplemented by an undated, anonymous typescript, found in the Berg estate, entitled 'Komposition mit zwölf Tönen' (hereafter 'KzT').[10] As I will demonstrate in chapter 4, where I will discuss the provenance, authorship, and dating of the document, this essay records Schoenberg's own comments, most likely communicated in a series of lectures during the first half of 1922, concerning the evolution toward and practice of his nascent twelve-tone procedures of 1921. By prioritizing documents that were coetaneous with the genesis of the new method of composition, we become more aware of Schoenberg's preoccupations and compositional concerns at that time and thus gain a greater insight into the context in which dodecaphony arose as the compositional 'key'.

Although it is a truism to say that the twelve-tone method replaced tonality, we are still relatively uninformed about the way in which this was achieved; surely, as Dahlhaus asserted, 'dodecaphony is not to be compared with tonality as regards its substance, but rather, if at all, as regards its function'.[11] In an attempt to suggest ways in which we might understand how he rediscovered the compositional 'key', I draw attention in this chapter to Schoenberg's changing compositional philosophy between 1909 and the early 1920s. The broad survey of his compositional aesthetic

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[10] [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', ed. Rudolf Stephan, in Gerhard Allroggen and Detlef Altenburg (eds.), *Festschrift Arno Forchert zum 60. Geburtstag am 29. Dezember 1985* (Kassel: Bärenreiter, 1986), 296–302. The essay is translated in the following dissertations: Arved Ashby, 'The Development of Berg's Twelve-Tone Aesthetic as seen in the *Lyric Suite* and its Sources', Ph.D. diss. (Yale University, 1995), 229–233; Jennifer Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', Ph.D. diss. (State University of New York at Stony Brook, 2002), 586–611. A portion of the essay is given in a slightly revised translation in Auner, *Schoenberg Reader*, 174–176.

[11] Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 80.

and practice from 1909 furnishes a context for the discussion of theoretical documents, allowing the significance of particular terms and concepts to be fully apprehended. I contend that the impetus for Schoenberg's renewed compositional activity from 1923 resulted from his re-engagement with the music of the past, and, moreover, that it was his changing attitude toward the past that enabled him reconceive his 'path to the new music'.[12]

'New Wine in Old Bottles'

The metaphor of 'new wine in old bottles' is frequently invoked in present-day discourse to refer to the fusion of a modernist language with traditional formal paradigms. Schoenberg, too, appropriated the expression, on at least two occasions. He used it, in the first instance, in a letter of 1909 to the composer Ferruccio Busoni. Here he echoed the sentiment of a passage from his *Harmonielehre*, in which he described the ideal development of the artist where the 'literature is thrown out, the results of education are shaken off, [and] the inclinations come forward':[13]

> I do not believe in putting *new wine* into old bottles. In the history of art I have made the following antipodal observations:
>
> Bach's contrapuntal art vanishes when Beethoven's melodic homophony begins.
>
> Beethoven's formal art is abandoned when Wagner introduces his expressive art.
>
> Unity of design, richness of colouring, working out of minutest details, painstaking formation, priming and varnishing, use of perspective and all the other constituents of older painting simply die out when the Impressionists begin to paint things as they *appear* and not as they *are*.
>
> Yes indeed, when a new art seeks and finds new means of expression, almost all earlier techniques go hang: seemingly, at any rate; for

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[12] 'The Path to the New Music' was the title of a series of lectures that Webern delivered in Vienna in 1933. See Anton Webern, *Der Weg zur neuen Musik*, ed. Willi Reich (Vienna: Universal Edition, 1960); Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Bryn Mawr, Pennsylvania: Theodore Presser, 1963).

[13] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 400.

> actually they are retained; but in a different way. (To discuss this would lead me too far.)[14]

Although he undermines his point somewhat toward the end of this passage, the stark contrast with the following excerpt taken from a manuscript written during the 1920s is unmistakable:

> New Wine in Old Bottles
> In one respect, the works written in all the various styles differ as do all the kinds of wine:
> (if one pours them into old bottles, see what happens—because the essences of the old wine are still there)
> The common factor (and this is the old bottle) is merely *the way we think* [*unsere Art zu denken*].[15]

The juxtaposition of these two passages epitomizes the radical transformation Schoenberg experienced in his conception of this past, a transformation that will be charted and amplified in the ensuing discussion.

'The Interregnum'

In his opening lecture on 'the path to twelve-note composition', Webern labelled the period from 1908 to 1922 the 'interregnum'.[16] It is important to recognize, however, that, like Schoenberg in his later writings, Webern was concerned here with presenting a teleological account of the evolution of dodecaphony; his use of the word 'interregnum' should therefore be understood in that context. As is well known, the Second String Quartet represented the final stage in Schoenberg's tonal *œuvre*, the final movement, 'Entrückung', containing only vestiges of tonality. This renunciation of tonality, while later proving problematic for Schoenberg, initially

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[14] Schoenberg, Letter to Busoni, 24 August 1909, *Ferruccio Busoni: Selected Letters*, ed. and trans. Antony Beaumont (London and Boson: Faber and Faber, 1987), 392–393.
[15] Arnold Schoenberg, 'New Music / My Music', trans. Leo Black, transcribed by Selma Rosenfeld, *Journal of the Arnold Schoenberg Institute* 1/2 (1977), 104–105. The manuscript was not dated, but Schoenberg indicated, presumably when he revisited the text at a later stage, that it was written before 1930. Given that he outlines his development by referring to his 'Piano Pieces' (Op. 11), his 'new Piano Pieces' (Op. 23), and his '12-tone composition', the document was most likely written during the 1920s.
[16] Lecture of 15 January 1932, Webern, *The Path to the New Music*, 44.

reinvigorated him, as confirmed by the stream of compositions from 1909: the *Drei Klavierstücke* (Three Piano Pieces), Op. 11, the *Fünf Orchesterstücke* (Five Orchestral Pieces), Op. 16, and *Erwartung* (Expectation), Op. 17, in 1909; the *Drei Stücke für Kammerensemble* (Three Pieces for Chamber Orchestra) and the beginnings of *Die glückliche Hand* (The Lucky Hand), Op. 18, in 1910; and the *Sechs kleine Klavierstücke* (Six Little Piano Pieces), Op. 19, and *Herzgewächse* (Foliage of the Heart), Op. 20, in 1911.

It was in his extensive correspondence with Busoni that Schoenberg's compositional philosophy of 1909 was most clearly articulated. The exchange began because Schoenberg was seeking an outlet for his compositions: after receiving two piano pieces—the first and second of what later became his *Drei Klavierstücke*, Op. 11—Busoni responded by criticizing what he perceived as Schoenberg's unidiomatic piano style and, moreover, by 'translating' it, as he put it, 'from *orchestral* into *piano* writing'.[17] Schoenberg countered Busoni's criticism of his piano style by stating that 'composition is the dominant factor; one takes the instrument into account. Not the contrary'.[18] He proceeded to outline what it is, arguably, the most detailed expression of his compositional aesthetic:

> I strive for: complete liberation from all forms
> from all symbols
> of cohesion [*des Zusammenhangs*] and
> of logic [*Logik*].
> Thus:
> away with 'motivic working out' [*motivische Arbeit*].
> Away with harmony as
> cement or bricks of a building.
> Harmony is *expression* [*Ausdruck*]
> and nothing else.
> Then;
> Away with pathos!

[17] Schoenberg, Letter to Schoenberg, 26 July 1909, *Busoni: Letters*, 385.
[18] Schoenberg, Letter to Busoni, undated, Ibid., 387.

> Away with protracted ten-ton scores, from erected or constructed towers,
> rocks and other massive claptrap.
> My music must be
> *brief.*
> Concise! In two notes: not built, but '*expressed*' [*'ausdrücken'*]!!
> and the results I wish for:
> no stylized and sterile protracted emotion.
> People are not like that:
> it is *impossible* for a person to have only *one* sensation at a time.
> One has *thousands* simultaneously. And these thousands can no more readily be added together than an apple and a pear. They go their own ways.
> And this variegation [*Buntheit*], this multifariousness, this illogicality which our senses demonstrate, this illogicality presented by their interactions, set forth by some mounting rush of blood, by some reaction of the senses or the nerves, this I should like to have in my music.
> It should be an expression of feeling, as our feelings, which bring us in contact with our subconscious, really are, and no false child of feelings and 'conscious logic'.[19]

Clearly, then, Schoenberg sought not only to renounce tonality but all its associated form-building and organizational properties, including the formal prototypes themselves, harmony, 'motivic working out' [*motivische Arbeit*], and, thus, cohesion and logic. Harmony was conceived not as a structural element but merely as a form of expression [*Ausdruck*], something that was also conveyed through concision and reflected in the brevity of the composition. The resulting shape was thus defined by illogic and 'unshackled flexibility of form', characteristics of the composition that were underpinned by the idiosyncratic format of Schoenberg's text.[20]

However, as he indicated in his letter, this credo was more a representation of aspiration than of achievement: whereas the first two pieces of the *Drei Klavierstücke* are consistent with his earlier conception of form, characterized as

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[19] Ibid., 389. Beaumont notes that the postmark can be read as 13 or 18 August 1909. Joseph Auner prefers the latter date, while Ethan Haimo suggests that the former is more likely. See Auner, *Schoenberg Reader*, 69; Ethan Haimo, *Based on Tradition: Schoenberg's Transformation of Musical Language, 1899–1909* (forthcoming), chapter 17, note 15.

[20] Schoenberg, Letter to Busoni, undated, *Busoni: Letters*, 388.

they are by motivic repetition, Schoenberg succeeded in the third piece in realizing to a greater extent the intentions outlined in his manifesto. This differentiation between the pieces of Op. 11 was reinforced by Webern in his contribution to the 1912 book of essays by Schoenberg's students. In particular, Webern drew attention to the absence of *motivische Arbeit* in the third piece:

> The first and second [pieces of Op. 11] have a slight relationship formally to the three-part *lied* form. The short motives which immediately detach from one another are repeated again and then are spun out further. But even this fetter is removed in the third piece. Schoenberg abandons motivic working [*motivische Arbeit*]. No motive is developed further; at the most, a short succession of notes is immediately repeated.[21]

Having embodied the aspirations of his credo by avoiding *motivische Arbeit* in the third piece, Schoenberg became averse to the repetitions that defined the earlier pieces, as illustrated by his comments to Busoni on the transcription of the second piece:

> I would urge you to revise your transcription. Perhaps you could at least decide to remove the additions (which as repeats, *unvaried*!! repeats, scarcely correspond with the style of the piece as a whole).[22]

Webern also elucidated the 'variegation' and 'multifariousness' to which Schoenberg referred in his letter: 'Once established, the theme expresses everything it has to say. Again something new has to follow'.[23] Such variegation featured not only in the third piece of Op. 11 but also in the *Fünf Orchesterstücke*, Op. 16, composed concurrently during the summer of 1909.[24] In fact, even before he had

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[21] Anton Webern, 'Schoenberg's Music', trans. Barbara Z. Schoenberg, in Walter Frisch (ed.), *Schoenberg and His World* (first published in *Arnold Schönberg* [München: R. Piper, 1912]; Princeton, New Jersey: Princeton University Press, 1999), 224.

[22] Schoenberg, Letter to Busoni, 3 July 1910, *Busoni: Letters*, 403.

[23] Webern, 'Schoenberg's Music'.

[24] Reinhold Brinkmann's analysis of Op. 11, No. 3, exemplifies this principle of variegation as it describes the form of a movement as a succession of individual formal units, each of which is differentiated from its adjacent units by character, tempo, and dynamics. See Reinhold Brinkmann, *Arnold Schönberg: Drei Klavierstücke, Op. 11. Studien zur frühen Atonalität bei Schönberg* (2nd edn; Stuttgart: Franz Steiner Verlag, 2000), 110–111. Joseph Auner has shown that the second movement of the *Drei Stücke für Kammerensemble* can be similarly understood as exhibiting variegation, in that it comprises 'five small phrases separated by rests and/or fermatas' that are

completed the Op. 16 pieces, and prior to writing his manifesto to Busoni, Schoenberg outlined his conception of the entire work to Richard Strauss, one that emphasized formal fluidity expressed by means of variegation. He described the pieces thus: 'Completely unsymphonic, devoid of architecture or construction, just an uninterrupted change of colors, rhythms and moods'.[25] The corollary of such variegation, as Webern noted, was an absence of form: 'There is no trace of any kind of traditional form in the Orchestra Pieces. The form is entirely free'.[26] In his retrospective writings, Schoenberg acknowledged the concatenation of diverse segments of contrasting character as an important feature in his compositions of that period as he claimed to have learned then 'to link ideas together without the use of formal connectives, merely by juxtaposition'.[27]

If Schoenberg captured aspects of his new aesthetic in individual movements from Opp. 11 and 16, he perfected the art of spontaneous expression in *Erwartung*. This compositional philosophy was reflected, on the one hand, by the speed of the composition, in that the short score was finished in only seventeen days between August and September of 1909,[28] and, on the other hand, by the absence of motivic and thematic repetition: as Webern remarked, 'only in the monodrama *Erwartung* did Schoenberg achieve the abandonment of all thematic

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distinguished from one another by 'changing dynamics, register, texture, and by the continually varied orchestration'. See Joseph Auner, 'Schoenberg's Compositional and Aesthetic Transformations 1910–1913: The Genesis of *Die glückliche Hand*', Ph.D. diss. (University of Chicago, 1991), 194. Similarly, in relation to Op. 16, Bryan R. Simms wrote: 'Pieces No. 1 and No. 2 use a common form made from a succession of brief but clearly distinct sections, each set off from the next, by changes of tempo in No. 1 and by fermatas in No. 2. There is no sense of development or recapitulation in these sections'. See Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908–1923* (Oxford and New York: Oxford University Press, 2000), 84.

[25] Schoenberg, Letter to Strauss, 14 July 1909, trans. and cited in Slonimsky, *Music Since 1900*, 207. The original German text of the letter is given in the critical edition of Op. 16. See Arnold Schönberg, *Sämtliche Werke: Orchesterwerke I, Kritischer Bericht*, ed. Nikos Kokkinis (Abteilung IV, Reihe B, Band 12; Mainz: Schott; and Vienna: Universal Edition, 1984), xiii.

[26] Webern, 'Schoenberg's Music', 225.

[27] 'A Self-Analysis' (1948), in Schoenberg, *Style and Idea*, 78.

[28] The compositional chronology of works from this period is given in Jan Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg* (Copenhagen: Wilhelm Hansen, 1972), vol. I, 63–70.

work for the first time'.[29] Schoenberg continued to eschew *motivische Arbeit* in the articulation of musical form in the *Sechs kleine Klavierstücke*, Op. 19, and *Herzgewächse*, Op. 20; like *Erwartung*, these compositions were composed extraordinarily quickly, the first five of the Op. 19 pieces, for instance, being written on a single day (19 February 1911).[30] Indeed the compositional process itself was also indicative of his new aesthetic. During this period Schoenberg avoided significant revisions and refrained almost entirely from sketching. The extent to which he adhered to this practice is borne out by the fact that the sole source for both Opp. 19 and 20 is the manuscript.[31]

The spontaneity and freedom that Schoenberg sought to achieve in his compositions of that period embraced all parameters. In addition to renouncing melodic repetition as a structural device, Schoenberg aspired 'to be freer and less constrained in rhythm and time-signature'.[32] In the same letter, he toyed with the idea of developing a new system of notation to designate quarter-tones using mathematical symbols.[33] However, the nonconformity of his intentions was even more apparent in relation to his approach to sound. He described his Op. 16 pieces in his letter to Strauss as 'something really colossal, especially in sound and mood',[34] and dilated upon these preliminary remarks in a letter to Busoni written one month later:

> Were you to see my new orchestral pieces, you would be able to observe how clearly I turn away from the full 'God and Superman' sound of the Wagner orchestra. How everything becomes sweeter, finer. How refracted

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[29] Webern, 'Schoenberg's Music', 225.
[30] Analyses of Op. 19 substantiate Schoenberg's aesthetic in their emphasis on variegation. Simms, for instance, referred to the 'succession of clearly distinct sections' in No. 1 and the 'open, sectionalized form' of No. 5. See Simms, *The Atonal Music of Schoenberg*, 85.
[31] Joseph Auner, 'Schoenberg's Aesthetic Transformations and the Evolution of Form in *Die glückliche Hand*', *Journal of the Arnold Schoenberg Institute* 12/2 (1989), 106–107.
[32] Schoenberg, Letter to Busoni, 24 August 1909, *Busoni: Letters*, 395.
[33] Ibid.
[34] Schoenberg, Letter to Strauss, 14 July 1909, trans. and cited in Slonimsky, *Music Since 1900*, 207.

> shades of colour replace the former brilliant hues. How my entire orchestral technique takes a path which seems to be leading in quite the opposite direction to anything previously taken. I find this to be the natural reaction.[35]

The emphasis here on discontinuity with the past—consonant with the assertion, 'I do not believe in putting *new wine* into old bottles'—serves to underscore and illuminate Schoenberg's pronouncement in the first edition of the *Harmonielehre*: '*The artist who has courage submits wholly to his own inclinations*'.[36] What is more significant is that the breaking away from the norms of tradition, considered revolutionary in the 1922 edition of the *Harmonielehre*, was understood here, in 1909, as the 'natural reaction', a viewpoint that he reiterated in 1910:

> I am being forced in this direction not because my invention or technique is inadequate, nor because I am uninformed about all the other things the prevailing aesthetics demand, but that I am obeying an inner compulsion, which is stronger than any up-bringing: that I am obeying the formative process which, being the one natural to me, is stronger than my artistic education.[37]

Schoenberg's 'inner compulsion', as he called it in 1910, was guided by intuition, feeling, and instinct. Following the completion of *Erwartung* and other compositions in 1909, Schoenberg clearly felt that he had fulfilled the objectives of his new aesthetic. This new-found confidence was demonstrated in his programme note for the performance in January 1910 of his *15 Gedichte aus 'Das Buch der hängenden Gärten'* (15 Poems from 'The Book of the Hanging Gardens'), Op. 15

> With the George songs [1908–09] I have for the first time succeeded in approaching an ideal of expression and form which has been in my mind for years. Until now, I lacked the strength and confidence to make it a reality. But now that I have set out along this path once and for all, I am conscious of having broken through every restriction of a bygone aesthetic.[38]

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[35] Schoenberg, Letter to Busoni, 24 August 1909, *Busoni: Letters*, 393.
[36] Schoenberg, *Theory of Harmony*, 400 (Schoenberg's emphasis).
[37] Schoenberg, programme note on Op. 15, concert of 14 January 1910, trans. and cited in Willi Reich, *Schoenberg: A Critical Biography*, trans. Leo Black (London: Longman, 1971), 49.
[38] Ibid.

In accordance with this announcement, Schoenberg's writings in 1910 and 1911 betray a greater authority regarding his new approach to composition. It was, of course, in his correspondence with Busoni in 1909 that Schoenberg first stated his goal that art should be created without any intervention from the conscious intellect:

> My only intention is
> to have *no intentions*!
> No formal, architectural or other artistic intentions (except perhaps of capturing the mood of poem), no aesthetic intentions—none of any kind; at most this:
> to place nothing inhibiting in the stream of my unconscious sensations. To allow nothing to infiltrate which may be invoked either by intelligence or consciousness.[39]

Yet comments in the first edition of the *Harmonielehre* and contemporaneous essays demonstrate not only a greater sense of assurance about his new aesthetic but also a conviction that true art was the product of the unconscious; as Auner put it, 'the intuitive aesthetic was transformed from an ideal into a mandate'.[40] Elaborating on the description of his formative process given in 1910, Schoenberg declared in the *Harmonielehre* that

> The artist's creative activity is instinctive. Consciousness has little influence on it. He feels [*hat das Gefühl*] as if what he does were dictated to him. As if he did it only according to the will of some power or other within him, whose laws he does not know. He is merely the instrument of a will hidden from him, of instinct, of his unconscious [...] He feels only the instinctual compulsion, which he must obey.[41]

Accordingly, he claimed in his essay on Liszt that 'the work, the perfected work of the great artist, is produced, above all, by his instincts' and that 'the more

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[39] Schoenberg, Letter to Busoni, 24 August 1909, Auner, 'Schoenberg's Aesthetic Transformations', 106. As Auner has observed, there is a significant error in this passage in the Busoni correspondence.

[40] Auner, 'Schoenberg's Compositional and Aesthetic Transformations 1910–1913', 155. Auner appropriately coined the expression 'intuitive aesthetic' to describe Schoenberg's compositional outlook during the period between 1909 and 1911 (ibid. 17).

[41] Schoenberg, *Theory of Harmony*, 416. This passage appears in both the 1911 and 1922 editions.

immediate the expression he can give them, the greater his work is'.[42] Furthermore, when he stated, again in relation to the music of Liszt, that 'one must not overlook how much there is in it that is truly new musically, discovered by genuine intuition',[43] he suggested a correlation between the degree of self-expression and the novelty of a work, something also intimated in the *Harmonielehre* in the equation of 'instinct' with 'the outflow of an energy that is seeking new paths [*neue Wege*]'.[44]

The essays on Liszt and Mahler of 1911 and 1912 respectively, although ostensibly discussing these composers and their works, were more concerned with Schoenberg's own compositional philosophy than that of Liszt or Mahler. The latter was lauded for being 'capable of the greatest possible achievement of an artist: self-expression',[45] whereas Schoenberg believed that Liszt had allowed his intellect to impede this ideal of self-expression. 'His error', as Schoenberg described it, was that 'he let his conscious intellect perfect a work which would have succeeded more completely without it'.[46] As he announced to Wassily Kandinsky, Schoenberg was convinced at that time that art should be unfettered by consciousness:

> Art belongs to the *unconscious*! One must express *oneself*! Express oneself *directly*! Not one's taste, or one's upbringing, or one's intelligence, knowledge or skill. Not all these *acquired* characteristics, but that which is *inborn, instinctive*.[47]

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[42] 'Franz Liszt's Work and Being' (1911), in Schoenberg, *Style and Idea*, 442.
[43] Ibid., 445.
[44] Schoenberg, *Theory of Harmony*, 416.
[45] 'Gustav Mahler' (1912, rev. 1948), in Schoenberg, *Style and Idea*, 454. This sentence is given in the 1912 version of the essay.
[46] 'Liszt', in Ibid., 443.
[47] Schoenberg, Letter to Kandinsky, 24 January 1911, *Arnold Schoenberg, Wassily Kandinsky: Letters, Pictures, Documents*, ed. Jelena Hahl-Koch, trans. John C. Crawford (London: Faber & Faber, 1984), 23. Both Roy E. Carter and Joseph Auner have mentioned that Schoenberg's approach to art at this time may have been influenced by the theories of Sigmund Freud. However, as Auner has noted, there is no evidence to suggest that Schoenberg had read Freud's writings. See Schoenberg, *Theory of Harmony*, 416; Auner, *Schoenberg Reader*, 89.

Consistent with this view, the form of a work should be the product not of the intellect but of unmediated expression: as he explained, 'if, in criticizing form, one trusted one's expressive need when it rejected an old form, then one must trust it in creating, when it attempts to produce a new, individual form appropriate to itself'.[48] Seen in this light, Liszt's form was compromised by a conflict between intuition and intellect: 'Inspired by a true feeling, a rightly-functioning intellect brought this form to completion'.[49] Moreover, because Liszt did not obey his 'inner compulsion', his form was classified by Schoenberg as 'a broadening, a combination, a re-welding, a mathematical and mechanical further development of the old formal components',[50] an understanding that he also conveyed to Kandinsky in a letter of the same year:

> All form-making, all *conscious* form-making, is connected with some kind of mathematics, or geometry, or with the golden section or suchlike. But only unconscious form-making, which sets up the equation 'form = outward shape', really creates forms; that alone brings forth prototypes which are imitated by unoriginal people and become 'formulas'.[51]

Given his statement in relation to Liszt's error that 'a rightly-functioning intellect almost always does the opposite to what is appropriate to a true feeling',[52] it is not surprising that Schoenberg emphasized the extent to which his compositions were governed by intuition:

> In composing I make decisions only according to feeling [*Gefühl*], according to the feeling for form [*Formgefühl*]. This tells me what I must write; everything else is excluded. Every chord I put down corresponds to a necessity, to a necessity of my urge to expression [*Ausdrucksbedürfnis*].[53]

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[48] 'Liszt', in Schoenberg, *Style and Idea*, 444.
[49] Ibid.
[50] Ibid.
[51] Schoenberg, Letter to Kandinsky, 24 January 1911, *Schoenberg, Kandinsky: Letters*, 23. For a discussion of the parallels between Schoenberg's and Kandinsky's conception of art at that time, see Laurens Van Der Heijden, 'The Dialectics of Artistic Creativity: Some Aspects of Theoretic Reflection in Arnold Schönberg and Wassily Kandinsky', in Konrad Beohmer (ed.), *Schönberg and Kandinsky: An Historic Encounter* (Contemporary Music Studies, 14; Amsterdam: Harwood Academic Publishers, 1997), 199–214.
[52] 'Liszt', in Schoenberg, *Style and Idea*, 444.
[53] Schoenberg, *Theory of Harmony*, 417. This passage appears in both the 1911 and 1922 editions.

He shed some light on this feeling or *Gefühl* in his 1911 essay 'Problems in Teaching Art', where he observed a fundamental difference between the genius/artist and the 'man of talent'/craftsman—the former was entirely dependent on his own nature, whereas the latter looked to art created by his fellow-artists for guidance and inspiration—and the problems that this posed for the pedagogy of art.[54] Schoenberg argued that, instead of being content with relaying 'only artistic methods and aesthetics', the teacher should encourage the gifted student to 'give voice to the kind of utterance that fittingly expresses a personality'.[55] Continuing in the same vein, he asserted that it was possible to teach technique, which he likened to the grammar of a language, but not the 'ideas' [*Gedanken*] and 'feelings' [*Gefühle*] that constitute 'one's own contribution'; in summary, Schoenberg believed that, 'in the real work of art', 'feeling [*Gefühl*] is already form'.[56]

The reference to a *Formgefühl* as a guiding factor in composition could be construed as defensive: it is possible, for instance, that Schoenberg was countering criticism or seeking to account for the fact that the forms in his compositions from that period deviate from the established norms. Nevertheless, the notion of a *Formgefühl* was apposite for describing works of relatively modest dimensions that were characterized by juxtaposition and variegation. In fact, juxtaposition was a prevailing principle during Schoenberg's so-called atonal period.[57] Besides, Schoenberg continued in his retrospective writings to acknowledge his *Formgefühl* as something that sustained him in the composition of short and text-based pieces

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[54] 'Problems in Teaching Art' (1911), in Schoenberg, *Style and Idea*, 365. The essay was first published in *Musikalisches Taschenbuch* 2 (1911): 22–27.
[55] Ibid., 365 and 368.
[56] Ibid., 368–369.
[57] For instance, Adorno referred to 'stringing-together' [*Reihung*] in his discussions of *Erwartung* and the *Drei Stücke für Kammerensemble*. See Theodor W. Adorno, 'Über einige Arbeiten Arnold Schönbergs', in Rolf Tiedemann (ed.), *Theodor W. Adorno: Gesammelte Schriften* (17; Frankfurt am Main: Suhrkamp, 1982), 330 and 333. I discuss Schoenberg's concept of juxtaposition in chapter 3.

in the aftermath of the breakdown of tonality. Yet, as he explained on at least two occasions, this intuitive approach to musical form was possible because he had assimilated the formal processes of the masterworks:

> In my first works in the new style I was particularly guided, in both the details and the whole of the formal construction, by very powerful expressive forces, not to mention a sense of form [*Sinn für Form*] and logic acquired from tradition and well developed through hard work and conscientiousness.[58]

> I had to say to myself—and was perhaps entitled to do so—that my feeling for form [*Formgefühl*], modeled on the great masters, and my musical logic, which had been proved in so and so many cases, must guarantee that what I write is formally and logically correct, even if I do not realize it.[59]

The concomitant of Schoenberg's intuitive aesthetic was brevity. In fact, Berg's handwritten notes on the evolution of twelve-tone composition—notes that, as I will show in chapter 4, were preparatory to the essay 'KzT'—suggest that, when the 'means of conventional understandability were *renounced*', the overriding characteristics of Schoenberg's musical thought were 'feeling and brevity' [*Gefühl und Kürze*].[60] As Auner has argued, the composition of small-scale works between 1909 and 1911 was not symptomatic of an inability to create extended forms; rather, it was a realization of Schoenberg's aesthetic at that time.[61] His stated aim in the Busoni manifesto ('My music must be brief. Concise! In two notes'[62]), exemplified by the brevity of his Op. 19 pieces, amounted to holophrasis. In fact,

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[58] 'Opinion or Insight?' (1926) in Schoenberg, *Style and Idea*, 262.
[59] Arnold Schoenberg, 'Analysis of the Four Orchestral Songs Opus 22', trans. Claudio Spies, in Benjamin Boretz and Edward T. Cone (eds.), *Perspectives in Schoenberg and Stravinsky* (Princeton: Princeton University Press, 1968), 27.
[60] Berg, 'Komposition mit zwölf Tönen und andere Aufzeichnungen', catalogued at F 21 Berg 107/I, fol. 12v, in the Music Collection of the Austrian National Library, Vienna. The notes have been transcribed by both Arved Ashby and Werner Grünzweig. This passage is given in Ashby, 'Berg's Twelve-Tone Aesthetic', 236; Werner Grünzweig, *Ahnung und Wissen, Geist und Form: Alban Berg als Musikschriftsteller und Analytiker der Musik Arnold Schönbergs* (Alban Berg Studien, 5; Vienna: Universal Edition, 2000), 290.
[61] See Joseph Auner, '"Warum bist du so Kurz?" Schoenberg's Three Pieces for Chamber Orchestra (1910) and the Problem of Brevity', in Mogens Andersen, Niels Bo Foltmann, and Claus Røllum-Larsen (eds.), *Festskrift Jan Maegaard: On the Occasion of his 70th Birthday* (Copenhagen: Engstrøm & Sødring, 1996), esp. 45–46 and 48–49.
[62] Schoenberg, Letter to Busoni, undated, *Busoni: Letters*, 389.

Schoenberg hinted at this very concept, whereby the single word could embody the expression of an entire phrase, when he wrote in his foreword to Webern's *Sechs Bagatellen für Streichquartett* (Six Bagatelles for String Quartet), Op. 9, of the concentrated expression required 'to convey a novel though a single gesture, or felicity by a single catch of the breath'.[63]

The brevity of the instrumental compositions of Schoenberg, Berg, and Webern written between 1909 and 1914–15 is reinforced by the prevalence of the term 'Stück' in the works' titles: Schoenberg's *Drei Klavierstücke*, Op. 11, *Fünf Orchesterstücke*, Op. 16, *Drei Stücke für Kammerensemble*, and *Sechs kleine Klavierstücke*, Op. 19; Berg's *Vier Stücke für Klarinette und Klavier*, Op. 5 (1913), and *Drei Orchesterstücke*, Op. 6 (1914–15);[64] and Webern's *Sechs Stücke für großes Orchester*, Op. 6 (1909), *Vier Stücke für Geige und Klavier*, Op. 7 (1910), *Fünf Stücke für Orchester*, Op. 10 (1913), and *Drei kleine Stücke für Violoncello und Klavier*, Op. 11 (1914). With the notable exception of Berg's String Quartet, Op. 3 (1910), all the non-texted works from this period (including works that do not bear the title 'Stück', such as Webern's *Bagatellen* and *Fünf Sätze für Streichquartett*, Op. 5) are characterized by extreme brevity.[65] To be sure, the title 'Stück', or even 'Bagatelle', calls to mind a small-scale composition; that it is not a work with big pretensions is verified by Schoenberg's description of his *Fünf*

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[63] 'Anton Webern: Foreword to his *Six Bagatelles for String Quartet*, Op. 9' (1924), in Schoenberg, *Style and Idea*, 483–484. Webern's Op. 9 was composed in 1911–13. Reinhold Brinkmann noted that the brevity of compositions by Schoenberg, Webern and Berg from this period permits a comparison with Hegel's *Zusammengezogenheit* (contracted concentration). See Reinhold Brinkmann, 'Schoenberg the Contemporary: A View from Behind', in Juliane Brand and Christopher Hailey (eds.), *Constructive Dissonance: Arnold Schoenberg and the Transformations of Twentieth-Century Culture* (Berkeley, Los Angeles and London: University of California Press, 1997), 200.

[64] While Berg's *Drei Orchesterstücke* are not brief, they did constitute *Charakterstücke*.

[65] It is noteworthy that, when Webern's Op. 5 was performed during the 1919–20 at the Society for Private Musical Performances, it was announced not as *Fünf Sätze* but as *Fünf Stücke*. See Hans Moldenhauer and Rosaleen Moldenhauer, *Anton von Webern: A Chronicle of His Life and Work* (London: Victor and Gollancz, 1978), 123.

Orchesterstücke as 'short orchestral pieces' that are 'completely unsymphonic'.[66] Because the term 'symphonic' [*symphonisch*], as I will demonstrate in chapter 3, signified the incorporation of 'developing variation' and was associated in Schoenberg's mind with the sonata, the designation 'unsymphonic' evokes a simpler design, one that precludes significant development. Indeed this was something that Schoenberg suggested in his lecture on the Op. 22 songs, when he spoke of 'the conditions pertaining to the construction of short pieces', stating that 'one must be wary of setting up materials that may call for development, since it is unfeasible to grant them any extensive development in only a few measures'.[67]

Schoenberg's Volte-Face and Symphonic Ambitions

Despite his productivity during the preceding two years, Schoenberg started to question his compositional approach in late 1911.[68] He told Berg in December of 1911 that he was 'unusually depressed', a feeling that he attributed, on the one hand, to the negative reception of his works and, on the other hand, to a dissatisfaction with what he was writing: 'I'm not composing anything at all right now. At any rate: I've lost all interest in my works. I'm not satisfied with anything any more. I see mistakes and inadequacies in everything'.[69] Two months later, in a diary entry of February 1912, Schoenberg displayed an uncharacteristic humility when he recorded his reaction to the book of collected essays by his students published that year:

> I feel I am being talked about in really much too effusive a way. I am too young for this kind of praise, have accomplished too little and too little that

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[66] Schoenberg, Letter to Strauss, 14 July 1909, Schönberg, *Sämtliche Werke: Orchesterwerke*, xiii.
[67] Schoenberg, 'Analysis of Opus 22', 35.
[68] For a discussion of Schoenberg's 'self-doubt' during this period, see Auner, 'Schoenberg's Compositional and Aesthetic Transformations 1910–1913', 279–287.
[69] Schoenberg, Letter to Berg, 21 December 1911, *The Berg–Schoenberg Correspondence: Selected Letters*, ed. Juliane Brand, Christopher Hailey, and Donald Harris (New York and London: Norton, 1987), 60.

> is perfect. My present accomplishment, I can still only regard as a hope for the future, as a promise that I may keep; but not as anything more. And I have to say, were I not spoiling the joy of my students by doing so, I might possibly have rejected the book. On the other hand, I was so overwhelmed by the great love which shows in all this, that I really had been happy, insofar as something like this can provide happiness. And I was proud as well.[70]

Although he continued to have reservations about his work, Schoenberg resumed composition less than a month later, as he indicated in his diary entry of 12 March 1912:

> In the morning was very much in the mood to compose. After a very long time! I had already considered the possibility that I may not ever compose again at all. There seemed to be many reasons for it. The persistence with which my students nip at my heels, intending to surpass what I offer, this puts me in danger of becoming their imitator, and keeps me from calmly building on the stage that I have just reached. They always bring in everything raised to the tenth power.[71]

As his entry of the following day confirms, the composition of the 'Gebet an Pierrot' (Prayer to Pierrot)—the movement of *Pierrot lunaire* that was written first but placed number 9 in the final version of the work—gave him a renewed sense of self-assurance and enthusiasm:

> Yesterday, the 12th, I wrote the first of the *Pierrot lunaire* melodramas. I believe it turned out very well. This provides much stimulation. And I am, I sense it, definitely moving toward a new way of expression [*einem neuen Ausdruck*]. The sounds here truly become an almost animalistically immediate expression of sensual and psychological emotions. Almost as if everything were transmitted directly. I am anxious to see how this is going to continue. But, by the way, I do know what is causing it: Spring!!! Always my best time. I can already sense motion inside myself again. In this I am almost like a plan. Each year the same. In the spring I almost always have composed something.[72]

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[70] Schoenberg, diary entry of 25 February 1912, Auner, *Schoenberg Reader*, 111. The original German passage is given in Arnold Schönberg, *Berliner Tagebuch*, ed. Josef Rufer (Frankfurt am Main: Propyläen-Verlag, 1974), 31.

[71] Schoenberg, diary entry of 12 March 1912, Auner, *Schoenberg Reader*, 111; Schönberg, *Berliner Tagebuch*, 33–34.

[72] Schoenberg, diary entry of 13 March 1912, Auner, *Schoenberg Reader*, 112; Schönberg, *Berliner Tagebuch*, 34.

By July of that year, Schoenberg had completed all twenty-one melodramas of *Pierrot lunaire*.[73] Its composition, representing a move 'toward a new way of expression', was highly significant for his musical thought. The existence of sketches, though few in number, suggests that the manner in which he composed *Pierrot lunaire* differed from his practice of 1909–1911, when sketching and revision were considered anathema to the ideal of spontaneous expression. More important, however, was the reintroduction of *motivische Arbeit*: in spite of his intention in the Busoni manifesto of 1909 to dispense entirely with motivic repetition and all forms of 'cohesion' and 'logic', *motivische Arbeit* was an essential part of the fabric in a number of movements in *Pierrot lunaire*, contributing to a movement's structural organization.

Indeed the significance of the regaining of *motivische Arbeit* was noted by Berg in an annotation on the first page of his score of the work: 'wieder them. u. motivische Arbeit' (again thematic and motivic working).[74] His subsequent comments and annotations in the score corroborate this statement. Firstly, he drew attention to the ways in which the formal structure of certain movements of *Pierrot lunaire* was determined by means of motivic repetition: for instance, in the final two movements of the work, 'Heimfahrt' (Journey home) and 'O alter Duft' (O Ancient Fragrance), his markings indicate the reprises that are brought about by motivic and thematic recurrences.[75] Secondly, he highlighted the imitative counterpoint in 'Nacht' (Night), 'Parodie' (Parody), and 'Der Mondfleck' (The Moon

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[73] The dates and sources for the work are outlined in Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 71–74.

[74] Berg, annotated score of *Pierrot lunaire* (Taschenausgabe; Vienna: Universal Edition, 1914), catalogued at F 21 Berg 157 in the Music Collection of the Austrian National Library, Vienna. Selected annotations from this score are transcribed in Grünzweig, *Ahnung und Wissen, Geist und Form*, 177–183.

[75] Similarly, Jonathan Dunsby has drawn attention in 'Columbine' to the rhythmic correspondences of the settings of the repeated line 'Des Mondlichts bleiche Blüten'. See Jonathan Dunsby, *Schoenberg: Pierrot lunaire* (Cambridge Music Handbooks; Cambridge: Cambridge University Press, 1992), 33–34.

Spot), observing the '3 stimmiger Canon von Br Klar (in Umkehrung) Sprechstimme', roughly translating as the 'three-voiced canon of the viola [in] clarinet (in inversion) and in voice', in 'Parodie'; the 'doppelte Kontrap[unkt]' (double counterpoint) and a version of the 'Krebsform' (retrograde form) of a motive in 'Der Mondfleck'; and the permeation of a three-note shape in multifarious transformations in the passacaglia, 'Nacht'.[76] Because imitative counterpoint is necessarily contingent upon motivic repetition and the recognition of those repetitions, Berg's annotations effectively confirm the return of *motivische Arbeit*. In that context, these movements from *Pierrot lunaire* are distinguished from Op. 11, No. 3, for example, where motives were neither repeated nor subject to development.

It is indisputable that Berg's understanding of *Pierrot lunaire* was informed by Schoenberg. In fact, he was privy to Schoenberg's analysis of the work on at least two occasions. The first discussion took place during a visit to Berlin in June 1913, after which Berg wrote to Schoenberg to thank him for 'the wonderful hours when I was allowed to study the score of *Pierrot* with you' and 'when the following day I was able to attend the unforgettable *Pierrot* rehearsal and performance'.[77] The second occasion was the lectures in 1922 at which Berg took notes, suggesting that Schoenberg described 'Der Mondfleck' and 'Nacht' not just as pieces characterized by *motivische Arbeit* but more emphatically as '"gearbeitet"', a word that Berg enclosed in quotation marks.[78] Given that the publication date of Berg's score was 1914, it appears that his annotations were most likely made during the 1920s,

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[76] Ibid. Schoenberg himself referred to these features when he mentioned the 'contrapuntal studies (passacaglia, double-fugue with canon and retrograde of the canon, etc.)' of *Pierrot lunaire*. See 'The Young and I' (1923), in Schoenberg, *Style and Idea*, 94.

[77] Berg, Letter to Schoenberg, 14 June 1913, *Berg–Schoenberg Correspondence*, 179.

[78] Berg, 'Komposition mit zwölf Tönen und andere Aufzeichnungen', F 21 Berg 107/I, fol. 12v; in Grünzweig, *Ahnung und Wissen, Geist und Form*, 291.

possibly after the 1922 lectures as he worked on the planned Schoenberg monograph or prepared during the early 1930s for the lectures on Schoenberg's music.[79] This viewpoint is substantiated by Berg's comment on 'Nacht', 'später im Zusammenhang des 12 Tonwegs sprechen' (talk about later in connection with the twelve-tone path), implying that this piece was examined (or re-examined) through the lens of dodecaphony.

Pierrot lunaire can be understood not only as a return to traditional formal paradigms but also as a departure from the aphoristic pieces of 1909–1911 and a move toward larger-scale composition. It does comprise a collection of small differentiated character pieces,[80] but, by using the text as a structural device, Schoenberg arranged the twenty-one pieces into three groups of seven, creating a semblance of a large three-part form. He took great care to ensure continuity between the individual movements of each of the three groups, by stitching together consecutive pieces or by specifying the duration of a pause between pieces,[81] thereby underpinning the impression of three larger groups as distinct from a succession of twenty-one pieces. Of course, this tripartite structure was also reflected in the work's title, *Dreimal sieben Gedichte aus Albert Girauds 'Pierrot*

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[79] For further information on the planned book, see Werner Grünzweig, 'Ein Buch über Schönberg', in Rudolf Stephan, Sigrid Wiesmann, and Matthias Schmidt (eds.), *Bericht über den 3. Kongreß der Internationalen Schönberg-Gesellschaft: 'Arnold Schönberg—Neuer Der Musik' (Duisburg, 24. bis 27. Februar 1993)* (Publikationen der Internationalen Schönberg-Gesellschaft, 3; Vienna: Lafite, 1996), 186–194.

[80] In an essay written for Schoenberg's seventy-fifth birthday, Erwin Ratz noted that the pieces were redolent of the character differentiation of Schumann's Klavierstücke. See 'Arnold Schönberg zum 75. Geburtstag' (1949), in Erwin Ratz, *Gesammelte Aufsätze*, ed. F. C. Heller (Vienna: Universal Edition, 1975), 102.

[81] For an account of some of the ways in which Schoenberg connected various pieces, as revealed by the sketches for the work, see Reinhold Brinkmann, 'What the Sources Tell Us … A Chapter of Pierrot Philology', trans. Evan Bonds, *Journal of the Arnold Schoenberg Institute* 10/1 (1987), esp. 22. See also Reinhold Brinkmann, 'The Fool as Paradigm: Schoenberg's *Pierrot lunaire* and the Modern Artist', in Konrad Beohmer (ed.), *Schönberg and Kandinsky: An Historic Encounter* (Contemporary Music Studies, 14; Amsterdam: Harwood Academic Publishers, 1997), 139–167. It is important to note that the final order of movements does not reflect the order in which the movements were composed. See Alan Lessem, *Music and Text in the Works of Arnold Schoenberg: The Critical Years, 1908–1922* (Studies in Musicology, 8; Ann Arbor, Mich: UMI Research Press, 1979), 127–128.

lunaire' (Three Times Seven Poems from Albert Giraud's *Pierrot lunaire*).[82] Nonetheless, it was the text—specifically, the narrative—that imposed a trajectory across each of the three groups.

This reliance on text for formal articulation was not confined to *Pierrot lunaire*, as witnessed by a string of text-based compositions from summer 1909: *Erwartung* (1909), *Die glückliche Hand* (1910–13), *Herzgewächse* (1911), and the *Vier Lieder für Gesang und Orchester* (Four Songs for Voice and Orchestra), Op. 22 (1913–16). Schoenberg discussed the purpose of the text in musical composition in an essay entitled 'The Relationship to the Text', which was published in 1912 but most likely written toward the end of 1911.[83] Here he argued that it was unnecessary to understand the meaning of a poem being set to music and that it was sufficient merely to allow oneself to be 'inspired by the sound of the first words of the text'.[84] In accordance with his instinctive approach to composition, he wrote: 'I had never done greater justice to the poet than when, guided by my first direct contact with the sound of the beginning, I divined everything that obviously had to follow this first sound with inevitability'.[85] Yet, as indicated by his response to the series of questions posed by the German psychologist, Julius Bahle, Schoenberg modified his stance concerning the relationship between music and text. Even though he continued to place an emphasis on intuition, he claimed, in his 1931 response to Bahle, that intuition was responsible only for determining the 'appropriate musical expressive resources', and that the process of discovering what

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[82] The German texts Schoenberg used were translated from the French by Otto Erich Hartleben.
[83] The essay was first published as 'Das Verhältnis zum Text', in *Der Blaue Reiter* (Munich: R. Piper, 1912). Although the handwritten manuscript is undated, a page of the proofs is dated 26 January 1912 (catalogued at P18.01.B in the Arnold Schönberg Center Privatstiftung, Vienna). According to Ivan Vojtech's examination of a number of contemporaneous sources, the essay was written sometime between November 1911 and January 1912. See the editorial notes in Arnold Schönberg, *Stil und Gedanke: Aufsätze zur Musik*, ed. Ivan Vojtech (Arnold Schönberg: Gesammelte Schriften, 1; Frankfurt am Main: S. Fischer, 1976), 481.
[84] 'The Relationship to the Text' (1912), in Schoenberg, *Style and Idea*, 144.
[85] Ibid.

he called the 'real themes' (as opposed to the themes that are discarded), while dependent to a certain extent on 'inspiration', was tempered by 'consciousness'.[86]

Although these comments were made in 1931, they document Schoenberg's change from the intuitive approach outlined in 'The Relationship to the Text'; to that extent, despite being written a long time after the event, they better reflect Schoenberg's new attitude towards the text, as seen in *Pierrot lunaire* and subsequent text-based compositions of 1913–1916 when he became increasingly interested in forging a relationship between music and text. For example, as Alan Lessem has demonstrated, the textual refrain in the poems of *Pierrot lunaire*—brought about by the recurrence of lines one and two as lines seven and eight, and the repetition of the first line as the last line—is reflected musically in many of the pieces, albeit ignored in others.[87] This interaction between music and text was even more apparent in the Op. 22 songs, where Schoenberg created a type of word-painting by manipulating the tempo, creating rhythmic patterns, and using the instrumentation to depict aspects of the text.[88] Moreover, Schoenberg conceded that he invoked the text as a means of structuring large-scale form and claimed that his Op. 22 songs exemplify the process whereby 'compositions for texts are inclined to allow the poem to determine, at least outwardly, their form'.[89]

Schoenberg continued in his later writings to reiterate the point that text functioned as a means of providing coherence. In 1926 he maintained that his 'only extended works from that time are works with a text, where the words represent the

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[86] Schoenberg, Reply to a letter by Julius Bahle, 1931, in Reich, *Schoenberg: A Critical Biography*, 238–239. Schoenberg was just one of several composers to receive this letter from Bahle, who was conducting research on vocal composition.
[87] Lessem, *Music and Text*, 129–163.
[88] See Ibid., 171–176.
[89] Schoenberg, 'Analysis of Opus 22', 27.

cohesive element',[90] while in his *Gedanke* manuscript of 1934 he categorized text, along with character, programme, and mood, as 'an extra-musical means of coherence'.[91] Looking back on his *œuvre* in 1941, he outlined ways in which the form was determined by the structure and content of the text:

> I discovered how to construct larger forms by following a text or a poem. The differences in size and shape of its parts and the change in character and mood were mirrored in the shape and size of the composition, in its dynamics and tempo, figuration and accentuation, instrumentation and orchestration. Thus the parts were differentiated as clearly as they had formerly been by the tonal and structural functions of harmony.[92]

Yet, even in his writings of 1917, Schoenberg recognized that the text could contribute to musical coherence. In the first of his *ZKIF* notebooks, he listed a multitude of ways in which 'musical ideas can cohere', dividing them into three categories that were labelled as follows: 'musical content', 'through the other types of spiritual content, as music is composed from the promptings of states of mind that are affected by feelings', and 'through something formal'.[93] The first category took account of the pitch, rhythm, harmony, and articulation of a phrase or musical unit, while coherence in the second category was determined primarily by text but also by expression, mood, or character.[94] In other words, when Schoenberg wrote that 'musical ideas can cohere [...] through the text in a song, through the text in a recitative, through the text in symphonic poems, [or] through the text in opera',[95] he suggested that musical coherence could be assured simply by adhering to a text,

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[90] 'Opinion or Insight?' in Schoenberg, *Style and Idea*, 262.
[91] Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 286–287.
[92] 'Composition with Twelve Tones (I)' (1941), in Schoenberg, *Style and Idea*, 217–218.
[93] Arnold Schoenberg, *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (Coherence, Counterpoint, Instrumentation, Instruction in Form)*, ed. Severine Neff, trans. Charlotte M. Cross and Severine Neff (Lincoln and London: University of Nebraska Press, 1994), 60–64.
[94] The account given in the third category ('through something formal') was somewhat ambiguous. The fact that it contained only one point, whereas the first and second categories comprised six and ten points respectively, suggests that this may have been left unfinished. The single point in the third category reads: 'seemingly random points of contact etc.' Ibid., 62–63.
[95] Ibid.

and, in so doing, effectively provided a justification for his compositional activity during the preceding five years.

Notwithstanding the difficulties he encountered while working on *Die glückliche Hand* in 1912 (he confided in Kandinsky that he was preoccupied with its composition 'without making real progress'[96]), Schoenberg continued to write and plan text-based compositions. What is more, he sought to increase the scale of these compositions, both in terms of the duration of the work and the forces for which the works were written.[97] Having already begun an oratorio ('Seraphita', based on Balzac's novel), he wrote to Richard Dehmel on 13 December 1912 in the hope of acquiring a text that would form the basis of a 'full-length work [*die Dichtung eines abendfüllenden Werkes*]'.[98] Here he outlined his plan for an oratorio:

> For a long time I have been wanting to write an oratorio on the following subject: modern man, having passed through materialism, socialism, and anarchy and, despite having been an atheist, still having in him some residue of ancient faith (in the form of superstition), wrestles with God (see also Strindberg's 'Jacob Wrestling') and finally succeeds in finding God and becoming religious.[99]

While his response was not as favourable as Schoenberg would have hoped, Dehmel did send a poem, provoking the following response from Schoenberg: 'It makes me think of a middle movement, perhaps a final movement of a symphony'.[100] Thus, his plan for an extended composition appears to have shifted,

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[96] Schoenberg, Letter to Kandinsky, 19 August 1912, Auner, *Schoenberg Reader*, 113.
[97] It is noteworthy that Schoenberg later considered *Erwartung* and *Die glückliche Hand* as 'kurzopern', meaning short operas. See 'Neue Musik—Meine Musik—Oper—Gedanke (Meine Musik)', written, according to Schoenberg's annotation, before 1930, catalogued at T26.06 in the Arnold Schönberg Center Privatstiftung, Vienna.
[98] Schoenberg, Letter to Richard Dehmel, 13 December 1912, *Schoenberg: Letters*, 36. The original German text is given in *Arnold Schoenberg: Ausgewählte Briefe*, ed. Erwin Stein (Mainz: B. Schott's Söhne, 1958), 31.
[99] *Schoenberg: Letters*, 35.
[100] 'Und zwar denke ich es mir als Mittelsatz, vielleicht als Schlußsatz einer Symphonie'. Schoenberg, Letter to Dehmel, 28 December 1912, microfilm, Arnold Schönberg Center Privatstiftung, Vienna.

during his correspondence with Dehmel in December 1912, from an oratorio to a symphony.

By 1914 Schoenberg had conceived the planned symphony as a colossal choral work, as he explained in a letter to Alma Mahler:

> It is now my intention after a long time once again to write a large work. A kind of symphony. I have already felt it; I can see it already, now perhaps this summer it will come to something. For a long time I have been yearning for a style for large forms. My most recent development has denied this to me. Now I feel it again and I believe it will be something completely new, more than that, something that will say a great deal. There will be choirs and solo voices; that is certainly nothing new. Today that is already allowed to us. But what I can feel of the content (this is not yet completely clear to me) is perhaps new in our time: here I shall manage to give personal things an objective, general form, behind which the author as person may withdraw.[101]

While he altered his symphonic plan on a number of occasions, he envisaged it, in 1914, as being in five movements, all of which, save the opening movement, were to be based on texts.[102] The fact that the first movement is the only movement for which sketches do not exist is perhaps indicative of Schoenberg's dependence at that time on text as a structural element. The sources also reveal the planned forces for the symphony, and indicate that Schoenberg saw fit to devise a seating arrangement to accommodate the large number of orchestral players, in addition to the soloists and chorus required for the second and subsequent movements.[103] But the symphonic plan was never brought to fruition, despite the existence of a number of sketches from 1914 and 1915. Only the final movement, which was based on Schoenberg's own text, was worked on after this period; in 1917 it was entitled *Die Jakobsleiter* and reconceived as an independent oratorio.

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[101] Schoenberg, Letter to Alma Mahler, 1 April 1914, Auner, *Schoenberg Reader*, 123–124.
[102] For discussions of Schoenberg's changing plan for the symphony, see Walter B. Bailey, *Programmatic Elements in the Works of Schoenberg* (Studies in Musicology, 74; Ann Arbor, Mich.: UMI Research Press, 1984), 84–86; Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 102–107.
[103] See Bailey, *Programmatic Elements in the Works of Schoenberg*, 106 and 118.

Berg, too, had endeavoured to write a symphony during this period. He first outlined his intention to Schoenberg in a letter in April 1913, two months before he and his wife visited Schoenberg in Berlin.[104] But, after the visit, he mentioned his plans not for a symphony but for a 'suite'.[105] As he explained a few weeks later, the revised plan was in accordance with Schoenberg's advice:

> Unfortunately I have to confess, dear Herr Schönberg, that I haven't made use of your various suggestions as to what I should compose next. Much as I was intrigued from the start by your suggestion to write an orchestral suite (with character pieces), and though I immediately began to think of it often and seriously, and did intend to work it out, nonetheless it didn't come about. Again and again I found myself giving into an older desire—namely to write a *symphony*. And when I intended to make a concession to this desire by beginning the suite with a prelude, I found (upon beginning the work) that it again merely turned into the opening of this symphony. So I simply decided to go ahead with it:—it is to be a large one-movement symphony, naturally including the requisite 4 movements, i.e., sections, with developments, etc. Similar in construction to the Chamber Symphony. Concurrently though, the plan for the suite is sure to mature to the point where I can actually begin writing it, and then your kind suggestion will be realized—though belatedly. I hope with all my heart that you won't be angry with me for postponing realization of your suggestion.[106]

Just one month later, he wrote to Schoenberg: 'Progress on my symphony has been slow recently'.[107] It was not until March 1914 that Berg began working on the suite, 'a series of character pieces, March, Waltz, etc.', as he described it.[108] And, by July 1914, he had obviously become resigned to the fact that the symphony was not going to materialize. As his letter to his wife indicates, he had decided that the Prelude would join the March and Waltz in his *Drei Orchesterstücke* (Three Orchestral Pieces), Op. 6:

> I want to finish the first draught [*sic*] of the so-called Präludium. I'm using for it a good deal of the musical material which I intended to use in the

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[104] Berg, Letter to Schoenberg, 24 April 1913, *Berg–Schoenberg Correspondence*, 174.
[105] Berg, Letter to Schoenberg, 14 June 1913, Ibid., 180.
[106] Berg, Letter to Schoenberg, 9 July 1913, Ibid., 182. I have rendered underlined text in italics.
[107] Berg, Letter to Schoenberg, 16 August 1913, in Donald Roderick Mclean, 'A Documentary and Analytical Study of Alban Berg's Three Pieces for Orchestra', Ph.D. diss. (University of Toronto, 1997), 64.
[108] Berg, Letter to Schoenberg, 26 March 1914, *Berg–Schoenberg Correspondence*, 203.

> symphony I began last year in Trahütten—it evidently wasn't meant to become a symphony! It didn't develop much beyond the Prelude, so that might introduce the Pieces for Orchestra instead of the symphony.[109]

Thus, like Schoenberg's symphonic aspirations of 1912–15, Berg's plan ultimately failed, finding its final expression in the form of three character pieces. As he described them in a letter of 1915, the pieces reflected Schoenberg's advice not just in their proportions but also in their employment of repetition [*thematische Arbeit*]:

> The 3 Orchestra Pieces really did grow out of the most strenuous and sacred endeavor to compose character pieces in the manner you desired, or normal length, rich in thematic complexity [*reicher thematischer Arbeit*], without striving for something 'new' at all cost, and in this work to give of my best.[110]

It could be inferred that the suggestion that Berg write a suite of character pieces—as opposed to a symphony—was illustrative of Schoenberg's own compositional difficulties. Clearly, the task of constructing large-scale form had become problematic for him—hence, the predominance in his instrumental compositions from that period of short *Charakterstücke* that rely on simple techniques of juxtaposition and avoid the developmental structures demanded by sonata and rondo forms. Although he did recognize alternative strategies for delineating formal units by representing the changing character or mood of a text through musical means, whether through tempo, orchestration, dynamics, or figuration, Schoenberg was unable to fulfil his symphonic ambition, even with recourse to texts.

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[109] Berg, Letter to Helene Berg, 14 July 1914, Alban Berg, *Letters to His Wife*, ed. and trans. Bernard Grun (London: Faber, 1971), 163.

[110] Berg, Letter to Schoenberg, [late November 1915], *Berg–Schoenberg Correspondence*, 257. The original German version is given in Grünzweig, *Ahnung und Wissen, Geist und Form*, 30.

Interpreting the Transformation

Schoenberg's unfinished symphony suggests an attempt to regain—or, perhaps, to surpass—the large-scale compositions of his tonal period. While the 'yearning for a style for large forms', to use the expression from his letter to Alma Mahler, may have been his principal aim at that time, the transformation of his musical thought in 1912 was multivalent: his quest for extended forms was related not only to the reintroduction of *motivische Arbeit* and its associated 'symbols of cohesion [or coherence] and of logic' but also to a new concern for the listener's understanding and reception of his work.[111]

As mentioned above, Schoenberg re-embraced *motivische Arbeit* in a number of movements from *Pierrot lunaire* as a way of articulating small-scale form; however, the idea of repetition to create a ternary form had already been revived in 1911 in Op. 19, No. 4, as the third and final phrase is a varied reprise of the opening theme.[112] As Auner has convincingly shown, it was in the protracted genesis of *Die glückliche Hand* that Schoenberg's changing compositional aesthetic was perhaps best documented: consistent with his intentions in the Busoni manifesto, Schoenberg avoided *motivische Arbeit* in the compositional sketches from 1910–11, but allowed it to resurface in 1912–13 in order to facilitate

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[111] Schoenberg's aesthetic reorientation may also be understood in the context of his changing *Weltanschauung*. Charlotte Cross has drawn attention in her dissertation to the religious texts that Schoenberg chose to set to music between 1908 and 1914/15 , a point that echoed Walter Bailey's statement that 'the impetus for the several incomplete works with texts written between 1912 and 1917 seems to lie in Schoenberg's renewed interest in religion during this time period'. See Charlotte M. Cross, 'Schoenberg's *Weltanschauung* and His Views of Music: 1874–1915', Ph.D. diss. (Columbia University, 1992); Bailey, *Programmatic Elements in the Works of Schoenberg*, 80. The case for understanding the shift from the intuitive aesthetic to a more systematic approach in relation to Schoenberg's religious outlook—specifically, from theosophy to monotheism—has been made in William E. Benjamin, 'Abstract Polyphonies: The Music of Schoenberg's Nietzschean Moment', in Charlotte M. Cross and Russell A. Berman (eds.), *Political and Religious Ideas in the Works of Arnold Schoenberg* (New York and London: Garland, 2000), 1–39.

[112] This point has been made by both Simms and Haimo. See Simms, *The Atonal Music of Schoenberg*, 85; Haimo, *Based on Tradition*, chapter 17.

repetition and provide formal demarcation.[113] It became increasingly important for him as he sought to write extended works, as evidenced in his letter to Zemlinsky concerning his projected symphony:

> I am working only a little. For a time I set about all sorts of things, but at present everything has again been at a standstill for a long while. I worked on a theory of modern harmony then, for my symphony, I also began to write texts for the third and fifth movements. Two of my orchestral songs on Rilke are ready,[114] but I think that I shall certainly return to work on my symphony in the near future. There are still major difficulties and a few preliminary studies before I can go right to the whole. It will again be a 'worked' [*gearbeitetes*] piece in contrast to my many purely impressionistic pieces of recent times.[115]

Although these comments reveal that Schoenberg contraposed 'gearbeitet' and the intuitive aesthetic, they shed little light on the actual meaning of the former. But, bearing in mind that Berg noted the return of both thematic and motivic working ('wieder them. u. motivische Arbeit') on his score of *Pierrot lunaire*, while classifying 'Der Mondfleck' and 'Nacht' as 'gearbeitet' ('Parodie' was also included in this category in the essay 'KzT'), it seems plausible, and indeed highly likely, that 'gearbeitet' was Schoenberg's adjectival term for describing pieces displaying *motivische Arbeit*.[116] Seen in this context, Schoenberg's symphony, had it materialized, would have been defined by *motivische Arbeit* and possibly

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[113] See Auner, 'Schoenberg's Compositional and Aesthetic Transformations 1910–1913', 222–278 and 318–425.

[114] The first of the Op. 22 songs was based on 'Seraphita', a text by Ernest Dowson in a translation by Stefan George, while the remaining three used texts by Rainer Maria Rilke.

[115] Schoenberg, Letter to Zemlinsky, 9 January 1915, Auner, *Schoenberg Reader*, 129–130. The original German text is given in *Alexander Zemlinsky: Briefwechsel mit Arnold Schönberg, Anton Webern, Alban Berg und Franz Schreker*, ed. Horst Weber (Briefwechsel der Wiener Schule, 1; Darmstadt: Wissenschaftliche Buchgesellschaft, 1995), 132.

[116] Shaw does not make the connection between 'motivische Arbeit', as outlined in Schoenberg's letter to Busoni, and 'gearbeitet' and, thus, offers a different interpretation of the term. She writes: 'Schoenberg's curious term "gearbeitet" may be interpreted in two main ways. First, it suggests that the symphony is something to be crafted or "worked through"; something, perhaps, that is to be wrought, forged, or beaten into shape. Second, it suggests that Schoenberg perceived the composition of his symphony as a challenge or as a problem; that is, as something to be investigated and then solved or "worked out". Both meanings of "gearbeitet"—as "worked through" and as "worked out"—are suggested not just by Schoenberg's substantial sketches for and revisions of his symphony, but also by the ways in which he reused distinctive pitch and pc material from his symphony in several other compositional projects of the years 1917 to 1922'. See Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 16–20.

characterized, like some of the movements from *Pierrot lunaire*, by contrapuntal procedures.

Schoenberg must have recognized the unfeasibility of a compositional aesthetic that precluded *motivische Arbeit* as he sought to regain the extended forms of his tonal period. Moreover, it seems that he came to the conclusion that a 'style for large forms' was dependent on the listener being able to comprehend the structure of the work. In other words, while 'brevity facilitates a grasp of the whole',[117] the corollary of large-scale composition, for Schoenberg, was a necessity for coherence and comprehensibility; taking his cue from Schoenberg's comments at the meeting/s in 1922, the author of 'KzT' made this point when he asserted that 'long works place greater demands on comprehensibility [*Faßlichkeit*] than shorter ones ("to comprehend [*fassen*] is to remember")'.[118] The reincorporation of *motivische Arbeit* in works from 1912, then, was part of a conscious attempt to make his works more comprehensible.

This interpretation of Schoenberg's transformation is corroborated by a revision made to the *Harmonielehre*. In 1911 Schoenberg wrote that

> It should not be said that order, clarity, and comprehensibility can impair beauty, but they are not a necessary factor without which there would be no beauty; they are merely an accidental factor.[119]

But, in the revised edition, this passage was altered to read:

> This is not to say that some future work may do without order, clarity, and comprehensibility, but that not merely what we conceive as such deserves these names.[120]

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[117] Schoenberg, 'Analysis of Opus 22', 26.
[118] 'KzT', in [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 297. Translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 591.
[119] Arnold Schönberg, *Harmonielehre* (Leipzig and Vienna: Universal Edition, 1911), 31. Translation in Auner, *Schoenberg Reader*, 92–93.
[120] Schoenberg, *Theory of Harmony*, 29–30.

Roy E. Carter neatly summarized the distinction thus: 'Schoenberg seems to have said in 1911 that order in music is unnecessary, at least as far as beauty if concerned, and in 1921 that it is necessary but can be conceived much more variously that is commonly assumed'.[121] Another revision to the same passage indicates that Schoenberg was becoming increasingly aware of the listener's ability to comprehend the work. He claimed in 1911 that 'the fact that all masterworks seem comprehensible and ordered does not speak against what is offered here, for comprehensibility can also come about through the adaptation of the observer'.[122] Yet he acknowledged in the later edition that concessions ought to be made in relation to the reception of contemporary music:

> Even the untrained observer finds these conditions [comprehensibility and clarity] in works he has known for some time, for example, in all the older masterworks; here he has had time to adapt. With newer works, at first strange, he must be allowed more time.[123]

These emendations are significant inasmuch as they outline the growing importance of comprehensibility in Schoenberg's musical thought. He continued to subscribe to the later position as he remained convinced of the necessity for coherence and comprehensibility in composition, writing emphatically, in 1927 for instance, that 'the effort of the composer is solely for the purpose of making the idea comprehensible to the listener'.[124]

A closer examination of documents written in 1909 and 1913 enables us to pinpoint Schoenberg's changing attitude toward his musical public. During his extensive correspondence with Busoni in the summer of 1909, a period that

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[121] Roy E. Carter, Translator's Preface, to Ibid., xviii.
[122] Translated in Auner, *Schoenberg Reader*, 93. The original German version appears on page 32 of the 1911 edition.
[123] Schoenberg, *Theory of Harmony*, 30.
[124] 'Problems of Harmony' (1927, rev. 1934), in Schoenberg, *Style and Idea*, 285. This sentence appears in the 1927 version of the text. See Schönberg, *Stil und Gedanke*, 232. The translation should read 'understandable' rather than 'comprehensible', given that the German word is 'verständlich'.

presumably coincided with the preparation of the first edition of the *Harmonielehre*, Schoenberg paid little attention to the listener's perception of his music:

> One does not necessarily have to consider the public when analysing the productive or reproductive artist. The public merely cooperates when it is induced, when it is, so to speak, involved.[125]
>
> An art which is at one and the same time its creator's and its appraiser's cannot exist. One of these has to give way, and I believe this must be the appraiser.[126]

Because he was seeking in his compositions from that period to obliterate all traditional features, including *motivische Arbeit*, his 'vision', as he described it, was to be 'freer from repetition of motifs and spinning out of thoughts [*Gedanken*] in the manner of a melody'.[127] Concurrently, in an aphorism published in the journal *Die Musik*, Schoenberg undermined the traditional conception of melody by asserting that it catered for the lowest common denominator:

> Melody is the most primitive form of expression in music. Its goal is to present a musical idea through many repetitions (motivic work [*motivische Arbeit*]) and the slowest possible development (variation) so that even the dense can follow it. It treats the listener the way a grown-up treats a child or a sensible person treats an idiot. For the swift intellect this is an insulting presumption, but that's the reason our grown-ups make it the essence of music.[128]

Having classified melody as primitive in 1909, the topic he chose to discuss in an essay written four years later was the sophistication of new melodies and the demands they placed on the listener. The short text, published in a programme booklet for the Wiener Konzerthaus in October 1913, was entitled 'Why new

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[125] Schoenberg, Letter to Busoni, 20 July 1909, *Busoni: Letters*, 383.
[126] Schoenberg, Letter to Busoni, 24 August 1909, Ibid., 392.
[127] Schoenberg, Letter to Busoni, 24 August 1909, Ibid., 395. According to his radio talk of 1932, he realized this aim, but only because the loss of tonality prevented him from constructing such units: 'I was compelled [...] to renounce not only the construction of larger forms, but to avoid the employment of larger melodies—as well as all formal musical elements dependent upon the frequent repetition of motifs'. See Schoenberg, 'Analysis of Opus 22', 27.
[128] Schoenberg, 'Aphorisms' (1909), in Auner, *Schoenberg Reader*, 64. This was just one of a large number of aphorisms published in *Die Musik* 9/21 (1909–10), 159–163.

melodies are difficult to understand' (Warum neue Melodien schwerverständlich sind):

> Every melody results from the repetition of a more or less varied basic motive. The more primitive, the more artless the melody is, then the more modest the variation and the more numerous the repetitions. The lower the demands which may be put upon the capacity for comprehension [*Fassungsvermögen*], the quicker the tempo of repetitions, then the more inferior must be its inner organization. Since indeed every genuinely new melody, as a premise of its newness, must deal with the pre-existent lower organisms, the melody uses either hardly new basic motives in few or more artful variations, therefore developing itself more quickly, or it uses entirely new motives, which it develops slowly in perhaps many variations. It cannot be within the interest of art to go forward systematically, i.e., always first presenting the very simplest usable motive in the broadest acceptable manner and only then, when all the simpler things are settled, turning to new motives or to quicker methods of development. Art is content with typical cases: it leaves the rest to kitsch and popular tunes; it passes over some steps in the process, and, seemingly abruptly, places new forms beside old ones. Its characteristics, always in relation to what came before, are the following: something known is assumed to be known and therefore no longer mentioned; the characteristics of the new stipulate new forms of variation (whose methods also wear out); less is conceded to the need to give a visible and slowly pursuable image to the affinity of cohesion-shaping elements [*zusammenhangbildenden Elemente*]. It can be assumed that a perceived cohesion [*Zusammenhang*] holds, even if the manner of connection is not compositionally explicit. One saves space and expresses not with ten words what can be said with two.
> Such 'brevity' is disagreeable to him who wants to enjoy his comfort. But why should the privileges of those who think too slowly be preserved?[129]

The contrast between the 1909 aphorism and the 1913 essay is telling, especially since the definition of melody in 1913 as the 'repetition of a more or less varied basic motive' corresponds to that in 1909. Thus, Schoenberg's conception of melody remained unchanged; what did change, however, was his compositional philosophy.

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[129] 'Warum neue Melodien schwerverständlich sind', in *Die Konzertwoche* (Beilage der Programmbücher der Konzerte im Wiener Konzerthaus vom 19.–26. Oktober 1913), catalogued at A58590 in the Arnold Schönberg Center Privatstiftung, Vienna. The handwritten manuscript is entitled 'Wiederholung' (repetition) and is catalogued at T34.03 at the Arnold Schönberg Center Privatstiftung, Vienna. The translation cited here is given in Bryan R. Simms, 'New Documents in the Schoenberg–Schenker Polemic', *Perspectives of New Music* 16/1 (1977), 115–116.

There was correlation between Schoenberg's theory and practice as expressed in both the 1909 and 1913 documents: each can be understood as defending the compositional style of the respective period. The first dismisses melody as a structural element and, in so doing, prepares the listener for textures in Schoenberg's coetaneous works that rely on variegation rather than repetition; the second, corresponding to the period when he had reincorporated repetition into his composition style, treats of melody in the context of a coherent composition, identifying two different categories of melodic construction.[130] Unlike 1909, when it was only considered primitive, Schoenberg conceived melody in 1913 as potentially primitive or artful. The description of the former is similar in the two texts: a primitive—or artless—melody is defined by a large number of repetitions and sparing variation, thus ensuring that it is easily understood; by contrast, the 'genuinely new melody', representative of the more artful construction and, presumably, exemplified by one of Schoenberg's own compositions, appealed to what he described in 1909 as the 'swift intellect' and was characterized by a faster tempo of repetition and variation. The distinction between the primitive and the new was less apparent when Schoenberg conceded that the 'genuinely new melody' comprising 'entirely new motives' varies its motives at a slow tempo; this statement could be understood as an anticipation of Schoenberg's comment, cited above, from the revised edition of the *Harmonielehre* that 'with newer works, at first strange, he [the observer] must be allowed more time'.[131]

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[130] The essay was written as Schoenberg neared completion of *Die glückliche Hand*, the full score of which was dated 18 November 1913. A description of the sources for the work is given in Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, 66–68.

[131] Dahlhaus's remarks on the 'principle of compensation' are also applicable here: 'Arnold Schoenberg recognized a principle of compensation or economy as a fact of musical hearing and as a tendency effective in the history of composition'. See Carl Dahlhaus, *Esthetics of Music*, trans. William Austin (Cambridge: Cambridge University Press, 1982), 92.

In the remainder of the 1913 document Schoenberg defined his conception of 'art', in contradistinction to kitsch and popular idioms, reinforcing the speed of development ('it passes over some steps') and the resulting demands placed on the listener. Interestingly, brevity was emphasized here as well as in the Busoni manifesto of 1909; nonetheless, a crucial difference exists. In 1909 brevity was a constituent element of Schoenberg's intuitive approach; but, in 1913, when formal coherence and cohesion re-attained their importance, brevity was simply a by-product of a fast pace of motivic repetition and variation. Furthermore, while the aim toward concision in 1909 was reflected in the length of the composition, the brevity to which he referred in 1913 was more akin to holophrasis, for he noted that 'one saves space and expresses not with ten words what can be said with two'.

The reasons for the dramatic change in Schoenberg's aesthetic outlook in 1912/13 are less clear. It is noteworthy, however, that his volte-face in 1912 coincided with an interest in, what he called, 'theoretical matters', something that he noted in his diary entry of 12 March 1912, the day he began composing *Pierrot lunaire*: 'Then came the preoccupation with theoretical matters. Doing that very definitely dries one out'.[132] Having begun 'Gebet an Pierrot' the following day, he was still concerned with his theoretical work: 'I should actually work out my lecture on Mahler that I shall be giving in Prague on the 25th'.[133] In fact, one of the topics of this lecture was the 'artistry of [Mahler's] melodic construction', about which Schoenberg remarked that 'it is incredible how long melodies can become, although certain chords have to be repeated in the process. And in spite of this no

[132] Schoenberg, diary entry of 12 March 1912, Auner, *Schoenberg Reader*, 111–112.
[133] Schoenberg, diary entry of 13 March 1912, Ibid., 112.

monotony sets in'.[134] It is conceivable that the reincorporation of repetition in *Pierrot lunaire* was influenced, at least in part, by his re-engagement with the music of Mahler.[135]

It is possible, too, that Schoenberg's renewed consideration for the audience was prompted by the poor reception of his music. As noted above, he was saddened by the 'revolting news' about his performances in Vienna in December 1911.[136] But it may have been the famous *Skandalkonzert*, which took place in March 1913 in Vienna and at which performances of music by Schoenberg, Berg and Webern incited such an uproar that the concert could not be completed,[137] that encouraged him to be more aware of the listener's understanding of his music. Given that the 1913 essay served to defend his own music as well that of the Viennese School, it was unsurprising that it provoked an excited response from Berg. Just days after the essay had been published, he wrote to Schoenberg:

> It's the most wonderful thing ever written about melody, about the *essence* of melody. Those few lines contain absolutely *everything* that could ever be said about melodies in general. We're all [Berg, Webern, and Stein] completely overwhelmed by the wealth of ideas and by the incredibly succinct form given those ideas. It sounds like a magnificent modulation, so compelling, so concentrated! Oh, I can't find the words and the comparison is much too weak![138]

Berg's reaction, although overly enthusiastic and verging on the obsequious, confirms the significance of the 1913 essay in the development of Schoenberg's musical thought. Firstly, the essay is proof of a concerted effort on Schoenberg's

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[134] 'Gustav Mahler' (1912, rev. 1948), in Schoenberg, *Style and Idea*, 459–460. Schoenberg first presented his lecture on Mahler in Prague in March 1912; it was given again later that year in Berlin and Vienna.

[135] The incorporation of vocal movements in Schoenberg's planned symphony of 1914–15 calls to mind Mahler's Eighth Symphony with its settings of 'Veni, Creator Spiritus' and a scene from Goethe's *Faust*.

[136] Schoenberg, Letter to Berg, 21 December 1911, *Berg–Schoenberg Correspondence*, 60.

[137] For more information on this event, see Berg's letters to Schoenberg in April 1913 in Ibid., 166–172.

[138] Berg, Letter to Schoenberg, 31 October 1913, Ibid., 191. Underlined text is rendered here in italics.

part to consider the extent to which the listener—he had in mind an intelligent listener—could be expected to understand a sophisticated melodic construction; the fact that he took into account the listener's 'capacity for comprehension', as he put it, is in itself indicative of a radical shift from his aesthetic of 1909. Secondly, the essay introduces an important distinction that Schoenberg continued to make in his writings between high and low art, presented here as the contrast between 'art' and the popular or kitsch; moreover, the fundamental criterion differentiating 'art' from a primitive idiom—namely, the tempo at which motives are repeated, varied, or developed—was retained in the *Gedanke* manuscripts of the 1920s and informed Schoenberg's categories of motivic presentation.[139] Thirdly, and most significantly, the essay marks the beginning of a focus in Schoenberg's *Formenlehre* upon coherence and comprehensibility (he referred both to *Zusammenhang* and *Fassungsvermögen* in the essay), two concepts that were central to his compositional philosophy in the early 1920s and paved the way for the discovery of dodecaphony.

Indeed Schoenberg's transformation from a spontaneous compositional approach to a more rational aesthetic was reflected in his theoretical writings, as the term 'Gefühl' was gradually replaced by the laws of coherence, comprehensibility, and logic. Shortly after completing his *Harmonielehre* in 1911, Schoenberg wrote to Hertzka to outline his plans for a series of textbooks, encompassing manuals on counterpoint and instrumentation as well as a number of studies on form, which, together, were to form an 'Aesthetic of Music' [*Aesthetik der Tonkunst*].[140] By 1917, Schoenberg was working on his manuals on

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[139] Schoenberg's conception of the 'primitive' mode of construction is discussed in chapter 3.

[140] Schoenberg, Letter to Hertzka, 23 July 1911, cited and translated in Bryan R. Simms, review of Arnold Schoenberg, *Theory of Harmony*, trans. Roy Carter, *Music Theory Spectrum* 4 (1982), 156–157.

instrumentation, counterpoint and form, in the form of his *ZKIF* notebooks, but they were unified not by the planned 'Aesthetic of Music' but by coherence [*Zusammenhang*], a topic that continued to preoccupy him until 1923.

In fact, the correspondence indicates that Schoenberg was writing a document on coherence in the summer of 1921. In July 1921 he wrote to Berg from his summer residence in Traunkirchen, stating that he had written 'the first 10 pages of *Zusammenhang*'.[141] Just a few weeks later, Webern wrote to Berg to communicate the news he had just heard about Schoenberg from Josef Polanuer, a student who had just returned from visiting him in Traunkirchen. In addition to including a description of the villa, he wrote 'he is working on *Zusammenhang*'.[142] And, having visited Schoenberg himself later that month, Webern again mentioned the book on *Zusammenhang*.[143] It is conceivable that an undated document that is usually described as one of the *Gedanke* manuscripts may date from this time, although it comprises nine—rather than ten (as Schoenberg mentioned in his letter to Berg)—pages of text.[144]

The project on coherence was still live in 1922, as Schoenberg wrote to Kandinsky: 'I plan to write a smaller theoretical book, "Lehre vom musikalischen Zusammenhang", which has also been in my mind for several years and which is always being postponed—probably because it hasn't yet matured'.[145] At the same time, however, he was considering a 'Theory of Composition'.[146] Yet, by 1923, he told Hauer that his theory of coherence had gestated into 'Composition with

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[141] Schoenberg, Letter to Berg, 16 July 1921, *Berg–Schoenberg Correspondence*, 308.
[142] Webern, Letter to Berg, 6 August 1921, transcription by Ernst Hilmar, copy located in the Arnold Schönberg Center Privatstiftung, Vienna.
[143] Webern, Letter to Berg, 27 August 1921, transcription by Ernst Hilmar, copy located in the Arnold Schönberg Center Privatstiftung, Vienna.
[144] The manuscript is catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna.
[145] Schoenberg, Letter to Kandinsky, 20 July 1922, *Schoenberg: Letters*, 71.
[146] Ibid.

Twelve Tones'.[147] Pulling together the various plans outlined to Kandinsky and Hauer, Schoenberg publicized his intentions in an article *Musikblätter des Anbruch* in 1924:

> More recently, I have made some discoveries which compelled me to revise the small work entitled *The Theory of Musical Cohesion* [*Die Lehre vom musikalischen Zusammenhang*] into the more ambitious *The Laws of Musical Composition*, and similarly to compile not a simple counterpoint text-book but a *Theory of Polyphonic (Contrapuntal) Composition*; and finally, to plan an article, 'Laws of Composition With Twelve Tones'.[148]

Although he started writing his documents on the musical idea in 1923, it was not until 1926 that he identified 'The Musical Idea and Its Presentation [*Der musikalische Gedanke und seine Darstellung*]' as his principal theoretical project.[149] He later classified it as his 'key book' [*Schlüsselbuch*] and stated in 1934 that he had been preparing for this project for twenty years,[150] a claim that is entirely consistent with the emerging preoccupations of his 1913 essay, 'Why new melodies are difficult to understand'. In summary, Schoenberg's 'Aesthetic of Music' was replaced by a unified theory of coherence, which, in turn, metamorphosed into the musical idea. Given the importance he attached to the *Gedanke* in his compositional philosophy from the early 1920s, Rudolf Stephan's interpretation of Schoenberg's transformation in the context of a move from 'Ausdruck' to 'Gedanke' is particularly enticing.[151]

Ultimately, following the realization that a feeling for form was no longer sufficient for the construction of extended works, Schoenberg turned to the music

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[147] Schoenberg, Letter to Hauer, 1 December 1923, Ibid., 104.
[148] 'On My Fiftieth Birthday: September 13, 1924', in Schoenberg, *Style and Idea*, 23–24.
[149] 'Opinion or Insight?' (1926) in Ibid., 261.
[150] Schoenberg, Letter to Karl Engel, 6 June 1934, cited and translated in Alexander Goehr, 'Schoenberg's *Gedanke* Manuscript', *Journal of the Arnold Schoenberg Institute* 2/1 (1977), 4–5 and 20.
[151] See Rudolf Stephan, 'Arnold Schönberg—Ausdruck und Gedanke ', in Rudolf Stephan, Sigrid Wiesmann, and Matthias Schmidt (eds.), *Bericht über den 3. Kongreß der Internationalen Schönberg-Gesellschaft: 'Arnold Schönberg—Neuer Der Musik' (Duisburg, 24. bis 27. Februar 1993)* (Publikationen der Internationalen Schönberg-Gesellschaft, 3; Vienna: Lafite, 1996), 7–11.

of the past—initially in 1912/13 but with a greater vigour in 1917—to acquire a deeper understanding of its formal principles to guide him in his compositional practice. Moreover, in order to articulate the move away from unmediated expression, Schoenberg felt it necessary to rationalize the actual compositional process. This was the topic of his undated *Zusammenhang* manuscript, which he described as follows:

> What the artist in creation does unconsciously and according to feeling is to be presented here as he would do it if he were [to become] conscious of his action.[152]

What is significant is that Schoenberg believed that, by reflecting on the compositional process, he was outlining, what he called, the 'laws' of 'musical logic': 'A part of musical logic is to be restored thereby [...] It will then be evident that the laws established, proved, and used here are at the same time those of musical logic'.[153]

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[152] Schoenberg, undated document on coherence, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation provided by and given in Charlotte M. Cross, 'Schoenberg's *Gedanke* Manuscripts: The Theoretical Explanation of his Twelve-Tone Method?' Conference Paper, Annual Meeting of the Music Theory Society of New York State, Eastman School of Music, Rochester, New York, 3 April 2004. Schoenberg described this process in greater detail in one of his later writings: 'Formerly the use of the fundamental harmony had been theoretically regulated through recognition of the effects of root progressions. This practice had grown into a subconsciously functioning sense of form which gave a composer an almost somnambulistic sense of security in creating, with utmost precision, the most delicate distinctions of formal elements. [...] Nevertheless, the desire for a conscious control of the new means and forms will arise in every artist's mind; and he will wish to know consciously the laws and rules which govern the forms which he has conceived 'as in a dream'. Strongly convincing as this dream may have been, the conviction that these new sounds obey the laws of nature and of our manner of thinking—the conviction that order, logic, comprehensibility and form cannot be present without obedience to such laws—forces the composer along the road of exploration. He must find, if not laws or rules, at least ways to justify the dissonant character of these harmonies and their successions'. See 'Composition with Twelve Tones (I)' (1941), in Schoenberg, *Style and Idea*, 218.

[153] Schoenberg, undated document on coherence, T37.08. Translation provided by and given in Cross, 'Schoenberg's *Gedanke* Manuscripts: The Theoretical Explanation of his Twelve-Tone Method?' The new emphasis on musical logic in Schoenberg's compositional philosophy was also reflected in the revisions made to his *Harmonielehre*. For he wrote in 1932: 'The second version of my "Harmonielehre" (1921) comes from a period during which I had already made considerable progress along the road to musical logic. Therefore, you will find many such viewpoints expressed there'. See Schoenberg, Letter to Edgar Prinzhorn, 17 April 1932, Goehr, 'Schoenberg's *Gedanke* Manuscript', 4.

Evolving 'Laws' and the *Gedanke*

Like his unified theory, Schoenberg's conception of the 'laws' of a composition was variously expressed. That he only discussed 'laws' in relation to tonal music and twelve-tone—or nascent twelve-tone—music is not entirely unexpected, given that he associated them with 'order' and 'clarity' ('what we claim to perceive as laws [defining order and clarity] may perhaps only be laws governing our perception'[154]), the very factors that he was seeking to avoid in his compositional style of 1909–1911. Essentially, Schoenberg was seeking to replicate the so-called 'laws and effects of tonality' in his twelve-tone music. The task, as he explained it in 1923, was 'to find the form in which the laws of the earlier art can be applied to the new'.[155]

While he referred in his undated *Zusammenhang* manuscript to the laws of musical logic, he stated that the purpose of that study was to find the 'laws of form [*Formgesetze*] by raising the question of coherence'.[156] Elsewhere, in an essay of 1923, the emphasis was placed on the 'law of comprehensibility':

> The weightiest assumption behind twelve-tone composition is this thesis: Whatever sounds together (harmonies, chords, the result of part-writing) plays its part in expression and in presentation of the musical idea in just the same way as does all that sounds successively (motive, shape, phrase, sentence, melody, etc.), and it is equally subject to the law of comprehensibility.[157]

However, the distinction between coherence and comprehensibility was not an important one for Schoenberg; rather, the two were intimately related and

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[154] Schoenberg, *Theory of Harmony*, 30. This passage appears in both the 1911 and 1922 editions.
[155] 'New Music' (1923), in Schoenberg, *Style and Idea*, 137. The expression 'laws and effects of tonality' appears, in both the 1911 and 1922 editions, in Schoenberg, *Theory of Harmony*, 29. The author of 'KzT' wrote that 'it was necessary to find laws to make a larger form possible'. See 'KzT', in [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 297. Translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 591.
[156] Schoenberg, undated document on coherence, catalogued at T37.08. Translation provided by and given in Cross, 'Schoenberg's *Gedanke* Manuscripts: The Theoretical Explanation of his Twelve-Tone Method?'
[157] 'Twelve-Tone Composition' (1923), in Schoenberg, *Style and Idea*, 207.

understood as the foremost principles governing the presentation of the musical idea [*Gedanke*].[158] Whereas he merely made reference to the presentation of the idea in his 1923 essay, he provided a brief explanation thereof in his undated *Zusammenhang* manuscript. Here he described the process of 'finding in every closed piece a *Grundgestalt* as the germ cell of the whole', but concluded that it is in itself a pointless enterprise, since it 'explains only the whole and not at all the details'. Given its shortcomings, he suggested a modification of the thesis that 'the motive is the germ cell of a composition', and asserted that the important issue is not that the 'composition is propagated from the germ cell' but that 'the presentation [of the idea] calls to mind the relationship between the germ cell and the dissimilar shapes that spring from it'.[159]

Schoenberg's conception of the presentation of the musical idea was derived from a re-engagement with the music of the past and, above all, from a reconsideration of tonality: 'The question of tonality can only be judged according to the laws of presentation of the musical idea'.[160] In addition, Schoenberg reconceived tonality in the 1920s by shifting the emphasis onto, what he called, the laws 'governing the working of our minds':

> Tonality's origin is found—and rightly so—in the laws of sound. But there are other laws that music obeys, apart from these and the laws that result from the combination of time and sound: namely, those governing the working of our minds. This latter forces us to find a particular kind of layout for those elements that make for cohesion [*die zusammenhangbildenden Elemente*]—and to make them come to the fore, often enough and with enough plasticity—so that in the small amount of time granted us by the flow of the events, we can recognize the figures,

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[158] Likewise, in his 1934 treatise, he wrote: 'The presentation of the musical idea is contingent upon the laws of logic, of coherence, and of comprehensibility'. See Schoenberg, *The Musical Idea*, 96–97 and 102–103.

[159] Schoenberg, undated document on coherence, T37.08.

[160] Schoenberg, 'zu: Darstellung d. Gedankens', 12 November 1925, catalogued at T35.02 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation by Charlotte Cross given in Patricia Carpenter, 'Schoenberg's Theory of Composition', in Walter Bailey (ed.), *The Arnold Schoenberg Companion* (Westport, Conn.: Greenwood Press, 1998), 219.

> grasp the way they hang together [*ihren Zusammenhang zu erfassen*], and comprehend their meaning.[161]

That the laws 'governing the working of our minds' can be understood as those of coherence and comprehensibility is suggested by the above excerpt and corroborated by the following statement: 'It is evident that abandoning tonality can be contemplated only if other satisfactory means for coherence and articulation present themselves'.[162] Although Schoenberg frequently acknowledged that tonality was an ideal means for articulating musical form, noting, for example, that 'the easiest deviations to grasp are those that can most easily be related back to the underlying tonic',[163] he believed that it constituted just one of many factors responsible for musical organization:

> Tonality is no natural law of music.[164]
>
> *Tonality is not an end in itself, but a means to an end.*[165]
>
> Tonality is seen as *one of the means* which facilitates the unifying comprehension of a thought and satisfies the feeling for form.[166]

Clearly, Schoenberg perceived tonality not as the supreme arbiter but as a way of enunciating unity and articulating musical form. It was understood simply as a medium, a medium that was ultimately replaced by dodecaphony.

Crucially, Schoenberg forged a link between the two media via the concept of the presentation of the musical idea. He claimed that 'an idea [*Gedanke*] in music consists principally in the relation of tones to one another',[167] and defined

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[161] 'Opinion or Insight? (1926) in Schoenberg, *Style and Idea*, 259. The original German version ('Gesinnung oder Erkenntnis?) is given in Schönberg, *Stil und Gedanke*, 209–214.
[162] 'Problems of Harmony' (1927, rev. 1934), in Schoenberg, *Style and Idea*, 279.
[163] 'Opinion or Insight?' (1926) in Ibid., 259.
[164] Schoenberg, *Theory of Harmony*, 9.
[165] 'Opinion or Insight?' (1926) in Schoenberg, *Style and Idea*, 259.
[166] 'Problems of Harmony' (1927, rev. 1934), in Ibid., 285.
[167] Ibid., 269. Just a few years earlier, in 1924, Schoenberg wrote: '*Idea* [*Gedanke*] is [...] ambiguous. The difficulty here is less if one uses the expression "a musical idea" (instead of theme or motive or phrase) (in music there are no other)'. See Schoenberg, 'Zur Terminologie der Formenlehre', 5 October 1923, catalogued at T34.36 in the Arnold Schönberg Center Privatstiftung,

presentation in the following manner: '*Darstellung* signifies the presentation of an object to a spectator in such a way that he perceives its composite parts as if in functional motion'.[168] Consistent with that statement on the idea, Schoenberg described in his *Gedanke* manuscript of November 1925 the relationships that subsist between individual notes in both tonal and twelve-tone music:

> Compositions executed tonally proceed in every sense so as to bring every occurring tone into a direct or indirect relationship to the fundamental tone, and their technique tries to bring this relationship to such an expression that doubt about how a tone is related can never last for a long time.
>
> Not only is the individual tone treated in this way, but so too are all series of tones, all harmonies, and all progressions of harmonies.
>
> Composition with twelve tones related only to one another [...] *presupposes the knowledge of these relationships*, and does not see in them a problem still to be solved and worked out.[169]

Vienna; translation in Schoenberg, *The Musical Idea*, 372. Schoenberg later defined the *Gedanke* more broadly. He claimed in 1941 that the musical idea 'though consisting of melody, rhythm, and harmony, is neither the one nor the other along, but all three together'. See 'Composition with Twelve Tones (I)', in Schoenberg, *Style and Idea*, 220. In 1946 he wrote that 'the term idea is used as a synonym for theme, melody, phrase or motive. I myself consider the totality of a piece as the *idea*: the idea which its creator wanted to present'. See 'New Music, Outmoded Music, Style and Idea' (1946), in Schoenberg, *Style and Idea*, 122–123. Clearly, the term 'idea' held a special significance for Schoenberg, as revealed, especially, in his later writings, where he reserved the term for certain composers. He wrote: 'There is no greater perfection in music than in Bach! No Beethoven or Haydn, not even a Mozart who was closest to it, ever attained such perfection. But it seems that this perfection does not result in a style which a student can imitate. This perfection is one of Idea, of basic conception, not one of elaboration. This latter is only the natural consequence of the profundity of the idea, and this cannot be imitated, nor can it be taught'. See Arnold Schoenberg, *Preliminary Exercises in Counterpoint*, ed. Leonard Stein (London: Faber and Faber, 1963), 223. There is a vast literature on the topic of Schoenberg's *Gedanke*. The following are among the most important contributions: Patricia Carpenter and Severine Neff, Commentary, in Schoenberg, *The Musical Idea*, 1–86; Patricia Carpenter and Severine Neff, 'Schoenberg's Philosophy of Composition: Thoughts on the Musical Idea and Its Presentation', in Juliane Brand and Christopher Hailey (eds.), *Constructive Dissonance: Arnold Schoenberg and the Transformations of Twentieth-Century Culture* (Berkeley, Los Angeles and London: University of California Press, 1997), 146–159; Charlotte M. Cross, 'Three Levels of "Idea" In Schoenberg's Thought and Writings', *Current Musicology* 30 (1980), 24–36; Goehr, 'Schoenberg's *Gedanke* Manuscript', 4–25; Andreas Jacob, 'Die Entwicklung des Konzepts des musikalischen Gedankens 1925–1934', in Christian Meyer (ed.), *Arnold Schönberg in Berlin: Bericht zum Symposium 28.–30. September 2000* (Journal of the Arnold Schönberg Center, 3; Vienna: Arnold Schönberg Center, 2001), 177–190; Rudolf Stephan, 'Der Musikalische Gedanke bei Schönberg', *Österreichische Musikzeitschrift* 37/10 (1982), 530–540.

[168] Schoenberg, Letter to Adolph Weiss, 1 December 1931, cited and translated in Simms, 'review of *Theory of Harmony*', 160.

[169] Schoenberg, 'zu: Darstellung d. Gedankens', 12 November 1925, catalogued at T35.02 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation by Charlotte Cross given in Carpenter, 'Schoenberg's Theory of Composition', 219.

As well as considering the relationship between individual notes, the presentation of the musical idea, as indicated in the undated *Zusammenhang* manuscript, took into account the relationship between motives. On the one hand, Schoenberg differentiated the various components of a composition—'main and subordinate matters', for example—by characterizing their relative coherence as stable [*fest*] (or strong [*stark*]) or loose [*lose* or *locker*]. These concepts, although central to Schoenberg's thought in the 1930s and 1940s, were *in statu nascendi* between 1917 and the early 1920s,[170] and capture the essence of contrast no longer postulated as that between different keys:

> For in a key, opposites are at work, binding together. Practically the whole thing consists exclusively of opposites, and this gives the strong effect of cohesion. To find means of replacing this is the task of twelve-tone composition.[171]

On the other hand, the presentation of the idea was invoked to regulate the interrelationship of motives or, more specifically, to describe the derivation of motives from a principal germ cell. In the absence of functional harmony to weld phrases, thematic complexes, and larger musical structures, Schoenberg discovered in the music of the past three contrasting methods of linking together and relating motives. Though mentioned in a number of documents, these were outlined most clearly in a *Gedanke* manuscript of July 1925:

> In musical technique, there are three main methods of connecting small parts with each other:
> 1. *stringing[-]together* [*Aneinander-Reihung*];
> 2. *unfolding* [*Abwicklung*];
> 3. *development* [*Entwicklung*].[172]

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[170] See T37.08 and T34.36, Arnold Schönberg Center Privatstiftung, Vienna; and Schoenberg, *ZKIF*, 22–23, 104–105. For an example of Schoenberg's later understanding of the dichotomy between stable and loose formation, see Schoenberg, *The Musical Idea*, 176–179. This topic is discussed in greater detail in subsequent chapters of this study.

[171] 'Hauer's Theories' (1923), in Schoenberg, *Style and Idea*, 209.

[172] Schoenberg, 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna, paragraph 13. The title of the manuscript is given on T37.07. Translation by Charlotte Cross, in Schoenberg, *The Musical Idea*, 379. For a description of the three methods as outlined in Schoenberg's writings, see Severine

'Stringing-together' was deemed the most primitive of the three methods, distinguished by its slow tempo of presentation; 'unfolding', its predecessor having been *motivische Arbeit*, was typified by the contrapuntal compositions of Bach; and 'development', or 'developing variation', was characteristic of the homophonic style of the *Wiener Klassik* and associated in Schoenberg's mind with large forms. (A detailed discussion of these methods is reserved for chapters 3, 4, and 5 respectively.)

The contrasting principles of polyphony and homophony were particularly significant for Schoenberg's musical morphology. One of the tenets of his theoretical writings was the intimate relationship between the technique of motivic presentation and resulting form: 'The principle of homophonic music is "developing variation" [*entwickelnde Variation*], that of contrapuntal music is "unfolding" [*Abwicklung*]'.[173] The consanguinity between form and mode of presentation was asserted by Schoenberg when he wrote that

> We may still assume [...] that the form and articulation manifested by the notes corresponds to the inner nature of the idea and its movement, as the ridges and hollows of our bodies are determined by the position of internal organs—as indeed the external appearance of every well-constructed organism corresponds to its internal organization, hence the nature external appearance is not to be regarded as accidental.[174]

Accordingly, the fugue and the sonata represented the apogee of polyphony and homophony respectively.[175] The ramifications of this bifurcation permeated Schoenberg's musical thought, and formed the basis of his unique conception of music history. Musical evolution, according to Schoenberg, was cyclic and

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Neff, 'Schoenberg as Theorist: Three Forms of Presentation', in Walter Frisch (ed.), *Schoenberg and His World* (Princeton, New Jersey: Princeton University Press, 1999), 55–84.

[173] Schoenberg, *The Musical Idea*, 136–137.

[174] Schoenberg, *Theory of Harmony*, 289.

[175] August Halm similarly contraposed the fugue and the sonata, categorizing them as the respective pinnacles of polyphony and homophony. See August Halm, *Von Zwei Kulturen der Musik* (Munich: Georg Müller, 1913).

predicated on the presentation of the musical idea in musical space: the polyphony of the Renaissance and Baroque periods was distinguished by a vertical presentation (since the idea was articulated simultaneously in all voices) and was superseded in the Classical era by a homophonic style of melody and accompaniment, whereby a main voice assumed supremacy over all others and the idea was presented in the horizontal dimension.[176]

This was vital to Schoenberg's understanding of his own place in music history. As will be seen in the forthcoming chapters, his nascent dodecaphony perpetuated the cycles of musical evolution, in so far as his 'new polyphony' of 1921 was superseded in 1923 by homophony. Yet this was only possible because of a conceptual breakthrough. Following his renunciation of all things traditional, Schoenberg transcended what he thought were the boundaries of tonal musical organization and, in so doing, came to discover the *Gedanke* that presented itself—along with its associated laws, principles, and methods—as the necessary 'key' for unlocking the manifold possibilities of dodecaphony.

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[176] See, in particular, Arnold Schoenberg, 'New and Outmoded Music, or Style and Idea', in Bryan R. Simms (ed.), *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music* (Belmont, California: Schirmer, 1999), 96–107. Webern reaffirmed these points: 'From the basis of horizontal presentation grew the cycle-forms of the sonata, symphony, etc.' whereas 'from vertical presentation grew polyphony, and with polyphony the forms involved therein—canon, fugue, etc'. Webern, Letter to Erwin Stein (between 8 and 31 May 1939), Arnold Schoenberg, *Schoenberg, Berg, Webern: The String Quartets, A Documentary Study*, ed. Ursula v. Rauchhaupt, trans. Eugene Hartzell (Hamburg: Deutsche Grammophon Gesellschaft, 1971), 133.

CHAPTER THREE

'Yearning for a Style for Large Forms'

Juxtaposition and the 'Popular Effect' in Schoenberg's Nascent Dodecaphony

> I still call myself a pupil of Mozart. I learned most of what I know from Mozart. I learned his way of composing a movement of many heterogeneous elements, which does not occur in Beethoven or Brahms. This is what I learned from him, how to connect such seemingly unconnected elements.
>
> —Arnold Schoenberg, Lesson of 1948[1]

> Analysts of my music will have to realize how much I personally owe to Mozart. People who looked unbelievingly at me, thinking I made a poor joke[,] will now understand why I call myself a 'pupil of Mozart', must now understand my reasons. This will not help them to appreciate my music, but to understand Mozart. And it will teach young composers what are the essentials that one has to learn from masters and the way one can apply these lessons without loss of personality.
>
> —Arnold Schoenberg, 'Brahms the Progressive'[2]

The expression 'yearning for a style for large forms', though written in 1914 in relation to his planned choral symphony,[3] was equally applicable to Schoenberg's music from the early 1920s when he sought to re-access instrumental homophonic forms. According to Schoenberg, the large-scale homophonic forms of the *Wiener Klassik*—exemplified by the compositions of Haydn, Mozart, and Beethoven—were predicated on contrast and formal differentiation: he wrote that 'large forms develop through the generating power of contrasts' and that 'contrast in mood, character, dynamics, rhythm, harmony, motive-forms and construction should distinguish main themes from subordinate, and subordinate themes from each

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[1] Schoenberg, comment made during lesson of 26 July 1948, Warren Melvin Langlie, *Conversations with Arnold Schoenberg* (Private Collection).

[2] 'Brahms the Progressive' (1947), in Arnold Schoenberg, *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London and Boston: Faber & Faber, 1975), 414.

[3] Schoenberg, Letter to Alma Mahler, 1 April 1914, Joseph Auner, *A Schoenberg Reader: Documents of a Life* (New Haven, Conn. and London: Yale University Press, 2003), 123–124.

other'.[4] Further, homophonic forms were, in Schoenberg's mind, inextricably linked with the motivic technique of 'development' or 'developing variation' [*Entwicklung* or *entwickelnde Variation*], as he asserted, in numerous texts, that '*development* is the technique of homophonic (art-)music since Haydn'.[5] The two factors were interdependent in Schoenberg's conception of large-scale homophony, in so far as 'developing variation' was predicated not only on a particular type of motivic manipulation but on the organization of those motives into stable and loose formations, stable and loose being Schoenberg's own translations for the terms *fest* and *aufgelöst/locker/lose* respectively.

Yet Schoenberg's homophonic structures during the early 1920s, especially in his compositions from 1920 and 1921, did not arise from 'developing variation'; nor did they exhibit the refined distinction of stable and loose organization. Instead, in the quest for homophony and for large instrumental forms, he employed alternative strategies for replicating the formal differentiation previously furnished by tonality, and resorted to linkage techniques that he associated with primitive presentation. Specifically, he invoked the principle of juxtaposition and used the method of 'stringing-together' as a way of neutralizing the issue of large-scale form, techniques and principles that were assimilated from the study of the music of the past (compositions by Mozart, in particular) but, at the same time, contributed toward the development of Schoenberg's musical thought in their embryonic manifestations of stable and loose organization.

In the following discussion I approach these issues from two different perspectives. The first section of the chapter examines the method of 'stringing-

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[4] Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang with the collaboration of Leonard Stein (London and Boston: Faber and Faber, 1967), 178 and 183.
[5] Schoenberg, 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna, paragraph 17. The title of the manuscript is given on T37.07.

together' [*Aneinander-Reihung*], exploring its function and significance in Schoenberg's works during the early 1920s, while the second focuses on the formal principle of juxtaposition and is amplified by an analysis of the 'Variationen' from the Serenade, Op. 24. Notwithstanding Schoenberg's consistency in explicating the technique of 'developing variation' in his analyses of the masterworks, the use of the term in relation to his own music lacks a concomitant clarity; because the indiscriminate use of the term has hindered a fuller understanding of the formulation of the method of composing with twelve tones, both 'stringing-together' and juxtaposition will be defined, here, in relation to—or, more accurately, in contradistinction to—Schoenberg's conception of 'developing variation'.

By taking as my point of departure the writings of Schoenberg and his inner circle (specifically, those who studied with him before or during the time when his composition with twelve tones was evolving), I offer an alternative reading of Schoenberg's compositions from the early 1920s and suggest that the primitive or 'popular' mode of presentation, as he understood it, played a significant role alongside its contrapuntal counterpart in his nascent dodecaphony.

Parataxis and Hypotaxis

In his *Notes to Literature* Theodor W. Adorno discussed the unusual syntax of Friedrich Hölderlin's late poetry, drawing particular attention to the poet's propensity for juxtaposing propositions without the use of a connective. This linguistic device, whereby the relationship between clauses is not indicated, is called parataxis. Although we might consider a literary style that relies on simple copulatives—such as 'and' or 'namely'—as primitive or inelegant, Adorno

cautioned that Hölderlin exploited the technique for expressive purposes.[6] For Schoenberg, however, parataxis represented a way out of an impasse.[7]

The device was invoked by Schoenberg in his tirade against his fellow-composers in the 1925 essay 'Tonality and Form', where he likened the structure of contemporary composition to the 'primitive art of presenting thoughts' in prose: 'And then I said … and then he said … and then we laughed … and … and so on'.[8] He contended that the paratactic organization of the art work via an orderly succession of ideas was markedly different from the 'complex structure and treatment' and 'clearly woven threads' of a novel by Dickens. Accordingly, in his essay 'Folkloristic Symphonies' written just over two decades later, he drew a distinction between the musical analogues of parataxis and its antithesis, hypotaxis. In relation to the former he wrote:

> Structurally, there never remains in popular tunes an unsolved problem, the consequences of which will show up only later. The segments of which it consists do not need much of a connective; they can be added by

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[6] Adorno wrote that 'the function of language in Hölderlin qualitatively outweighs the usual function of poetic language', noting that poem 'Brot und Wein' 'does not restore the simple, general words it uses but instead links them to one another in a manner that reworks the strangeness proper to them, their simplicity, which is already an abstract quality, to make it an expression of alienation'. Interestingly, Adorno described the device using language appropriate to music: for instance, he observed 'the rondo-like associative linking of the sentences' in 'Der Einzige', designating the effect as 'musiclike'. See Theodor W. Adorno, 'Parataxis: On Hölderlin's Late Poetry', in Rolf Tiedemann (ed.), *Notes to Literature*, trans. Shierry Weber Nicholsen (2; New York: Columbia University Press, 1992), 109–149 and 339–340 (note 135).

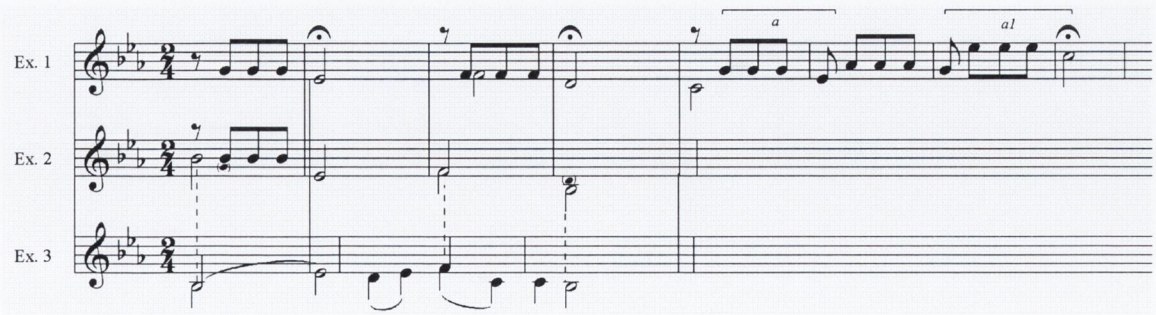
[7] For descriptions of parataxis, see Eric A. Blackall, *The Emergence of German as a Literary Language, 1700–1775* (2nd edn; Ithaca and London: Cornell University Press, 1978), 150; Michael Patrick O'connor, 'Parataxis and Hypotaxis', in Alex Preminger and T. V. F. Brogan (eds.), *The New Princeton Encyclopedia of Poetry and Poetics* (Princeton: Princeton University Press, 1993), 879–880. Harald Kaufmann provided an overiew of parataxis in the works of various Austrian composers in his 'Versuch über das Österreichische in der Musik', in Harald Kaufmann, *Fingerübungen: Musikgesellschaft und Wertungsforschung* (Vienna: Elisabeth Lafite, 1970), 24–43. More recently a number of scholars have invoked parataxis in interpretations of works of various composers. For an account of lyricism in Schubert's treatment of sonata form in the context of parataxis, see Su Yin Mak, 'Mixing Memory and Desire: The Outer Movements of Schubert's Piano Trio in Eb-major, D. 929', Conference Paper, Annual Meeting of the Society for Music Theory, Madison, Wisconsin, 6 November 2003.

[8] 'Tonality and Form' (1925), in Schoenberg, *Style and Idea*, 256. As Severine Neff has noted, Schoenberg frequently referred to literary forms in his discussions of musical forms. See Severine Neff, 'Reinventing the Organic Artwork: Schoenberg's Changing Images of Tonal Form', in Charlotte M. Cross and Russell A. Berman (ed.), *Schoenberg and Words: The Modernist Years* (New York and London: Garland, 2000), 279–280.

> juxtaposition, because of the absence of variance in them. There is nothing in them that asks for expansion. The small form holds the contents firmly, constituting thus a small expansion but an independent structure.[9]

The kinship between the formal structure of a popular tune and parataxis in literature is suggested not only by the accretion of segments without the use of a connective or copula, but also by the absence of a hierarchy between individual segments. In this respect, Adorno's description of the parataxes in Hölderlin's poetry as 'artificial disturbances that evade the logical hierarchy of a subordinating syntax' is comparable to the structure of a sequence of waltzes by Johann Strauss (junior).[10] By contrast, Schoenberg's conception of 'developing variation' was similar to hypotaxis (the subordination in prose or verse of one clause to another). The basic criterion of 'developing variation'—the generation of new motives by variation—was articulated as early as 1917 in the *ZKIF* notebooks, where it was explained in the context of the first movement of Mozart's String Quartet in C major, K. 465 ('Dissonance').[11] Decades later Schoenberg's understanding of this form of motivic presentation remained unchanged, as confirmed by his reference to the first movement of Beethoven's Fifth Symphony (see figure 3.1).

Figure 3.1 Schoenberg's illustration of 'developing variation' with reference to the first movement of Beethoven's Fifth Symphony



[9] 'Folkloristic Symphonies' (1947), in Schoenberg, *Style and Idea*, 164.
[10] Adorno, 'Parataxis: On Hölderlin's Late Poetry', 131.
[11] Arnold Schoenberg, *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (Coherence, Counterpoint, Instrumentation, Instruction in Form)*, ed. Severine Neff, trans. Charlotte M. Cross and Severine Neff (Lincoln and London: University of Nebraska Press, 1994), 38–43.

The hierarchy in 'developing variation' arises because the motive of the transition (Schoenberg's example 2) is 'derived from a reinterpretation' of the notes E♭ and F of example 1, while the so-called 'subordinate theme' (Schoenberg's example 3) is 'related to' the opening motive *via* that of the transition; the organic interrelationship of motives that Schoenberg perceived as part of 'developing variation' is analogous to his description of the 'clearly woven threads' of a novel by Dickens.[12]

In spite of the sharp distinction that he drew between the construction of popular tunes and that of the sonata-form structures of the masterworks he so revered, Schoenberg clearly considered popular music as a legitimate, albeit primitive, mode of presentation. Indeed he expressed his admiration for the music of Johann Strauss on a number of occasions:

> Who can say how arrogantly generations of musicians would speak of [...] light music, had Brahms not been able and sufficiently educated to recognize its purely musical substance and the value of that; had he not had the respect for achievement possessed only by those who know at first hand what achievement is; and had he not added: 'Not, alas, by Johannes Brahms' after the first bars of the *Blue Danube Waltz*? Light music could not entertain me unless something interested me about its musical substance and its working-out. And I do not see why, when other people are entertained, I too should not sometimes be entertained; I know indeed that I really ought at every singe moment to behave like my own monument; but it would be hypocritical of me to conceal the fact that I occasionally step down from my pedestal and enjoy light music.[13]

Although Strauss embodied 'real popularity [or] lasting popularity',[14] Schoenberg believed that many other composers wrote in a popular style. Thus, in his extensive *Gedanke* manuscript of 1934, he highlighted by means of brackets the rhythmic recurrences in a number of 'popular melodies' [*populären Melodien*] by Beethoven,

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[12] 'Folkloristic Symphonies' (1947), in Schoenberg, *Style and Idea*, 164. Schoenberg's musical example is catalogued at T29.04 in the Arnold Schönberg Center Privatstiftung, Vienna.
[13] 'Why No Great American Music?' (1934) in Ibid., 178.
[14] 'Brahms the Progressive' (1947), in Ibid., 415.

Brahms, Schubert and Strauss (see figure 3.2).[15] Clearly, these observations—and hence his classification of the melodies as 'popular'—rest on 'motivic transformations', as he put it, that are 'in no way extensively varied'.[16] To that extent, the examples exhibit 'extremely slow and sparing development' and, thus, perfectly illustrate one of the most important attributes of melody; further, they serve as examples of the primitive melodic constructions described in his 1909 aphorism published in *Die Musik* and his 1913 essay 'Why new melodies are difficult to understand'.[17] Schoenberg was still of this opinion in 1946, when he claimed that

> Schubert's melodic construction—his juxtaposition of motives, which are only melodically varied, but rhythmically very similar—accommodated, probably instinctively, to the popular feeling.[18]

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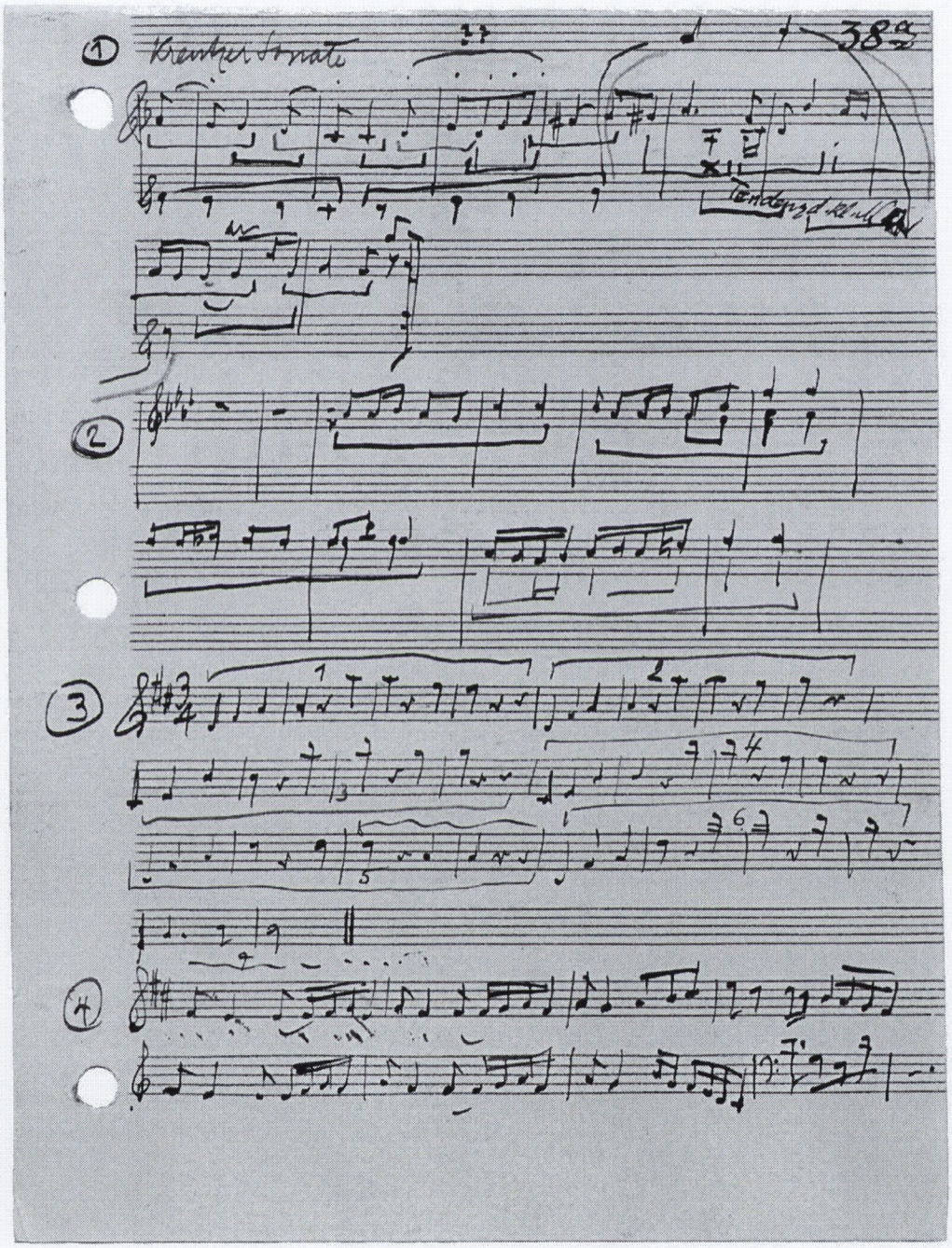
[15] The examples have been transcribed and identified in Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 181–187. The examples are as follows: Beethoven, Violin Sonata, No. 9, in A major, Op. 47 ('Kreutzer), second movement, bars 1–8; Schubert, *Moments Musicaux*, Op. 94, no. 3, bars 1–10; Strauss, *An der schönen blauen Donau*, Op. 314, bars 1–24; Beethoven, Symphony No. 9, Op. 125, third movement, bars 25–32; Brahms, *Ein deutsches Requiem*, No. 2, Op. 45, 'Denn alles Fleisch es ist wie Gras', bars 2–6; Brahms, Symphony No. 3, Op. 90, first movement, bars 3–10; and Brahms, Symphony No. 3, Op. 90, third movement, bars 1–8.

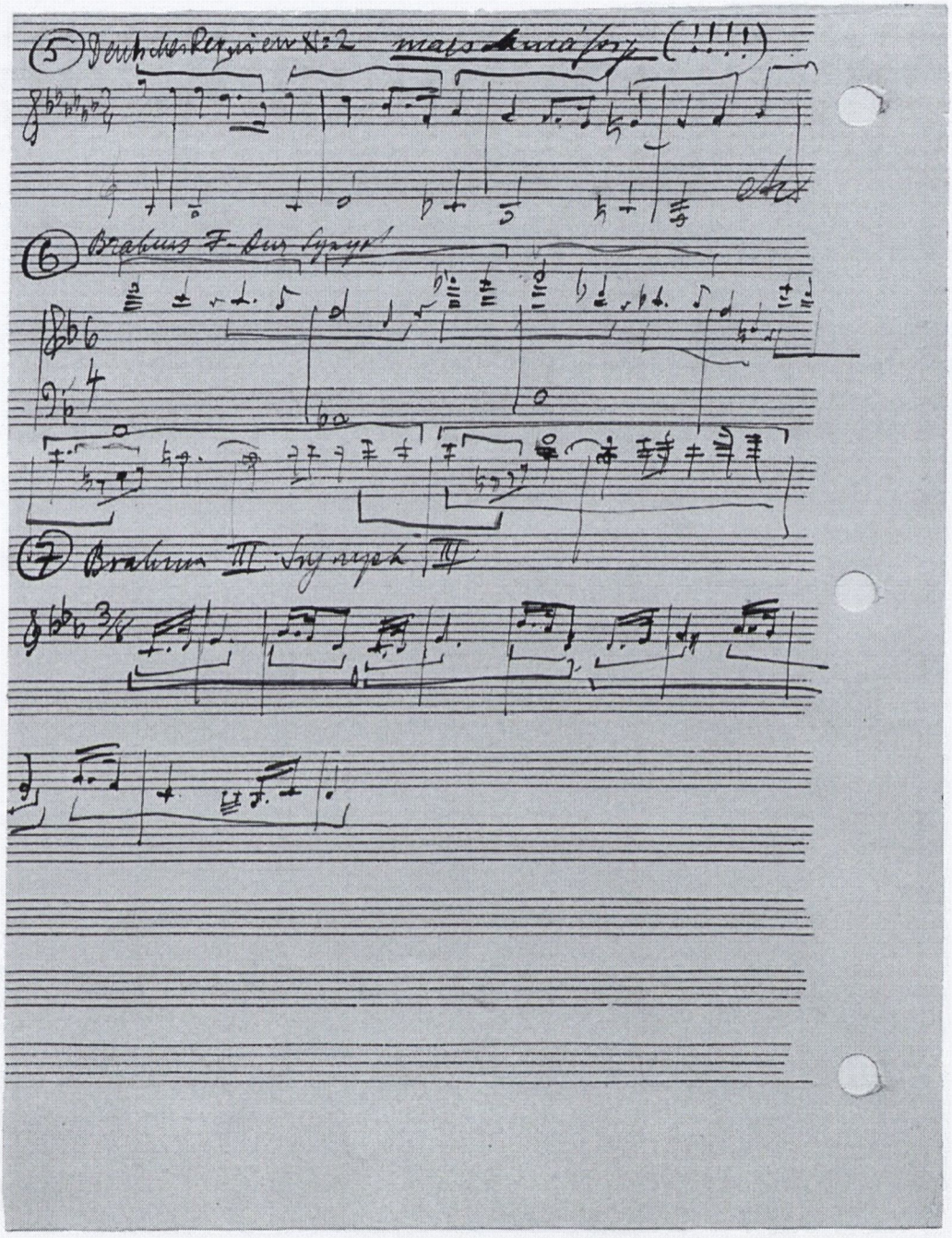
[16] Ibid., 182–183.

[17] Ibid., 180–181. The 1909 and 1913 documents were discussed in chapter 2. For transcriptions and translations of documents, see Auner, *Schoenberg Reader*, 64; Bryan R. Simms, 'New Documents in the Schoenberg–Schenker Polemic', *Perspectives of New Music* 16/1 (1977), 115–116. Taking his cue from Schoenberg, Erwin Stein wrote that 'a chain of slightly varied repetitions may produce the impression of accumulating energies, as in Johann Strauss's famous waltz [the *Blue Danube*]. See Erwin Stein, *Form and Performance* (London: Faber and Faber, 1962), 147.

[18] 'Criteria for the Evaluation of Music' (1946), in Schoenberg, *Style and Idea*, 128.

Figure 3.2 'Popular Melodies' in Schoenberg's *Gedanke* manuscript of 1934 (continued on subsequent page)




(5)
(6)
(7)

Schoenberg's plans to include texts exploring the interrelationship of both 'higher and lower forms' and 'primitivism and art music' in his treatise of 1934 further attest to his interest in popular music.[19] But it was in his *Gedanke* manuscript of July 1925—a document coeval with the above-mentioned 'Tonality and Form'—that he offered his exposition of the primitive mode of presentation alongside more 'artful' methods. 'Stringing-together' [*Aneinander-Reihung*] was identified as one of the principal forms of presentation; the other 'main methods of connecting small parts with each other', as mentioned in chapter 2, were 'unfolding' [*Abwicklung*] and 'development' [*Entwicklung*].[20] Whereas 'unfolding' was found only in contrapuntal compositions such as fugues, homophony embraced 'developing variation', associated with sonata forms, as well as the more primitive or popular presentational form of 'stringing-together'.

Premised on the theory expressed in the opening paragraph that the presentation of the musical idea is governed by two principles, namely comprehensibility [*Fasslichkeit*] and diversity [*Mannigfaltigkeit*], Schoenberg asserted that:

> The more primitive a musical idea and the piece that is based on it, the greater is the regard for comprehensibility, the slower the tempo in which it is presented, the fewer the shapes and the fewer the more remote shapes that can be made use of in this context.[21]

Accordingly, 'stringing-together' had the merit of immediate intelligibility but, as indicated in the same manuscript, it was not precluded in higher art forms and could potentially be used alongside more 'artful [*kunstvoll*] treatments':

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[19] Schoenberg, *The Musical Idea*, 94–95.

[20] Schoenberg, 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna, paragraph 13. The title of the manuscript is given on T37.07. For an account of Schoenberg's three forms of presentation, see Severine Neff, 'Schoenberg as Theorist: Three Forms of Presentation', in Walter Frisch (ed.), *Schoenberg and His World* (Princeton, New Jersey: Princeton University Press, 1999), 55–84.

[21] Schoenberg, T37.08, paragraph 2. This passage is translated in 'What is Developing Variation?' in Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 128.

> *Stringing-together* is in itself the most primitive of the three methods, but it can nevertheless be used with more artful treatments. Its presupposition is a certain unproblematic or relaxed quality, *a certain rest between the constituent parts* of the components which just barely allows continuation without demanding it. Even where contrast is apparently great, connection is based on the repetition of numerous components, particularly the main ones, whereas here it is the subordinate components that are more numerous and significantly different.[22]

Nine years later in his extended *Gedanke* manuscript he espoused the same principle, claiming that 'the popular effect [*populäre Wirkung*] of popular music is based on its broad understandability' [*breite Verständlichkeit*].[23] Though separated by almost a decade, the two texts adumbrate the same criteria for the primitive or popular form of presentation, specifically, that general intelligibility is assured by small- and large-scale repetition, by the presence of a small number of shapes [*Gestalten*], and by the recurrence of rhythmic figures to coincide with variation of melodic content:

> Broad understandability is mainly achieved through an extremely slow 'tempo of presentation'. This means:
>
> I the *Grundgestalten* 1) themselves usually contain only a very few motivic forms; 2) are very often repeated in nearly unvaried forms; and 3) if after several (2–5 or more) such repetitions a more developed variation appears, it often changes so much that it could be hard to comprehend, were not the entire section repeated again and again, or, if it is varied more in pitch, the rhythm remains (almost) unchanged.
>
> II 1) In general, on the one hand, changes whose content is hard to comprehend will scarcely ever be used; 2) on the other hand, the logic is usually not very profound if 'larger leaps' are taken.
>
> III As already mentioned above, the frequent repetitions of each part play a large role, and in spite of that it does happen that a popular piece was not popular from the beginning, not immediately recognized, understood.[24]

Implicit in Schoenberg's writings on popular music is the notion that simplicity of texture guarantees a greater degree of comprehensibility: he wrote that 'density of

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[22] Schoenberg, T37.08, paragraph 15. This passage is translated in Schoenberg, *The Musical Idea*, 379–380.
[23] Ibid., 300–301.
[24] Ibid. Similar points are made in T37.08, paragraphs 1, 2, 6, and 15.

texture is certainly an obstacle to popularity' and, in relation to Johann Strauss, that 'the popular element is apparent in the fact that everything that happens is concentrated in the melody'.[25]

The 'Popular Effect' in Schoenberg's Music

Further evidence of Schoenberg's engagement with popular forms is provided by his arrangements of compositions by Strauss, Schubert, Denza and Sioly in 1921 (see table 3.1). Rather than dismiss these arrangements as 'minor/casual works' [*Gelegenheitsarbeiten*], as Rudolf Stephan has done,[26] or as transcriptions for pedagogical purposes, according to Leonard Stein,[27] they may be considered indicative of Schoenberg's broader compositional concerns at that time, something intimated by Ernst Hilmar in his brief discussion of Schubert and the Viennese School.[28] Furthermore, the instrumentation of the compositions by Schubert, Denza and Sioly approaches the sound-world of Schoenberg's Serenade, Op. 24.[29] Paul Amadeus Pisk remarked that the mandolin and guitar endowed Schoenberg's Serenade with a serenade-like and playful character such that *Leichtigkeit* or the

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[25] 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 415; Arnold Schoenberg, 'New Music / My Music', trans. Leo Black, transcribed by Selma Rosenfeld, *Journal of the Arnold Schoenberg Institute* 1/2 (1977), 102–103.

[26] Rudolf Stephan, 'Schönberg und der Klassizismus', in Rainer Damm and Andreas Traub (eds.), *Vom Musikalischen Denken: Gesammelte Vorträge* (Mainz: B. Schott's Söhne, 1985), 149.

[27] Leonard Stein, 'Schoenberg: Kaiserwalzer and Other Transcriptions', sleeve notes for CD Elatus 0927 49552-2 (2003).

[28] Ernst Hilmar, 'Schubert und die Zweite Wiener Schule', in Elizabeth Norman McKay and Nicolas Rast (eds.), *Schubert durch die Brille: The Oxford Bicentenary Symposium 1997* (Internationales Fannz Schubert Institut, Mitteilungen, 21; Tutzing: Hans Schneider, 1998), 77–88.

[29] Perhaps the association of mandolin and Serenade in this work and in the arrangement of Schubert's 'Ständchen' (or Serenade) recalls Don Giovanni's serenading of Donna Elvira's maid in 'Deh vieni alla finestra'; another possible influence for the sonority may be the second 'Nachtstück' of Mahler's Seventh Symphony, which also includes a guitar.

quality of light music prevails,[30] while Hanns Eisler suggested that Schoenberg drew on the Serenades of Mozart and Haydn as well as on Viennese folk music.[31]

Table 3.1 Schoenberg's arrangements in 1921 (select list)

Luigi Denza	'Funiculì, funiculà'	voice, clarinet, mandolin, guitar, string trio
Franz Schubert	'Ständchen', D. 889	voice, clarinet, bassoon, mandolin, guitar, string quartet
Johann Sioly	Weil i a alter Drahrer bin	clarinet, mandolin, guitar, string trio
Johann Strauss	*Rosen aus dem Süden*, Op. 388	harmonium, piano, string quartet
Johann Strauss	*Lagunenwalzer*, Op. 411	harmonium, piano, string quartet

Moreover, Schoenberg alludes to the popular idiom by his inclusion in the Serenade of a 'Marsch', which, in accordance with the serenading tradition of the eighteenth-century, frames the inner movements, and a waltz and 'Ländler' that form the fifth-movement 'Tanzscene'. That the choice of forms is significant is suggested by Schoenberg's statement in *The Musical Idea*: 'The *dance forms* are among the simplest forms'.[32] Erwin Stein—arguably the foremost prose advocate for the Viennese School during the early 1920s—similarly wrote that 'the first movement is a march, its form accordingly transparent'.[33] Despite Schoenberg's principle of 'never repeating without varying',[34] and his claim that the absence of repetition presents a 'difficulty' to understanding his compositions,[35] he employs a repeat sign to indicate large-scale repetition in the 'Marsch', a feature he described as 'the most primitive coherence-producing form of repetition'.[36] Stein's remark of 1924 that the Serenade is characterized by 'simpler formal means', 'where we even

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[30] Paul A. Pisk, 'Arnold Schönbergs Serenade', *Musikblätter des Anbruch* 6/5 (1924), 201.
[31] 'Über Schönbergs Serenade op. 24', in Hanns Eisler, *Musik und Politik, Schriften 1924–1928*, ed. Günter Mayer (Gesammelte Werke, III/1; Leipzig: VEB Deutscher Verlag für Musik, 1973), 454. The instrumentation of Schoenberg's Serenade was similar to the Viennese 'Schrammenmusik'.
[32] Schoenberg, *The Musical Idea*, 142–143.
[33] Erwin Stein, 'Neue Formprinzipien', *Arnold Schönberg zum fünfzigsten Geburtstage, 13. September 1924, Sonderheft der Musikblätter des Anbruch* 6 (1924), 297; Erwin Stein, 'New Formal Principles', *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 69–70.
[34] 'Krenek's *Sprung über den Schatten*' (1923), in Schoenberg, *Style and Idea*, 480.
[35] Schoenberg, 'New Music / My Music', 96–97.
[36] Schoenberg, *The Musical Idea*, 156–157.

encounter repeats',[37] highlights such a feature as atypical of Schoenberg's practice hitherto. Whereas the middle section of the 'Marsch' is repeated exactly, the two discrete units which form the opening section of the 'Marsch' are subject to repetition and only minor variation. Likewise, Berg's handwritten annotations in his copy of the score divide this section into eight-bar groups and record their interrelationships, implying the taxonomy $ABA^1B^1BB^1$, where A and B are defined by themes in the bass and treble respectively (see figure 3.3).[38]

Figure 3.3 Berg's division of, and annotations in the opening section of the 'Marsch' of Schoenberg's Serenade

Divisions	Annotations
1–8	
9–16	
17–24	U von 1–8
25–32	25–32 = U von 9–16. Das Ganze!
33–40	33–40. Wörtlich wie 9–16
41–48	41–47/8. Wörtlich wie 25–31/2 und von 9–15/6

That there is a parallel between the motivic presentation of 'stringing-together' [*Aneinanderreihung*] and the 'stringing-together' of larger musical units is corroborated by Pisk's use of the verb 'anreihen an', meaning 'to add to', to illustrate the construction of the opening section.[39]

Such paratactic organization also governs the structure of the fifth movement, 'Tanzscene'. Berg's inscription at the head of the movement suggests structural simplicity: 'Rondo, ohne kunstvolle Kadenz / Binnenwiederholung', which roughly translates as 'Rondo without artful cadence [or] internal repetition'. Given that much of the *Gedanke* manuscript of 1925 is concerned with the

[37] Stein, 'Neue Formprinzipien', 297; Stein, 'New Formal Principles', 69.
[38] Berg's score of the Serenade is catalogued at F 21 Berg 170/II in the Music Collection of the Austrian National Library, Vienna.
[39] Pisk, 'Arnold Schönbergs Serenade', 202.

distinction between the popular [*populäre*] and the artful [*kunstvoll*] or sophisticated style, the latter displaying a faster pace of presentation and, thus, placing greater demands on the listener,[40] Berg's annotation implies a simple repetition, rather than the artful, which is akin, perhaps, to the way in which, according to Schoenberg's analytical comments, Franz Léhar's 'Lippen schweigen' (Love Unspoken) from *Die lustige Witwe* achieves coherence by dint of the repetition alone.[41] As if to compensate for the fact that, in Stein's words, 'the first section abounds in motivic shapes',[42] it is repeated exactly.

The trio of the 'Tanzscene', in the tempo of a 'Ländler', better exemplifies Schoenberg's conception of the popular mode. Stein wrote that it comprises 'a loose sequence of dance tunes' [*lose aneinandergereihter Perioden*], which give the movement its 'loose build' [*lockere Bau*].[43] Similar terminology is found in Berg's 1929 lecture on *Wozzeck*: 'The forms of the outer acts are much freer [*lockerere*]'; 'They consist of five loosely-connected pieces of music corresponding to the five loosely-related scenes of the act [*lose aneinandergereihten Szenen*]'.[44] He continued by describing Act I as 'five character pieces that are strung together [*fünf aneinandergereihte Charakterstücke*]'.[45] The accumulation of musical segments to form a composition—or, in the case of Berg's *Wozzeck*, the building of an Act by means of a collection of character pieces—is identified by Stein as a way of

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[40] Schoenberg, T37.08, paragraphs 3, 4, and 12.
[41] Schoenberg, *The Musical Idea*, 306–307.
[42] Stein, 'Neue Formprinzipien', 299; Stein, 'New Formal Principles', 73.
[43] Stein, 'Neue Formprinzipien', 299–300; Stein, 'New Formal Principles', 73. See also Erwin Stein, 'Arnold Schönbergs Serenade', *Musikblätter des Anbruch* 7, Sonderheft (1925), 422. In a later unpublished essay on the Serenade, Stein wrote that the Tanzscene 'is the merriest piece of the lot', containing 'a chain of happily invented tunes among which a Viennese landler stands out'. The short typescript is found among Stein's papers.
[44] Alban Berg, '"Wozzeck"-Vortrag von 1929', in Hans Ferdinand Redlich, *Alban Berg: Versuch einer Würdigung* (Vienna: Universal Edition, 1957), 314; Alban Berg, 'A Lecture on "Wozzeck"', in Douglas Jarman, *Alban Berg: Wozzeck* (Cambridge Opera Handbook; Cambridge: Cambridge University Press, 1989), 157.
[45] Berg, '"Wozzeck"-Vortrag von 1929', 314.

addressing what he called 'the problems of form raised by modern music'.[46] The multipartite Trio of the 'Tanzscene', which comprises a series of closed musical segments, conforms to Schoenberg's definition of loose organization, in so far as it is typified by 'direct and immediate repetition of segments [and] juxtaposition of contrasting segments'.[47] Its structure bears more than a passing resemblance to the sequence of waltzes in Strauss's *Rosen aus dem Süden* and *An der schönen blauen Donau* as well as to the third of Schubert's *Moments Musicaux*, pieces that appear in the *Gedanke* manuscript of 1934 (see figure 3.2 above).[48]

Stein also argued in 1922 that symmetry played a crucial role in the articulation of musical form after the collapse of tonality.[49] Likewise, Schoenberg associated formal symmetry and the divisibility [*Teilbarkeit*] of the constituent elements of a composition with the popular form of presentation.[50] The divisibility of the opening section of the 'Marsch' into eight-bar groups, which effects a greater degree of comprehensibility, and the symmetrical structure of the overall form of the 'Tanzscene' substantiate his assertion that 'much of the organization of classic music reveals, by its regularity, symmetry and simple harmony, its relation with, if not derivation from, popular and dance music'.[51]

Like the 'Tanzscene', the 'Walzer' from the *Fünf Klavierstücke*, Op. 23, composed in February 1923, exhibits a symmetrical structure (ABCBA), with the addition of a Coda. A closer look at the technique of motivic presentation also reveals aspects of popular presentation as Schoenberg conceived them. My reading of this piece differs significantly from some of the published analyses. Kathryn

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[46] Erwin Stein, 'Alban Berg and Anton Webern', *The Chesterian* 26 (1922), 33.
[47] Schoenberg, *Fundamentals of Musical Composition*, 204.
[48] Schoenberg, *The Musical Idea*, 182–185 and 302–303.
[49] Stein, 'Alban Berg and Anton Webern', 33.
[50] Schoenberg, T37.08, paragraphs 6, 7, and 8.
[51] 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 409.

Bailey asserts that it is 'governed to a considerable degree by the requirements and expectations of sonata form',[52] while Ethan Haimo 'extends' the meaning of 'developing variation' and, in so doing, is able to identify it in a passage of the 'Walzer' that is more readily characterized by its almost exact rhythmic repetition;[53] this contrasts with Schoenberg's analytical remarks on the melodies of Strauss, Verdi, Mozart, Brahms and others in his *Gedanke* manuscript of 1934,[54] which are neatly summarized in his statement on Schubert that 'constant repetition of a rhythmic figure, as in popular music, lends a popular touch to many Schubertian melodies'.[55]

The melody of the 'Walzer' is distinguished by repetitions of rhythmic motives on numerous occasions, something which Stein perceives as contributing to its 'lighter character'.[56] Example 3.1 illustrates the rhythmic patterns of the second or B section of the 'Walzer'. Initially, the rhythmic profile of the treble in bars 29–31 is repeated exactly in bars 32–34; the repetition in bars 35–37, now articulated in the bass, is varied in that the two dotted crotchets are replaced by three crotchets; the three-crotchet motive is retained in bars 38–39, although subdivided, whereas the dotted figure of bars 31, 34 and 37 is augmented in bars 40–41.

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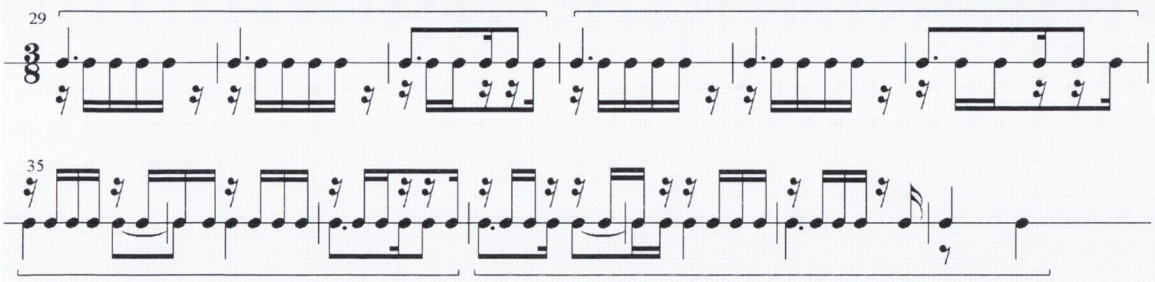
[52] Kathryn Bailey, *'Composing with Tones': A Musical Analysis of Schoenberg's Op. 23 Pieces for Piano* (Royal Musical Association Monographs, 10; London: Royal Musical Association, 2001), 104.
[53] Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914–1928* (Oxford and London: Clarendon Press, 1990), 75 and 97–98.
[54] Schoenberg, *The Musical Idea*, 182–195 and 302–307.
[55] Schoenberg, *Fundamentals of Musical Composition*, 27.
[56] Stein, 'Neue Formprinzipien', 297; Stein, 'New Formal Principles', 69.

Example 3.1 Rhythmic motives in bars 29–41 of the 'Walzer' from Schoenberg's *Klavierstücke*, Op. 23



Bearing in mind that the simple form of presentation can be used alongside more artful treatments, the 'Walzer' demonstrates aspects of popular presentation that are, by their nature, more sophisticated compared with those outlined in the 'Marsch' and the 'Tanzscene'. However, these variations, or indeed those identified by Haimo, do not accord with Schoenberg's description of 'developing variation' since, unlike the example from Beethoven's Fifth Symphony, they neither demand continuation nor create consequences in the course of the composition. Instead this passage is followed almost immediately by section C of the 'Walzer', which is distinct from preceding or subsequent sections and which Martina Sichardt has appositely identified as exhibiting a relationship with Hauer's second canonic technique.[57] We can infer, therefore, that, whilst individual sections may contain local variation, the overall organization of the composition is paratactic. The very fact that the 'Walzer' (the first piece to be based on a referential linear ordering of twelve tones) is the only movement among the Op. 23 pieces to bear a title, suggests a deliberate evocation of the popular idiom aimed at achieving a broader understandability. Schoenberg comments in the *Gedanke* manuscript of 1925 that, 'in higher art music', the popular mode of presentation occurs 'mostly in favour of a

[57] Martina Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs* (Mainz: Schott, 1990), 173.

particular circumstance, for example, because comprehensibility is impeded by the significant newness of a style'.[58]

If this interpretation rings true, then Schoenberg's compositions of the early 1920s can be understood as a deliberate attempt to capture the paradoxical fusion of the serious and the playful, something that Schoenberg recognized in the music of this predecessors.[59] On the other hand, the 'popular effect', characterized primarily through the accretion or 'stringing-together' of closed musical units, can be seen as an attempt to solve a compositional conundrum at that time, in that it recaptured homophony, albeit a primitive—as opposed to a more artful—homophony. In fact, Webern drew attention to this very feature in one of his lectures:

> During the years when polyphony was still developing ever more richly, we see another method of presentation emerging, which is connected with more primitive elements—dance forms and the like [...] the polyphonic epoch was superseded by another which, at first in a primitive way, limited itself to a return to single-line melody.[60]

If we recognize the popular form of presentation at the juncture of contrapuntal and homophonic composition, Webern's account of music history after the polyphonic epoch of J. S. Bach becomes equally applicable to the story of the development of Schoenberg's dodecaphony.

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[58] Schoenberg, T37.08, paragraph 15.

[59] See, for example, Schoenberg's comments on Mozart, Schubert, Strauss and Verdi in 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 415. On the topic of the new and the popular in art, see 'Avant Garde and Popularity', in Dahlhaus, *Schoenberg and the New Music*, 23–31. For a different interpretation of Schoenberg's 'light music', see Rudolf Stephan, 'Überlegungen zum Thema "Schönberg und Mozart"', in Wolfgang Gratzer and Siegfrieg Mauser (eds.), *Mozart in der Musik des 20. Jahrhunderts: Formen ästhetischer und kompositionstechnischer Rezeption* (Schriften zur Musikalischen Hermeneutik, 2; Laaber: Laaber-Verlag, 1992), 105–116. Stephan made reference to the serious and the playful ('Ernst und Spiel') as something that featured in the music of Mozart and Schoenberg. His principal observations on Schoenberg's music from the early 1920s included the apparent predilection for dance forms, repeat signs, and rhythmic figures associated with earlier music.

[60] Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Bryn Mawr, Pennsylvania: Theodore Presser, 1963), 20–21. The lecture is dated 14 March 1933.

Schoenberg's Album and Panorama

Schoenberg drew on the analogy of an album versus a panorama in his talk on the *Variationen für Orchester* (Orchestral Variations) of 1931 to distinguish the construction of a set of variations from that of a symphony:

> Variations are like an album with views of some place or landscape, showing you particular aspects of it. A symphony, on the other hand, is like a panorama in which one certainly views the pictures separately; but in reality they are closely linked and merge into each other.[61]

For Schoenberg, theme-and-variation form relied on, what he called, the principle of juxtaposition, whereas the 'symphonic style' was premised on 'construction by developing variation'. He explained this distinction as follows:

> Doubtless orchestral variations approximate to symphonic construction [*symphonischen Gestaltungsweise*], though there is one thing about them that pulls the other way: however intimately the individual variations may be connected, they are merely placed one after another, juxtaposed. Whereas symphonic thought is different: the musical images, the themes, shapes, melodies, episodes follow one another like turns of fate in a life-story—diverse but still logical, and always linked: one grows out of another. *They are not merely juxtaposed.*[62]

Despite the similarities between the components of a theme-and-variation form, Schoenberg conceived the resultant structure as the accretion of discrete musical units. By contrast, the constituent elements of a symphonic construction were interlinked and integrated to achieve a musical continuum akin to a narrative line.

This distinction, though not reflected by the metaphor of the album and panorama, was articulated as early as 1912 when Schoenberg took issue with a critic's labelling of Mahler's symphonies as 'gigantic symphonic potpourris' and asserted that the terms 'symphonic' [*symphonisch*] and 'potpourri' [*Potpourri*] were contradictory on a number of levels. From a formal perspective, Schoenberg wrote:

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[61] Arnold Schoenberg, 'The Orchestral Variations, Op. 31: A Radio Talk', *The Score* 27 (1960), 39.
[62] Ibid. The emphasis is mine.

> The characteristic of the potpourri is the unpretentiousness of the formal connectives. The individual sections are simply juxtaposed, without always being connected and without their relationships (which may also be entirely absent) being more than mere accidents in the form. But this is contradicted by the term 'symphonic' [*symphonisch*], which means the opposite. It means that the individual sections are organic components of a living being, born of a creative impulse and conceived as a whole.[63]

Accordingly, in 1947, he described 'potpourris' as 'forms of looser construction'.[64]

These contrasting conceptions of musical form were also reflected in Schoenberg's teachings. According to Warren Langlie's extensive teaching notes from the 1940s, Schoenberg repeatedly drew attention in the operas of Mozart and Wagner to the difference between a through-composed and 'number-opera' construction. He similarly referred to Schubert's songs as exhibiting a through-composed or strophic organization, the latter being dependant on repetition for its coherence. Employing German terms to ensure terminological precision, Schoenberg once advised Langlie to write a paper on Wagner's '*geschlossene*' and '*aufgelöste Form[en]*', focusing on 'the relation between limited and liquid forms'. During another lesson Schoenberg apparently defined the Lied—in contradistinction to the aria—as a 'rounded formulation', adding that 'in German it is called "*geschlossene*"'. Further, he compared the Lied to the form of the Rondo, and maintained that both can be described as 'rounded' because of the returns, repetitions, and phrase construction.[65]

Although Schoenberg used a *sui generis* vocabulary to enunciate the principles of musical form, a cursory glance at A. B. Marx's teleology of forms enucleates the distinction between the musical analogues of Schoenberg's album

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[63] 'Gustav Mahler' (1912, rev. 1948), in Schoenberg, *Style and Idea*, 462. This passage appears in the 1912 version. The original German is given in Arnold Schönberg, *Stil und Gedanke: Aufsätze zur Musik*, ed. Ivan Vojtech (Arnold Schönberg: Gesammelte Schriften, 1; Frankfurt am Main: S. Fischer, 1976), 17.

[64] 'Folkloristic Symphonies' (1947), in Schoenberg, *Style and Idea*, 163.

[65] Langlie, *Conversations with Arnold Schoenberg*.

and panorama. Beginning with the *Satz* as a closed musical unit, Marx described variation form as 'a succession of repetitions of a *Liedsatz* (*theme*) in constantly altered presentations—the consideration of the same idea from different perspectives, its application in a different sense'.[66] But, while sectional variation and rondo forms were defined by a 'loose concatenation' of *Sätze* and, in the case of the rondo, contrasting *Gänge*, sonata form was exemplified, in Marx's words, by 'the intimate union of separate parts (individual *Sätze*) in a whole' so that the interconnected main and subsidiary themes unite to form a larger musical unit.[67] Arguably, it was Marx's unequivocal differentiation of an organic sonata from the more loosely organized theme and variations that informed Schoenberg's album-panorama dichotomy.

In the remainder of this chapter, I focus on the 'Variationen' from the Serenade, Op. 24, to illuminate some of the tenets of Schoenberg's musical morphology. The movement, which was composed during the summer of 1920 (although the last few bars were slightly reworked in 1923), has already been the subject of much scrutiny. Commentators, however, have tended to engage in an analysis of the piece that is primarily diastematic, presumably taking their cue from Schoenberg's writings such as his 1937 letter to Slonimsky, outlining the origins of the twelve-tone technique, and his essay 'My Evolution' written in 1949, where he called attention to the ordered succession of fourteen notes comprising eleven different pitch classes, and explicitly stated that this procedure of 'composing' or 'working with tones' was an 'attempt' to replace the unifying power of tonality:[68]

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[66] A. B. Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. Scott Burnham (Cambridge Studies in Music Theory and Analysis, 12; Cambridge: Cambridge University Press, 1997), 86.
[67] Ibid., 92.
[68] Schoenberg, Letter to Slonimsky, 3 June 1937, Nicolas Slonimsky, *Music Since 1900* (4th edn; London: Cassell, 1971), 1315–1316.

> The method of composing with twelve tones substitutes for the order produced by permanent reference to tonal centres an order according to which [...] the 'Grundgestalt' is coherent because of this permanent reference to the basic set.[69]

But, because the so-called 'solution'—basing a piece on a referential ordering of pitch classes—did not present itself as such in 1920 when Schoenberg wrote the 'Variationen',[70] I focus here on Schoenberg's writings during the 1920s in an attempt to gain a better understanding of his concerns and preoccupations at that time. In so doing, I am hoping to build on the analyses by Nelson, Lester, Haimo, Sichardt, Simms, and Dudeque, to mention just a few, and provide a reading of the 'Variationen' that takes cognizance of Schoenbergian *Formenlehre* and considers how his terminological concepts might be reflected in his compositional thought.[71]

Tonality and *Geschlossenheit*

In the 1920s Schoenberg emphasized the necessity of finding a new means of organization to replace tonality, but the question of how this was best achieved was left open. In fact, using a succession of notes as the basis of a piece was understood at that time as just one of a number of compositional possibilities. Whereas the focal point in his later texts was the pre-compositional pitch material, his statements from the early 1920s reveal a greater concern with formal organization than with the material for the piece. This preoccupation with morphology was reflected in Erwin Stein's seminal essay of 1924 announcing Schoenberg's new

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[69] 'My Evolution' (1949), in Schoenberg, *Style and Idea*, 91.

[70] The solution was referred to in the typescript 'Komposition mit zwölf Tönen'. See [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', ed. Rudolf Stephan, in Gerhard Allroggen and Detlef Altenburg (eds.), *Festschrift Arno Forchert zum 60. Geburtstag am 29. Dezember 1985* (Kassel: Bärenreiter, 1986), 298.

[71] Robert U. Nelson, 'Schoenberg's Variation Seminar', *The Musical Quarterly* 50/2 (1964), 141–164; Joel Lester, 'Pitch Structure Articulation in the Variations of Schoenberg's Serenade', *Perspectives of New Music* 6/2 (1968), 22–34; Haimo, *Schoenberg's Serial Odyssey*, 79–84; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 55–65, 75–84, and 132–135; Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908–1923* (Oxford and New York: Oxford University Press, 2000), 206–209; Norton Dudeque, E., 'Music Theory and Analysis in the Writings of Arnold Schoenberg (1874–1951)', Ph.D. diss. (University of Reading, 2002), 199–208.

method of composition which was entitled neither 'working with tones of a motive' nor 'composition with twelve notes' but 'New Formal Principles' ['*Neue Formprinzipien*']. To gain some insight into the ways in which he sought to replicate the effect of tonality, we must examine Schoenberg's—rather than our own—understanding of tonality.

Schoenberg ascribed to tonality the power or the quality of *Geschlossenheit*, that is to say a sense of completeness, self-sufficiency, closure or even closedness. In his *Theory of Harmony* he wrote that

> Tonality is a *formal possibility* that emerges from the nature of the tonal material, a possibility of attaining a certain completeness or closure [*Geschlossenheit*] by means of a certain uniformity;[72]

and claimed that the 'laws of tonality'

> Do not teach the essence of the matter but merely aim at the orderly and mechanical elaboration of a device that makes it possible to lend musical thoughts the aura of completeness [*Geschlossenheit*].[73]

Nonetheless, he asserted that tonality is neither 'a natural law nor a necessary prerequisite of artistic effectiveness', and that 'nothing is lost from the impression of completeness [*Geschlossenheit*] if the tonality is merely hinted at, yes, even if it is erased'.[74] Elaborating on this in his essay 'Opinion or Insight?' he postulated the dispensability of tonality and noted that 'the only question is whether one can attain formal unity and self-sufficiency [*Geschlossenheit*] without using tonality'.[75] Indeed a comment from the notes taken by Berg at one of Schoenberg's lectures in 1922/23 suggested that the diverse techniques and styles of nascent dodecaphony

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[72] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 27. My emphasis.
[73] Ibid., 128.
[74] Ibid., 127–128.
[75] 'Opinion or Insight?' (1926), in Schoenberg, *Style and Idea*, 262.

represented different ways of trying to recreate *Geschlossenheit*: 'Search for formal completeness/closedness' [*Suche nach formeller Geschlossenheit*].[76]

Concomitant with *Geschlossenheit* as the fundamental attribute of tonality, Schoenberg drew attention to tonality's capacity to provide formal demarcation, contending that 'tonality's aids to articulation having dropped out, one must find some substitute, so that longer forms can once more be constructed'.[77] Stein similarly maintained that

> It is enough to point out here that the disuse of the old tonalities and their harmony has inevitably swept away some of the current means whereby symmetry [or articulation] [*Gliederung*] and closeness of form [*Geschlossenheit*] used to be imparted to a piece of music, two factors which the hearer is accustomed to consider as indispensable formal conditions to the perception of a work of art.[78]

In the light of these comments, we can begin to appreciate why the principle of juxtaposition might have appeared a feasible and attractive mode of presentation in Schoenberg's compositions around 1920. By shaping material into a series of musical units and creating an additive structure such as theme-and-variation form, Schoenberg ensured a degree of formal delineation and a sense of completeness or *Geschlossenheit* without recourse to tonal means.

Juxtaposition as Strategy

The 'Variationen' from the Serenade contain seven such units: a theme, five variations, and a coda. As remarked by numerous commentators, the theme, as reproduced in example 3.2, is a period, the antecedent containing a succession of fourteen notes that is retrograded in the consequent.

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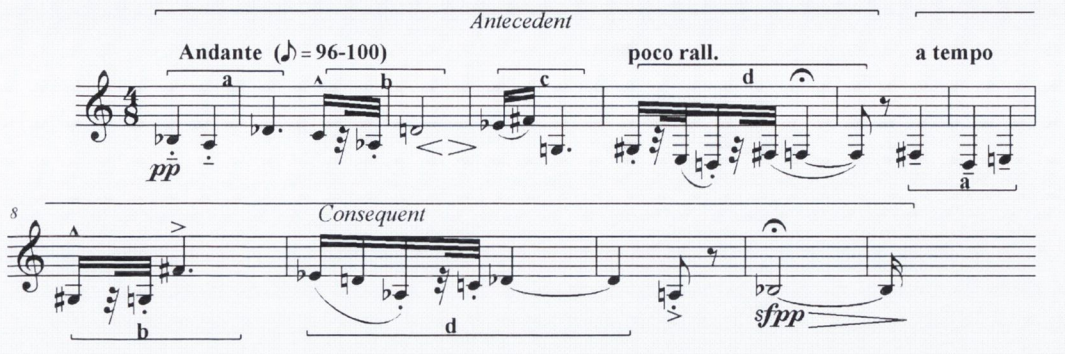
[76] Alban Berg, 'Komposition mit zwölf Tönen und andere Aufzeichnungen', catalogued at F 21 Berg 107/I in the Music Collection of the Austrian National Library, Vienna. Fol. 13. Transcribed in Werner Grünzweig, *Ahnung und Wissen, Geist und Form: Alban Berg als Musikschriftsteller und Analytiker der Musik Arnold Schönbergs* (Alban Berg Studien, 5; Vienna: Universal Edition, 2000), 291.

[77] 'Opinion or Insight?' (1926), in Schoenberg, *Style and Idea*, 263.

[78] Stein, 'Alban Berg and Anton Webern', 33.

Example 3.2 Theme of the 'Variationen' from Schoenberg's Serenade, Op. 24[79]



This retrogression was likened by Josef Rufer to the harmonic progression in a tonal period, where I–V is answered by V–I.[80] Stein's brief analysis examined the structure of the theme in more detail, observing that three of the four rhythmic motives in the antecedent—motives *a*, *b* and *d*—were retained, in the same order, in the consequent, thus fulfilling Schoenberg's requirement that the consequent constitute a 'modified repetition' of the antecedent.[81] In fact, the construction of the consequent by preserving the rhythmic features in the context of the reversed pitch succession is one that conforms to Schoenberg's description for 'modified repetitions', where 'only the features of minor importance are changed, simply so that the melody adapts to a change in the harmony; the rhythm is rarely changed here'.[82] In summary, it is the retrogression of the pitch succession that binds the rhythmic motives in the second half of the theme into a consequent relationship to the first half, and thus offers the analogue with tonal practice.

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[79] The rhythmic motives are identified by Stein. See Stein, *Form and Performance*, 102.
[80] Josef Rufer, *Composition with Twelve Notes Related Only to One Another*, trans. Humphrey Searle (London: Barrie & Jenkins, 1970), 62.
[81] Schoenberg, *Fundamentals of Musical Composition*, 29.
[82] Arnold Schönberg, *Die Grundlagen der musikalischen Komposition*, ed. Rudolf Stephan, trans. Rudolf Kolisch (Vienna: Universal Edition, 1979), 16. As mentioned in chapter 1, this description is, bizarrely, omitted from *Fundamentals of Musical Composition*.

Underpinning the construction of the theme is a palindromic conceit. The reversed sequence of notes in the consequent can be understood not only as a product of Schoenberg's unitary conception of musical space, since the so-called 'mirror forms' of inversion, retrograde and retrograde inversion, according to Stein, 'change the physiognomy of the motif but retain its structure',[83] but also as an example of the principle of symmetry, to which Schoenberg referred in a number of texts.[84] Symmetry serves to fashion the material into a self-sufficient musical unit, the completeness or *Geschlossenheit* of which is reinforced by the return of the opening pitch, B♭, at the end of the theme, articulated by the closing melodic gesture, D♭–A♮–B♭, as distinct from the opening wedge, B♭–A♮–D♭. The fermata at the midpoint of the theme alerts the ear to the axis of symmetry, which is embodied in the succeeding variations in varying degrees of complexity.

In variation 1, for instance, symmetrical principles govern both the antecedent and consequent: the combination of the forward and backward versions of the fourteen-note succession is compressed into each half of the variation. (A summary of the form of each of the variations is provided in table 3.2.) Likewise, variations 3 and 4 can be defined as periods, their consequents mirroring, to different extents, the gestures and/or motivic content of their antecedents. Variation 2, like variation 5, deviates somewhat from this periodic structure. Its overall bipartite structure is reflected in the instrumentation (canon between clarinets accompanied by plucked strings is complemented by canon in plucked strings accompanied by clarinets), while the division of the first half of the variation into an antecedent and consequent is articulated by rhythmic means, in a manner

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[83] Stein, 'New Formal Principles', 63.
[84] See, for example, 'Symmetrie', transcribed and translated in Leonard Stein, 'Schoenberg's Five Statements', *Perspectives of New Music* 14/1 (1975), 164–165; Schoenberg, *The Musical Idea*, 296–299; Schoenberg, *Fundamentals of Musical Composition*, 25.

reminiscent of the theme. Example 3.3 shows the rhythmic resemblance between the two components in the clarinet, a relationship which subsists in the bass clarinet as it imitates the clarinet in canonic inversion.

Example 3.3 Periodic structure in variation 2 of the 'Variationen' from Schoenberg's Serenade, Op. 24

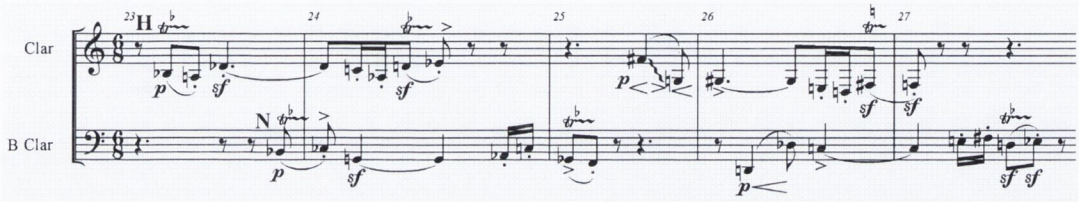
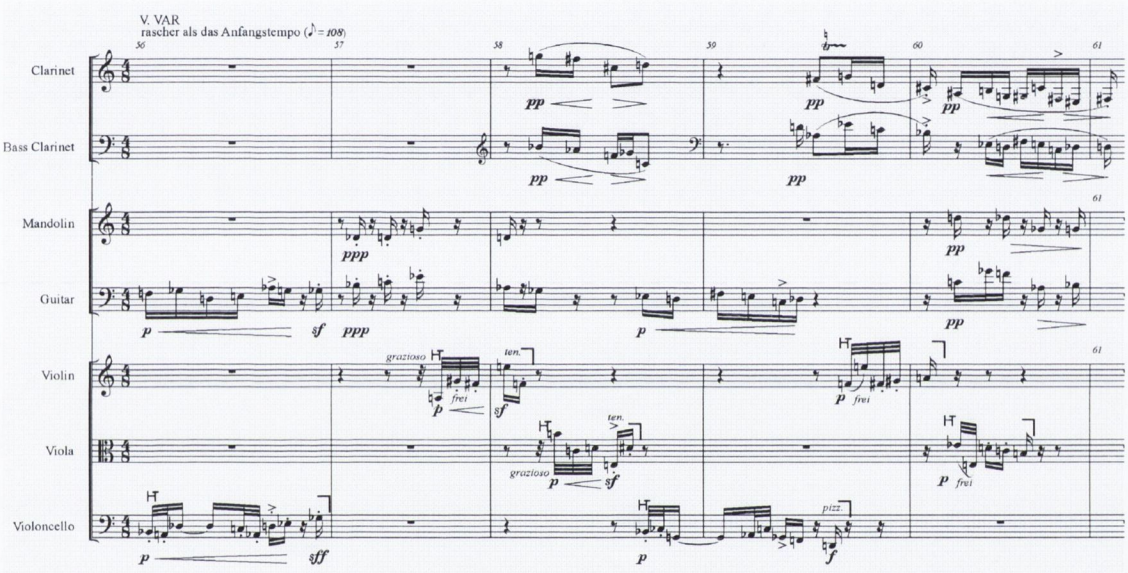


Table 3.2 Summary of the form of each variation in the 'Variationen' from Schoenberg's Serenade, Op. 24

	Theme	**Variation 1**	**Variation 2**	**Variation 3**	**Variation 4**	**Variation 5**	**Coda**
Form	Period	Period	Bipartite structure; periodic first half	Period	Period	Bipartite structure; periodic first half	Repeated closing sections & motivic liquidation
Tempo	Andante (♪ = 96–100)	Tempo I	♫♫ = ♫	Tempo I	viel bewegter (♩ = 76)	rascher als das Anfangstempo (♪ = 108)	viel langsamer (Adagio) (♪ = 72)
Character		*zart*			*molto espress.*	*grazioso* (vln & vla, bars 57–8)	*scherzando* (b 74 & 76)
Symmetry			seamless transition Introduction of 'block'	Motive of Variation 3 heterogeneous	𝄐 homogeneous Flourishing of 'block'	seamless transition heterogeneous Dissolution of 'block'	Motive of Variation 3
Directionality	Horizontal presentation of 14-note succession	→	→	→	→	→	Vertical presentation of 14-note succession

The first half of variation 5 similarly divides into an antecedent-consequent structure by virtue of the way in which motives are assembled. Informed by the principle of symmetry, both the antecedent and consequent comprise four distinct elements (see example 3.4).

Example 3.4 Periodic structure in variation 5 (bars 56–61) of the 'Variationen' from Schoenberg's Serenade, Op. 24



The first element contains the fourteen-note succession, the first and second halves being presented in bar 56 by the 'cello and guitar and in their forward and backward versions respectively. Given Schoenberg's claim in relation to the *Handel Variations* that 'Brahms fulfills his obligations to the theme in the first part of the bar, and is thus freed for the rest of the measures'[85] (a point that is corroborated by Hanns Eisler's extensive analysis of Beethoven's *32 Variations in*

[85] Schoenberg, comment made in series of seminars on variations in 1948–49, reported in Nelson, 'Schoenberg's Variation Seminar', 149.

C minor deriving from his studies with Schoenberg in 1921[86]), the compression of the entire theme into a single bar enables Schoenberg to proceed in a different direction. The succeeding elements are differentiated both in character and instrumental colour: element two in bar 57 is distinguished by the plucked strings, element three in bars 57–8 by imitation in violin and viola, and element four in bar 58 by legato phrases in the clarinets. This sequence is permutated in the consequent, as element one is followed by the legato clarinets, and the imitation is preceded by the plucked strings; it was this technique of juxtaposing motives that Schoenberg claimed to have learned from Mozart (' a wonderful technic [*sic*] which I myself used also') and to which he drew attention when he noted that the Allegro section of the Finale (No. 15) of Act 2 of *The Marriage of Figaro* is 'built, almost exclusively, out of variations of [...] five little phrases in a constantly changing order'.[87] But, while motives in tonal music are laced together by an underlying harmonic organization, Schoenberg, here, exploits the principle of symmetry to create a succession of two intimately linked phrases.

In addition to forming the basis of individual variations, the mirror conceit established in the theme radiates through the overall structure of the movement. The similarities between the internal constitution of variations 2 and 5 are reinforced by rhythmic correspondences between the clarinet part at bars 23–24

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[86] Nathan Notowicz, *Wir reden hier nicht von Napoleon. Wir reden von Ihnen! Gespräche mit Hanns Eisler und Gerhart Eisler*, ed. Jürgen Elsner (Berlin: Verlag Neue Musik, 1971), 95. In his conversation with Notowicz on 25 February 1958, Eisler provides a detailed analysis of Beethoven's variations that purportedly comes from Schoenberg ('wie ich in meiner Klasse von ihm ungefähr 1921 gehört habe').

[87] Schoenberg, comment made in lesson of 23 February 1950, in Langlie, *Conversations with Arnold Schoenberg*. Schoenberg's remarks on the *The Marriage of Figaro* are given in 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 411–412. Statements made by Egon Wellesz in his 1921 monograph suggest that Schoenberg discussed these ideas with his students *c.* 1920: 'The themes of Mozart, for example, often contained within themselves the principle of contrast; they are compact first sections followed by freer second sections. This principle of a direct effect of contrast, and of a juxtaposition of contrasting figures in the course of a theme, is revived by Schönberg in his works of his later style [i.e. works written before 1921]'. See Egon Wellesz, *Arnold Schoenberg: The Formative Years*, trans. W. H. Kerridge (London: Galliard; and New York: Galaxy, 1971), 116.

and the 'cello at bar 56. Though not identical, the rhythm of the 'cello part begins as a diminution of that of the clarinet. Likewise, a close relationship obtains between the rhythms of the bass clarinet at bars 23–25 and the 'cello at bars 58–59, serving, yet again, to establish a connection between the two variations. Moreover, a quasi-symmetry exists between two pairs of variations: as indicated in table 3.2, both variations 2 and 5 are imperceptibly linked into variation 3 and the Coda respectively, a fact which becomes significant when the principal motive of variation 3 recurs prominently in the Coda. In the context of a piece containing few substantial quotations of previous thematic material, the reference to the motive of variation 3 is clearly a backward-looking gesture, indicating that the piece is nearing completion.

Variation 4, then, represents the midpoint of the entire movement. It is clearly demarcated from the preceding variation and it concludes with a complete silence. Contrasting sharply with the heterogeneous and fragmented texture of variation 5, it is monochromatic and differentiated by homogeneity and consistency of texture. To this extent, variation 4 constitutes a 'character variation', a description Webern used in his lectures on form in relation to the fourth variation of Beethoven's *Six Easy Variations on a Swiss Song*,[88] while Eisler, in his analysis of the *32 Variations*, referred to the first variation as a '"leggiermento" character piece'.[89] Such character differentiation became essential in a non-tonal context, because, as Stein maintained, its purpose was to substitute for contrasts of key.[90] Despite its contrasting character, however, the variation proceeds from and is

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[88] Anton Webern, *Über musikalische Formen: Aus den Vortragsmitschriften von Ludwig Zenk, Siegfried Oehlgiesser, Rudolf Schopf und Erna Apostel*, ed. Neil Boynton, trans. Inge Kovács (Veröffentlichungen der Paul Sacher Stiftung, 8; Mainz et al: Schott, 2002), 387.
[89] Notowicz, *Wir reden hier nicht von Napoleon*, 87.
[90] Stein, 'New Formal Principles', 60.

connected to the preceding variation by a prefiguring of its opening pitch classes at the end of variation 3.

Connections of this sort blur the boundaries between individual variations: for instance, the change in metre at the beginning of variation 2 is anticipated in the previous bar by triplet figures. Yet, coupled with these linkage techniques, a sense of directionality is imposed on the set of variations by a loose symmetrical design and by a careful control of parameters such as the progression from a monophonic theme to a texture comprising all seven instruments in variation 2. More importantly, as Joel Lester and Martina Sichardt have demonstrated, there is a general tendency in the movement toward a verticalization of the fourteen-note succession, which is achieved in the bowed strings in variation 5 and, finally, in all seven instruments in the Coda.[91] This poses a familiar question: how do we reconcile the additive structure of a theme-and-variation form with an overarching design? Or, to put it in Schoenbergian terms, does this directionality constitute 'developing variation', as argued by Norton Dudeque?

As mentioned above, the principle of 'developing variation', though sometimes invoked as a catch-all for all types of variation, was regarded by Schoenberg as just one of three methods of motivic presentation. Specifically, he labelled it as 'the formal principle of the homophonic-melodic method of composition',[92] whereby the musical 'content' was expressed in a single melodic line—the principal part.[93] In his *ZKIF* notebooks of 1917 he sharply differentiated between 'developing variation' and variation, noting that in variation 'the changes

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[91] Lester, 'Pitch Structure Articulation in the Variations of Schoenberg's Serenade', 33; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 76–78.

[92] Schoenberg, 'Entwurf eines Kontrapunkt-Lehrbuchs', 29 October 1926, catalogued at T37.10 in the Arnold Schönberg Center Privatstiftung, Vienna.

[93] See Schoenberg, *Style and Idea*, 105 and 208; Arnold Schoenberg, 'New and Outmoded Music, or Style and Idea', in Bryan R. Simms (ed.), *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music* (Belmont, California: Schirmer, 1999), 99.

[...] have nothing more than an *ornamental* purpose; they appear in order to create variety and often disappear without a trace'.[94] Whereas variation was localized, 'developing variation' could refer to the treatment of motives across a relatively substantial portion of a composition. Most significantly, it was distinguished from all other Schoenbergian modes of presentation by the production of new motivic shapes.[95] Thus it described a process whereby, for example, motives from a first theme are varied to create motives for the transition section, which are, in turn, varied to produce new motives for the second theme. The motives in the transition can be understood as the intermediary stage, functioning to connect two apparently dissimilar themes. This process was exemplified by Schoenberg's analyses of the first movement of Mozart's 'Dissonance' Quartet and his brief discussion of the opening of Beethoven's Fifth Symphony in the essay 'Folkloristic Symphonies' of 1947, discussed above. Relevant to present discussion, however, is the fact that it was associated in Schoenberg's mind with symphonic construction.

Here, in the 'Variationen' from the Serenade, the principal motive of variation 3 comprises non-contiguous pitch classes from the fourteen-note succession, its order numbers being 12678 (see example 3.5). If this were the product of 'developing variation', it would be possible to trace the derivation of this motive through variants of motives from preceding themes. Instead, it is arrived at by partitioning in variation 1 so that the 12678 motive appears in the bass clarinet part with the intervening order numbers 345 transferred to the viola. The anticipation of the motive in variation 2 contributes to a sense of progression across the set of variations, as order numbers 12678 are emphasized in the clarinet by

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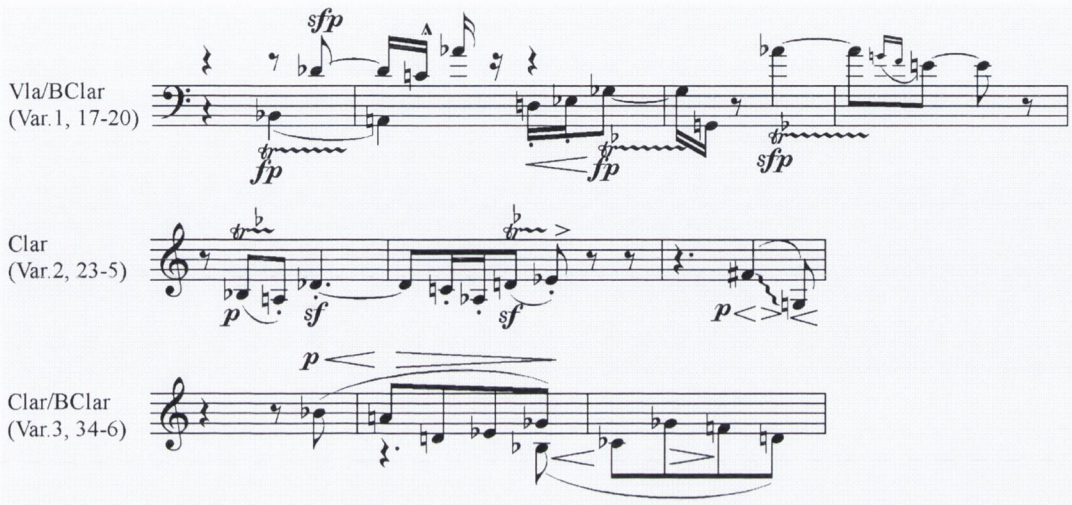
[94] Schoenberg, *ZKIF*, 38–39.
[95] See, for example, T37.10.

trills and common articulation of the dyads B♭ and A, and D and E♭, and order number 8 by its placement at the start of the consequent.

Example 3.5 Principal motive of variation 3 of the 'Variationen' from Schoenberg's Serenade, Op. 24

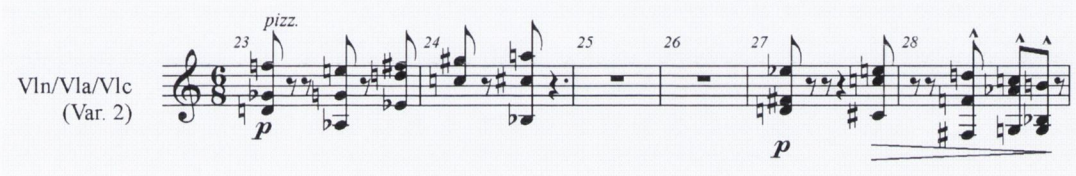


Yet, 'developing variation' is dependent not only on motivic manipulation but on the organization of those motives into stable or loose formations underpinned by an harmonic progression. Schoenberg's dodecaphony was, arguably, *in statu nascendi* at this point and, as such, it did not yet replicate the effects of tonality. However, Schoenberg highlighted, in his analysis of the transition of Mozart's 'Dissonance' Quartet, the loose formation underpinning the liquidation of the motives of the first theme and preparation for the motives of the subordinate theme.[96] But, because variations are juxtaposed, it is difficult to ascribe greater significance to one rather than another. Furthermore, the absence of any real contrast between stable and loose formation renders it impossible to distinguish a point of arrival at a subsidiary theme, for example, from an intermediary stage represented by a transition.

[96] Schoenberg, *The Musical Idea*, 252–255.

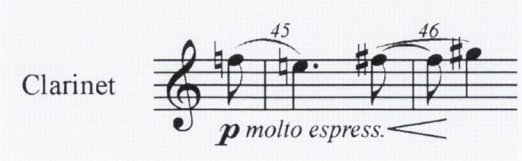
The motives in variations 4 and 5 have also been construed as the product of 'developing variation',[97] as they are derived from a block-like presentation of the fourteen-note pitch succession in variation 2. As shown in example 3.6, each of the fourteen pitch classes is assigned to the violin, viola or 'cello, creating three lines and five simultaneities.

Example 3.6 Multi-voiced abstraction of the 14-note succession in variation 2 of the 'Variationen' from Schoenberg's Serenade, Op. 24



This block, as I shall call it for the sake of convenience, is a multi-voiced abstraction of the fourteen-note succession, which generates material for subsequent variations: for instance, the notes in the violin at bars 23–24 are deployed as the principal voice at the opening of variation 4, as shown in example 3.7.

Example 3.7 Opening of variation 4 of the 'Variationen' from Schoenberg's Serenade, Op. 24



Because of the rhythmic unison, the block lacks definition, meaning that none of its parts is thematic, save, perhaps, the top line. Above all, it is inconspicuously

[97] Dudeque, 'Music Theory and Analysis in the Writings of Arnold Schoenberg', 199–208.

introduced into the texture and sounds subordinate to the canon in clarinets and semiquavers in mandolin and guitar; to that extent, the development of motives—or the 'content' as Schoenberg described it—does not take place in the principal melodic line. What is more, whereas 'developing variation' relies on constructing a chain of logic, the insertion of the block seems like an artificial device for introducing contrast. The fact that the flowering of this contrast occurs in variation 4 further distinguishes this variation as the ultimate contrast to the theme. Thereafter, variation 5 sees the gradual elimination of these lines, as more obvious elements of the theme reassert themselves. Given the syzygial relationship between variations 2 and 5, the introduction, flourishing and dissolution of the block reinforce the symmetrical design of the movement.

Conceptually, the organization of the entire movement is relatively simple. Instead of being based on an underlying skeletal structure and thus adhering to Schoenberg's description of classical variation form,[98] each of the variations in this movement reflects the theme's formal structure and symmetrical design. In short, the theme, five variations, and coda are arranged in closed symmetrical units, which are conjoined using simple linkage techniques to achieve a global but unsophisticated form. The overriding structure relies on simple rhyming patterns between variations as well as on the principle of juxtaposition, which posits the question of form as a series of discrete manageable units, while facilitating *Geschlossenheit* and regaining the formal definition hitherto supplied by tonality.[99]

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[98] Schoenberg, *Fundamentals of Musical Composition*, 169.

[99] It is important to acknowledge that juxtaposition was not confined to theme-and-variation forms. Concerning the first and second pieces from the *Fünf Klavierstücke*, Op. 23—also composed in 1920—Stein wrote: 'They develop their thoughts into a well-defined sentence [*zu einem geschlossenen Satz*], before submitting them to extensive modifications. The formal effect, therefore, is of theme and variations'. See Stein, 'New Formal Principles', 68. (There is no evidence to suggest that Schoenberg had formulated the term *Satz* as 'sentence' at that time; therefore, 'phrase' may be a more accurate translation. This issue will be discussed in greater detail in chapter 5.) Further, as was seen in chapter 2, juxtaposition was a prominent structural principle in compositions

Yet, at this stage, the contrast between stable and loose formation, a feature that was vital to thematic differentiation and the execution of 'developing variation', was not apparent; rather, the designation 'loose', as used by Schoenberg, Berg, Stein, and others, was simply an observation attached to the overall musical form resulting from the principle of juxtaposition.[100] In other words, while Schoenberg might have recognized the distinct shaping principles of stable and loose, it appears that he did not yet perceive them as co-existing in the same piece.[101]

The quintessential difference between juxtaposition and 'developing variation' that Schoenberg sought to distil in his visual metaphor of album and panorama calls to mind Carl Dahlhaus's characterization of Beethoven's 'new path' as the transformation from successional to processual form.[102] Dahlhaus's terminology may be usefully applied to the three sets of variations Schoenberg composed between 1920 and 1926: the 'Variationen' from the Serenade embody his conception of an album—like multiple snapshots of the same landscape, canons, inversions, retrogrades and symmetries show the theme and its derivates from

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of the so-called 'atonal' period. Indeed the terminology Schoenberg used in relation to his *Fünf Orchesterstücke*, Op. 16, was in itself telling, as he described the pieces as 'completely unsymphonic [*nicht symphonisch*], devoid of architecture or construction'. See Schoenberg, Letter to Strauss, 14 July 1909, trans. and cited in Slonimsky, *Music Since 1900*, 207. The original German text of the letter is given in the critical edition of Op. 16. See Arnold Schönberg, *Sämtliche Werke: Orchesterwerke I, Kritischer Bericht*, ed. Nikos Kokkinis (Abteilung IV, Reihe B, Band 12; Mainz: Schott; and Vienna: Universal Edition, 1984), xii.

[100] For instance, Schoenberg described Mozart's phrases as being 'loosely joined together'. See 'Brahms the Progressive' (1947), in Schoenberg, *Style and Idea*, 411. Interestingly, in his discussions of Beethoven's Fantasia for Piano, Op. 77, Adorno (who studied with Berg during the 1920s) noted the similarity of form with that of Mozart: 'A composition made up of sections which are internally unified but merely juxtaposed, arbitrarily successive'. Likewise, he wrote that the Finale of Beethoven's 'Kreuzer' Sonata 'is extremely loose', and claimed in relation to his variation sets that 'the treatment of form is curiously relaxed, relying, no doubt, on the cohesive strength of the theme, which allows loosely related elements to be juxtaposed'. See Theodor W. Adorno, *Beethoven: The Philosophy of Music*, ed. Rolf Tiedemann, trans. Edmund Jephcott (Cambridge: Polity Press, 1998), 67–69.

[101] Schoenberg wrote about a strong [*stark*] and loose [*lose*] coherence [*Zusammenhang*] in his undated document on coherence, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna. As suggested in chapter 2, it is possible that this manuscript dates from 1921.

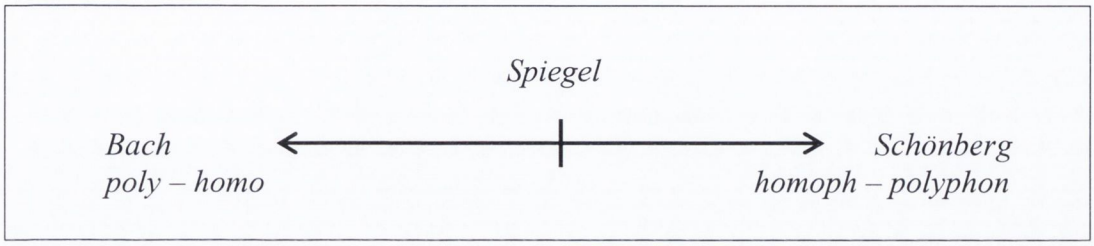
[102] 'The "New Path"', in Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991), 179.

different vantage points; those from his Suite, Op. 29, represent a middle ground, identifying a principal content-carrying voice, *sine qua non* for 'developing variation', by means of a tonal theme embedded in a dodecaphonic texture; but the processual character of form is only recaptured in the 'symphonic style' of the *Variationen für Orchester*, Op. 31. With the addition of a Finale, Schoenberg admits he 'switch[es] abruptly from the one mode of presentation to the other', and thus concludes the work with, in his words, 'a final bird's-eye-view of our panorama'.[103]

[103] Schoenberg, 'The Orchestral Variations, Op. 31: A Radio Talk', 39.

CHAPTER FOUR

Form and Function in Schoenberg's 'New Polyphony'



—Alban Berg, Diagram on Bach and Schoenberg[1]

An Affinity with Bach

In 1920 Alban Berg accepted an offer to write a monograph on Schoenberg. Although the project was never brought to fruition, Berg's legacy includes various notes for the planned book as well as notes for lectures he gave on Schoenberg's works in 1932/33.[2] His papers include the above diagram, encapsulating the parallel perceived by the Viennese School between Bach's position at the nexus between polyphony and homophony, and Schoenberg's pivotal role in the return to polyphony. Berg's contribution to the journal *Die Musik* of 1930 serves to elucidate the so-called 'Spiegel' or 'mirror' in this jotting in so far as it reproduces a portion of

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[1] Diagrammatic jotting in Alban Berg, 'Komposition mit zwölf Tönen und andere Aufzeichnungen', catalogued at F 21 Berg 107/I in the Music Collection of the Austrian National Library, Vienna. This is a partial transcription of fol. 9. A transcription of the entire folder is given in Werner Grünzweig, *Ahnung und Wissen, Geist und Form: Alban Berg als Musikschriftsteller und Analytiker der Musik Arnold Schönbergs* (Alban Berg Studien, 5; Vienna: Universal Edition, 2000), 285–292.

[2] The monograph was to be part of series of books on contemporary composers to be published by E. P. Tal & Co.; the series itself was never realized. Berg's progress on the book is documented in a number of letters to Schoenberg between 1920 and 1922. See *The Berg–Schoenberg Correspondence: Selected Letters*, ed. Juliane Brand, Christopher Hailey, and Donald Harris (New York and London: Norton, 1987), 277–228, 306 and 320; Grünzweig, *Ahnung und Wissen, Geist und Form*, 35–38 and 163. Very little is known about the lectures in 1932/33; according to Grünzweig, they took place over several months and may have taken place in Berg's apartment in Trautmansdorffgasse in Vienna.

Hugo Riemann's article on Bach from his *Musiklexikon* (Encyclopaedia of Music) of 1916, providing alternatives for selected portions of the text applicable to Schoenberg; the entire article is transcribed in figure 4.1.[3] Whilst Riemann writes that '[Bach] belongs as much to the immediately preceding period of polyphonic music and the contrapuntal imitative style as to the period of harmonic music', Berg's adaptation reads that '[Schoenberg] belongs as much to the immediately preceding period of the harmonic style as to the period (which makes its reappearance with him) of polyphonic music and the contrapuntal imitative style'.[4] As a composer Berg painstakingly notated his scores to engineer that the centre of the palindrome, in his Chamber Concerto for instance, is arranged symmetrically on two facing pages.[5] Similarly the parallelism between the two composers is reinforced by the visual aspect of the article in that the text floats seamlessly from one that is appropriate for both composers to two columns subtitled 'Riemann on J. S. Bach' and 'Alban Berg on Schoenberg'.[6]

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[3] Alban Berg, 'Credo', in Frank Schneider (ed.), *Glaube, Hoffnung und Liebe: Schriften zur Musik* (Leipzig: Verlag Philipp Reclam, 1981), 227. The short text was first published in *Die Musik* 22 (January 1930).

[4] Berg, translation in Willi Reich, *Schoenberg: A Critical Biography*, trans. Leo Black (London: Longman, 1971), 129.

[5] See facsimile 1 in Alban Berg, *Sämtliche Werke: Kammerkonzert*, ed. Douglas Jarman (I. Abteilung, Band 5, Teil 1; Vienna: Universal Edition, 2004), IX.

[6] Erwin Stein made the same point in his 1924 essay 'Neue Formprinzipien': 'The crisis of musical form through which we are going to-day may be compared to the transition period between Bach's polyphony and the homophonic style of the classics. Only, the relation is reversed now: we are returning to a polyphonic style'. See Erwin Stein, 'New Formal Principles', *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 59–60.

Figure 4.1 'Credo' by Berg

„… einer der größten Meister aller Zeiten, einer von denen, welche nicht übertroffen werden können, weil sich in ihnen das musikalische Empfinden und Können einer Epoche gleichsam verkörpert, der aber eine besondere Bedeutung, eine beispiellose Größe dadurch gewinnt, daß die Stilgattungen zweier verschiedener Zeitalter zugleich in ihm zu hoher Blüte gelangt sind, so daß er zwischen beiden wie ein gewaltiger Markstein steht, in beide riesengroß hineinragend. Er gehört mit gleichem Recht der hinter ihm liegenden

Periode der polyphonen Musik, des kontrapunktischen, imitatorischen Stils, wie der Periode der harmonischen Musik an	*Periode des harmonischen Stils, wie der mit ihm wieder einsetzenden Periode der polyphonen Musik, des kontrapunktischen, imitatorischen Stils an*

und des nun erstmalig in seinem ganzen Umfange dargelegten Systems der (an

die Stelle der Kirchentöne getretenen) modernen Tonarten.	*die Stelle der Dur- und Moll-Tonarten getretenen) Zwölftonreihen.*

Seine Lebenszeit fällt in eine Periode des Überganges, das heißt in eine Zeit, wo der alte Stil sich noch nicht ausgelebt hatte, der neue aber noch in den ersten Stadien seiner Entwicklung stand und das Gepräge des Unferitgen trug. Sein Genie vereinigt die Eigentümlichkeiten beider Stilgattungen: Wie als Vokalkomponist so als Instrumentalkomponist ist er der Erbe jahrhundertealten Kunstgutes, als Vollender alles zusammenfassend und in reinster Erkenntnis aller harmonischen Funktionen läuternd, was an Form im großen und kleinen die Periode der Polyphonie hervorgebracht hatte. Seine Melodik ist so urgesund und unerschöpflich, seine Rhythmik so vielgestaltig und lebendig pulsierend, seine Harmonik so gewählt, ja kühn und doch so klar und durchsichtig, daß seine Werke nicht allein der Gegenstand der Bewunderung, sondern des eifrigsten Studiums und der Nacheiferung bleiben werden."

Riemann über J. S. Bach	Alban Berg über Schönberg

This view of Bach on the cusp of the change from polyphony to homophony must be understood in relation to Schoenberg's cyclical conception of music history. For Schoenberg, each era was defined by the way in which the musical idea was presented in musical space. Vertical presentation—the simultaneous presentation of the idea in a number of voices—was particular to polyphony, while homophony was characterized by horizontal presentation; each of the voices in polyphony was content-carrying, but in homophony the principal voice was solely responsible for the presentation of the idea. Schoenberg explained this cyclical process thus:

> When one of the two directions—one of the two basic dimensions of music—is dealt with exclusively, the other one is neglected, so that the next period looks to the development of the neglected dimension. If an era ignores the contraptuntal style and develops only the horizontal dimension, and succeeds in giving its melodies a roundness and richness of content, then the next generation of competent musicians will try to acquire a similar skill in writing polyphony. Conversely, a superabundance of content and an excessive attention to the space occupied by the principal melody may lead this music, dominated by its upper voice, to great lengths, as it must, since everything is expressed ever more broadly and expansively in the top part of the texture, leaving the lower parts quite empty. This will begin to tire the keener minds, and it will naturally lead to a new generation who will once again turn to a more concise manner of composing, which will exploit musical space in all of its dimensions simultaneously.[7]

Furthermore, the polyphonic and homophonic styles were differentiated, in Schoenberg's mind, by contrasting modes of motivic presentation. This distinction, which was outlined in a plethora of texts between the mid-1920s and 1950, was succinctly expressed in 1926: 'The formal principle of the homophonic-melodic method of composition can be described mainly as that of "*developing variation*" [*entwickelnden Variation*], that of the polyphonic-contrapuntal [method of

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[7] Arnold Schoenberg, 'New and Outmoded Music, or Style and Idea', in Bryan R. Simms (ed.), *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music* (Belmont, California: Schirmer, 1999), 99.

composition] as the "*unfolding*" [*abwickelndes*] principle'.[8] Notwithstanding the fact that the contrapuntal compositions of Bach represented the acme of 'unfolding', whereas 'developing variation' was exemplified by the music of Mozart, Beethoven and Brahms, Schoenberg wrote that 'Bach was the first to use a principle that was not fully expounded upon until Mozart, specifically, the principle of *development through variation*'.[9] The affinity between Bach and Schoenberg, then, is premised on the fact that they both occupy intermediary stages in the evolution of music, as Schoenberg understood it: Bach paved the way for the incipience of homophony, whereas Schoenberg's compositions signified a return to polyphonic thinking and to its associated method of presentation.

The presence of contrapuntal textures in Schoenberg's works such as *Gurrelieder*, the First String Quartet, the *Fünf Orchesterstücke*, and *Die glückliche Hand* was symptomatic of a general tendency in early twentieth-century music toward polyphony.[10] Compositions by Mahler and Reger, too, displayed contrapuntal practices, as remarked by Erwin Stein and Erwin Ratz in their essays of the 1920s.[11] Yet, for Schoenberg, polyphony assumed an even greater degree of importance in his early dodecaphony—particularly in 1921—than it had done in his preceding works. This was reflected in his theoretical writings and borne out, most significantly, by the following addition to the revised *Harmonielehre* of 1922:

> I believe that continued evolution of the theory of harmony is not to be expected at present. Modern music that uses chords of six or more parts seems to be at a stage corresponding to the first epoch of polyphonic music. Accordingly, one might reach conclusions concerning the constitution of chords through a procedure similar to figured bass more easily than one

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[8] Schoenberg, 'Entwurf eines Kontrapunkt-Lehrbuchs', 29 October 1926, catalogued at T37.10 in the Arnold Schönberg Center Privatstiftung, Vienna.
[9] Schoenberg, 'New and Outmoded Music, or Style and Idea', 100.
[10] See Hans Heinz Stuckenschmidt, *Neue Musik* (Frankfurt am Main: Suhrkamp Taschenbuch, 1981), 62–63.
[11] Erwin Stein, *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 36–46; Erwin Ratz, *Gesammelte Aufsätze*, ed. F. C. Heller (Vienna: Universal Edition, 1975), 95–99.

> could clarify their function by the methods of reference to degrees. For it is apparent, and will probably become increasingly clear, that we are turning to a new epoch of polyphonic style, and as in the earlier epochs, harmonies [*Zusammenklänge*] will be a product of the voice leading: justified solely by the melodic lines![12]

Likewise, he claimed in a *Gedanke* manuscript of 1925 that 'the harmonies [*Zusammenklänge*] are not under discussion',[13] a point that was corroborated by Stein when he observed a relationship between Bach's polyphony and the 'new epoch of polyphonic style' exemplified by the music of Mahler, Reger, Richard Strauss, and Schoenberg himself:

> The logic of polyphonic texture is based on the logic of part-writing, not on the logic of underlying chordal progressions. Chords arise as a vertical by-product out of the sounding together of the parts. If these are meaningful, the chords are relieved of every obligation to offer a meaning of their own. That the parts, not the harmonies, dominate Bach's polyphony and carry its structure becomes obvious enough once we try to analyse the harmonic aspects of his fugues.[14]

Thus, Schoenberg's conception of polyphony was predicated on the independence of voices. Indeed he remarked in the above-mentioned manuscript of 1926 that the 'presentation and leading-through [*Durchführung*] of the musical idea takes place in the so-called independent voices [*selbständigen Stimmen*]',[15] something that was also seen in the performance practice of his School:

> We have already gone beyond the latest interpretative ideal: to subordinate everything to a clearly articulated main voice, in that we now envisage a truly polyphonic performance ideal: to make each voice (based on a *conceptual* understanding of *all* voices) absolutely clear! That rests on a truly polyphonic approach characterizing our school.[16]

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[12] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 389.
[13] Schoenberg, 'zu: Darstellung d. Gedankens', 12 November 1925, catalogued at T35.02 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation by Charlotte Cross given in Patricia Carpenter, 'Schoenberg's Theory of Composition', in Walter Bailey (ed.), *The Arnold Schoenberg Companion* (Westport, Conn.: Greenwood Press, 1998), 219–220.
[14] 'Mahler, Reger, Strauss, and Schoenberg' (1926), in Stein, *Orpheus in New Guises*, 43.
[15] Schoenberg, 'Entwurf eines Kontrapunkt-Lehrbuchs', 29 October 1926, T37.10, Arnold Schönberg Center Privatstiftung, Vienna.
[16] Schoenberg, Letter to his students and friends, 6 December 1920, *Berg–Schoenberg Correspondence*, 294.

Likewise, as reported by Else Kraus, Schoenberg insisted on the clear articulation of each of the three voices at the opening of the first of his *Klavierstücke*, Op. 23 (composed in July 1920).[17] He defined an 'independent voice' in 1917 as 'one which in form, expression, and development is independent of any other voices that may be sounding simultaneously with it', and asserted that 'the independence of development in a voice merely consists of following the requirements and possibilities of its motive'.[18] These principles were prefigured in 'Das Komponieren mit selbstständigen Stimmen' (Composition with Independent Voices), a document dating from 1911 in which Schoenberg wrote that 'an independent voice is one which follows the developmental needs of a motive'.[19] In addition, he posited, in 1934, that such a voice 'should *cadence*, independently, for itself'.[20] The inevitable corollary of composition with 'independent voices', then, was a certain indifference to the vertical coincidences; the resultant harmonies, therefore, had no structural significance. If, as Ratz asserted in 1920, Schoenberg's compositions represented 'the true rebirth of polyphonic music', the question arises, what are the formal principles of the so-called 'new polyphony'?[21]

The significance of counterpoint as an organizing principle in Schoenberg's music during the early 1920s can only be appreciated by a close reading of his theoretical documents—especially those written during that period—alongside those of his associates. My aim in this chapter is to elucidate Schoenberg's

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[17] Else C. Kraus, 'Schönbergs Klavierwerk steht lebendig vor mir', *Melos: Zeitschrift für Neue Musik* 41/3 (1974), 135–136.
[18] Arnold Schoenberg, *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (Coherence, Counterpoint, Instrumentation, Instruction in Form)*, ed. Severine Neff, trans. Charlotte M. Cross and Severine Neff (Lincoln and London: University of Nebraska Press, 1994), 64–67.
[19] Sentence translated in Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 377. The manuscript is published in its entirety as Arnold Schoenberg, 'Schönbergs Entwurf über "Das Komponieren mit selbstständigen Stimmen"', ed. Rudolf Stephan, *Archiv für Musikwissenschaft* 29/4 (1972), 239–256.
[20] Schoenberg, *The Musical Idea*, 266–267.
[21] 'Arnold Schönberg' (1920), in Ratz, *Gesammelte Aufsätze*, 96.

conception of the 'new polyphony' and explore the interrelationship of that conception with the compositional practice of the 'Präludium' from the *Suite für Klavier*, Op. 25, a movement that was written during the summer of 1921 though the *Suite* as a whole was composed intermittently between 1921 and 1923. In so doing, I seek to illuminate the principles of form that are adumbrated—though not illustrated—in the writings of Schoenberg, Stein, Ratz, Rufer and other members of the circle. The discussion of the 'Präludium' will be prefaced by an examination of the provenance of the anonymous and undated typescript entitled 'Komposition mit zwölf Tönen' ('KzT')—already mentioned in chapter 2—that was found in the Berg estate.[22] I argue in the following discussion that 'KzT' is a codification of the practice and nascent twelve-tone procedures used in the Präludium.

The 'Komposition mit zwölf Tönen' Typescript

In an essay of 1936 Schoenberg claimed that he announced his new formulation to his students and friends in 1923, and that he did so in response to the publication of a treatise by Josef Matthias Hauer:

> At the very beginning, when I used for the first time rows of twelve tones in the fall of 1921, I foresaw the confusion which would arise in case I were to make publicly known this method. Consequently I was silent for nearly two years. And when I gathered about twenty of my pupils together to explain to them the new method in 1923, I did it because I was afraid to be taken as an imitator of Hauer, who, at this time, published his *Vom Melos zur Pauke*.[23]

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[22] The carbon copy of the typescript is catalogued at F 21 Berg 121 in the Music Collection of the Austrian National Library, Vienna. It is published as [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', ed. Rudolf Stephan, in Gerhard Allroggen and Detlef Altenburg (eds.), *Festschrift Arno Forchert zum 60. Geburtstag am 29. Dezember 1985* (Kassel: Bärenreiter, 1986), 296–302. The essay is translated in Arved Ashby, 'The Development of Berg's Twelve-Tone Aesthetic as seen in the *Lyric Suite* and its Sources', Ph.D. diss. (Yale University, 1995), 229–233; Jennifer Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', Ph.D. diss. (State University of New York at Stony Brook, 2002), 586–611. A portion of the essay is given in a slightly revised translation in Joseph Auner, *A Schoenberg Reader: Documents of a Life* (New Haven, Conn. and London: Yale University Press, 2003), 174–176.

[23] 'Schoenberg's Tone-Rows' (1936), in Arnold Schoenberg, *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London and Boston: Faber & Faber, 1975), 213. It should be noted that the validity of Schoenberg's claim is somewhat undermined by

However, in a letter to Hauer of December 1923, he admitted that he became aware of Hauer's theories and twelve-tone practice as early as 1921, a date that is supported by his marginal notes on Hauer's treatise, *Vom Wesen des Musikalischen*:

> Your letter gave me very, very great pleasure. And I can give you proof of this. The fact is that about 1½ or 2 years ago I saw from one of your publications that you were trying to do something similar to me, in a similar way.[24]

Given that Schoenberg was intent on being perceived as the progenitor of composition with twelve tones, it seems logical that his formal announcement was prompted by Hauer's work. The evidence suggests, then, that Schoenberg most likely revealed his new method not in 1923, as he later claimed, but in 1921 or 1922.

The secondary literature documenting the early history of Schoenberg's dodecaphony relies primarily on the accounts provided by Joan Allen Smith and

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inaccuracies in his chronology of Hauer's texts. As highlighted in the editorial notes to Schoenberg's essay (Leonard Stein, notes to *Style and Idea*, 523), *Vom Melos zur Pauke* was published in 1925; it is claimed, therefore, that Schoenberg 'most likely means *Vom Wesen des Musikalischen: Grundlagen der Zwölftonmusik*, which was published in 1923'. However, this editorial note is only partly accurate, since the second edition of *Vom Wesen des Musikalischen* dates from 1923 whereas the initial publication date was three years earlier in 1920; see Walter Szmolyan, *Josef Matthias Hauer* (Österreichische Komponisten des XX. Jahrhunderts, 6; Vienna: Verlag Elisabeth Lafite, 1965), 77.

[24] Schoenberg, Letter to Hauer, 1 December 1923, Arnold Schoenberg: Letters, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber, 1964), 103. The date of 21 June 1921 appears in the marginal notes of Schoenberg's copy of Hauer's treatise, *Vom Wesen des Musikalischen*, suggesting that Schoenberg studied the text during the summer of 1921; see Bryan R. Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' *Journal of the Arnold Schoenberg Institute* 10/2 (1987), 120–121. According to John Covach, Schoenberg was sent a complimentary copy of Hauer's treatise (1920 edition) by the publisher, Waldheim-Eberle, on 18 September 1920; see John Covach, 'Schoenberg's "Poetics of Music", the Twelve-Tone Method, and the Musical Idea', in Charlotte M. Cross and Russell A. Berman (eds.), *Schoenberg and Words: The Modernist Years* (New York and London: Garland, 2000), 337. The 1920 edition of Hauer's treatise is found in Schoenberg's library and catalogued at BOOK H16 in the Arnold Schönberg Center Privatstiftung, Vienna. Hauer discovered his 'law of the twelve notes' during the summer of 1919, which was based on the principle that no note should be repeated before the sounding of the remaining eleven notes of the chromatic scale. This practice, evident in Hauer's Nomos, Op. 19 (for keyboard), received its first theoretical explanation in *Vom Wesen des Musikalischen*; see Monika Lichtenfeld, 'Hauer', in The New Grove Dictionary of Music and Musicians, ed. Stanley Sadie (2nd edn, 11; London: Macmillan, 2001), 134–137.

Hans and Rosaleen Moldenhauer for information concerning the date of this announcement. While Smith draws on interviews with various members of the Viennese School, none of the interviewees offers a date for the meeting; in fact, the most precise dating recorded by the attendees is 1923. It seems, therefore, that her date of 'February of 1923' is taken from the account of the Moldenhauers, where, in the context of a discussion of the Viennese performance of Webern's Passacaglia, Op. 1, on 17 February 1923, it is claimed that 'one morning that same February 1923 Schoenberg assembled his closest associates in his Mödling home and revealed to them for the first time the fundamental principles of his "method of composing with twelve tones related solely to each other"'. As evidence for this assertion, the Moldenhauers write that 'the time has been confirmed by Josef Polnauer, who was present at the meeting'.[25] The editors of the published Berg–Schoenberg correspondence, presumably taking their cue from the Moldenhauers' account, elucidate a statement made by Berg in a letter of 2 September 1923 with the following footnote:

> Schoenberg officially introduced close friends and students to his concept of twelve-tone composition on 17 February of that year [1923], at which

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[25] Joan Allen Smith, *Schoenberg and His Circle: A Viennese Portrait* (New York: Schirmer; and London: Collier Macmillan, 1986), 197–207; Hans Moldenhauer and Rosaleen Moldenhauer, *Anton von Webern: A Chronicle of His Life and Work* (London: Victor and Gollancz, 1978), 251–252, 309 and 663. The Moldenhauers also refer to Polnauer's speech of 1959 'on the occasion of the unveiling of a memorial plaque at the Schönberg house', an excerpt of which is translated on the website of the Arnold Schönberg Center: 'When Arnold Schönberg gathered together some friends and pupils in his home in Mödling on a February morning in 1923, to talk about the basic ideas of his method and to demonstrate them with some examples from his latest compositions, a new chapter in the history of music began' (http://www.schoenberg.at/3_moedling/schoenberg_in_moedling_e.htm). Polnauer's speech is published in full in the original German in Walter Szmolyan, 'Die Geburtsstätte der Zwölftontechnik', *Österreichische Musikzeitschrift* 26/3 (1971), 116–117. According to Hans Keller's interview of Felix Greissle (BBC, 4 November 1965), those present at the meeting in 1923 included Berg, Webern, Stein, Eduard Steuermann, Egon Wellesz, Oskar Adler, Rudolf Kolisch and Greissle himself. Max Deutsch claims that he too was present at the meeting; see Smith, *Schoenberg and His Circle*, 197–198. Interestingly, Steuermann recalls that Berg did not attend the meeting (for which he does not provide a date); see Edward Steuermann, *The Not Quite Innocent Bystander: Writings of Edward Steuermann*, ed. Clara Steuermann, David Porter, and Gunther Schuller, trans. Richard Cantwell and Charles Messner (Lincoln and London: University of Nebraska Press, 1989), 58.

> time Erwin Stein took notes that he later published in the article 'Neue Formprinzipien'.[26]

Although the date of 17 February 1923, or indeed the date of February 1923, has little or no foundation (since it is informed only by Polnauer's recollection in 1959), Arved Ashby, Jennifer Shaw, and Joseph Auner refer to the 17 February 1923 as the date of the meeting,[27] while other scholars subscribe to the view that Schoenberg announced his new method to students and friends in February 1923.[28] But this supposition is undermined by Berg's comment to his wife in April 1923 that 'he [Schoenberg] wants to show me all his secrets in his new works'.[29]

Moreover, the date of 17 February 1923 is highly improbable in the light of the chronology of Schoenberg's compositions at that time: although he had just completed his *Klavierstücke*, Op. 23, the bulk of his Serenade, Op. 24, and his *Suite für Klavier*, Op. 25, had yet to be written.[30] To that extent, a meeting in

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[26] Editorial notes, in *Berg–Schoenberg Correspondence*, 330. It is worth noting that the editorial note under discussion contains an inaccuracy regarding the date of the composition of the 'Präludium': the movement was composed not in July 1920, as mentioned in the footnote, but in July 1921. I did consider the possibility that the date of 17 February 1923 was based upon evidence in the unpublished letters from that period—the published correspondence contains selected letters—but, having examined these letters and consulted the editors, it seems that the date is not given in these letters. The inclusion of a Schoenbergian quotation in Stuckenschmidt's study, stating that the composer had kept his new method a secret until 1924, adds a further layer of confusion of the chronology; see Hans Heinz Stuckenschmidt, *Arnold Schoenberg: His Life, World and Work*, trans. Humphrey Searle (London: John Calder, 1977), 443–444. Smith quotes this passage, correcting it 1923 (Smith, *Schoenberg and His Circle*, 198).

[27] Arved Ashby, 'Schoenberg, Boulez, and Twelve-Tone Composition as "Ideal Type"', *Journal of the American Musicological Society* 54/3 (2001), 593; Ashby, 'Berg's Twelve-Tone Aesthetic', 47; Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 13 and 582; Auner, *Schoenberg Reader*, 173.

[28] See, for example, Thomas F. Ertelt, 'Alban Berg', in Ludwig Finscher (ed.), *Die Musik in Geschichte und Gegenwart: Allegemeine Enzyklopädie der Musik begründet von Friedrich Blume* (2nd edn, Personenteil, 2; Kassel et al: Bärenreiter; and Stuttgart and Weimar: J.B. Metzler, 1999), 1220; Anne C. Shreffler, '"Mein Weg geht jetzt vorüber": The Vocal Origins of Webern's Twelve-Tone Composition', *Journal of the American Musicological Society* 47/2 (1994), 284; Martina Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs* (Mainz: Schott, 1990), 7; Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' 123; Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908–1923* (Oxford and New York: Oxford University Press, 2000), 180; Ena Steiner, 'Mödling Revisited', *Journal of the Arnold Schoenberg Institute* 1/2 (1977), 82.

[29] Berg, Letter to Helene Berg, 1 April 1923, Alban Berg, *Letters to His Wife*, ed. and trans. Bernard Grun (London: Faber, 1971), 310.

[30] For a summary of the chronology of these works, based on Schoenberg's dates on the manuscripts, see Jan Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold*

February 1923 could not have served as the source of Stein's 'Neue Formprinzipien', as suggested by the editors of the Berg–Schoenberg correspondence, since that essay discusses each of the movements in Opp. 23, 24, and 25.[31] Surely, if Schoenberg did convene such a meeting in 1923, he was more likely to do so following the completion of all three compositions in April 1923, at which time he had just begun the *Bläserquintett*, Op. 26. This viewpoint is supported by Max Deutsch and Josef Rufer, both of whom note that the meeting at which Schoenberg disclosed his method was held during the 'spring of 1923' [*Frühjahr 1923*].[32] If Stein were to have taken notes at this meeting, as both Deutsch and Rufer recall (Rufer also claims that these notes formed the basis of his essay 'Neue Formprinzipien'), the meeting could only have taken place between 30 April and 1 June 1923, because Stein was in Darmstadt until the end of April 1923 (he notes in a letter of 1 May 1923 that he was in Mödling for the first time on the previous day[33]) and Schoenberg left for his summer residence in Traunkirchen on 1 June.[34]

Yet further ambiguity arises when Stein asserts in a 1957 letter to Rufer that he was not present at the meeting in 1923. Having discovered the expression

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Schönberg (Copenhagen: Wilhelm Hansen, 1972), vol. I, 95–111; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 210–212.

[31] Erwin Stein, 'Neue Formprinzipien', *Arnold Schönberg zum fünfzigsten Geburtstage, 13. September 1924, Sonderheft der Musikblätter des Anbruch* 6 (1924), 286–303; Stein, 'New Formal Principles', 57–77.

[32] The accounts by Deutsch and Rufer are given, respectively, in Szmolyan, 'Die Geburtsstätte der Zwölftontechnik', 118; Josef Rufer, 'Begriff und Funktion von Schönbergs Grundgestalt ', *Melos: Zeitschrift für Neue Musik* 38/7–8 (1971), 282.

[33] Stein, Letter to Georg Alter, 1 May 1923, 'Briefwechsel zwischen dem Prager und dem Wiener Verein für musikalische Privataufführungen (in Ivan Vojtěch, "Verein für musikalische Privataufführungen in Prag: Versuch einer Dokumentation")', *Miscellanea Musicologica* 36 (1999), 79. I thank Thomas Brezinka for drawing my attention to this letter.

[34] Thomas Brezinka, 'Erwin Stein (1885–1957): Ein Musiker in Wien und London', Ph.D. diss. (Universität für Musik und darstellende Kunst Wien, 2003), 225. This dissertation has recently been published as Thomas Brezinka, *Erwin Stein: Ein Musiker in Wien und London* (Schriften des Wissenschaftszentrums Arnold Schönberg, 2; Vienna: Böhlau, 2005). Letters from Stein to Berg (held in the Music Collection of the Austrian National Library) as well as letters to his father, Markus Stein (in the possession of Stein's daughter in London) confirm that Stein was in Darmstadt in February and March of 1923; he was unable to travel to Vienna because of a painful knee.

'Komposition mit zwölf Tönen' in one of Schoenberg's letter of December 1923 as he prepared the first edition of Schoenberg's letters, Stein wrote to Rufer asking about the meeting:

> Were you there when Schoenberg explained for the first time the method to his students? I must have been in Darmstadt at that time, but Webern, Berg, Polnauer and others were there, but Polnauer cannot remember the time. I conclude for various reasons that it was in the autumn of 1923 when Schoenberg returned from Traunkirchen. [...] Do you remember the lecture in Mödling? I would be very grateful for a reply. Rankl was also there, but he always gives false dates.[35]

Although we do not have Rufer's reply,[36] he evidently took issue with Stein's rationale since Stein wrote in the next letter that 'Schoenberg *was* in Traunkirchen in 1923, before Mathilde's death'.[37] Stein was correct that Schoenberg was in Traunkirchen until mid-September of 1923 but it is inconceivable that Schoenberg was concerned with announcing his method on his return to Vienna as Mathilde was taken to hospital on 20 September and died just a few weeks later on 18 October 1923.[38] The ambiguities and contradictions notwithstanding, the Stein–Rufer correspondence confirms that there was a formal announcement in 1923. Based on the existing documentary evidence, I would suggest that it took place

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[35] Stein, Letter to Rufer, 14 August 1957, catalogued at N. Mus. Nachl. 58, 333, in the Rufer Collection in the Music Department of the Staatsbibliothek zu Berlin – Preußischer Kulturbesitz, Berlin. The original German reads: 'Waren Sie dabei, als Schoenberg die Methode zum ersten Mal seinen Schülern erklärte? Ich muß damals wohl im Darmstadt gewesen sein, aber Webern, Berg, Polnauer und andere waren dabei, Polnauer kann sich aber nicht an der Zeitpunkt erinnern. Ich schließe aus verschiedenen Umständen, daß es im Herbst 1923 war, als er von Traunkirchen zurück kam. [...] Erinnern Sie sich an die Vorlesung in Mödling? Ich wäre Ihnen für Ihre Antwort dankbar. Rankl war auch dabei, aber der gibt einem immer falsche Daten'.

[36] Rufer did not keep a carbon copy of the letter, and a letter is not to be found amongst Stein's papers.

[37] Stein, Letter to Rufer, 8 September 1957, catalogued at N. Mus. Nachl. 58, 334, in the Rufer Collection in the Music Department of the Staatsbibliothek zu Berlin – Preußischer Kulturbesitz, Berlin.

[38] Schoenberg's location can be ascertained from Paul Zukofsky, *et al.*, 'A Preliminary Inventory of Schoenberg Correspondence', *Journal of the Arnold Schoenberg Institute* 18–19 (1995–1996), 176–182. The date of Mathilde's death is given in *Berg–Schoenberg Correspondence*, 328; *Arnold Schönberg: Gedenkausstellung, 1974*, ed. Ernst Hilmar (Vienna: Universal Edition, 1974), 300; Alexander L. Ringer, *Arnold Schönberg: Das Leben im Werk* (Stuttgart and Weimar: J. B. Metzler; and Kassel: Bärenreiter, 2002), 219. Stein, the Moldenhauers, and Stuckenschmidt write that Mathilde died on 22 October 1923; see the notes in *Schoenberg: Letters*, 102; Moldenhauer and Moldenhauer, *Webern: Chronicle*, 255; Stuckenschmidt, *Arnold Schoenberg: His Life, World and Work*, 292.

during the spring of 1923, most likely in April when Schoenberg had completed Opp. 23, 24, and 25 but before Stein had returned to Vienna. While Rufer's comment of 1971 about Stein's note-taking is obviously vitiated by Stein's own recollection, it is possible that Rufer had confused this formal announcement with an earlier series of lectures, to which only a small number of students/close friends were privy and at which Stein may have taken notes since he was based at that time in Vienna.[39]

Whilst scholars including the Moldenhauers, Bryan R. Simms and Anne Shreffler have voiced misgivings about the date of February 1923 for various reasons which will be explained below,[40] a reasoned argument or hypothesis has not yet been put forward which would give credence to the idea that Schoenberg revealed his new method prior to 1923. It is well known, however, that Rufer claims to have been informed about the new method in 1921:

> When in the summer of 1921—it was in Traunkirchen on the Traun Lake—I picked him up for our customary evening walk and the conversation turned to his work, he remarked: 'Today I succeeded in something by which I have assured the dominance of German music for the next century'.[41]

It is also common knowledge that Schoenberg's own accounts emphasize his confidence not in Rufer but in Stein. For instance, he wrote:

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[39] Stein's letters to Georg Alter of 20 February 1922, 24 March 1922, 6 April 1922, and 3 June 1922 were written in Vienna. See 'Briefwechsel zwischen dem Prager und dem Wiener Verein für musikalische Privataufführungen', 47–53.

[40] See Moldenhauer and Moldenhauer, *Webern: Chronicle*, 310; Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' 123; Shreffler, '"Mein Weg geht jetzt vorüber"', 286–287.

[41] Josef Rufer, 'Hommage à Schoenberg', in Egbert M. Ennulat (ed.), *Arnold Schoenberg Correspondence: A Collection of Translated and Annotated Letters exchanged with Guido Adler, Pablo Casals, Emanuel Feuermann and Olin Downes*, trans. Egbert M. Ennulat (Metuchen, N.J. and London: Scarecrow Press, 1991), 2. The original German text is given in 'Hommage à Schoenberg', in Arnold Schönberg, *Berliner Tagebuch*, ed. Josef Rufer (Frankfurt am Main: Propyläen-Verlag, 1974), 48. The quotation is cited, in differing translations, in numerous sources. Maegaard has misgivings about this date and suggests that July 1922, when Schoenberg also spent time in Traunkirchen, is a more likely date, his justification being that, according to Schoenberg's own statements, Stein was the person with whom he first entrusted his knowledge about the new method; see Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 96.

> When I had finished the first compositions based on this new method in the fall of 1921, I asked Erwin Stein in Traunkirchen [...] and demanded from him, to keep secret, what I intended to tell him, for as long as necessary. He gave me his promise and kept it trustfully. However, when I returned to Vienna some time later, I heard rumours about Josef Hauer's *Tropenlehre*, which would have made me appear as a plagiarist of Hauer. That hurt and troubled me and I had to take a position on it. I recognised from the beginning and always knew that the difference between Hauer and myself was that between a (more or less good) composer and a highly interesting philosophical story-teller.[42]

And, in an article published in the *New York Times* in 1950, he again noted that he told Stein in 1921:

> I could not have foreseen that in 1921 when I showed my former pupil, Erwin Stein (now at Boosey & Hawkes) the means I had invented to provide profoundly for a musical organization granting logic, coherence and unity. I then asked him to keep this a secret and to consider it as my private method with which to do the best for my artistic purposes.[43]

However, evidence in Stein's 'Neue Formprinzipien', which constituted the first public exposition of Schoenberg's early dodecaphony and was published in the special issue of the Viennese periodical *Musikblätter des Anbruch* in September of 1924 to celebrate Schoenberg's fiftieth birthday, appears to undermine these statements. In his discussion of the third piece of the *Klavierstücke*, Op. 23, Stein added a footnote to the sentence 'this is particularly striking in the third piece', in which he wrote that 'it was apropos of this piece, shortly after its composition, that Schoenberg first told the present writer about the new formal principles'.[44] Given

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[42] The original German reads: 'Als ich im Herbst 1921 die ersten Kompositionen auf Grund dieser neuen Methode fertig gestellt hatter, rief ich Erwin Stein in Traunkirchen [...] zu mir und verlangte von ihm, was ich mitzuteilen gedachte, solange als mein Geheimnis zu bewahren, als ich für notwendig fand. Er gab mir dieses Versprechen und hat es in Treue gehalten. Als ich jedoch einige Zeit später nach Wien zurückkehrte, hörte ich Gerüchte über Josef Hauers Tropenlehre, die mich als einen Plagiator an Hauer hätten erscheinen lassen. Das verletzte und beunruhigte mich und ich mußte mich entschließen, dazu Stellung zu nehmen. Ich hatte ja von allem Anfang an erkannt und immer gewußt, daß der Unterschied zwischen mir und Hauer sich darstelle, als der zwischen einem (mehr oder weniger guten) Komponisten und einem hochinteressanten philosophischen Fabulirer'. Schoenberg, 'Modelle zur Komposition mit zwölf Tönen von der Hand Schönbergs', in *Gedenkaustellung*, 299.

[43] Schoenberg, 'Protest on Trademark', 15 January 1950, in Walter Frisch (ed.), *Schoenberg and His World* (Princeton, New Jersey: Princeton University Press, 1999), 307.

[44] Stein, 'Neue Formprinzipien', 296; Stein, 'New Formal Principles', 68. In the original German, the sentence reads 'Sehr auffallend ist das namentlich bei dem dritten Stück'. The footnote reads: 'Es

that Op. 23, No. 3, was written between 6 February 1923 and 9 February 1923,[45] Stein's statement implies that he was not informed until February 1923. Scholars have proposed various explanations for this incongruity: Hans Oesch takes Stein's statement *a priori* and proposes that Op. 23, No. 3 may have been begun during the autumn of 1921, whereas Jan Maegaard, though conceding that the piece may have been conceived in 1921, opines that it is more likely that the piece was begun in 1923, as suggested by the date on the manuscript, and that Schoenberg revised his explanation to Stein about the new formal principles on the basis of this piece.[46] There is an alternative explanation, however. By the summer of 1921, Schoenberg had completed three piano pieces: Op. 23, Nos. 1 and 2, both composed during the summer of 1920, and the 'Präludium', written in July 1921. Though these pieces eventually became part of two different series, namely the *Klavierstücke*, Op. 23, and the *Suite für Klavier*, Op. 25, Berg's notes from this period, as I will show below, do not distinguish between series and refer simply to three piano pieces. Seen in this context, the 'Präludium' was the third piano piece that Schoenberg had completed. I would suggest, then, that Stein's footnote—the only one in the essay, save the one added to the title to indicate that the essay was a preprint of that to be published in the 1925 anthology, *Von neuer Musik*—was misplaced, added, possibly after the essay was written, at the point where the words 'third piece' [*dritte Stück*] occur in the text.[47] This is corroborated by the fact that the formal

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war an der Hand dieses Stückes, kurz nach dessen Komposition, daß dem Verfasser von Schönberg die ersten Mitteilungen über die neuen Formprinzipien gemacht würden'.

[45] Jan Maegaard, 'A Study in the Chronology of Op. 23–26 by Arnold Schoenberg', *Dansk Aarbog For Musikforskning* 2 (1962), 98; Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 96; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 210.

[46] Hans Oesch, 'Schönberg im Vorfeld der Dodekaphonie', *Melos: Zeitschrift für Neue Musik* 41/6 (1974), 338; Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 96.

[47] Erwin Stein, 'Neue Formprinzipien', in H. Grues, E. Kruttge, and E. Thalheimer (eds.), *Von neuer Musik: Beiträge zur Erkenntnis der neuzeitlichen Tonkunst* (Cologne: F. J. Marcan, 1925), 59–77.

principles to which Stein refers in his essay are particularly apposite for the 'Präludium'.

Yet, in addition to informing Stein—and possibly Rufer—about the 'Präludium', the examination of various primary sources suggests that Schoenberg announced his new method to students/close friends in 1922. In a letter to Heinrich Jalowetz of 7 January 1922, Webern wrote about a series of lectures to be given by Schoenberg, at which he would discuss his most recent works. According to the account in this letter, Webern was having difficulty composing at that time but he believed that 'this continual hindrance' would soon be alleviated by the forthcoming lectures. He continued:

> Schoenberg will speak to all of us in a series of lectures—at his house—about a *technical* result or better perhaps / about a new kind of *motivic treatment* [*neue Art der motivischen Verarbeitung*] used by him now (that is not it entirely—in short it is difficult to formulate) and picking up the whole course of development of, what I can call, *our* technique (harmony etc.)—in *theory*—it is happening for the first time; obviously on the basic of his recent works. And now can you believe it: almost everything that I have been engaged in during approximately the last ten years will be discussed there. It is almost too exciting. The motive for it is a composition of *Hauer*; published in 'Melos' (a Berlin magazine). Schoenberg believes there is a similarity in this piece—'Präludium für Celesta'—with his most recent compositions, namely in the piano pieces, which he wrote in Traunkirchen in the summer of 1921. That is what is mentioned above. And in order not to appear as a plagiarist of Mr Hauer, he now developed this thing for us that has been established for a long time. It (the substance) depends harmonically and melodically on the *twelve-note scale*, which Schoenberg now views as the *basis* of our music. There are already theoretical ideas about it in the new edition of *Harmonielehre*. Shame, that you cannot hear these lectures. Anyway they will be written down. I will send a transcript to you as soon as possible.[48]

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[48] Webern, Letter to Jalowetz, 7 January 1922, Anton Webern, *Briefe an Heinrich Jalowetz*, ed. Ernst Lichtenhahn (Veröffentlichungen der Paul Sacher Stiftung, 7; Mainz: Schott, 1999), 498–499. The German original reads:
'Immer wieder muß ich Dir's klagen, weil ich's immer schrecklicher empfinde: diese dauernde Verhinderung am Komponieren ist furchtbar. [...] Und nun diese dauernde Verhinderung. In der letzten Zeit ist von außen noch ein Moment der Verstärkung hinzugetreten. [...] Schönberg spricht in einer Reihe von Vorträgen vor uns allen—bei sich zu Haus—über ein *technisches* Resultat oder besser vielleicht / über eine jetzt von ihm angewendete, neue Art der *motivischen Verarbeitung* (es ist nicht das allein—in Kürze ist es schwer zu formulieren) u. rollt dabei den ganzen Entwicklungsgang ich darf wohl sagen *unserer* Technik (Harmonik u. s. w.) auf—rein *theoretisch*—zum ersten male geschieht dies; an der Hand natürlich seiner letzten Werke. Und nun

This letter, again, indicates that Schoenberg informed his friends primarily to ensure his position as the progenitor of dodecaphony. Although no indication was given concerning the timing of these lectures, correspondence between Schoenberg and Hauer, namely a letter of 25 July 1922, reveals that these lectures took place sometime between January and July of 1922:

> Where my inquiry has led me and where it stands at the present I communicated to my students in a few lectures given several months ago.[49]

In the same letter to Hauer Schoenberg concedes that he is 'not so far advanced that [he] can make the fruits of [his] inquiries public',[50] although he had already intimated to his students the basis of the new technique. The distinction between these lectures held in 1922 and the meeting of 1923 becomes evident when this letter is juxtaposed with the text of 1936 (quoted above), in which Schoenberg refers to a formal gathering attended by 'about twenty' students and friends. In

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kannst Du Dir denken: fast alles was mich seit 10 Jahren ungefähr beschäftigt, wird da erörtert. Es is fast zu aufregend. Den Anlaß dazu gab eine Komposition *Hauers*; veröffentlicht im "Melos" (Berliner Zeitschrift). In diesem Musikstück—Präludium für Celesta—glaubt Schönberg Ansätze zu Ähnlichem zu sehn, das er heute zuletzt namentlich in den Klavierstücken, die er 1921 im Sommer in Traunkirchen geschrieben hat, praktiziert. Das is das oben Erwähnte. Und um nicht als Plagiator des Herrn Hauer dazustehn, so entwickelt er uns nun diese Dinge auf die er längst gekommen ist. Die Sache beruht harmonisch u. melodisch auf der *12 Ton-Skala*, die Schönberg jetzt als die *Gundlage* unserer Musik betrachtet. Theoretisches dar über schon in der neuen Auflage der Harmonielehre. Schade, daß Du nicht diese Vorträge hören kannst. Übrigens werden sie mitgeschrieben. Ich werde Dir eine Abschrift ehestens zukommen lassen'.
Underlined text in the original is rendered here in italics. Hauer's *Präludium für Celesta* was composed in September 1921 and published in *Melos* 3, Heft 1/1 (November 1921).

[49] Schoenberg, Letter to Hauer, 25 July 1922, translated in Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' 122. As Simms has shown, this letter was never sent to Hauer: Schoenberg notes at the bottom of the draft, 'Not sent, because the result would no doubt be some offensive reply from Mr. Hauer. Or, at best, nothing would come of it, certainly nothing reasonable'. (In the transcription of the German text, the letter is dated '25/VIII.1922'. Ibid., 131. However, in his study of Schoenberg's atonal music, Simms notes that this draft of a letter dates from 25 July 1922. It appears, therefore, that the differing date in the transcription of the German text is a typographical error. *Idem*, *The Atonal Music of Schoenberg*, 224.) Although Simms recognized the incongruity between Schoenberg's statement in the letter to Hauer and the belief that the meeting took place in February 1923, he makes no attempt to reconcile it (Simms, 'Who First Composed Twelve-Tone Music?' 123). Interestingly, he notes in his monograph that 'Schoenberg spoke to his students about twelve-tone composition on several occasions in the early 1920s', supporting this view with reference to Polnauer's recollection and the unsent letter from Schoenberg to Hauer (both of which are mentioned above); see Simms, *The Atonal Music of Schoenberg*, 224.

[50] Schoenberg, Letter to Hauer, 25 July 1922, Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' 122.

summary, although the formal announcement was made in 1923, Schoenberg had already informed members of his inner circle about his new method in a series of lectures in 1922. I propose that there is a direct relation between these lectures and 'KzT' and that the essay may represent the 'transcript' [*Abschrift*] to which Webern referred in his letter to Jalowetz.

Commentators including Arved Ashby, Joseph Auner, Bryan R. Simms, Martina Sichardt, and Jennifer Shaw, while disagreeing about the authorship of 'KzT', concur that it represents Schoenberg's ideas—most likely his spoken ideas—concerning the prehistory and evolution of his composition with twelve tones. My reading, however, differs from that of Ashby, Sichardt, and Shaw in so far as they speculate that 'KzT' emanates from the formal announcement of 1923: Sichardt notes that is conceivable that there is relationship between 'KzT' and the February 1923 meeting; Ashby draws attention in 'KzT' to similar statements in contemporaneous text to support his dating of the text of 'about 1923'; but Shaw is more emphatic, suggesting a direct relationship between the typescript and the meeting of 17 February 1923.[51] Shaw supports this supposition thus:

> The document can, however, be more precisely dated by means of the musical compositions discussed in it. With one exception, the pieces by Schoenberg mentioned or referred to were all composed by March 1923: the Five Orchestral Pieces, op. 16 (1909), *Pierrot Lunaire* op. 21 (1912); the *Klavierstücke*, op. 23 (completed February 1923), the Variations from the *Serenade*, op. 24, no. 3 (begun by August 1920; coda completed March 1923), and the Suite for piano, op. 25 (completed March 1923). The exception is Schoenberg's oratorio, *Die Jakobsleiter*: Schoenberg had begun the oratorio's continuity draft in June 1917 and he had worked on it most

[51] Sichardt wrote: 'Denkbar wäre eine Entstehung des Textes im Zusammenhang mit der Mitteilung der neuen Kompositionsmethode vor dem Schülerkreis im Februar 1923'. See Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 73; Ashby, 'Berg's Twelve-Tone Aesthetic', 47, 58–59; Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 13. Auner, too, notes that the typescript 'may represent a reconstruction of Schoenberg's presentation at the February [1923] gathering'; see Auner, *Schoenberg Reader*, 173.

> recently in 1922. [..] There are no allusions to any pieces that Schoenberg composed after March 1923, such as his Quintet op. 26.[52]

Whilst her methodology, involving the examination of the dates of completion of Schoenberg's works, is sound, the above quotation illustrates assumptions on Shaw's part—that the *Klavierstücke*, Op. 23, the Variations from the Serenade, and the *Suite*, Op. 25 were finished at the time when 'KzT' was drafted. A more accurate picture of Schoenberg's compositional progress at the time of the lectures in 1922 can be gleaned from a closer reading of the typescript alongside related notes in Berg's handwriting. In fact, the examination of the essay in conjunction the notes validates the hypothesis presented by Simms that that the typescript 'almost certainly consists of notes made from a lecture given by Schoenberg in 1922 or 1923 concerning twelve-tone composition in its early stage of development'.[53]

That there is a correlation between the ideas expressed in 'KzT' and several pages of notes by Berg has been noted by Ashby and Grünzweig.[54] Ashby's idea that the 'KzT' represents an expansion of Berg's notes is lent credibility by the fact that 'KzT' contains the same sequence of ideas, and presents, in countless instances, the same phrases and formulations as those found in Berg's notes.[55] In short, 'KzT' appears to be heavily reliant on the notes both for its argument and for its vocabulary. But, while Ashby discusses only four pages of notes from the collection of thirteen pages in F 21 Berg 107/I (folios 12, 12^{v}, 13, and 13^{v}), the

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[52] Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 584–585.
[53] Simms gives no justification for this statement; see Simms, *The Atonal Music of Schoenberg*, 9.
[54] Ashby, 'The Development of Berg's Twelve-Tone Aesthetic', 45; Werner Grünzweig, *Ahnung und Wissen, Geist und Form: Alban Berg als Musikschriftsteller und Analytiker der Musik Arnold Schönbergs*, Rudolf Stephan (ed.), Alban Berg Studien, vol. 5 (Vienna: Universal Edition, 2000), 187–8. Berg's notes are catalogued at F 21 Berg 107/I in the Music Collection of the Austrian National Library, Vienna.
[55] Ashby, 'Berg's Twelve-Tone Aesthetic', 47. Shaw disagrees with Ashby's interpretation; see Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 14.

contents of the recto of folio 3 are also incorporated into 'KzT'.[56] Grünzweig, on the other hand, discusses the entire contents of the folder, and rightly argues that the adjacent sheets are not contemporaneous.[57] He writes that the collection contains '(1) the analysis of the *Suite*, Op. 25, perhaps from the time of Erwin Stein's article "New Formal Principles" [1924]; (2) an outline of the interval list [interval cycles] from 1920;[58] (3) notes, which definitely originate from the years 1932/33'.[59] Although his dating of the interval list from 1920 and the notes from the early 1930s cannot be disputed (the former is dated, while the latter can be deduced from the publication dates of the articles to which the notes refer), the date of 1924 that he assigns to the notes pertaining to Schoenberg's Op. 25 is problematic. Using the same methodology that Shaw used in relation to 'KzT', we can infer an earlier date for these pages of Berg's notes, one that corresponds to the first half of 1922 when Schoenberg gave his series of lectures.

The following text, labelled 'other attempts' [*andere Versuche*], is found in the top right-hand corner of fol. 13^{v} of Berg's notes:

> Unvollendetes
> 3 Klavierstücke neue
> Var. d. Serenade[60]
>
> unfinished items
> 3 new piano pieces
> Variations of the Serenade

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[56] In contrast to the twelve-stave paper of folios 1 and 2, folio 3—like folios 12 and 13—is a page of fourteen-stave manuscript paper. It is unlikely that folios 3^{r} and 3^{v} were written at the same time: fol. 3^{r}, like fols 12 and 13, refers to the *Grundgestalt* and the Variations from the Serenade, whereas fol. 3^{v} could only have been written when the Serenade had been completed. Similarly, fols 4^{r} and 4^{v} are not contemporaneous: fol. 4 dates from 1920 (see below) while the contents of fol. 4^{v} bear a close resemblance to those of fol. 3^{v}. It appears, therefore, that Berg used the sequence of pages twice. Fols 3^{r} and 4^{r}, although they do not belong together, predate fols 3^{v} and 4^{v}.

[57] F 21 Berg 107/I, fols 12, 12^{v}, 13 and 13^{v} are reproduced and transcribed in Ashby, 'Berg's Twelve-Tone Aesthetic', 234–241. Grünzweig provides a transcription of the entire folder in Grünzweig, *Ahnung und Wissen, Geist und Form*, 285–292.

[58] The facsimile is published in George Perle, 'Berg's Master Array of the Interval Cycles', *The Musical Quarterly* 63 (1977), 5.

[59] Grünzweig, *Ahnung und Wissen, Geist und Form*, 188.

[60] Berg's notes, Ibid., 291.

Several unfinished items existed during the first half of 1922: the composition of Op. 23, No. 4 was begun in July 1920 but not finished until February 1923; similarly, Schoenberg wrote the opening bars of the 'Intermezzo' from Op. 25 in July 1921 but did not complete the movement until February 1923; and sketches for a 'Tanzsatz' for piano, dating from July 1921, may constitute the beginnings of the 'Walzer' from Op. 23, which remained unfinished until 1923.[61] Given that Schoenberg did not work on any of his piano pieces during the period between July 1921 and February 1923, the piano pieces, to which the notes refer, can be easily identified: the only complete pieces are the first and second pieces of what later became the *Klavierstücke*, Op. 23, both written during the summer of 1920, and the piece, composed in July 1921, that was later called the 'Präludium' and formed the first movement of the *Suite für Klavier*, Op. 25. Similarly, the Variations from the Serenade were virtually complete in 1922, the bulk of the movement being written by 3 August 1920 with only five bars being added in 1923.[62] Thus, Grünzweig's claim that Berg's notes contain an analysis of the *Suite*, Op. 25, is, therefore, mistaken and chronologically misleading since this multi-movement work was not complete until March 1923. Rather, the reference in Berg's notes to 'summer 1921' as the 'solution to these problems' suggests that the topic of the lecture/s was the

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[61] The dates on Schoenberg's manuscripts are summarized in Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 95 and 108; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 207–210. Although Maegaard does not make a connection between the sketches for the 'Tanzsatz' and Op. 23, No. 5, they are described as the 'first stage' [*Vorstufe*] of the 'Walzer' in the Schoenberg Complete Edition (where they are reproduced); see Arnold Schönberg, *Sämtliche Werke: Werke für Klavier zu zwei Händen, Kritischer Bericht*, ed. Reinhold Brinkmann (Abteilung II, Reihe B, Band 4; Mainz: Schott; and Vienna: Universal Edition, 1975), 21 and 64–65.

[62] Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schönberg*, vol. I, 100–101; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 55, 207, and 211.

'Präludium'.[63] Thereafter, the description in Berg's notes and in 'KzT' refers not to the *Suite* in general but, specifically, to the 'Präludium'.

Similar disagreement exists surrounding the authorship of the typescript. Rudolf Stephan's preface to the transcription of the text dismisses Helene Berg's attribution of authorship to Anton Webern and suggests that it is possible that 'KzT' was written by Schoenberg; yet he concedes, quite rightly, that Schoenberg's authorship is questioned by idiosyncratic terminology.[64] Indeed the unusual choice of vocabulary, as well as inaccuracies in the text, suggest that the author of 'KzT' was not a member of Schoenberg's inner circle. Ashby was therefore correct to dismiss Berg as the author of the text on the basis that the writing is 'too primitive and awkward to be characteristic of the highly literate Berg'; however, his suggestion that Erwin Stein is the 'most likely' author of 'KzT' (the typescript 'represents Stein's fleshing-out of ideas dictated to Berg by Schoenberg'), which is supported only by the fact that Stein frequently acted as the 'mouthpiece' for the Schoenberg circle and that 'Neue Formprinzipien' was the first publication outlining Schoenberg's new method, is unsubstantiated.[65] Shaw, too, claims that 'KzT' is 'a partial reconstruction, typed by Erwin Stein and corrected by Berg, of Schoenberg's first public explanation of twelve-tone composition'.[66] To support this assertion, she refers to the fact that Stein sent his article 'Arnold Schönbergs neuer Stil' to Berg and thus claims that Berg's correction of 'KzT'—if authored by Stein—

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[63] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 291.
[64] See Stephan's introductory notes to [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 296.
[65] Ashby, 'Berg's Twelve-Tone Aesthetic', 45–47, and 66. Ashby does not subscribe to this idea throughout his discussion of 'KzT'. Elsewhere in the chapter he gives an account of the differences between ideas expressed in 'KzT' and those presented in Stein's essays (Ibid., 50–51). Likewise, in his article on the topic, Ashby writes: 'Considering the spare circumstantial and documentary evidence, it seems likely that 'KzT' represents Schoenberg pupil Erwin Stein's fleshing out of ideas dictated to Berg by Schoenberg'; see Ashby, 'Schoenberg, Boulez, and Twelve-Tone Composition as "Ideal Type"', 593.
[66] Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 13.

was not an isolated incident. However, although Berg did annotate Stein's text, he did not make corrections as he did in 'KzT' (in fact, the corrections in 'Arnold Schönbergs neuer Stil' are in Stein's own hand); rather, Berg's annotations at the end of the text are related not to Stein's essay but to his own essay, 'Warum ist Schönberg Musik so schwer verständlich?' (Why is Schoenberg's Music so Difficult to Understand?), published in 1924.[67] It is important to recognize that Stein did not send the text to Berg for correction or for approval: he did so because he was hoping that Berg, as one of the editors of *Musikblätter des Anbruch*, would consider his text for publication.[68]

Moreover, the proposal regarding Stein's authorship of 'KzT' is moot in that it fails to take account of inaccuracies in the text. The following citation from 'KzT' contains an error in that the observation relating to Scriabin's 'Prometheus' was actually made by Leonid Sabaneiev (rather than Scriabin himself) in an essay entitled 'Scriabin's "Prometheus":[69]

> *Die Jakobsleiter* signifies a further step in this development: here an attempt was made to build a large part of the main theme out of six tones (inspired by an observation of Scriabin's concerning his "Prometheus").[70]

Since this is not rectified by Berg's annotations on the typescript of 'KzT', Shaw claims that the error constitutes 'good evidence of a passing remark that must have been made by Schoenberg and which was then misunderstood by Stein and/or

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[67] Berg's essay was published as Alban Berg, 'Warum ist Schönbergs Musik so schwer verständlich?' *Arnold Schönberg zum fünfzigsten Geburtstage, 13. September 1924, Sonderheft der Musikblätter des Anbruch* 6 (1924), 329–341. Stein's text and Berg's annotations are housed in the Music Collection of the Austrian National Library, Vienna. A discussion of the document is given in Rosemary Hilmar, 'Das Sprachrohr: Eine Erläuterung zu einem falsch identifizierten Aufsatz von Anton Webern', *Schweizerische Musikzeitung* 122 (1982), 326–332.

[68] Stein's essay was eventually published in a different journal: Erwin Stein, 'Arnold Schönbergs neuer Stil', *Der Merker* 12/1 (1921), 3–8.

[69] See Leonid Sabanejew, '"Prometheus" von Skrjabin', in *Der Blaue Reiter*, ed. Wassily Kandinsky and Franz Marc (Munich: R. Piper, 1912), 57–62.

[70] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 594–595.

Berg'.[71] However, Berg's notes show that they did not misunderstand Schoenberg's remark; rather, the inaccuracy arises only in the text of 'KzT'. A comparison of the relevant quotations from Berg's notes and 'KzT' illustrates the extent to which 'KzT' is reliant upon Berg's notes:

> Angeregt durch Skrjabin 6Tonreihe (Prometheus)
> [Berg's notes]
>
> Angeregt durch eine Bemerkung Skrjabins zu seinem 'Prometheus'
> ['KzT'][72]

This juxtaposition also reveals how mistakes crept into the text as the author of 'KzT' attempted to elaborate on Berg's notes.

Stein's authorship is further undermined by the fact that 'KzT' contains several instances where the word 'Thema' (theme) has been erroneously used in place of 'Schema' (scheme), a fact that significantly alters the meaning of the respective passages. According to both Stephan and Shaw, this error, which bears correction in Berg's hand, could have arisen from a 'mishearing' from a lecture.[73] However, a more plausible explanation for the inaccuracy—based on the assumption that Berg's notes precede 'KzT', as suggested by the inaccuracy pertaining to the remark about Scriabin's composition—is that the mistake may simply be the product of a misreading of Berg's notoriously indecipherable writing.[74] In addition to the errors in 'KzT', the inconsistencies in terminology, including the choice of the word 'Zwölftonmusik', cast doubt on Stein's authorship. His writings from the early 1920s display an intimate knowledge and thorough

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[71] Ibid., 595.

[72] See the transcription of the notes and essay in, respectively, Grünzweig, *Ahnung und Wissen, Geist und Form*, 291; [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 298.

[73] See Stephan's notes in [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 286; Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 14. In accordance with Berg's corrections, Stephan's transcription of 'KzT' replaces 'Thema' with 'Schema'. See Stephan, 'Ein frühes Dokument', 297–8. Ashby's transcription similarly modifies the manuscript so that it makes logical sense.

[74] I am grateful to Regina Busch for drawing my attention to this point.

understanding of Schoenberg's compositional practice. Above all, the dependence of 'KzT' on Berg's notes is at odds with Stein's perspicuity, as seen in his 'Neue Formprinzipien' and other essays from that period.

While the elementary errors in the typescript suggest that the author of 'KzT' was not part of the close-knit circle and did not attend Schoenberg's lectures in 1922, the information in the typescript pertaining to the *Harmonielehre*, demonstrating a familiarity with and command of the material in the new edition, points to an author who had specialized knowledge of the 1922 revision. Indeed the text of 'KzT' contains large paraphrases and, sometimes, exact quotations from this revised edition: for example, the author of 'KzT' echoed the proclamation of the new edition of the *Harmonielehre* concerning the move toward 'a new epoch of polyphonic style' by stating that

> The new polyphony [*neue Polyphonie*] will be voice leading only, whereby sonorities will be understood only through the movement of the voice[s]. The resulting harmonies will not *a priori* have constructive meaning.[75]

Yet, if the typescript dates from 1922, the author of 'KzT' had to have access to the pre-publication materials for the *Harmonielehre*, since the book did not appear until March 1923 (in spite of the publication date of 1922).[76] There is strong circumstantial evidence then to suggest that 'KzT' was written from Berg's notes by one of his students—possibly by Fritz Mahler.[77]

Having compiled the index for the first edition of *Harmonielehre* in 1911, Berg assumed responsibility for that of the third edition. There are letters, many

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[75] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 588. For an extensive account of the similarities between 'KzT' and the revised edition of Schoenberg's Harmonielehre, see Shaw's notes to her transcription of the text (Ibid., 586–611).
[76] This information was gleaned from records held in the Redaktionsarchiv at Universal Edition in Forsthausgasse, Vienna.
[77] A biographical sketch of Fritz Mahler is given in John Haag, 'The Unknown Mahler: Fritz Mahler in Europe and America, 1901–1973', Lecture, Hochschule für Musik und darstellende Kunst, Vienna, 10 March 1998.

unpublished, between Schoenberg and Berg in 1921 concerning the drawing-up of the index. In a letter of 4 August 1921 to Schoenberg, Berg differentiated between the 'mechanical work' of inserting the new page numbers into the 1911 index and the 'intellectual' task of updating the index. He proposed to reduce his workload by getting assistance with the mechanical tasks—that is, by sharing the indexing with Mahler:

> I will allow only one person to help me; but he will do a great deal. He is your former seminar student Fritz Mahler, who was my student this year and with whom I was quite satisfied as regards diligence, reliability, and progress. What speaks for the selection of this young student (doctoral candidate in music) is that:
>
> 1. He himself has a burning desire to do the work.
>
> 2. He studied the entire *Harmonielehre* with me this year and thereby acquired a really extraordinary and most complete familiarity with your book—which he has also demonstrated to me. So he is just the man for the task of comparing the Ist and IInd [*sic*] editions, besides having the very greatest theoretical interest in doing so (this is another reason for the 1st argument).
>
> 3. I know him to be an incredibly reliable, almost pedantic worker; and I think pedantry is indispensable for such a job (at any rate it was my disposition toward pedantry that qualified me for the job in the first place).
>
> 4. I have already discussed the matter with Mahler and given him thorough instructions, so the 2 of us can begin working as soon as the page proofs are ready and we are assured that there will be no further changes in the page breaks (which would involve changes in the page numbers). For this reason I have asked U.E. to send a copy of the final page proofs both to me and to him when the time comes.
>
> 5. By a division of labor such as this I am in a position, so to speak, to inspire the work, to supervise it at all times, and finally to guarantee its accuracy; better said: to vouch for it personally.
>
> Is that all right with you, dear friend?[78]

[78] Berg, Letter to Schoenberg, 4 August 1921, *Berg–Schoenberg Correspondence*, 309.

In his reply of 9 August 1921 Schoenberg outlined detailed instructions for Berg and his assistant:

Beilage:

I. Der Helfer bezeichnet im umbrochenen Exemplar sorgfältig Anfang und Ende jeder Seite des alten Buchs und setzt die Seiten-Zahl dazu
II. Er bezeichnet im neuen Exemplar durch rote Unterstreichung die Schlagwörte auf die sich die Registertitel beziehen
III. Er setzt in ein altes Register rot die neuen Zahlen

Das alles sind rein mechanisch zu machende Vorarbeiten. Deine Arbeit ist es dann:

I. die Zahlen und Schlagwörter zu prüfen
II. den neuen Text durchzulesen (zu welchem Zweck ich dir die Korrektur = und Vorlage = Exemplare zur Verfügung stelle aus denen du den neuen Text ohne Mühe erkennen kannst) und
III. aus dem neuen Text die bezüglichen Schlagwörter zu suchen und einzureichen.[79]

Enclosure:

I. The assistant carefully indicates the beginning and end of every page of the old book in a copy of the page proofs and puts in the page numbers
II. Using a new copy he underlines in red the keywords to which the index refers
III. In an old index he inserts the new numbers in red

All this is the purely mechanical preparation which is to be done. Your work is then:

I. to check the [page] numbers and keywords
II. to read through the new text (for which I will make available to you the proof = and production = copies, from which you can easily recognize the new text) and
III. to locate and integrate [into the index] the relevant keywords from the new text.

[79] Schoenberg, Letter to Berg (Enclosure), 9 August 1921, transcription by Ernst Hilmar, copy located in the Arnold Schönberg Center Privatstiftung, Vienna. This enclosure is unpublished (the letter is abridged in the published version).

To do this, the assistant, Fritz Mahler, would have had to prepare a document, marking the relationship between the revised text and the first edition, and locating the existing index entries in the new pagination. Mahler's annotations would ensure that Berg, who was responsible for reading the new text and finding the new keywords to supplement the index, could easily distinguish between the new or modified text and that carried over directly from the 1911 edition. The proof copy of the third edition of Schoenberg's *Harmonielehre* that Mahler prepared for Berg is still in existence and owned by a private collector.[80] The most appropriate designation for this would seem to be an indexing copy and I shall refer to it as such hereafter.

The indexing copy is systematically annotated: the words written by Fritz Mahler to the left of the text constitute keywords from the 1911 text (see figures 4.2 and 4.3). It is likely that Mahler was also responsible for the pencil annotations to the right of the text, which note the beginning and end of each page of the 1911 edition, and the insertion in red pencil of page numbers from the first edition. The additions—modifications to the text of the first edition as well as new material—are highlighted by annotations in blue pencil. A continuous blue line drawn to the right of the text indicates material not included in the 1911 edition (sometimes simply designated by a blue 'X'), whereas a broken blue line denotes that the section is only partly new in so far as it may constitute a revision or slight modification of the text in the first edition. New keywords to be incorporated into the index are highlighted in red pencil; the words are underlined in the text and written in the left hand margin.

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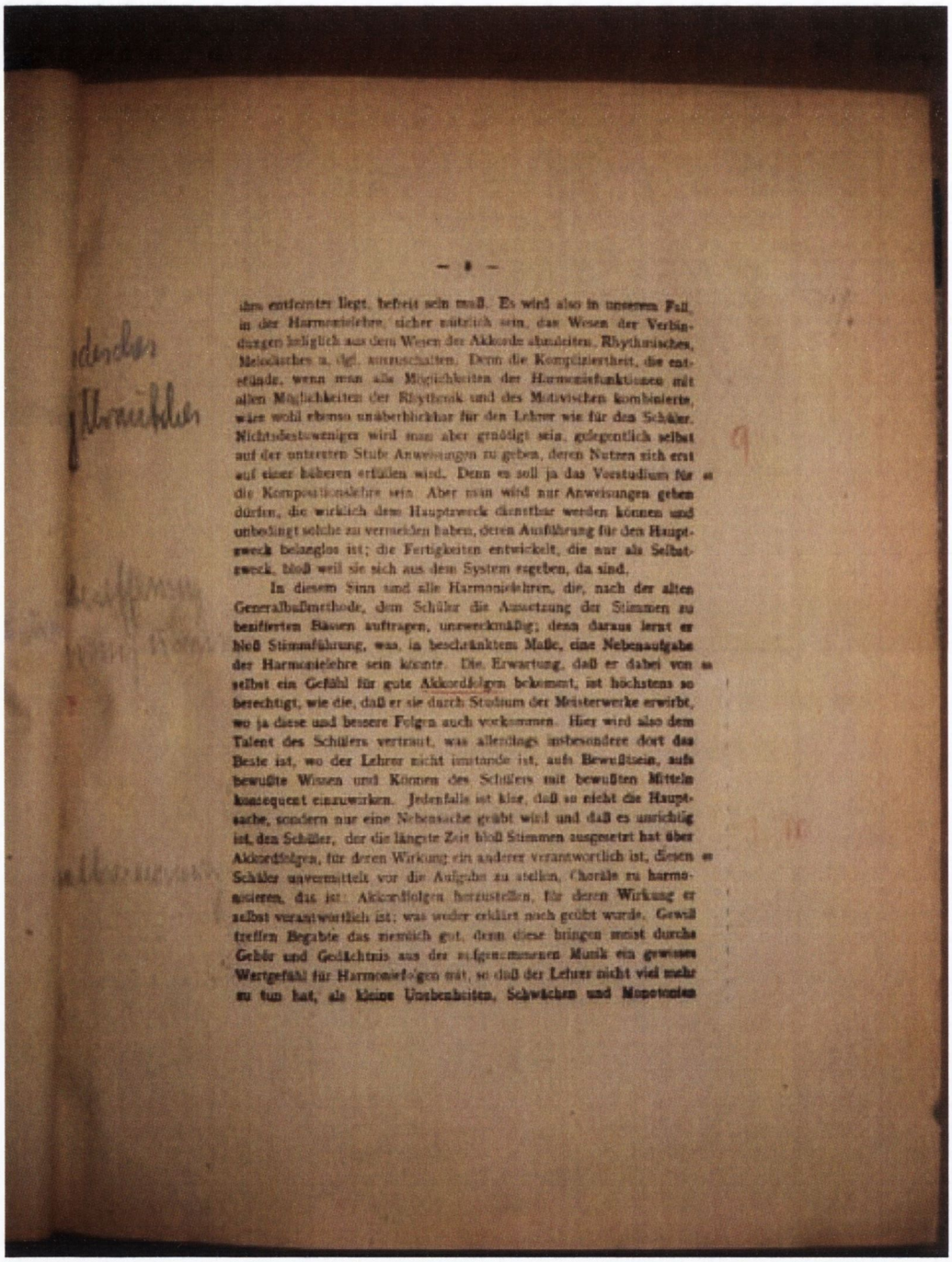
[80] The owner bought this copy in a flea market in Vienna during the late 1990s. I am very grateful to him for allowing me to examine the copy.

Figure 4.2 Annotations by Fritz Mahler on the indexing copy of the *Harmonielehre*

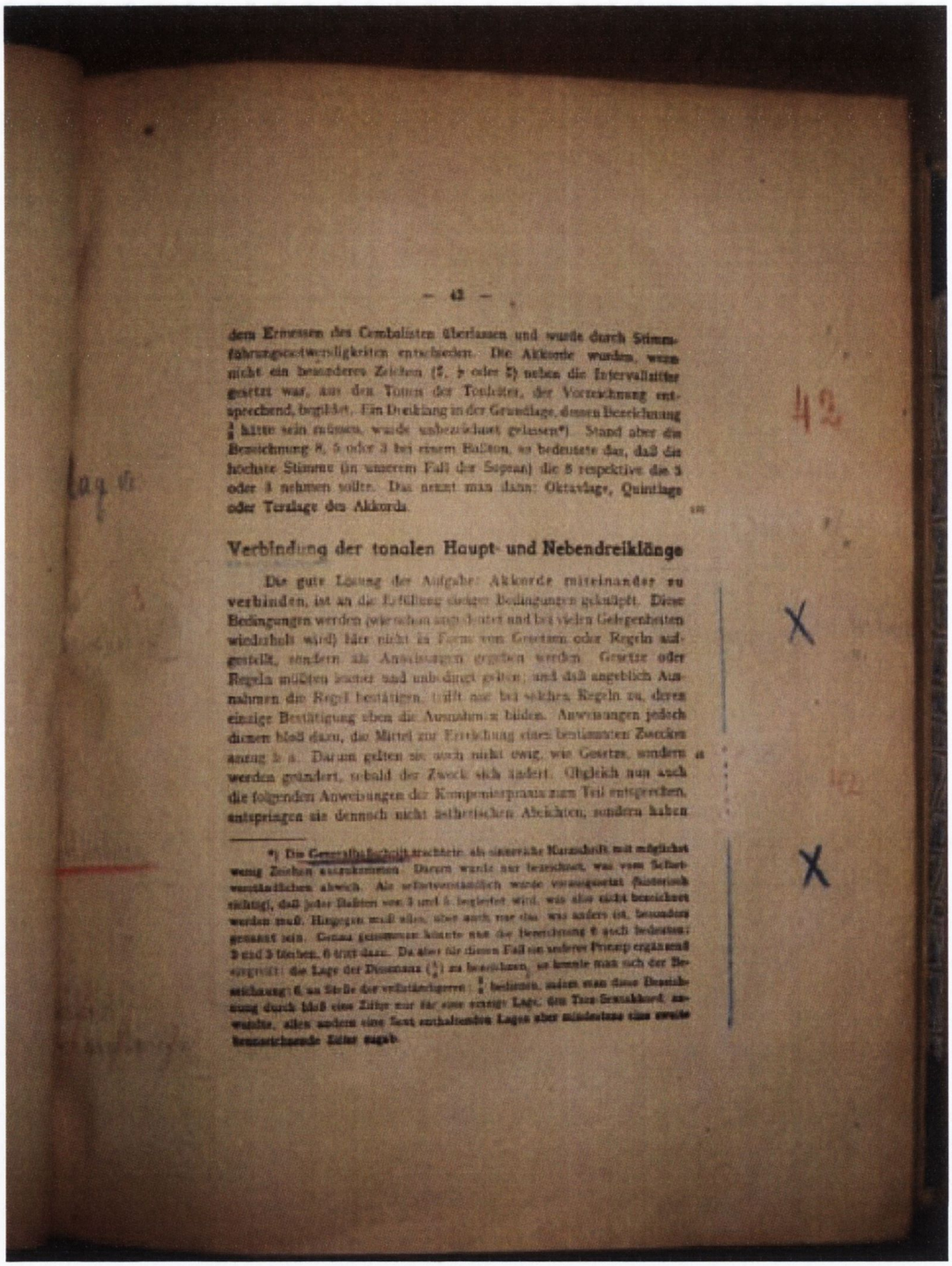


— 9 —

ihm entfernter liegt, befreit sein muß. Es wird also in unserem Fall, in der Harmonielehre, sicher nützlich sein, das Wesen der Verbindungen lediglich aus dem Wesen der Akkorde abzuleiten, Rhythmisches, Melodisches u. dgl. auszuschalten. Denn die Kompliziertheit, die entstünde, wenn man alle Möglichkeiten der Harmoniefunktionen mit allen Möglichkeiten der Rhythmik und des Motivischen kombinierte, wäre wohl ebenso unüberblickbar für den Lehrer wie für den Schüler. Nichtsdestoweniger wird man aber genötigt sein, gelegentlich selbst auf der untersten Stufe Anweisungen zu geben, deren Nutzen sich erst auf einer höheren erfüllen wird. Denn es soll ja das Vorstudium für die Kompositionslehre sein. Aber man wird nur Anweisungen geben dürfen, die wirklich dem Hauptzweck dienstbar werden können und unbedingt solche zu vermeiden haben, deren Ausführung für den Hauptzweck belanglos ist; die Fertigkeiten entwickelt, die nur als Selbstzweck, bloß weil sie sich aus dem System ergeben, da sind.

In diesem Sinn sind alle Harmonielehren, die, nach der alten Generalbaßmethode, dem Schüler die Aussetzung der Stimmen zu bezifferten Bässen auftragen, unzweckmäßig; denn daraus lernt er bloß Stimmführung, was, in beschränktem Maße, eine Nebenaufgabe der Harmonielehre sein könnte. Die Erwartung, daß er dabei von selbst ein Gefühl für gute Akkordfolgen bekommt, ist höchstens so berechtigt, wie die, daß er sie durch Studium der Meisterwerke erwirbt, wo ja diese und bessere Folgen auch vorkommen. Hier wird also dem Talent des Schülers vertraut, was allerdings insbesondere dort das Beste ist, wo der Lehrer nicht imstande ist, auf Bewußtsein, auf bewußte Wissen und Können des Schülers mit bewußten Mitteln konsequent einzuwirken. Jedenfalls ist klar, daß so nicht die Hauptsache, sondern nur eine Nebensache geübt wird und daß es unrichtig ist, den Schüler, der die längste Zeit bloß Stimmen ausgesetzt hat über Akkordfolgen, für deren Wirkung ein anderer verantwortlich ist, diesen Schüler unvermittelt vor die Aufgabe zu stellen, Choräle zu harmonisieren, das ist: Akkordfolgen herzustellen, für deren Wirkung er selbst verantwortlich ist; was weder erklärt noch geübt wurde. Gewiß treffen Begabte das ziemlich gut, denn diese bringen meist durchs Gehör und Gedächtnis aus der aufgenommenen Musik ein gewisses Wertgefühl für Harmoniefolgen mit, so daß der Lehrer nicht viel mehr zu tun hat, als kleine Unebenheiten, Schwächen und Monotonien

Figure 4.3 Annotations by Fritz Mahler on the indexing copy of the *Harmonielehre*



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dem Ermessen des Cembalisten überlassen und wurde durch Stimmführungsnotwendigkeiten entschieden. Die Akkorde wurden, wenn nicht ein besonderes Zeichen (♯, ♭ oder ♮) neben die Intervallziffer gesetzt war, aus den Tönen der Tonleiter, der Vorzeichnung entsprechend, begildet. Ein Dreiklang in der Grundlage, dessen Bezeichnung $\frac{3}{8}$ hätte sein müssen, wurde unbezeichnet gelassen*). Stand aber die Bezeichnung 8, 5 oder 3 bei einem Baßton, so bedeutete das, daß die höchste Stimme (in unserem Fall der Sopran) die 8 respektive die 5 oder 3 nehmen sollte. Das nennt man dann: Oktavlage, Quintlage oder Terzlage des Akkords.

Verbindung der tonalen Haupt- und Nebendreiklänge

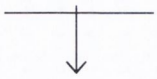
Die gute Lösung der Aufgabe: Akkorde miteinander zu verbinden, ist an die Erfüllung einiger Bedingungen geknüpft. Diese Bedingungen werden (wie schon angedeutet und bei vielen Gelegenheiten wiederholt wird) hier nicht in Form von Gesetzen oder Regeln aufgestellt, sondern als Anweisungen gegeben werden. Gesetze oder Regeln müßten immer und unbedingt gelten; und daß angeblich Ausnahmen die Regel bestätigen, trifft nur bei solchen Regeln zu, deren einzige Bestätigung eben die Ausnahmen bilden. Anweisungen jedoch dienen bloß dazu, die Mittel zur Erreichung eines bestimmten Zweckes anzug b. a. Darum gelten sie auch nicht ewig, wie Gesetze, sondern werden geändert, sobald der Zweck sich ändert. Obgleich nun auch die folgenden Anweisungen der Komponierpraxis zum Teil entsprechen, entspringen sie dennoch nicht ästhetischen Absichten, sondern haben

*) Die Generalbaßschrift trachtete als sinnreiche Kurzschrift mit möglichst wenig Zeichen auszukommen. Darum wurde nur bezeichnet, was vom Selbstverständlichen abwich. Als selbstverständlich wurde vorausgesetzt (historisch richtig), daß jeder Baßton von 3 und 5 begleitet wird, was also nicht bezeichnet werden muß. Hingegen muß alles, aber auch nur das, was anders ist, besonders genannt sein. Genau genommen könnte nun die Bezeichnung 6 auch bedeuten: 3 und 3 bleiben, 6 tritt dazu. Da aber für diesen Fall ein anderer Prinzip ergänzend eingreift: die Lage der Dissonanz ($\frac{1}{4}$) zu bezeichnen, so konnte man sich der Bezeichnung: 6 an Stelle der vollständigeren: $\frac{3}{4}$ bedienen, indem man diese Bezeichnung durch bloß eine Ziffer nur für eine einzige Lage, den Terz-Sextakkord, anwandte, allen andern eine Sext enthaltenden Lagen aber mindestens eine zweite hennzeichnende Ziffer zugab.

Figure 4.4 Transcription of Fritz Mahler's 'overview' for the indexing of the *Harmonielehre*

Übersicht

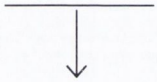
I. a.) Altes



auf der rechten Seite

rote Ziffern

b.) Neues



X ganz neu
(rote Seitenzahlen weisen auf Anlehnungen an die betreffenden Seiten hin).

viel Neues

einiges neu, Umstellungen etc.

II. a.) Die alten Registerbezeichnungen in schwarzer (am Anfang des Alphabets in blauer) Schrift auf der linken Seite

b.) Vorschläge für neue Bezeichnungen in Klammern. z.B. [Kontrapunkt]

Erscheint eine neue Bezeichnung unnötig:

rot unterstr.

roth geschr

Neu ins Reg.

There is a direct correlation between the annotations in the indexing copy and a page of instructions in Fritz Mahler's hand found in the Berg estate in the Music Division of the Austrian National Library.[81] The purpose of this page emerges when it is placed alongside the indexing copy; a transcription is given in figure 4.4 (pencil is indicated in normal colour, while blue and red colours represent text given in blue and red pencils respectively). The notation at the bottom of the page in Berg's hand—indicated in the transcription by a different font—refers to the 'intellectual work', as Berg described it in his letter to Schoenberg, and carries into effect Schoenberg's instruction 'to locate and integrate [into the index] the relevant keywords from the new text'. Given that correspondence between Berg and Schoenberg reveals that this work was undertaken between 2 and 12 June 1922 (following completion of work on *Wozzeck*),[82] Mahler's markings in the indexing copy pre-date Berg's work, placing them around the same time as Schoenberg's series of lectures.

The conjecture that Fritz Mahler was responsible for writing 'KzT' can be supported by the fact that the contents of the essay that are not based on Berg's notes (in the order folios 12, 12^{v}, 13, 13^{v} and 3) can be traced to the both the original and revised editions of Schoenberg's *Harmonielehre*. Mahler's authorship would explain, firstly, why 'KzT' is reliant on his teacher's notes and, secondly, why the typescript was supervised and corrected by Berg.[83] The supplementing of the Berg's notes with passages from the *Harmonielehre* is consistent with Webern's comment to Jalowetz in his letter of January 1922, quoted above, that the revised

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[81] The page is catalogued at F 21 Berg 96/I, fol. 10 in the Music Collection of the Austrian National Library, Vienna.

[82] See Berg's letters to Schoenberg of 2 and 12 June 1922, *Berg–Schoenberg Correspondence*, 314–316.

[83] Stein, too, was heavily involved in the preparation of the revised edition of the *Harmonielehre*. However, it seems highly unlikely that the person entrusted with proof-reading the text would be responsible for the terminological errors and inconsistencies evident in 'KzT'.

edition contains 'theoretical ideas' about Schoenberg's 'new kind of motivic treatment', something that is not wholly unexpected given the close proximity between Schoenberg's revisions of the *Harmonielehre* (the preface is dated 24 June 1921) and the composition of the 'Präludium' (July 1921). By quoting from the *Harmonielehre* to describe various aspects of the new compositional method, 'KzT' makes explicit the relationship between the revisions and Schoenberg's nascent dodecaphony.

The *Grundgestalt* as 'Solution'

The significance of 'KzT' lies in the fact that, since it constitutes an elaboration of notes based on a series of lectures dating from the first half of 1922, it documents a crucial stage in the development of Schoenberg's dodecaphony. Berg's notes and 'KzT' reveal that Schoenberg understood the 'Präludium', at the time of the lectures in 1922, as the compositional 'solution':

> summer 1921
> solution [*Lösung*] to these problems
> one prescribed ordering [*1 Anordnungsschema*][84]
>
> One piece, composed to this end, points to the main solution [*die prinzipelle Lösung*]; that is to say, as an attempt at a principle of form [*eines Formprinzips*] for the composition with twelve tones, it is comprised of a prescribed ordering of the twelve tones, from which other orderings can be generated.

This work and the 'solution' were couched in the context of Schoenberg's conception of music history, which was summarized in the three titles appearing in large red font in the margins of the first three pages of Berg's notes: 'development since Bach' [*Entwicklung seit Bach*]; 'development in Schoenberg' [*Entwicklung bei Schönberg*]; and 'development of polyphony' [*Entwicklung der*

[84] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 291.

Vielstimmigkeit].[85] In relation to the first, Berg wrote that 'Bach [represented] the end of polyphony and [the] transition to the homophonic [where] variation and development [*Entwicklung*] of the idea [*des Gedankens*] occur'; he also drew attention to the 'development of the upper voice [*Oberstimme*]' that led to an increasingly complex harmonic language.[86] He outlined various stages in the section pertaining to Schoenberg's development: the abandonment of *thematische Arbeit*, the concomitant reliance on 'feeling' or 'intuition' [*Gefühl*], and the resulting brevity of the compositions; the 'conscious' [*bewußt*] attempt to create 'length' [*Länge*] in the third of the *Orchesterstücke*; and the return in *Pierrot lunaire* of traditional forms and *Charakterstücke*.[87] In the final section before the 'solution' is given, Berg not only highlighted the *gearbeitete* aesthetic of some of the pieces of *Pierrot lunaire* but emphasized the two-dimensional conception of musical space ('musical idea 2 dimensions vertical / horizontal') and the movement toward a multi-voiced texture, whereby the 'content is distributed among more voices'.[88]

Above all, the 'solution' was presented in Berg's notes and 'KzT' as a response to a number of compositional goals: 'attempts at length'; 'various attempts that came to nothing' (he refers here to the role of the six-note theme in *Die Jakobsleiter*); 'search for formal closedness [*Geschlossenheit*]'; and, finally, 'other attempts', described in Berg's notes as 'going back to a group of tones as the motive for an underlying union [*Zusammenfassung*] and in 'KzT' as an 'attempt to use the

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[85] Berg's notes, Ibid., 290–291. Given that Schoenberg discussed in these lectures his new method and its context, Berg's renewed confidence about his monograph on Schoenberg in August 1922 is not entirely surprising: 'I have finally hit on the right approach. To be sure, it will be quite different from what I began writing 2 years ago'. See Berg, Letter to Schoenberg, 25 August 1922, *Berg–Schoenberg Correspondence*, 320.
[86] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 290.
[87] Ibid., 290–291.
[88] Ibid., 291.

motive as the basis for the comprehension of tones'.[89] The final stage was closely linked with what Schoenberg later called 'composing with tones', a procedure that received its fullest exposition in Schoenberg's letter to Slonimsky of 1937:

> I arrived [in the *Klavierstücke*, Op. 23] at a technique which I called (for myself) 'composing with tones', a very vague term, but it meant something to me. Namely: In contrast to the ordinary way of using a motive, I used it already almost in the manner of a 'basic set of twelve tones'. I built other motives and themes from it, and also accompaniments and other chords—but the theme did not consist of twelve tones.[90]

Although the expression 'composing with tones' was not used until the 1930s, it was analogous to the composing with *Grundgestalten*,[91] a term that was central to Schoenberg's earliest conception of dodecaphony.

Berg's notes and 'KzT' emphasized the *Grundgestalt* as an integral component of Schoenberg's practice in 1921. It was used as way of forging a link between the 'atonal' and twelve-tone works in that it was seen to be equally applicable to pieces within *Pierrot lunaire* and to the 'Präludium'. It was the Passacaglia, 'Nacht', of *Pierrot lunaire* that, to quote from Berg's notes, 'went further, that is, for a more meaningful future, theory!!!'[92] It was expressed in 'KzT' as follows:

> But in the *Passacaglia* [of *Pierrot lunaire*] something is employed for the first time, if still only in an unclear manner, that has significance for future development.
>
> The musical idea is expressed in two dimensions: the vertical and the horizontal. [...] The first measure is comprehended as a point of departure for all further events and as a reduction of the whole; the content

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[89] Ibid., 290–291. 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 595.

[90] Schoenberg, Letter to Slonimsky, 3 June 1937, Nicolas Slonimsky, *Music Since 1900* (4th edn; London: Cassell, 1971), 1315. Schoenberg also referred to this procedure in a document entitled 'Priority' dating from 1932. The entire text is translated in Auner, *Schoenberg Reader*, 235–240.

[91] See Simms, *The Atonal Music of Schoenberg*, 181. This is illustrated in Haimo's analyses of the first and second of the *Klavierstücke*, Op. 23. A six-note set, which is stated as a linear succession at the opening of the first piece, functions as the 'referential ordering' in that everything in the opening three bars can be seen to be derived from that set, while a nine-note motive serves to unify sections of the second piece. See Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914–1928* (Oxford and London: Clarendon Press, 1990), 71–75.

[92] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 291.

> of one measure is displayed in the vertical and in the horizontal. That has only now become possible through twelve-tone composition.[93]

This point was elucidated by Stein, when he suggested that the first bar of the Passacaglia, described in 'KzT' as a 'reduction of the whole', can be understood as a *Grundgestalt*:

> Several of the new means of construction which Schoenberg has consistently used in his latest music are extensively anticipated in his earlier works. [...] In the Passacaglia from *Pierrot Lunaire*, we find an 'atonal' basic shape [*Grundgestalt*]; the principal, three-note motif [*Hauptmotiv*] E–G–E flat serves as a basis for the entire piece. With its transpositions and derivative forms, it occurs far more than a hundred times in this twenty-five-bar composition—without becoming monotonous, as everyone knows who knows the piece. In the first three bars it appears at once horizontally and vertically—the concentrated essence, as it were, of everything that follows; whereupon it is exposed in canon, with a continuation which supplies the rest of the motivic material [*das restliche motivische Material*]. The other motifs are therefore contrapuntally dependent upon the principal motif [*Hauptthema*], so that the basic shape [*Grundgestalt*] remains throughout operative. In the further course of events it is resolved and compressed into various figures, and on one occasion it forms an ascending melody, its major third turning into a minor sixth (bar 17). Inverted retrograde motion is used too, until at the end the opening's polyphonic texture reappears.[94]

Accordingly, Stein asserted that that the 'basic shape [*Grundgestalt*]' can be understood as 'a *motif* in the most literal and original sense of the word' and is 'the law of the piece concerned'.[95]

The account of Schoenberg's compositional evolution in 'KzT' proceeds with a description of the technical innovations in *Die Jakobsleiter*, in which

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[93] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 593–594.

[94] Stein, 'New Formal Principles', 65–66. This extract has been modified from the original text of 1924, where Stein wrote that 'in the Passacaglia ('Nacht') from *Pierrot Lunaire* we find a basic shape obtained from the twelve-tone row'. See Stein, 'Neue Formprinzipien', 67. Translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 594.

[95] Stein, 'New Formal Principles', 65. That the *Grundgestalt* was responsible for unity and coherence was noted by Schoenberg in the essay 'Linear Counterpoint' (1931): 'Whatever happens in a piece of music is nothing but the endless reshaping of a basic shape. [...] I say a piece of music is a picture-book consisting of a series of shapes, which for all their variety still (a) always cohere with one another, (b) are presented as variations (*in keeping with the idea*) of a basic shape'. See Schoenberg, *Style and Idea*, 290.

circulation of the complete chromatic was achieved by restricting themes to six notes and employing the remaining notes in other voices:

> *Die Jakobsleiter* signifies a further step in this development: here an attempt was made to build a large part of the main themes out of six tones. [...] The remaining six tones form the completion [*Ergänzung*] as well (accompaniment, middle voices, completion on the horizontal level).[96]

Although Schoenberg conceded in his letter to Slonimsky that he had not yet succeeded in exploiting the possibility of using the twelve-note theme as a unifying device,[97] the procedure described in 'KzT', whereby all twelve notes are systematically attained by the 'completion' [*Ergänzung*] of one group of notes by another, is crucial for the development of the *Grundgestalt* principle in the early 1920s.

Moreover, Berg's notes and 'KzT' reveal that Schoenberg's new method was premised not just on a 'prescribed ordering of the twelve tones' but on the principle of the *Grundgestalt*:

> In Schoenberg's first piece / Order of twelve notes not by chance, rather principle / *Grundgestalt* / and indeed is such that it allows the production of a complement [*komplementäre*] and to that the rest [*der Rest*] is formed.[98]

> One creates for oneself an ordering of the twelve tones, not by chance (Hauer) but, rather, according to the following principle: a basic shape [*Grundgestalt*] is to be built, which must be of a kind that a complementary shape [*eine komplementäre Gestalt*] can be produced. From this [complementary] shape, the rest [*der Rest*] of the twelve tones are also to be worked out [*dazugearbeitet*], so that a three-voice composition results. These shapes can be used in every direction, partly as horizontal voices, partly as chords. They are the motivic basis for all development.
>
> The twelve tones first presented themselves in succession, from which a three-part composition then developed. The second voice functions as the complement [*komplementär*] of the first. The third voice acts as the rest [*der Rest*], part completion [*teils Ergänzung*], part absence [*teils Fehlendes*] that demands completion [*zur Ergänzung herausfordert*].

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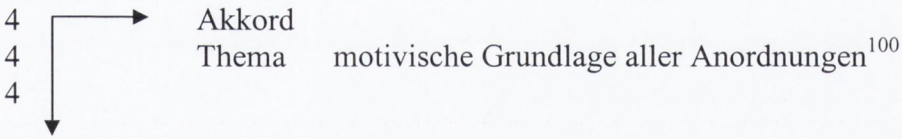
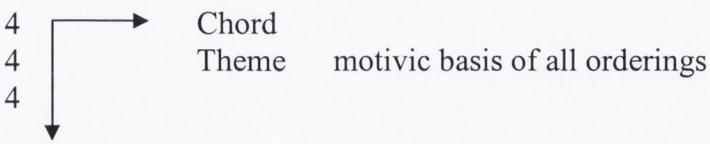
[96] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 594–595.
[97] Schoenberg, Letter of Slonimsky, 3 June 1937, Slonimsky, *Music Since 1900*, 1316.
[98] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 292.

> From these basic shapes [*Grundgestalten*] all conceivable forms are produced, following from inversion, retrograde, and retrograde of the inversion.[99]

Thus, whilst the *Grundgestalt* alone is responsible for unity in the Passacaglia, coherence in the pitch domain in the 'Präludium' is achieved by an aggregate of twelve tones, comprising *Grundgestalt*, complement, and rest. The sources posit a very particular relationship between the constituent components of the aggregate as a way of constructing the succession: the choice of motive for the *Grundgestalt* is crucial in so far as it must facilitate the production of a complementary shape, and the notes that have not been used in the *Grundgestalt* or complement constitute the residual material or rest. A succinct diagrammatic annotation in Berg's notes—comprising two arrows alongside three '4's—confirms that the three components making up the twelve-tone succession in the 'Präludium' can be understood as the three tetrachords which can be presented in both the horizontal and vertical dimensions:





The sources also indicate, as Berg must have done during the lectures, the ways in which the succession of twelve notes can be varied by transposition at the

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[99] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 596–597. I have made one modification to Shaw's translation, changing the translation of 'Gestalt' from 'form' to 'shape' in accordance with the translation of *Grundgestalt* as 'basic shape'.
[100] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 292.

diminished fifth. The author of 'KzT' postulates that a 'dominant-form is built', whereas Berg's notes call attention to the four *Gestalten* from which the 'four dominant shapes' are derived:

> Resulting so that the first shape [*Gestalt*] is invented / all conceivable forms are produced from the basic shape [*Grundgestalt*] / inversion / retrograde / both = 4 shapes [*Gestalten*] / out of which 4 dominant shapes are produced [...] Diminished fifth = the dominant / complementary middle in G and D flat = 1 centre (like the centre in tonality).[101]

> From this basic shape [*Grundgestalt*] a dominant-form [*Dominantenform*] is built, proceeding from the following idea: the dominant of a twelve-tone row [*Reihe*] lies in the middle, [and] is the same as the diminished fifth.
>
> Through these transformations eight basic shapes [*Grundgestalten*] are obtained, just like eight sources [*Quellen*] from which shapes [*Gestalten*] may flow. The subsequent use of shapes can occur more freely.[102]

As I will show below, the resulting eight shapes—the original ordering, its inversion, retrograde, and retrograde inversion, as well as the four dominant-forms—are found in Schoenberg's sketches for the 'Präludium'.

The conception of the *Grundgestalt* presented in these sources was corroborated by Stein in his 'Neue Formprinzipien', where he emphasized the importance of the structure of the *Grundgestalt* to facilitate combination with other motives and asserted that the twelve-note succession can be formed from a number of complementary motives that are both differentiated from and related to the *Grundgestalt*:

> The basic shape [*Grundgestalt*] should be fit to enter into sundry combinations with its various forms and with other motifs, their derivative forms and transpositions. Inversion, retrograde motion and chords must yield useful forms both by themselves and in combination. If several motifs occur, they should bear a 'complementary' [*komplementär*] relation to each other (as Schoenberg calls it), so that together they form the twelve-note row; and despite their different melodic shapes they ought, if possible, to show some common feature making for a wealth of relations between them.

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[101] Ibid. The reference to G and D♭ ties the notes ineluctably to the 'Präludium'.

[102] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 597–598.

> Not every succession of notes will therefore be a suitable 'basic shape' [*Grundgestalt*]. It will have to be adequately formed, as will the other motifs.[103]

The similar terminology and vocabulary in Berg's notes, 'KzT' and Stein's article, which is in itself strong evidence of a common source, is further apparent when Stein writes of a 'complementary' relationship between motives, uses the word 'rest' [*restliche*] in his analysis of the Passacaglia (see the quotation above), and refers to the idea of complementation and completion in his discussion of the 'Sonett' from the Serenade, Op. 24:

> It is the accompaniment's function to provide the 'remainder' [*Rest*], i.e. to complement the voice's phrases, thus completing [*ergänzen*] the row vertically too.[104]

Yet, in spite of these consistencies, there are significant discrepancies between Stein's account and that given in Berg's notes and 'KzT. In relation to *Suite*, Op. 25, Stein writes that a piece can have more than one *Grundgestalt*; his description of 'three basic shapes [*Grundgestalten*] of four notes each, which together form a twelve-note row', differs from 'KzT' where the three tetrachords represent the *Grundgestalt*, complement, and rest.[105] More importantly, however, is the idea expressed in Stein's essay that the *Grundgestalt* may comprise any number of notes: 'The basic shape contains all twelve notes precisely, or fewer, or more'.[106] While the *Grundgestalt* in the 'Präludium' consists of four notes, the basic shape in the 'Walzer', Op. 23, No. 5, is defined as the row itself: 'The fifth piece [of Op. 23] is a waltz whose basic shape consists of all twelve notes'.[107] *In nuce*, Schoenberg's conception of the *Grundgestalt* in 1921 was differentiated from the later

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[103] Stein, 'New Formal Principles', 64–65. Stein raises a point not made in 'KzT', namely that the motives must share certain characteristics.
[104] Ibid., 72.
[105] Ibid., 74.
[106] Ibid., 76.
[107] Ibid., 69.

established practice where the *Grundgestalt* represented the row.[108] This is reflected in Schoenberg's later accounts where he posited the *Grundgestalt* as synonymous with the row:

> *Grundgestalt* that means basing-configuration, but in English I find it the best to call it further: 'basing-set', or '12-tones set', or 'basing 12-tones set', or briefly: 'set'.[109]

> The Method of Composing with Twelve Tones derives all configurations from a basic set (*Grundgestalt*). The order in this basic set and its three derivatives—contrary motion [inversion], retrograde, and retrograde inversion respectively—is, like the motive, obligatory for the whole piece. Deviation from this order of tones should normally not occur, in contrast to the treatment of the motive, where variation is indispensable.[110]

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[108] An account of the history and development of the term *Grundgestalt* lies beyond the purview of this chapter; my aim here is to explain Schoenberg's conception of the term during the early 1920s—specifically, in relation to the 'Präludium'.
It is not known when the term came into being. Based on an entry in Webern's diary concerning a conversation that took place between Schoenberg and Mahler, Janet Schmalfeldt claims that the term was in existence as early as 1905; however, the term itself does not appear in Webern's diary entry. Schmalfeldt presumably tries to tie the concept to an earlier date to justify her application of the *Grundgestalt* to Berg's, Sonate, Op. 1; see Janet Schmalfeldt, 'Berg's Path to Atonality: The Piano Sonata, Op. 1', in *Alban Berg: Historical and Analytical Perspectives*, ed. David Gable and Robert P. Morgan (Oxford: Clarendon Press, 1991), 81–83. Rufer, on the other hand, claims that Schoenberg formulated the concept in 1919; see Josef Rufer, *Composition with Twelve Notes Related Only to One Another*, trans. Humphrey Searle (London: Barrie & Jenkins, 1970), vi.
The most comprehensive discussion of the *Grundgestalt* is given by Michael Beiche, who traces the origins of the term in the philosophical writings of Hanslick and A. B. Marx. He discusses the term in the context of the writings of the Viennese School and asserts that it was first used in 1922 when Webern invoked it in an analysis of his Passacaglia, Op. 1. (This analysis is reproduced in facsimile in Moldenhauer and Moldenhauer, *Webern: Chronicle*, 96.) See Michael Beiche, 'Grundgestalt', in Hans Heinrich Eggebrecht (ed.), *Terminologie der Musik im 20. Jahrhundert* (Handwörterbuch der musikalischen Terminologie, Sonderband I; Stuttgart: Franz Steiner Verlag, 1995), 175–191; Michael Beiche, *Terminologische Aspekte der 'Zwölftonmusik'*, ed. Hans Heinrich Eggebrecht (Freiburger Schriften zur Musikwissenschaft, 15; Munich and Salzburg: Emil Katzbichler, 1984), 69–107. For further discussions of the term, see Stephen J. Collisson, 'Grundgestalt, Developing Variation, and Motivic Processes in the Music of Arnold Schoenberg: An Analytical Study of the String Quartets', Ph.D. diss. (King's College, University of London, 1994); Covach, 'Schoenberg's "Poetics of Music", the Twelve-Tone Method, and the Musical Idea', 309–346; Murray Dineen, 'Schönberg's Viennese Tuition, Viennese Students, and the Musical Idea', in Christian Meyer (ed.), *Arnold Schönbergs Wiener Kreis (Arnold Schönberg's Viennese Circle): Bericht zum Symposium 12.–15. September 1999* (Journal of the Arnold Schönberg Center, 2; Vienna: Arnold Schönberg Center, 2000), 48–59; David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Oxford and New York: Oxford University Press, 1987), 17–21; Michael Jude Schiano, 'Arnold Schoenberg's Grundgestalt and Its Influence', Ph.D. diss. (Brandeis University, 1992); Rudolf Stephan, 'Zum Terminus "Grundgestalt"', in Rainer Damm and Andreas Traub (eds.), *Vom Musikalischen Denken: Gesammelte Vorträge* (Mainz: B. Schott's Söhne, 1985), 138–145; Bryan R. Simms, 'Schoenberg: The Analyst and the Analyzed', in Walter Bailey (ed.), *The Arnold Schoenberg Companion* (Westport, Conn: Greenwood Press, 1998), 223–250.

[109] Arnold Schoenberg, 'Vortrag / 12 T K / Princeton', ed. Claudio Spies, *Perspectives of New Music* 13/1 (1974), 93. The text, comprising notes for a 1934 lecture at Princeton University, is an early version of Schoenberg's essay 'Composition with Twelve Tones (I)' published in *Style and Idea*.

[110] Arnold Schoenberg, *Structural Functions of Harmony*, ed. Leonard Stein (Rev. edn; New York and London: W. W. Norton & Company, 1969), 193–194. Webern, too, referred to the *Grundgestalt*

Felix Greissle—pupil and son-in law of Schoenberg—similarly equated the fixed ordering of twelve notes in the *Bläserquintett*, Op. 26, with the *Grundgestalt*: the first musical example in his article on the quintet contains four row forms labelled 'Grundgestalt' (basic shape; in this context, original row), 'Krebsgang' (retrograde), 'Umkehrung' (inversion) and 'Krebsgang d[er] Umkehrung' (retrograde inversion).[111]

In a letter of 1954 to Humphrey Searle, which appears in the preface to his treatise on the twelve-tone method, Rufer highlighted the difference between the terms *Grundreihe* and *Grundgestalt*: 'The latter is a wide musical concept; the former belongs to twelve-note music and is a part of the latter'. The *Grundgestalt* was described as the 'musical shape or phrase which is the *basis* of a work and is its "first creative thought" (to use Schoenberg's words)',[112] a definition that is concordant with that presented in Stein's 'Neue Formprinzipien' as 'a succession of notes [...] which carries the form of the piece'.[113] Rufer's account is less clear, however, when he writes that, on the one hand, the 'basic shape' is so-called because 'it is a shape which contains the basic series', and that, on the other hand, 'in Schoenberg's music the *Grundgestalt* as the "first creative thought" is of primary importance, but not the series, which is derived from the *Grundgestalt*'.[114] In short, while tacitly acknowledging the distinction, both Rufer and Stein present two different versions of the *Grundgestalt*—*Grundgestalt* as motive and *Grundgestalt* as row. Since Stein's discussion of the term is always with reference

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as the row of twelve notes; see Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Bryn Mawr, Pennsylvania: Theodore Presser, 1963), 41.

[111] Felix Greissle, 'Die Formalen Grundlagen des Bläserquintetts von Arnold Schönberg', *Musikblätter des Anbruch* 7/2 (1925), 64.

[112] Rufer, *Composition with Twelve Notes*, v–ix.

[113] Stein, 'New Formal Principles', 62.

[114] Rufer, *Composition with Twelve Notes*, vii.

to a specific musical work, the difference between the two interpretations of the term can be understood in a chronological sense in that the *Grundgestalt* was conceived as a motive in Schoenberg's pre-dodecaphonic works (as demonstrated by the analysis of the Passacaglia in 'KzT') and continued to function as such in his nascent dodecaphonic compositions of 1921 (evidenced by Stein's labelling of the three tetrachords of Op. 25 as *Grundgestalten*), but later came to represent the row of a twelve-tone composition, as in the 'Walzer', Op. 23, No. 5, that was composed in February 1923. This idea was corroborated by Rufer, who, in his 1971 article, traces the development of the *Grundgestalt* in an effort to reconcile the two different interpretations of the term: while acknowledging that the row was derived from the *Grundgestalt*, he proposed that the row itself, via constant repetition in the course of a work, assumed the function of a motive and, thus, replaced the motive as the *Grundgestalt* of a composition.[115] Whereas the ambiguity in Stein's essay results from the fact that the 'Präludium' and the 'Walzer' reflect two different, chronologically distinct, understandings of the *Grundgestalt*, the description thereof in Berg's notes and 'KzT' is consistent in its representation of the motive as the earlier conception of the term.

In this respect, 'KzT' enables us to reconcile the apparent contradictions in the writings of Stein and Rufer in that it provides an account of the principle of the *Grundgestalt* as it was understood in Schoenberg's earliest formulation of dodecaphony. Crucially, although he did acknowledge the importance of the *Suite* in his later writings (he claimed that that it was in this work that he 'became suddenly conscious of the real meaning of [his] aim: unity and regularity'[116]), Schoenberg neglected to outline the significant differences between his

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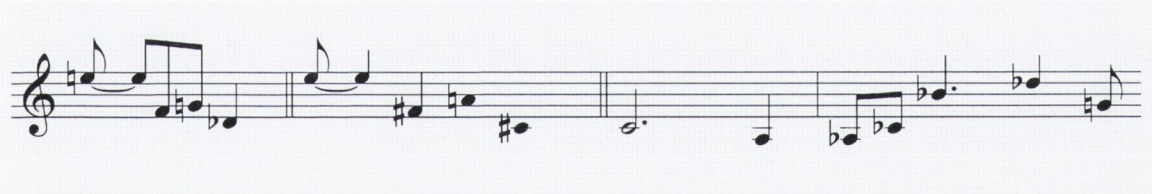
[115] Rufer, 'Begriff und Funktion von Schönbergs Grundgestalt ', 283.
[116] Schoenberg, Letter to Slonimsky, 3 June 1937, Slonimsky, *Music Since 1900*, 1316.

understanding of dodecaphony in 1921 and that of 1923. That there was an earlier stage in the evolution of his method, one that is effectively suppressed in his retrospective writings,[117] is confirmed by the correlation between the ideas espoused in Berg's notes/'KzT' and the sketch material for the 'Präludium'.

The sketches concerned with establishing the three tetrachords show that Schoenberg began by constructing two contrasting motives. While the first motive contained the same succession of notes as the first tetrachord in the final ordering (E–F–G–D♭), it was differentiated in terms of its contour (see Schoenberg's manuscript in figure 4.5 and the sketch a1; my labelling of these sketches is in accordance with Reinhold Brinkmann's transcriptions[118]). At this stage, the only relationship the second motive exhibits to the eventual retrograde BACH tetrachord is that it shares three of the four pitches (C, A, and C♭).

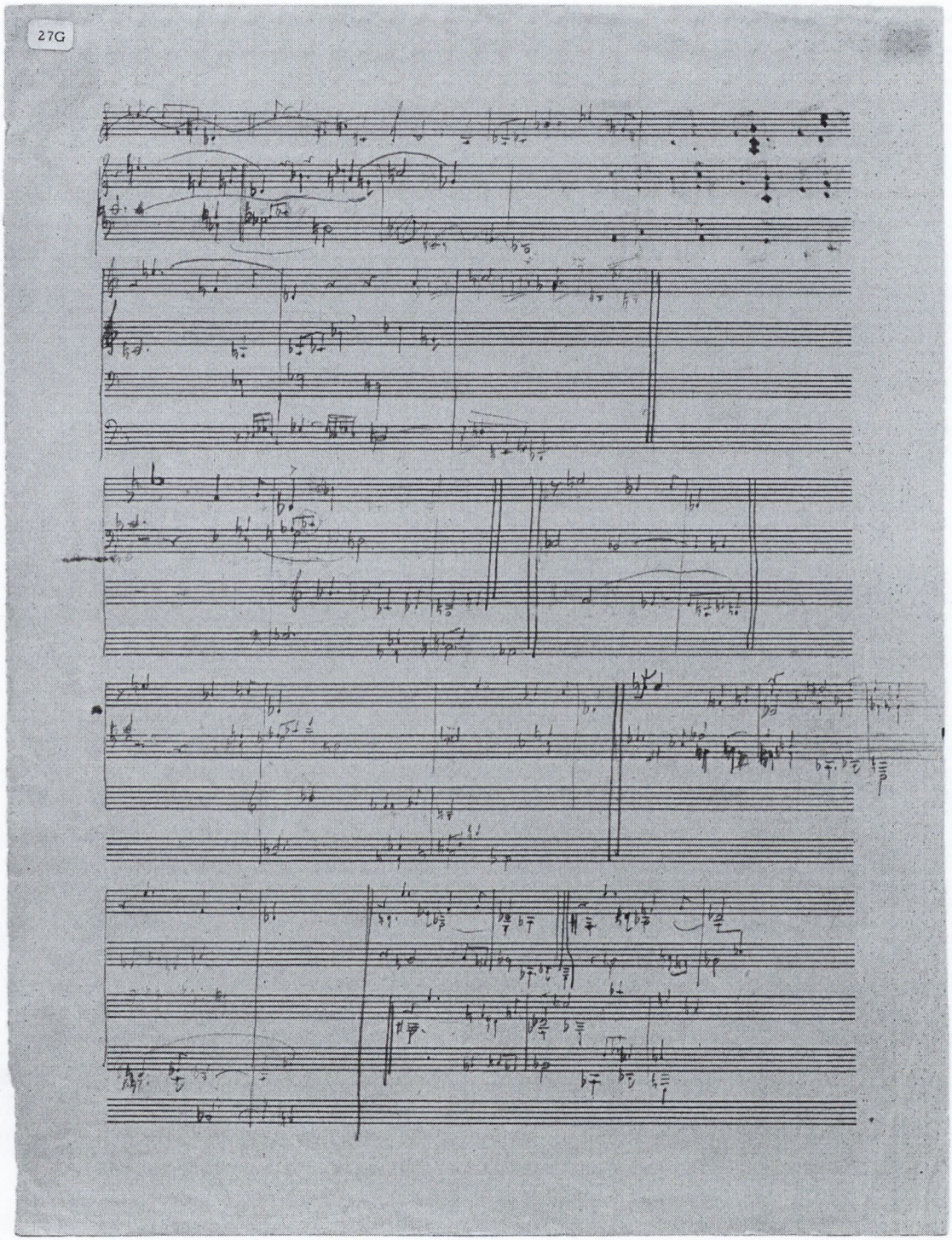
Sketch a1



[117] See, in particular, 'My Evolution' (1949) and 'Composition with Twelve Tones (1)' (1941), in Schoenberg, *Style and Idea*, 79–92 and 214–245 .

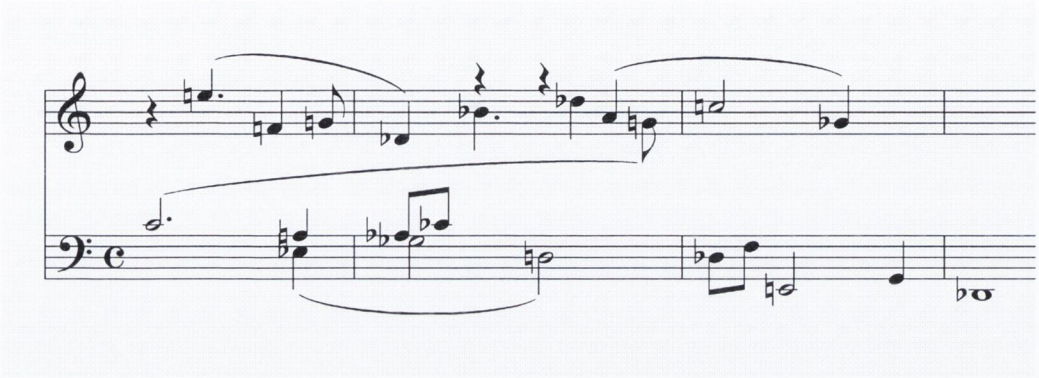
[118] See Brinkmann's transcriptions for the *Suite* in Schönberg, *Sämtliche Werke: Werke für Klavier zu zwei Händen*, 67–94. The original manuscript is catalogued at 27G in MS 25 and housed in the Arnold Schönberg Center Privatstiftung, Vienna; it can be viewed along with all other sketches for the composition at www.schoenberg.at.

Figure 4.5 Schoenberg's earliest sketches for the 'Präludium'



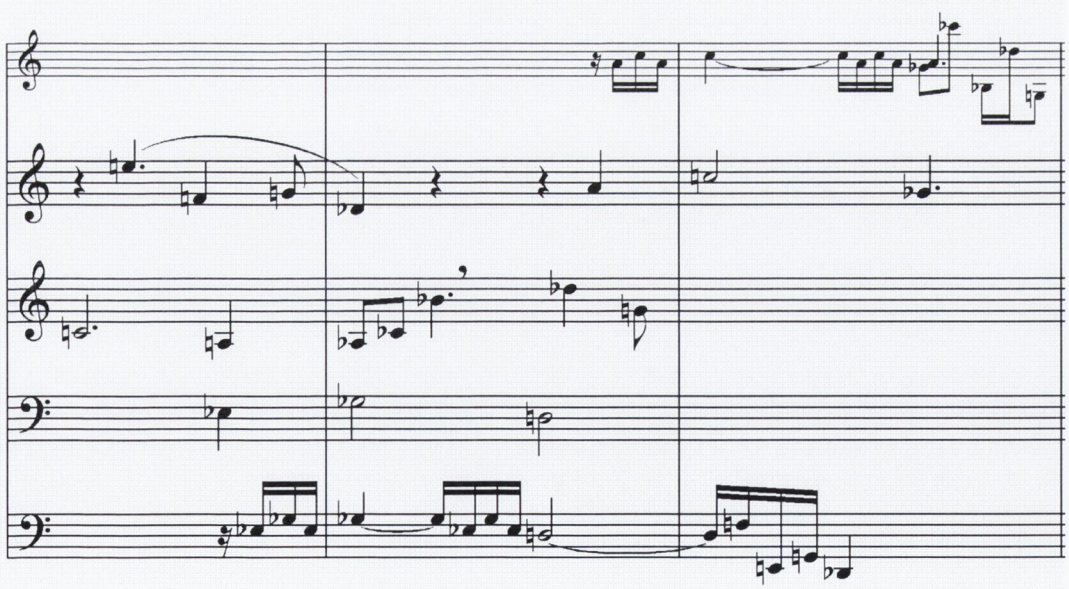
Consistent with the ideas expressed in 'KzT', Schoenberg then presented a combination of motives as a three-voiced polyphonic texture (sketch a2).

Sketch a2



The first and second motives are retained from sketch a1, but the lowest voice comprises a reordered transposition (by the interval of the tritone) of the seven-note motive with the addition of a D♭ on the downbeat of bar 3; its final three notes (E, G, D♭) are anticipated in a transposed continuation of the upper voice (A, C, G♭).

Sketch a3

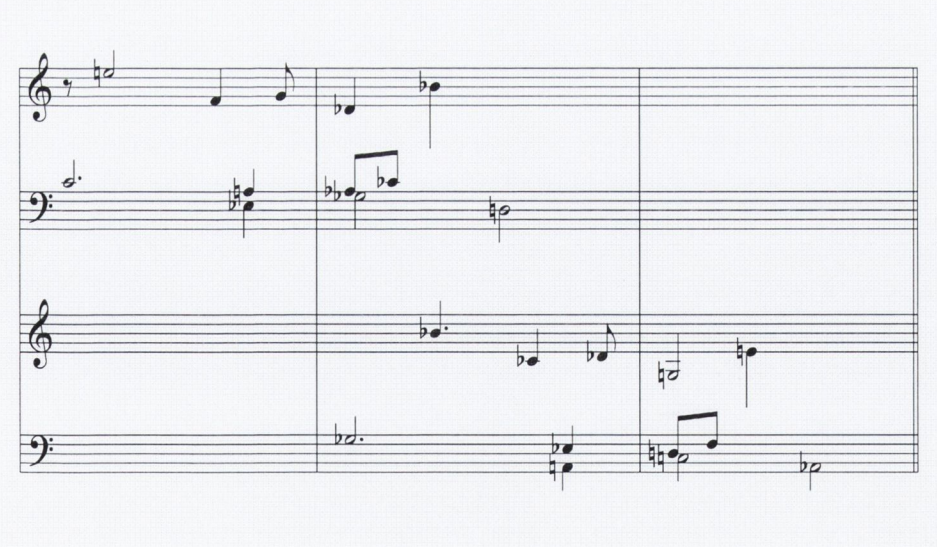


The oblique relationship between the lower voice of a2 and the seven-note motive of a1 is clarified in sketch a3, where the unexplained D♭ is omitted. Other changes

are limited to tentative elaborations of dyadic relationships within the highest and lowest voices.[119]

Sketch a4 represents a significant step in rationalizing and consolidating the three-voice polyphonic texture exhibited in sketches a2 and a3.[120] By truncating the seven-note motive on its fifth note B♭ (stave 1, bar 2), Schoenberg opens the possibility of the same pitch initiating a tritone transposition of the upper voice and, taking his cue from this, effects a similar transposition of the remaining two voices. While the initial three-voice combination of a2 produced all twelve pitch classes (possibly accidentally), Schoenberg was apparently unable to sustain the circulation of the aggregate; the refinement wrought in a4, however, facilitates the continuation of aggregate formation and, in the terms of 'KzT', the answering of a tonic form with its dominant.

Sketch a4

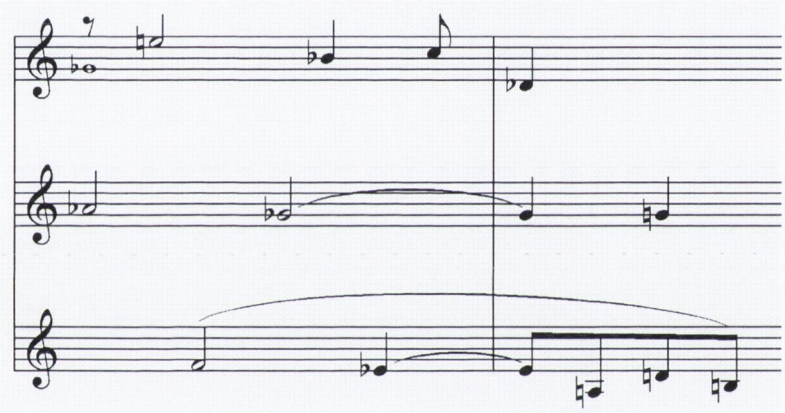


[119] Brinkmann's transcription of the third bar of sketch a3 is moot; my transcription offers a reading that is closer to the sketch.

[120] In sketch a4 there is also a rhythmic modification of the first note of the four-note motive, moving it to the second quaver of the bar.

At first glance sketch, a5 seems to eschew the evolutionary process of sketches a1–a4. However, the top voice of a5 could be regarded as a variation of that in the earlier sketches in that the ordered pitch intervals of the outer dyads (a falling major seventh from E to F and a falling tritone from G to D♭) are reversed to produce the succession E–B♭–C–D♭ (a falling tritone from E to B♭ and a falling major seventh from C to D♭): –11, +2, –6 becomes –6, +2, –11. The preservation of the rhythm (𝄾𝅗𝅥𝅗𝅥𝅘𝅥𝅘𝅥𝅮 | 𝅗𝅥) satisfies Schoenberg's criterion for variation.

Sketch a5



Whatever forms of variation are being deployed in relation to the second and third voices, the consideration of aggregate completion appears to have been paramount. Despite the revisions, there is a clear attempt to preserve motivic contrast articulated by intervallic and rhythmic features as well as contour.[121]

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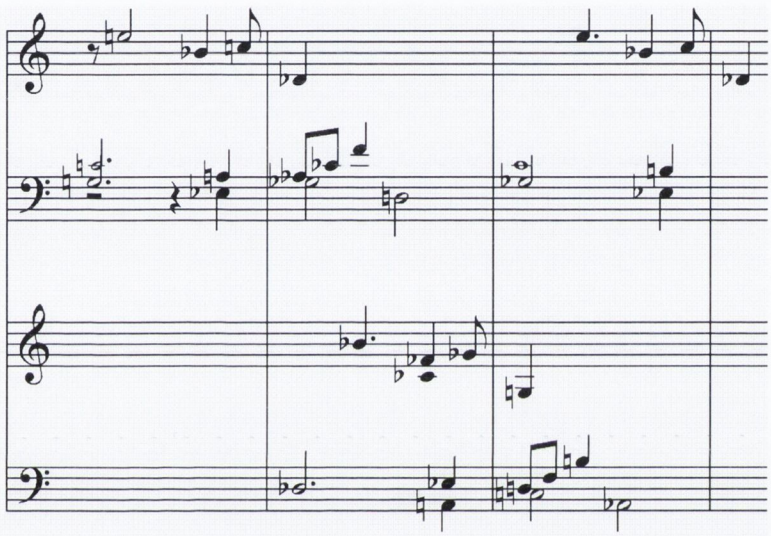
[121] The combination of motives in sketch a5 is one that conforms to Schoenberg's procedure whereby 'two or more groups of voices move so that one is always in motion when the other is at rest, so that the quiet gaps are filled up by motion'; see Schoenberg, *ZKIF*, 90–91. This was something to which he drew attention in Variation III of Brahms's *Variationen und Fuge über ein Thema von Händel*. He explained to Warren Langlie:

> Now in Variation 3 he returns to this complimentary [*sic*] accompaniment, treating both hands in complimentary rhythm. I have [*sic*] much in favour of this. It keeps the sounds more clear: when one hand plays, the other rests. It is a contrapuntal way. One of my strictest rules in counterpoint is that if one voice moves, the other should rest, because one will be lost if both move.

Schoenberg, comment made during lesson of 16 July 1948, Warren Melvin Langlie, *Conversations with Arnold Schoenberg* (Private Collection).

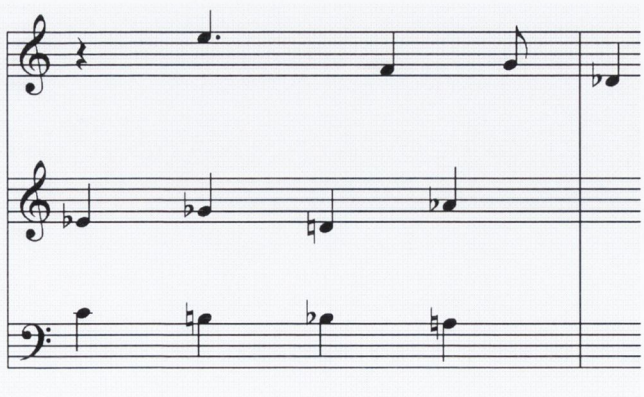
In sketch a6 the new version of the upper voice is set against the original version of the third voice, as given in sketch a4, and a slightly modified version of the second voice from the same sketch (its first and last notes are modified to accommodate the new pitch content of the first motive; specifically, B♭ and F are exchanged, as are C and G).

Sketch a6



Sketch a7 relates more closely to the final score, in so far as all three voices contain four notes. But, while the content of each tetrachord corresponds to the final version, only the first tetrachord replicates the definitive pitch succession.

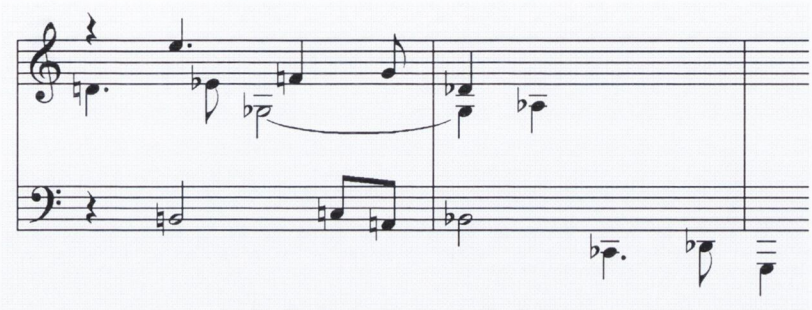
Sketch a7



Further sketches experiment with the ordering and combination of the second and third tetrachords. Although the retrograde BACH motive—the third tetrachord of

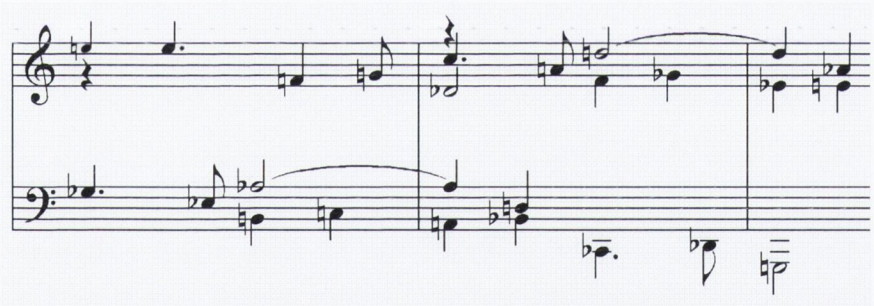
the twelve-note succession—was retained once it was found in sketch a9, there is no evidence in the sketches to suggest that Schoenberg consciously sought this motive.[122]

Sketch a9



The final ordering of the second tetrachord is established in sketch a12 after the rhythm of the lower voice, the retrograde BACH motive, is altered.

Sketch a12



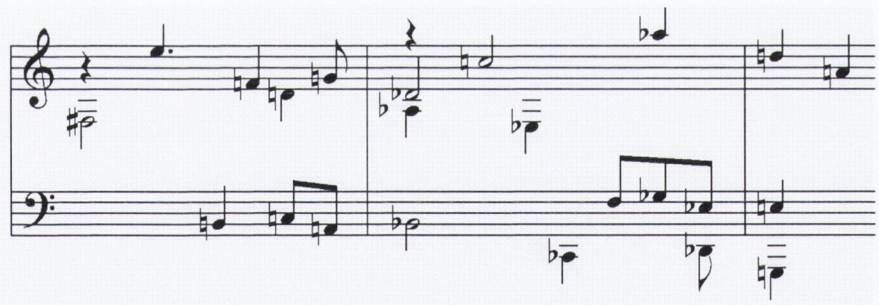
The fact that Schoenberg was willing to manipulate the rhythmic contour of the motives in order to yield a pitch succession capable of creating a three-voiced structure confirms the prioritizing of pitch over other parameters, something that is substantiated by Stein's definition of the *Grundgestalt* as a purely melodic concept devoid of rhythmic features: 'The basic shape consists of several notes whose

[122] Many commentators have maintained that the BACH motive was significant, whereas it appears to have emerged during the course of sketching.

melodic structure [...] is binding upon the entire piece. The rhythm, however, is free'.[123]

While the sketches illustrate that Schoenberg exploited the possibilities of the motives in combination with one another, Stein noted that these motives—or the 'shapes', as they are defined in 'KzT'—must bear a relation to one another in order to facilitate this combination: this was achieved by the interval of the diminished fifth between the third and fourth notes of the first and second tetrachords (G–D♭ and A♭–D). This 'interval-relation', as Rufer called it, was exploited compositionally by exchanging and overlapping the two tetrachords.[124] Indeed, even before Schoenberg had decided on the final pitch succession of the second tetrachord, the two motives were aligned to effect a coincidence of the two tritones (G–D♭ and A♭–D in bars 1–2 of sketch a11).

Sketch a11

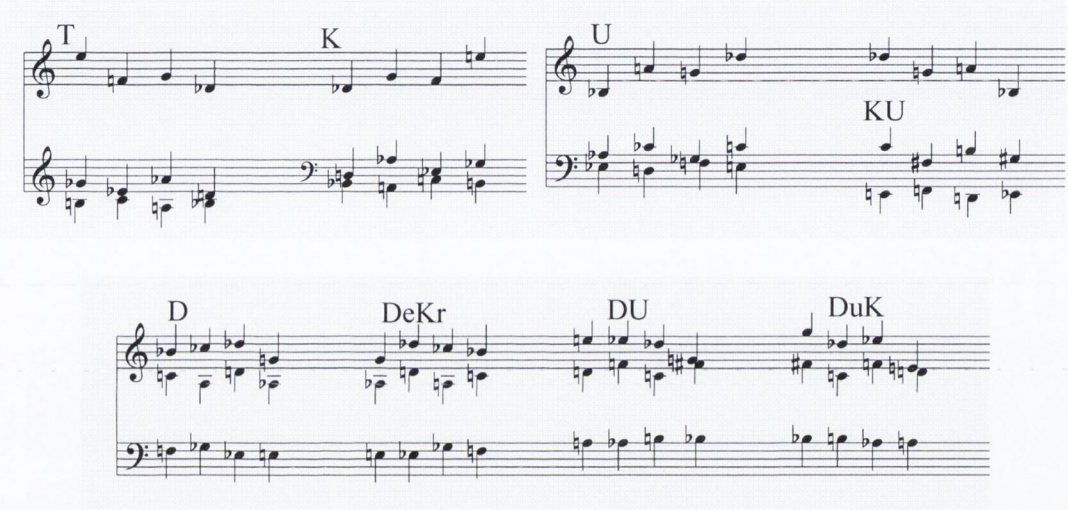


Having established the content and order of each of the three tetrachords, Schoenberg arranged them by stacking one tetrachord on top of another so that four vertical trichords are produced for each set form. This is, arguably, the source of the annotation in Berg's notes (mentioned above) of the three '4's combined with arrows. The set forms are divided into two categories: *Tonika* (tonic) and

[123] Stein, 'New Formal Principles', 62. It should be noted, however, that, in broad terms, the rhythmic articulation of the first tetrachord remains consistent throughout the early sketches.
[124] Rufer, *Composition with Twelve Notes*, 91, 97–98.

Dominante (dominant), where the latter represents the transposition at the tritone.[125] The variations of retrograde (K/Kr), inversion (U), and retrograde inversion (KU) of the tonic and dominant forms result in a collection of eight set forms, conforming exactly to Berg's reference to '4 shapes' and '4 dominant shapes' (see figure 4.6).

Figure 4.6 Transcription of the set table for Schoenberg's *Suite für Klavier*

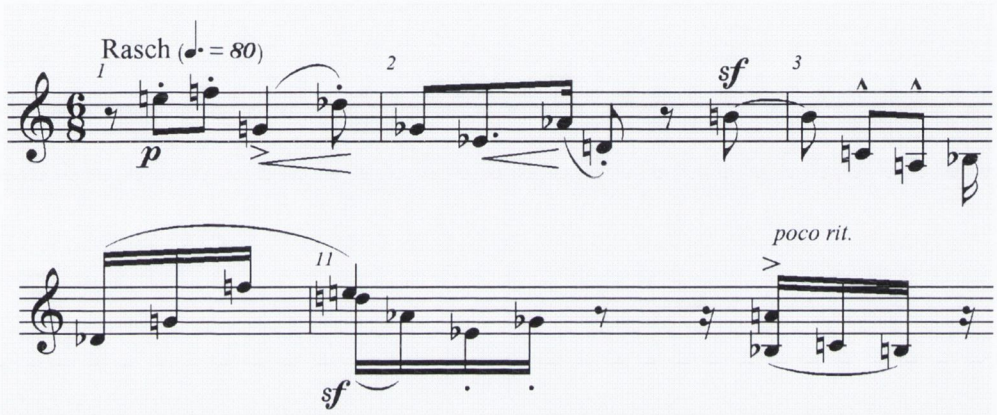


Consistent with the *Grundgestalt* principle outlined in Berg's notes and 'KzT', the final succession of twelve notes, evidenced in the linear succession at the opening of the 'Präludium', constitutes not a referential linear ordering of twelve notes but a composite of three tetrachords. This is apparent in the treatment of the

[125] There is some dispute whether 'T' represents *Tonika* (tonic) or *Thema* (theme). According to Brinkmann's editorial notes, 'T' stands for *Tonika*; Schönberg, *Sämtliche Werke: Werke für Klavier zu zwei Händen*, 77. By contrast, Hyde claims that 'T' in the sketches for the *Suite*, Op. 29, refers to *Thema*; Martha M. Hyde, 'The Format and Function of Schoenberg's Twelve-Tone Sketches', *Journal of the American Musicological Society* 36/3 (1983), 455. Sichardt is more cautious, suggesting that the distinction between 'Thema' and 'Tonika' may not have been clear to Schoenberg at the time of writing the 'Präludium'; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 108. Although, as Sichardt has noted, there is evidence to support understanding 'T' as *Thema* in relation to Schoenberg's analysis of his *Variationen für Orchester*, the interpretation of 'T' as tonic in relation to the 'Präludium' seems much more likely, given that the material is presented in the form of a composite of tetrachords (that is, the material from which a theme might be constructed), and given that it is contraposed with its dominant form.

tetrachords in the retrograde of the succession. Rather than presenting the twelve notes in the order 12 to 1, as classical retrograde procedure would suggest, each of the tetrachords is reversed, yielding the following order: 4 3 2 1 / 8 7 6 5 / 12 11 10 9.[126]

Example 4.1 Treatment of tetrachords in bars 1–3 and bars 10–11 of the 'Präludium' from Schoenberg's *Suite für Klavier*

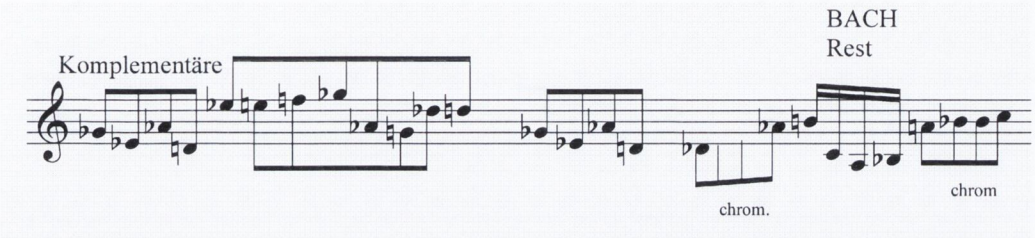


The appearance of this retrogression can only be understood as the product of retrograding individual motives, confirming the physiognomy of the twelve-note succession as a complex of three tetrachordal motives. The description in 'KzT' of the *Grundgestalt* principle as a means of constructing an aggregate from three ordered motives is distinct from, and precedes the idea of a referential linear ordering as the basis of a composition; rather, the tetrachords—*Grundgestalt*, complement, and rest—constitute the 'motivic basis for all development' in the 'Präludium'. That the tetrachord E–F–G–D♭, seemingly Schoenberg's first notated idea, is retained in all but one of the sketches suggests that it may be understood as the *Grundgestalt*, something substantiated by Berg's description of the two

[126] This point is made in Haimo, *Schoenberg's Serial Odyssey*, 86.

tetrachords, with which it is combined, as 'complement' [*Komplementäre*] and 'rest' [*Rest*] (see figure 4.7).[127]

Figure 4.7 Transcription of Berg's notes relating to the tetrachords of Schoenberg's *Suite für Klavier*



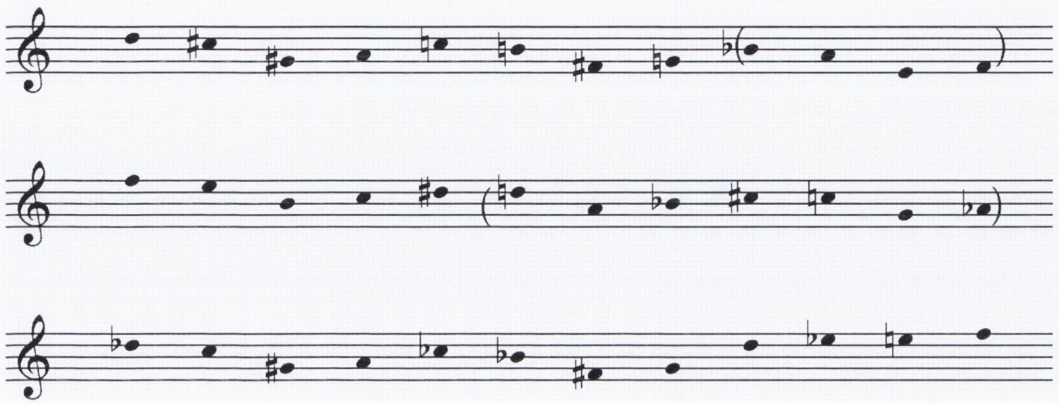
The second tetrachord can be perceived as the complement of the first, since the movement is predominantly downwards and, thus, in contrast to the upward tendency of the first, whilst the similarity between the two motives is manifest in the expansion of the intervals (ascending in the first, descending in the second) after the first and the third notes in both tetrachords. Accordingly, the second tetrachord could be seen as an embodiment of Rufer's concept of 'connected antithesis', inasmuch as it is both a derivative of, and a contrast to the *Grundgestalt*.[128]

The tetrachordal structure of the twelve-note succession of the 'Präludium' was anticipated to a certain extent in a sketch for *Liebeslied*, a setting of a poem by Rainer Maria Rilke dating from 1917, in which Schoenberg constructs an aggregate by sequential repetition of a four-note motive. As Harald Krebs has shown, the succession is abandoned when the sequence produces pitch duplications; eventually, the 'source tetrachord' is modified by diminishing the interval between

[127] Berg's notes, Grünzweig, *Ahnung und Wissen, Geist und Form*, 285.
[128] Rufer, *Composition with Twelve Notes*, 29–30. Stein echoed this idea as he wrote that 'music gains shape by antithesis'; Erwin Stein, *Form and Performance* (London: Faber and Faber, 1962), 83.

the second and third notes of the motive by a semitone so that an aggregate is produced (see example 4.2).[129]

Example 4.2 Construction of the aggregate in Schoenberg's 'Liebeslied'



The importance of this sketch lies in the fact that, like the 'Präludium', an ordered succession of twelve notes is arrived at by a process of motivic manipulation. Whilst it could be argued that the 'source tetrachord' is the *Grundgestalt*, the absence of contrast between the tetrachords distinguishes it from the sketches for the 'Präludium'. Thus, this sketch for 'Liebeslied' could be understood as a first step towards the *Grundgestalt* principle in its reliance on the motive to produce an aggregate; but the sketches for the 'Präludium' build upon this idea by refining the *Grundgestalt* principle to incorporate the concept of 'connected antithesis', while also presenting the material in both horizontal and vertical dimensions.[130]

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[129] Harald Krebs, 'Schoenberg's "Liebeslied": An Early Example of Serial Writing', *Journal of the Arnold Schoenberg Institute* 11/1 (1988), 32–33.

[130] Martina Sichardt has noted that the canonic setting comprising a succession of notes and its transposition in the first movement of a multi-movement fragment for string quartet and harmonium dating from 1917 is a precursor of the practice in the 'Präludium'; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 39–42.

These procedures are also found in Webern's sketch material from the same time; the similarities between his sketch for 'Mein Weg geht jetzt vorüber', Op. 15, No. 4, and the sketches for the 'Präludium' have been noted by Anne Shreffler. [131] The sketch, dating from July 1922, commences with an outline of a vocal line, which forms the basis of a twelve-note row (see figure 4.8). From this fixed ordering Webern writes out the retrograde and the inversion. The same sketch page presents a different ordering of the row, which, when aligned with the text 'Mein Weg geht jetzt vorüber / O Welt, was acht' ich dein', emphasizes the same pitch pairs as the first row—the tritone G–C♯ sharp and the pitch pair B♭–B.[132] The dominant form of the second row form is written out in full, and the three tetrachords of the prime versions of both rows are arranged as stacks, as in Schoenberg's sketches for the 'Präludium'.

Whilst there are numerous correlations between these sketch pages and those of Schoenberg's 'Präludium', the differences suggest that the lectures of 1922—or indeed 'KzT' or Berg's notes—were the source of Webern's information.[133] Webern's sketches are concordant with 'KzT' in their presentation of eight row forms (four tonic and four dominant row forms), the transpositional level of the tritone (labelled 'D.F.' for *Dominante-Form*), the concept of the row as a tri-tetrachordal composite, and the attempts to exploit its harmonic possibilities. One of the most telling features of Webern's rows is its emphasis on the tritone G-C sharp, the two notes that remain contiguous in the various row forms used in the

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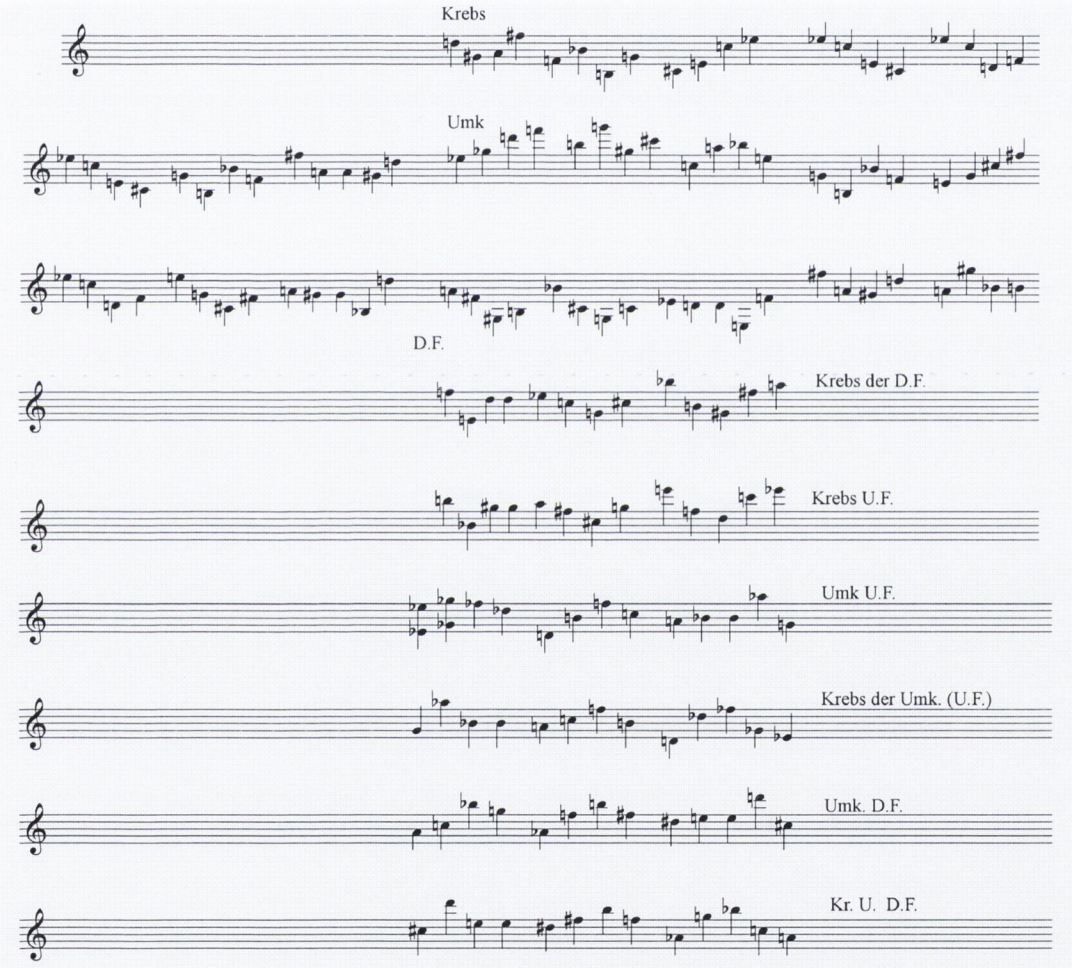
[131] Shreffler, '"Mein Weg geht jetzt vorüber"', 294–299. This sketch is housed in the Webern Collection of the Paul Sacher Foundation, Basel, and is reproduced in facsimile in Moldenhauer and Moldenhauer, *Webern: Chronicle*, 311.

[132] Shreffler, 'Mein Weg geht jetzt vorüber', 292–3.

[133] Shreffler posits that Webern received this information via '"lectures", informal discussions, or surreptitious glances at Schoenberg's sketches', but then notes that the 'discrepancies' between Webern's and Schoenberg's sketches suggest that 'it is also possible that Webern got his information thirdhand, perhaps from Stein or Rufer'; Shreffler, '"Mein Weg geht jetzt vorüber"', 299.

'Präludium'. These note-names appear not in 'KzT' but in Berg's notes, suggesting, therefore, that Webern either attended the lectures at which Schoenberg spoke about the 'Präludium' or that he saw Berg's notes;[134] clearly, the former is more likely in light of Webern's letter to Jalowetz.

Figure 4.8 Partial transcription of Webern's sketch for 'Mein Weg geht jetzt vorüber'



[134] Had there been an example given from the 'Präludium', it is inconceivable that Berg would not have notated it, especially since he took notes on manuscript paper.

Several points support the notion that Webern's information was heavily reliant on the 1922 lectures. Firstly, Webern's literal inversion of the series, which has been highlighted by Shreffler and which results in an insanely high tessitura, suggests that he was unaware of octave equivalence; interestingly, there is no reference to octave equivalence in either Berg's notes or 'KzT'. Secondly, although Schoenberg uses the labelling 'T' for the basic form in his sketches, this is absent from Berg's notes and 'KzT'. Accordingly, Webern's terminology is different; 'U' for *Ur-form* or *Ursprüngliche Form* is used in place of Schoenberg's 'T' and *Umkehrung* is then abbreviated to 'Umk'.[135] Furthermore, in the chordal version of the second row form, the contour of the tetrachords has been altered from that in the horizontal presentations of the row. Based on the evidence presented above, it is likely (especially since Webern was unaware of octave equivalence) that these changes were carried out to adhere to the *Grundgestalt* principle, since the new contour of the second tetrachord in both instances constitutes a sharp contrast to the first. Webern's sketch for 'Mein Weg', then, can be understood as a simple realization of an abstract formulation of Schoenberg's nascent dodecaphony.[136]

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[135] Shreffler, '"Mein Weg geht jetzt vorüber"', 298.

[136] This sketch is discussed in the context of Webern's twelve-tone method in Lauriejean Reinhardt, 'Anton Webern's "Mein Weg geht jetzt vorüber", op. 15, No. 4', in Jon Newsom and Alfred Mann (eds.), *The Rosaleen Moldenhauer Memorial: Music History from Primary Sources, A Guide to the Moldenhauer Archives* (Washington: Library of Congress, 2000), 456–461; Felix Wörner, *'... was die Methode der "12 Ton-Komposition" alles zeitigt ...': Anton Weberns Aneignung der Zwölftontechnik, 1924–1935* (Publikationen der Schweizerischen Musikforschenden Gesellschaft, II/43; Bern: Peter Lang, 2003), 70–95.

'The Constructive Power of Polyphony' in the 'Präludium'

'KzT' enunciates the principles of the 'new polyphony', in which, consistent with the additions made to the *Harmonielehre*, chords arising from the polyphonic texture have no harmonic consequence, and suggests that a clue to understanding what Stein termed 'the constructive power of polyphony' lies in the meaning of the term *motivische Arbeit*.[137] The fact that Schoenberg associated the term with the music of Bach is clear from his letter to Fritz Stiedry, who conducted his 1922 orchestrations of the two chorale preludes by Bach, *Schmücke dich, o liebe Seele* (Deck thyself, O dear soul) and *Komm, Gott, Schöpfer, heiliger Geist* (Come, God, Creator, Holy Ghost). He wrote to Stiedry:

> Our modern conception of music demanded clarification of the *motivic* procedures in both horizontal and vertical dimensions. That is, we do not find it sufficient to rely on the immanent effect of a contrapuntal structure that is taken for granted, but we want to be aware of this counterpoint in the form of motivic relationships. Homophony has taught us to follow these in the top voice; the intermediate phase of the 'polyphonic homophony' of Mendelssohn, Wagner and Brahms has taught us to follow several voices in this manner. Our powers of comprehension will not be satisfied today if we do not apply the same yardstick to Bach. A 'pleasant' effect originating in an ensemble of skilfully constructed parts is no longer sufficient for us. We need transparency, that we may see clearly!
> All that is impossible without phrasing. However, phrasing is not to be used 'emotionally' as in the age of pathos. Rather, it must
>
> 1. distribute the stresses correctly in the line
> 2. sometimes reveal, sometimes conceal the motivic work [*motivische Arbeit*]
> 3. take care that all voices are well-balanced dynamically, to achieve transparency in the total sound.[138]

The importance attached to *motivische Arbeit* in these orchestrations contrasts strongly with Schoenberg's letter to Busoni of 1909 in which he rejected it, striving instead for 'complete liberation from all forms, from all symbols of cohesion and of

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[137] I will refrain from translating this term, because, in my view, the varying translations, including 'motivic activity', 'motivic process', 'motivic work', and 'motivic working-out', have effectively robbed the term of its significance.

[138] Schoenberg, Letter to Fritz Stiedry, 31 July, 1930, Josef Rufer, *The Works of Arnold Schoenberg: A Catalogue of His Compositions, Writings, and Paintings*, trans. Dika Newlin (London: Faber and Faber, 1962), 94.

logic, thus[,] away with *motivische Arbeit*'.[139] Yet, by the early 1920s, this 'intuitive aesthetic', to use the phrase coined by Joseph Auner,[140] had been superseded by one that relied less on an instinctual and more on a systematic approach to composition. Moreover, concomitant with this new aesthetic, *motivische Arbeit* had become a hallmark of his compositional practice. This term and Schoenberg's new aesthetic receives its most detailed explanation in 'KzT'.

According to the author of 'KzT', coherence in the 'new polyphony' is achieved by *motivische Arbeit*. This is explained by the fact that '*motivische Arbeit* is based on repetition' and that such repetition has 'the purpose of facilitating comprehensibility'.[141] Stein, in 'Neue Formprinzipien', similarly claimed that that 'formal closedness [*Geschlossenheit*] and coherence [*Zusammenhang*] are attained, in the first place, by *motivische Arbeit*'.[142] That *motivische Arbeit* exists primarily in a contrapuntal context is corroborated by references to the term in draft entitled 'Das Komponieren mit selbstständigen Stimmen' and in the *Harmonielehre*.[143] Moreover, the description in 'KzT' of the presentation of the musical idea, which is founded on repetition rather than variation, corresponds to Schoenberg's conception of the organization of polyphonic music. While the author of 'KzT' asserted that 'the only manner and way in which music can express itself is this—

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[139] Schoenberg, Letter to Busoni, undated (1909), *Ferruccio Busoni: Selected Letters*, ed. and trans. Antony Beaumont (London and Boson: Faber and Faber, 1987), 387. Schoenberg's manifesto and his renunciation of *motivische Arbeit* have been discussed in chapter 2 of this study.

[140] Joseph Auner, 'Schoenberg's Compositional and Aesthetic Transformations 1910–1913: The Genesis of *Die glückliche Hand*', Ph.D. diss. (University of Chicago, 1991), 106.

[141] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 609.

[142] Stein, 'New Formal Principles', 60; Stein, 'Neue Formprinzipien', 289. I have modified the translation of 'Geschlossenheit' and 'Zusammenhang'.

[143] Schoenberg, 'Schönbergs Entwurf über "Das Komponieren mit selbstständigen Stimmen"', 247; Schoenberg, *Theory of Harmony*, 14. In the 1922 edition of *Harmonielehre*, Schoenberg wrote that 'courses in counterpoint and form deal [...] with the construction of parts, which is really inconceivable without motivic activity [*motivische Arbeit*]'.

that it juxtaposes so many forms of a *Grundgestalt* that the [musical] idea is expressed through them',[144] Schoenberg wrote that

> In polyphonic music, motivic shapes, themes, phrases and the like never succeed in stretching beyond a certain length [...], and are never developed, never split off new shapes, and are seldom varied: for all (almost all) development takes place through alteration of the mutual relation to each other of the various components of the idea.[145]

Thus, the presentation of various forms of the *Grundgestalt*, executed by the realignment and rearrangement of motives in relation to one another, conforms to Schoenberg's conception of 'unfolding' [*Abwicklung*]—the principle of contrapuntal music:

> The homophonic-melodic treatment depends basically on development of a motive by variation. In contrast, the contrapuntal treatment does not vary the motive, but displays the possibilities of combination inherent in the basic theme or themes.[146]

The kinship between *motivische Arbeit* and 'unfolding' is reinforced by the fact that both terms are explicated in terms of their visual aspect.[147] In a definition of 'unfolding' in 1925, Schoenberg drew the analogy of the visual art-form to illustrate this mode of presentation, noting that 'the resulting piece simply rolls off like a film, picture by picture, gestalt by gestalt'.[148] Similarly, a few years earlier—and probably before Schoenberg had formulated the term 'unfolding'—the author of 'KzT' maintained that '*motivische Arbeit* transfers the representation of the idea

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[144] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 609–610.
[145] 'Twelve-Tone Composition' (1923), Schoenberg, *Style and Idea*, 208.
[146] Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang with the collaboration of Leonard Stein (London and Boston: Faber and Faber, 1967).
[147] Severine Neff expounded on the interrelationship of Schoenberg's conception of contrapuntal forms and film. See Severine Neff, 'Schönberg's Kristallnacht Fugue: Contrapuntal Exercise or Unknown Piece?' *The Musical Quarterly* 86/1 (2002), 125.
[148] Schoenberg, 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna; translated in Schoenberg, *The Musical Idea*, 400.

from the audible to the visible, so that coherence becomes recognizable from the written notes'.[149]

Tellingly, both Rufer and Ratz regarded *motivische Arbeit* and *motivische Entwicklung* (or *motivische Variation*) as polar opposites, thus reinforcing the distinction between motivic technique in contrapuntal music and that in homophony. Ratz wrote that '*motivische Arbeit* in episodes—especially in Bach—prepared the way for the technique of motivic development [*motivische Entwicklung*] in the *Wiener Klassik*', while Rufer asserted that

> The 'development' [*Entwicklung*] in homophonic music is based on the principle of repetition in connection with the principle of variation, especially 'developing variation' [*entwickelnden Variation*]. With contrapuntal music, on the other hand, the principle of repetition is connected with that of *motivische Arbeit*. The motive stays unchanged; in the place of 'development' [*Entwicklung*], we have 'unfolding' [*Abwicklung*].[150]

Rufer was also preoccupied with these terms in his treatise, noting that 'instead of the variation of the motif, which acts as the motive power in classical homophonic music, in polyphonic music we find 'motivic working' [*motivische Arbeit*]', defining the latter in the following manner:

> This means that the motif itself remains unaltered, and the musical development chiefly resides in (1) the variation in the number of parts, and above all the varying of the disposition of the parts through the use of double and multiple counterpoint, (2) the variation in time of the entries of the parts (or of the motivic or thematic figures), and (3) the combination of both of these possibilities of variation.[151]

The fact that Rufer and Ratz prefer the term *motivische Arbeit* to *Abwicklung* in their discussions of contrapuntal music implies that Schoenberg used the former in

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[149] 'KzT', translation in Shaw, 'Schoenberg's Choral Symphony, *Die Jakobsleiter*, and Other Wartime Fragments', 608.
[150] Josef Rufer, 'Von der Musik zur Theorie: Der Weg Arnold Schönbergs', *Zeitschrift für Musiktheorie* 1 (1971), 3; Erwin Ratz, *Einführung in die musikalische Formenlehre: Über Formprinzipien in den Inventionen und Fugen J. S. Bachs und ihre Bedeutung für die Kompositionstechnik Beethovens* (3rd, rev. edn; Vienna: Universal Edition, 1973), 44.
[151] Rufer, *Composition with Twelve Notes*, 53.

his teachings between 1917 and 1922 (Rufer and Ratz were pupils of Schoenberg in Vienna from 1919 to 1922 and 1917 to 1920 respectively); indeed the term *Abwicklung* does not appear in Schoenberg's writings until the 1925, though the verb 'abwickeln' is used in 1923.[152] Rufer's reference to *Abwicklung* can be explained by the fact that he also studied with Schoenberg at the Akademie der Künste in Berlin during the late 1920s.

In the face of such correspondences it would appear that *motivische Arbeit* and 'unfolding' are simply different designations of the same type of motivic treatment. Yet the conception of *motivische Arbeit* evidenced in 'KzT' calls attention to rhythm as a constructive element in the 'Präludium':

> It is necessary to establish particular successions of tones amalgamated with particular rhythms and combined in such a way that coherence can only be formed through repetition.[153]

Stein, too, noted that 'melody is mostly formed, not as before by melodic variation of rhythmic motifs, but by rhythmic variation of melodic motifs'.[154] Inasmuch as dodecaphony—even at the nascent stage seen in the 'Präludium'—presupposed an ordered melodic succession, albeit in the form of a polyphonic complex comprising three discrete tetrachords, variety in the rhythmic domain served to counterbalance the rigidity of elements in the pitch domain. Thus, whilst *motivische Arbeit* was predicated on the immutability of the pitch content of the tetrachord, rhythm and rhythmic variation assumed a greater degree of importance in the organization of motives in the 'Präludium'.

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[152] Schoenberg, 'Polyphonie-heute', 11 June 1923; and 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925. The manuscripts are catalogued, respectively at T34.19 and T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna.

[153] [Anonymous], 'Ein frühes Dokument zur Entstehung der Zwölftonkomposition', 301. The original German reads: 'Es müssen bestimmten Rhythmen amalgamiert aufgestellt werden und mit solchen vereinigt werden, die einen Zusammenhang damit finden, der nur durch Wiederholung gebildet werden kann'.

[154] Stein, 'New Formal Principles', 60.

Although Martina Sichardt and John Brackett have observed that the 'Präludium' is based on the presentational form of 'unfolding',[155] 'KzT' and the writings of the Schoenberg School pertaining to the evolution of dodecaphony suggest that an examination of elements in the rhythmic domain may offer a different reading of the 'Präludium'. Using Leopold Spinner's analytical comments as a point of departure, I will demonstrate here how the principal rhythmic motives in the opening nine bars are organized to suggest a periodic structure (a five-bar antecedent and a four-bar consequent), which contrasts with the freer treatment of motives in the middle section.[156]

Schoenberg defined 'a musical motive' as 'a sounding, *rhythmicized* phenomenon that, by its (possibly varied) repetitions in the course of a piece of music, is capable of creating the impression that it is the material of the piece',[157] and drew attention in his writings to the agency of rhythm in the formative process. In his *Gedanke* manuscript of 1934, he outlined the varying ways in which rhythm can contribute to the articulation of musical form:

> Rhythm (in the sense applicable to the musical work of art) is surely not just any succession of stressed and unstressed attacks; it is also necessary that this succession behave like a motive [*ein Motiv*]. In other words, it forms an enduring gestalt that can indeed be varied, can even be entirely transformed and dissolved, but which, like the motive, will be repeated again and again (varied or unvaried, developed or liquidated, etc.).[158]

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[155] Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 124; John Brackett, 'Schoenberg, Unfolding, and "Composing with Twelve Tones": A Case Study (Op. 25/1)', *International Journal of Musicology* 11 (forthcoming 2005). The most important analyses of the 'Präludium' are found in Haimo, *Schoenberg's Serial Odyssey*, 85–89; Richard Kurth, 'Mosaic Polyphony: Formal Balance, Imbalance, and Phrase Formation in the Prelude of Schoenberg's Suite, Op. 25', *Music Theory Spectrum* 14/2 (1992), 188–209; Jack Boss, 'The Palindrome "Ideal" and Coherence of the Whole in Schoenberg's Prelude Op. 25', Conference Paper, American Musicological Society and the Society for Music Theory Joint Meeting, Columbus, Ohio, November 2002.

[156] Leopold Spinner, *A Short Introduction to the Technique of Twelve-Tone Composition* (London: Boosey & Hawkes, 1960), 8 and 26. While Spinner has noted the periodic structure, his pedagogical concerns preclude a more detailed examination of the 'Präludium'; as indicated by the title of his treatise, the focus is on the identification of the pitch succession in its prime, retrograded, inverted, and transposed forms.

[157] Schoenberg, *ZKIF*, 28–29 (my emphasis).

[158] Schoenberg, *The Musical Idea*, 198–199.

Schoenberg's comments concerning the processes of variation, development, and liquidation in the rhythmic domain were corroborated by Stein, who noted that 'the rhythm [of the basic shape] [...] is free, and since rhythm contributes at least as much as melody to musical characterization, that circumstance alone produces countless possibilities of variation',[159] and by Rufer, who asserted that 'the straightforwardness or the subtlety of the rhythmical structure is not merely a general characteristic of the individual style of the composer; but the contrast and variation between straightforward and subtle rhythm often indicates the formal function of the shape'.[160] Indeed, in keeping with Schoenberg's understanding, Rufer argued that 'rhythm has a double function: it can create musical shapes [...] and it can build forms'.[161]

But it was only in *Fundamentals of Musical Composition* that Schoenberg outlined specific methods of rhythmic variation. He wrote that

> The *rhythm* is changed:
> 1. By modifying the length of the notes
> 2. By note repetitions
> 3. By repetition of certain rhythms
> 4. By shifting rhythms to different beats
> 5. By addition of upbeats
> 6. By changing the metre—a device seldom usable within a piece.[162]

His accompanying musical examples show that variation can also result from reduction, condensation, addition or omission,[163] features that are in accordance with those used in Berg's *Kammerkonzert* (1923–25). In the 'open letter' on the composition, Berg not only called attention to Schoenberg's practice in a passage from the Serenade based on 'an extensive kind of thematic transformation on the

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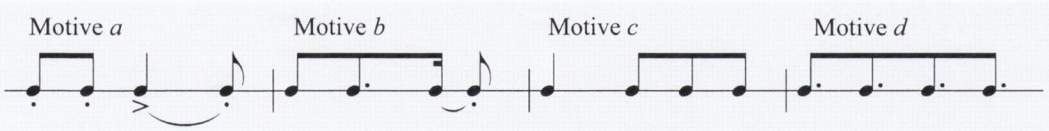
[159] Stein, 'New Formal Principles', 62.
[160] Rufer, *Composition with Twelve Notes*, 64.
[161] Ibid.
[162] Schoenberg, *Fundamentals of Musical Composition*, 10. Each point is followed by reference to specific musical examples in the text.
[163] Ibid., 12–13.

basis of a rhythmic idea' but also described the multifarious rhythmic variations used in the third movement of his work: 'extended and shortened, augmented and diminished, in stretto and in retrograde, in all conceivable forms of metric displacement and transformation, etc., etc.'.[164]

With these principles in mind, we can identify a number of motives at the opening of the 'Präludium'. Each of the three tetrachords which forms the basic pitch material is aligned with a rhythmic motive (bars 1–3, right hand), while a fourth motive (motive *d*) underpins the first four notes of the entry in the bass (bars 1–2) and functions to link the two discrete tetrachords in the right hand (see the score in example 4.7). The salient features of each of the rhythmic motives are summarized in example 4.3: motive *a* comprises two notes of equal duration, which lead to a longer and accented third note; motive *b* is initially characterized by a dotted rhythm; motive *c* features a long and three shorter and uniform durations; and, finally, motive *d* contains four notes of equal duration.

Example 4.3 Principal rhythmic motives in the 'Präludium' from Schoenberg's *Suite für Klavier*

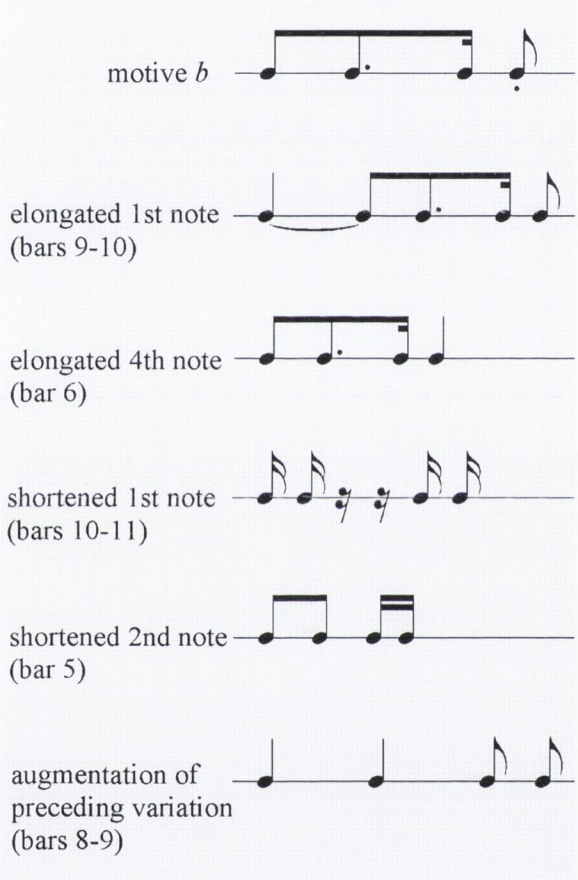


By considering Schoenberg's principles of rhythmic variation in relation to the motives prominent at the opening of the 'Präludium', we could identify a number of possible variants.[165] In addition to shifting the motive in relation to the

[164] Berg, 'Open Letter' to Schoenberg, 9 February 1925, *Berg–Schoenberg Correspondence*, 336.
[165] Because Schoenberg did not include rhythmic workings in his sketches, a reading of these motives and their variations is necessarily speculative; while the interpretation of individual instances may be disputed, I would hope that this would not obscure the broader point that there is an attempt here to use rhythm to achieve a broader coherence. The following analysis thus

metre, motive *b*, for instance, could be altered by elongating its first and final notes respectively; by shortening the duration of its first and second notes respectively; and by creating a rhythmic augmentation of the preceding variation (see example 4.4).

Example 4.4 Variants of rhythmic motive *b*



Similarly, applying the process of augmentation to motive *a* would yield the variant shown in example 4.5, which, when extended by repetition of its final note, produces yet another derivative; this second variant could be construed as an example of Schoenberg's third type, where the motive is combined with its retrograde to produce five durations.

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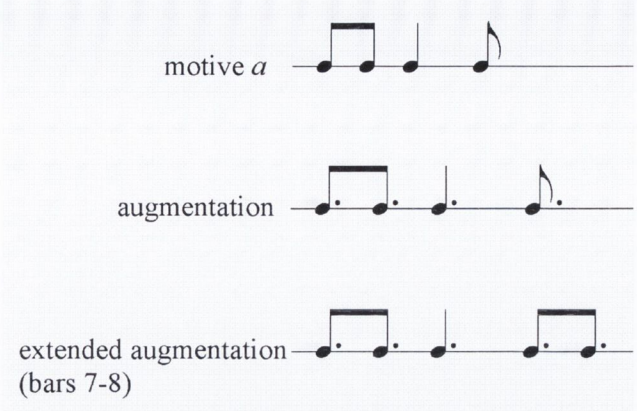
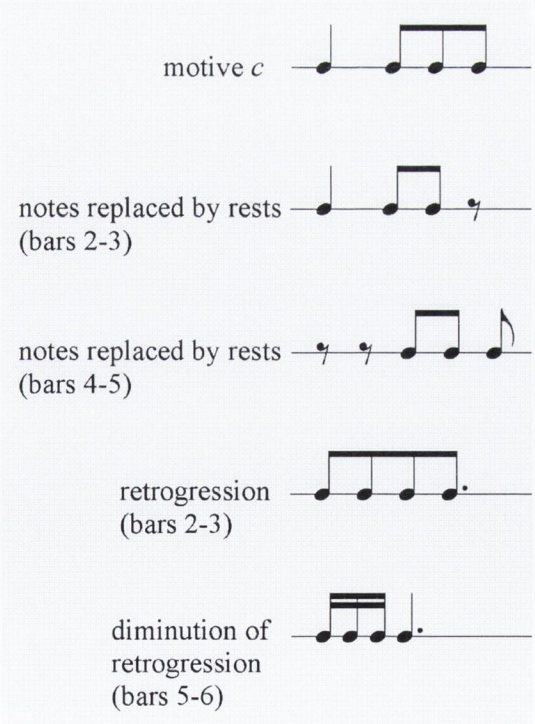
represents an attempt to link the motives found in the 'Präludium' to Schoenberg's broader statements on the significance and treatment of rhythmic motives.

Example 4.5 Variants of rhythmic motive *a*



As illustrated by example 4.6, motive *c* could be varied by omission of certain features (a procedure recognized by Schoenberg), derivatives being produced by the procedures of retrogression and diminution.

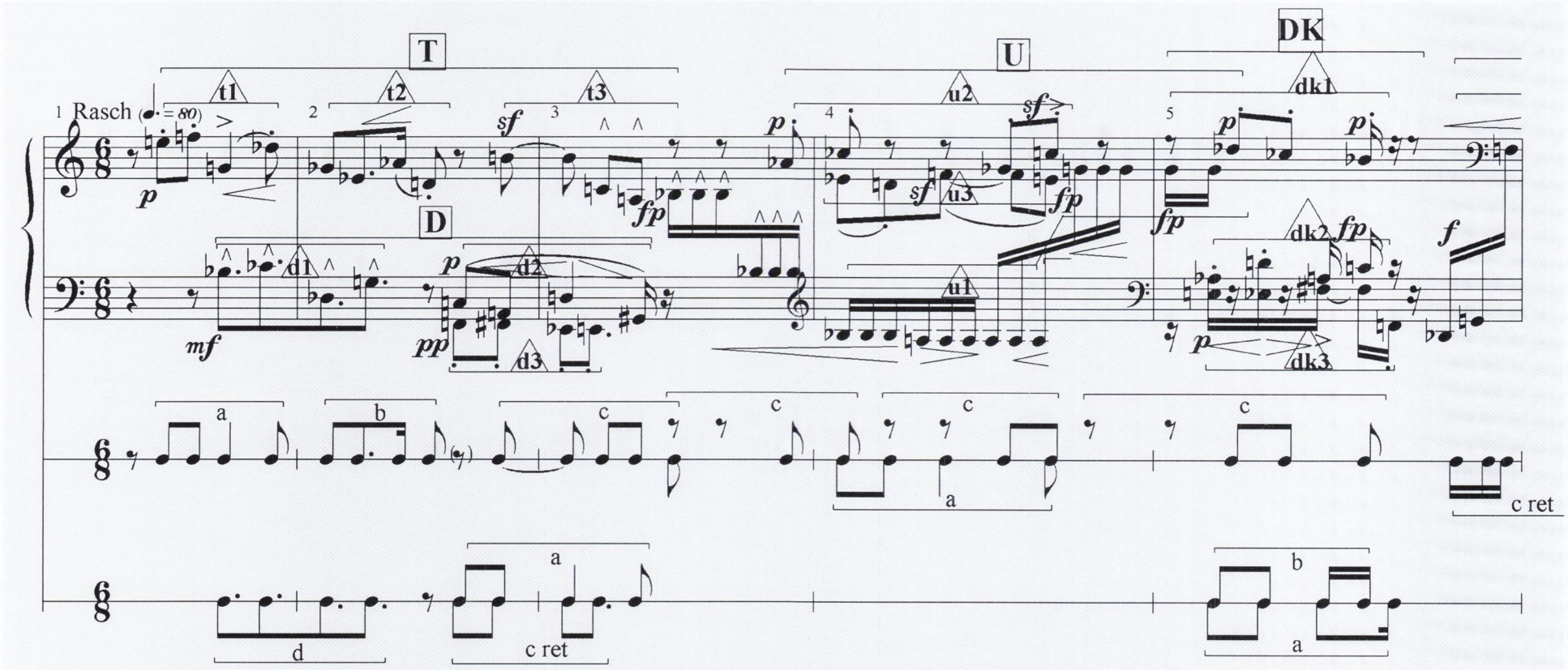
Example 4.6 Variants of rhythmic motive *c*

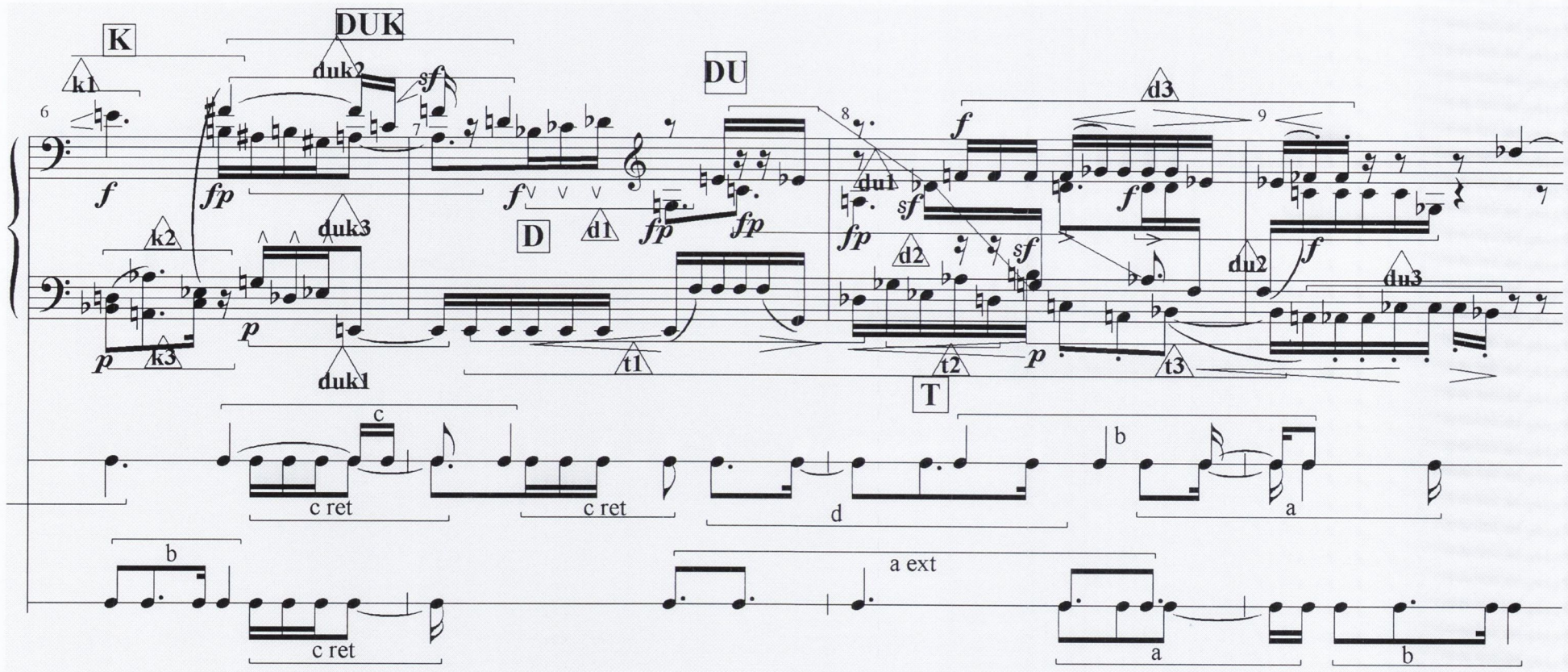


Such variations are found in the opening bars of the 'Präludium'. The *c* motive, in particular, is subjected to numerous variations in these bars (see example 4.7). The succession of *c* motives from the second half of bar 3 in the soprano line is obscured because the first note is replaced by a rest and the motive is, on two occasions, abridged by the omission of the fourth note; this fourth note is, however, regained in the presentation of the motive in bar 5, marking the end of the antecedent. In addition, the diminished retrograde of the *c* motive, delineated by three notes of equal duration followed by a longer note, is introduced in the bass in bars 2–3 and features prominently in the consequent of the period. The identification of these motives as derivatives of the basic rhythmic profile *c*, initially associated with the third tetrachord, is substantiated by the transformations involving displacement and reduction as well as addition or omission of features to which Schoenberg drew attention in *Fundamentals*.

The relationship between motive *a* and its transformations in the antecedent (in bars 2–3, bar 4 and bar 5) is reinforced by the emphasis on the third note. Multiple superimpositions of motive *a* in varied guises appear in the consequent. Although the motive is extended and augmented in bars 7–8, its integrity is preserved by the fact that it can be read both forwards and backwards. The presentation of the *a* motive in the bass in bars 8–9 alters the proportion of the four notes in relation to one another in so far as the durations of the third and fourth notes are reduced. But, by recalling the articulation of the *a* motive from bar 1, namely the two staccatos combined with the crescendo marking, the relationship, which could otherwise be perceived as tenuous, is enhanced.

Example 4.7 Rhythmic motives and tetrachordal distribution in bars 1–9 of the 'Präludium' from Schoenberg's *Suite für Klavier* (continued on next page)




K
DUK
DU
D
T
k1
k2
k3
duk1
duk2
duk3
d1
d2
d3
du1
du2
du3
t1
t2
t3
6
7
8
9
f
fp
sf
p
c
c ret
d
b
a
a ext

The periodic structure of the nine bars is reinforced by the treatment of the *b* motive. According to Schoenberg, the structure of the period is typified by a varied repetition of the antecedent in the consequent.[166] Accordingly, the presentation of motive *b* at the beginning of the consequent (bar 6) conforms to that at the beginning of the antecedent (bar 2), while the variation of the motive at the end of the antecedent (bar 5) is retained in the soprano of bars 8–9, albeit in augmentation and filled out by semiquavers.[167] The recurrence of the linear presentation of the *a* and *b* motives, with which the work began, at the conclusion of the consequent (bars 8–9, left hand) also functions to round off the period. This is supported by 'the tendency of the smallest notes' in the final bars of the period, a feature that Schoenberg identified in common-practice music as effecting closure of a theme.[168] In view of the constructive significance of rhythm in these nine bars, Stein's comment on the *Suite* (Op. 25) appears most apposite: 'The development of the rhythmic motifs is quite independent of the basic shapes [...] rhythmic motifs grow into periods [*Periodenbau*]'.[169]

Schoenberg's deployment of set forms further supports the periodic structure (see example 4.7). Using his nomenclature, bars 1–3 are characterized by the simultaneous presentation of two sets, 'T' in the soprano and 'D' in the bass. While the tetrachords of 'T' are presented in a linear succession (tetrachord 1, tetrachord 2, and tetrachord 3), tetrachord 1 of 'D' is presented on its own prior to the simultaneous presentation of tetrachords 2 and 3. Contrasting with this pattern, 'U' and 'DK' are presented in bars 3–5 as stacks, a word I use to describe a

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[166] See, for example, Schoenberg, *Fundamentals of Musical Composition*, 29.
[167] These semiquavers correspond to Schoenberg's concept of 'note repetitions'; Ibid., 10 and 12 (ex. 17).
[168] Ibid., 29.
[169] Stein, 'New Formal Principles', 75.

composite of the three tetrachords where none is presented on its own.[170] Furthermore, while two sets are presented simultaneously in bars 1–3, one set is followed by another in bars 3–5. This distinction in presenting the set forms suggests that the second unit (bars 3–5) could not be construed as a varied repetition of bars 1–3, a requisite feature of Schoenberg's sentence structure; rather the periodic construction could be supported by the presence of 'remote motive forms' in bars 3–5 to complete the antecedent, as Schoenberg noted in *Fundamentals*,[171] in the form of derivatives of the *c* rhythmic motive.

The understanding of the consequent of the period as a retrogression of the sequence of events of the antecedent is supported by the disposition of the rhythmic motives (the *c* motive is prevalent in both the second half of the antecedent and the first half of the consequent, whereas motives *a* and *b* are more prominent in the opening and closing bars of the period) and by the reworking of bars 1–3 and 3–5 in bars 7–9 and 6–7 respectively. 'K' and 'DuK' are the complements of 'U' and 'DK' in so far as they are presented one after the other as stacks. Corresponding to bars 1–3, the final three set forms of the period—'D', 'T' and 'DU'—are presented simultaneously. The presentations of 'T' and 'D', though now reversed, follow the pattern of bars 1–3 in that 'T' is a linear succession (tetrachord 1, tetrachord 2, and tetrachord 3) and D is identified by an isolated tetrachord 1 and simultaneous presentation of tetrachords 2 and 3. Perhaps to mark the end of the period as cumulative, the 'DU' set form is added and presented in the same way as the 'D' form. The profile of the antecedent can be summarized as the simultaneous presentation of two sets followed by two stacks, whereas that of the consequent reverses the pattern, beginning with two stacked statements before

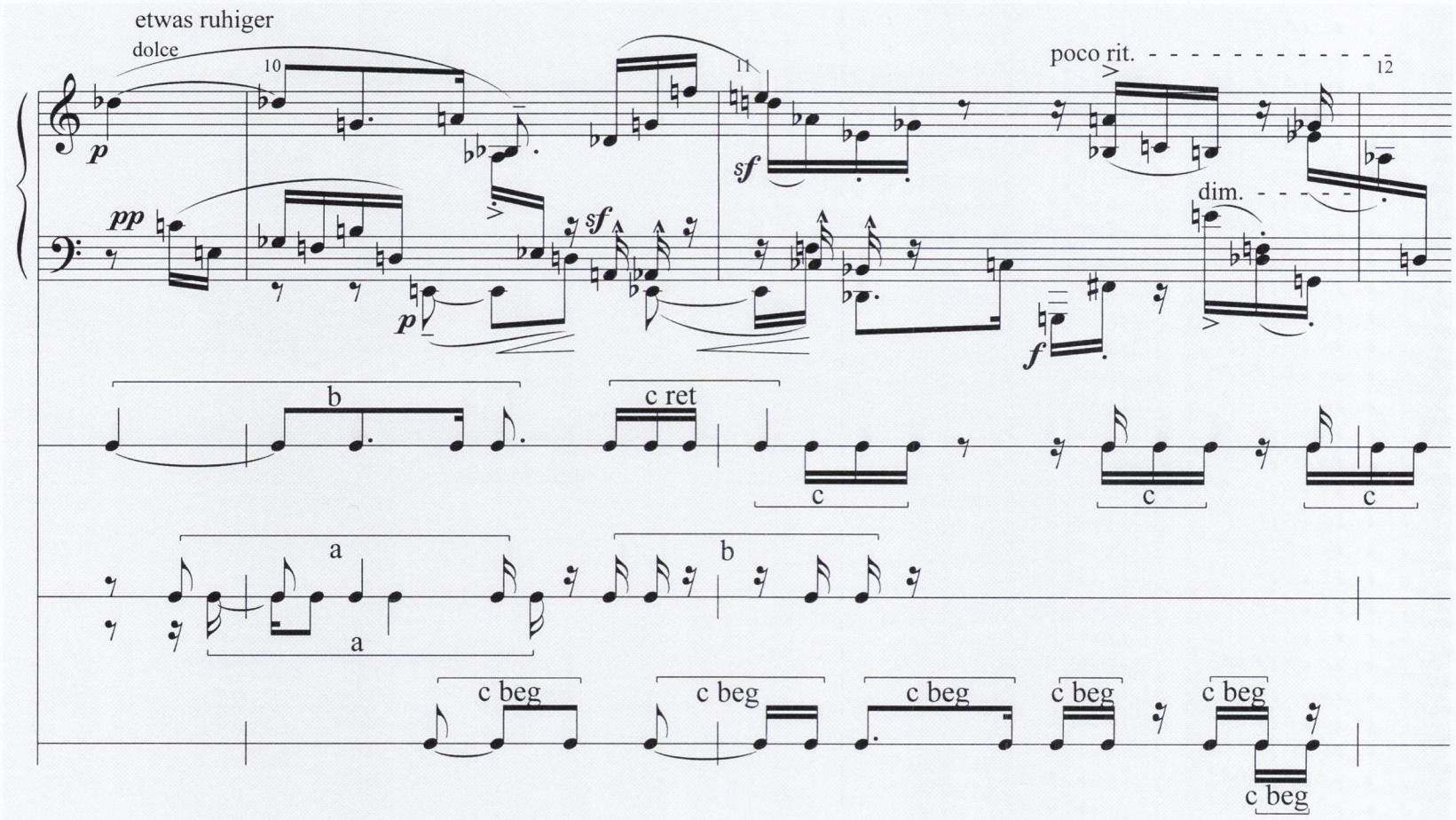
[170] John Brackett similarly refers to 'stacked tetrachords' in his study of the 'Präludium'; see Brackett, 'Schoenberg, Unfolding, and "Composition with Twelve Tones"'.
[171] Schoenberg, *Fundamentals of Musical Composition*, 20–22, 25 and 27.

closing with simultaneous presentations of, in this case, three set forms. The retrogression of the antecedent in the consequent is supported by the *c* rhythmic motive, the derivatives of which in bars 3–5 are answered by a succession of retrograde *c* motives in the first half of the consequent. The reappearance of 'T' as a linear succession in bars 7–9 is more appropriate to the consequent of the period than to the second half of a sentence, a reading further supported by the linear presentation of the *a* and *b* rhythmic motives in bars 8–9.

Melodic and rhythmic parameters interact with one another in varying ways towards the end of the period and at the start of the B section of what Schoenberg would call a small ternary form (ABA^1).[172] Disjunction between rhythm and pitch becomes evident in the bass part of bars 8–9. Beginning in the second half of bar 8, the first note of rhythmic motive *a* coincides with the second note of the pitch tetrachord (B–C–A–B♭), such that its final note (A in bar 9) is the first pitch of a new tetrachord. Conversely, example 4.8 shows that statements of motive *a* are married to discrete melodic tetrachords in the lower voices of bars 9–10 (C–G♭–B–A♭ and E–F–D–E♭ constitute the second and third tetrachords of the 'KU' set form), the continuous semiquavers formed by the interleaving of two statements of the *a* motive staggered at the interval of a semiquaver.

[172] Ibid., 118–119.

Example 4.8 Rhythmic motives in the middle section of the 'Präludium' from Schoenberg's *Suite für Klavier*



The presence of these *a* motives in conjunction with the unambiguous statement of *b* in the right hand of bars 9–10 of the contrasting middle section ensures coherence according to Schoenbergian *Formenlehre*; contrast is achieved through the dissolution and liquidation of the *c* motive, which forms the lowest voice in bars 10 and 11, culminating in its reduction to two semiquavers in bar 11. Concurrently, the remnants of the retrograde *c* motive in the form of groups of three semiquavers serve to reinforce the distinctive organization of this passage.[173]

Without recognizing the structural role of rhythm, it is difficult to identify the period and understand the contrasting function of the middle section in the 'Präludium'. In this respect, Rufer's aphorism appears a canny one:

> One can say quite simply 'by their rhythm shall ye know them'—not only the musical shapes themselves, but also their functions and their position in the whole musical organisation of the piece.[174]

Indeed the idea of treating pitch and rhythm as potentially independent parameters was evident in the theoretical writings and compositions of members of the Schoenberg circle. Ratz, in his *Einführung in die musikalische Formenlehre* (an exemplar of Schoenberg's teachings), proposed two distinct types of variation, 'retention of the thematic [or melodic] substance while changing the motivic [or rhythmic] structure, and *vice versa*, retention of the motivic structure while changing the thematic substance',[175] while the compositions of Webern and Berg

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[173] In the same way that pitch operations become less explicit in the A^1 section of the piece, systematic rhythmic relations are less evident. Notwithstanding the fact that both parameters display a plasticity in the final section that is absent from the periodic structure in bars 1–9, it is immediately apparent that the beginning of the A^1 at bar 16 recalls the configuration of bars 1–2 of the conjoined *d* motive and first melodic tetrachord of the tritone transposition of the row, and that the *c* motive is omnipresent in the modified repetition of the period.

[174] Rufer, *Composition with Twelve Notes*, 64.

[175] Ratz, *Einführung in die musikalische Formenlehre*, 45.

indicate that they, too, believed that rhythmic motives could operate independently of thematic elements.[176]

'KzT' suggests that the 'new kind of *motivic treatment*', to which Webern alluded in his letter to Jalowetz in January 1922, refers to the role of rhythm for formal articulation in Schoenberg's polyphonic style, in that coherence in a 'new polyphony' that precluded melodic variation was to be achieved through the mediation of rhythm.[177] Schoenberg obviously realized the importance and significance of what he had achieved in the composition of the 'Präludium'. Having begun the movement on 24 July 1921, he proclaimed the continuing hegemony of German music in a letter to Alma Mahler written just two days later on 26 July, referring to his recent work and to the anti-Semitic incident that took place in Mattsee a month earlier:

> After I paid my Mattsee compatriots—forever deranged by the madness of the times—a tribute in money (very much money) and what is more: work time (3 weeks!)—I have begun again to work. Something completely new! The German Aryans who persecuted me in Mattsee will still have this new thing (especially this one) to thank for the fact that even they will still be respected abroad for 100 years, because they belong to the very state that has just secured hegemony in the field of music.[178]

Indeed *motivische Arbeit* combined with rhythm as the constructive principle of the 'new polyphony' presented itself, at least for a short while, as the 'solution' referred to in Berg's notes and 'KzT'. Yet, with the position of hindsight, we can label the

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[176] See Douglas Jarman, *The Music of Alban Berg* (London: Faber, 1979), 147–174; Rosemary Hilmar, 'Metrische Porportionen und serielle Rhythmik in Kammerkonzert von Alban Berg', *Schweizerische Musikzeitung* 120 (1980), 355–360; Neil Boynton, 'Formal Combination in Webern's Variations Op. 30', *Music Analysis* 14/2–3 (1995), 193–220.

[177] Eisler, who was a pupil of Schoenberg's in 1921, noted in relation to his *Kleine Kompositionslehre für Kinder*, Op. 31, that 'preludes are pieces with short motives that are varied only a little' [*Präludium sind Stücke mit kurzen Motiven, die nur wenig variiert werden*], a description that fits Schoenberg's 'Präludium'; the document is catalogued at Hanns Eisler Archiv 2245 in the Stiftung Archiv der Akademie der Künste, Berlin.

[178] Schoenberg, Letter to Alma Mahler, 26 July 1921, translated in E. Randol Schoenberg, 'The Most Famous Thing He Never Said', in Christian Meyer (ed.), *Arnold Schönberg und sein Gott: Bericht zum Symposium 26.–29. Juni 2002* (Journal of the Arnold Schönberg Center, 5; Vienna: Arnold Schönberg Center, 2003), 29.

practice of the 'Präludium' as an incipient dodecaphony, not only because it was based on a 'tri-tetrachordal complex'—to use Haimo's apt expression—rather than a referential ordering of twelve notes,[179] but also, as suggested in Berg's notes, 'KzT', and Stein's 'Neue Formprinzipien', because there was an equivalence of *Grundgestalt* and thematic content of the motive. The recognition of the 'Präludium' as an interim 'solution' offers a context for understanding Schoenberg's comments of November 1923:

> When in the summer of 1921 I believed I had found a form that fulfils all my requirements of a form, I nearly fell into an error similar to Hauer's: I too believed at first that I had 'found the only possible way'. Things went better for me than for Hauer; he had found one possibility, but I had found the key [*Schlüssel*] to many possibilities—as I very soon realized![180]

With this in mind, I suggest that the significance of the 'Präludium' lies not so much in the workings of the twelve-tone method but in its formal organization. The differentiated types of rhythmic treatment in the opening and middle sections, which function to delineate the form, could be described in terms of motivic combination: the periodic structure is the quintessential example of stable formation, whereas the liquidation and dissolution of motives in the middle section present contrast by means of loose formation. Notwithstanding the fact that the terms 'stable' and 'loose' were not formulated as such by 1921, Schoenberg did recognize in his *ZKIF* notebooks of 1917 that the middle section of the three-part song (or small ternary form) can be distinguished by dissolution, whereby 'every theme or motive loses individuality (harmonic and rhythmic), becomes more ordinary, and ends up as a structure with relatively uncharacteristic features'.[181] Moreover, in the section on 'structural principles' in the same text, he acknowledged that the essential 'binding' [*Zusammenhaltende*] and 'separating'

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[179] Haimo, *Schoenberg's Serial Odyssey*, 85.
[180] 'Hauer's Theories' (1923), in Schoenberg, *Style and Idea*, 212.
[181] Schoenberg, *ZKIF*, 104–105.

[*Auseinandertreibende*] principles—these principles were redefined in the 1930s in relation to stable and loose formation as 'concentric' and 'eccentric' tendencies—could be achieved not merely by key but also by metre and/or rhythm, a discovery that resulted directly from his re-engagement with the music of the past.[182]

[182] Ibid., 44–45, 54–55; Schoenberg, *The Musical Idea*, 176–179. This contrast between stable and loose formation is discussed in greater detail in chapter 5.

CHAPTER FIVE

Refining the Formal Principles

Capturing the 'Essence' in Schoenberg's Dodecaphony

> He [Schoenberg] took a hat, turned it in all directions and said: 'You see, this is a hat, whether I look at it from above, from below, from the front, from behind, from the left, from the right, it always remains a hat, even though it may look one thing from above and another from below'. Inversion and retrograde motion, too, look different from the basic form, yet they are the self-same motif. Thus we immediately gain four forms of the basic shape.
>
> —Erwin Stein, 'New Formal Principles' (1924)[1]

> An ash-tray, seen from all sides, is always the same, and yet different. So an idea should be presented in the most multifarious way possible.
>
> —Anton Webern, Lecture of 26 February 1932[2]

> You may have been told that a subordinate theme is a contrast, but it is only a repetition! Webern told me how Schoenberg explained it to him. They smoked a lot at that time, and Schoenberg took a box of matches showing the label and said: 'This is the principal theme'. Then he lifted the box up and looked from below, saying: 'And this is the subordinate theme!' The principal and subordinate themes are the same but from different points of view.
>
> —Philip Herschkowitz, Lesson with Dmitri Smirnov[3]

Entwicklung and *Abwicklung*: Two Sides of the Same Coin?

Schoenberg understood polyphony and homophony as distinct yet related. He wrote in his 1911 proposal for a textbook on counterpoint that they constitute 'just two different manifestations of the same matter, two principles of style—the same matter of art, the same matter of music, therefore identical laws, but different

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[1] Erwin Stein, 'New Formal Principles', *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 63. For the original German text, see Erwin Stein, 'Neue Formprinzipien', *Arnold Schönberg zum fünfzigsten Geburtstage, 13. September 1924, Sonderheft der Musikblätter des Anbruch* 6 (1924), 291.

[2] Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Bryn Mawr, Pennsylvania: Theodore Presser, 1963), 53.

[3] Philip Herschkowitz, reported in Dmitri Smirnov, *A Geometer of Sound Crystals: A Book on Herschkowitz*, ed. Guy Stockton (Berlin: Verlag Ernst Kuhn, 2003), 27.

applications of them'.[4] Polyphony was defined by the simultaneous presentation of the idea in several voices, whereas homophony was characterized by a melody-and-accompaniment style; as such, they represented 'two different ways of sharing out musical space'.[5] These two stylistic principles—distinguished, respectively, by a vertical and horizontal presentation—informed Schoenberg's view of music history and, by extension, his formulation of dodecaphony.

Although Schoenberg hinted at a two-dimensional presentation as early as 1911 ('one can [...] say that the idea of the musical sound [which is conceived as vertical] is extended to the horizontal plane'[6]), it was in relation to his twelve-tone method that he crystallized his conception of musical space, writing in 1923 that 'whatever sounds together (harmonies, chords, the result of part-writing) plays its part in expression and in presentation of the musical idea in just the same way as does all that sounds successively (motive, shape, phrase, sentence, melody, etc.)'.[7] Indeed, in his 1934 lecture on twelve-tone composition, he asserted that his new method was predicated not only on 'the notion of the unity of musical space' but

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[4] Arnold Schoenberg, 'Schönbergs Entwurf über "Das Komponieren mit selbstständigen Stimmen"', ed. Rudolf Stephan, *Archiv für Musikwissenschaft* 29/4 (1972), 247–248. Translation in Jan Maegaard, 'Schoenberg's Incomplete Works and Fragments', in Juliane Brand and Christopher Hailey (eds.), *Constructive Dissonance: Arnold Schoenberg and the Transformations of Twentieth-Century Culture* (Berkeley, Los Angeles and London: University of California Press, 1997), 132.

[5] 'Diskussion im Berliner Rundfunk (mit Dr. Preussner und Dr. Strobel)' (1931), in Arnold Schönberg, *Stil und Gedanke: Aufsätze zur Musik*, ed. Ivan Vojtech (Arnold Schönberg: Gesammelte Schriften, 1; Frankfurt am Main: S. Fischer, 1976), 279. Schoenberg's most detailed explication of these principles was given in Arnold Schoenberg, 'New and Outmoded Music, or Style and Idea', in Bryan R. Simms (ed.), *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music* (Belmont, California: Schirmer, 1999), 96–107.

[6] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber and Faber, 1978), 28. This clause appears in both the 1911 and 1922 editions.

[7] 'Twelve-Tone Composition' (1923), in Arnold Schoenberg, *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London and Boston: Faber & Faber, 1975), 207. Schoenberg's annotations on Hauer's article 'Atonale Musik' (1923) reflect a similar preoccupation. Hauer wrote that 'people nowadays are no longer accustomed to listen for the *harmony* straightaway within a *melody*', to which Schoenberg responded: '!! Yes, if one considers the second dimension of musical sound solely as a supplement to melody. In art, however, it is an [essential] component of the space in which occurs the representation of the idea'. See Bryan R. Simms, 'Who First Composed Twelve-Tone Music, Schoenberg or Hauer?' *Journal of the Arnold Schoenberg Institute* 10/2 (1987), 126.

also on 'the avowal of an absolute conception of musical space'.[8] He defined the former most succinctly when he wrote that 'the two-or-more dimensional space in which musical ideas are presented is a unit' and, in relation to the latter, he posited that '*the unity of musical space demands an absolute and unitary perception*', adding that 'as in Swedenborg's heaven (described in Balzac's *Seraphita*) there is no absolute down, no right or left, forward or backward'.[9]

It was this absolute conception of musical space that provided a justification for the operations of retrograde, inversion, and retrograde-inversion that were vital to his dodecaphony. The integrity of the melodic succession was compared with so-called 'familiar material objects', in that 'we recognize a watch, for instance, or a bottle, or a flower, no matter in what position in may be placed'.[10] This view was corroborated by Schoenberg's principal advocates: Stein, who invoked Schoenberg's description of the hat (see the first of the three epigraphs above), observed that the motivic transformations in twelve-tone music were analogous to the 'fidelity of intervals' characteristic of counterpoint;[11] Webern, similarly, made reference to an ash-tray to reflect the varying dispositions of the motive or row (see the second epigraph above); and Ratz defended this dodecaphonic practice, arguing that the use of a fixed succession of notes as the basis of a piece was prefigured in the fugues, canons, and inventions of Bach.[12]

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[8] Arnold Schoenberg, 'Vortrag / 12 T K / Princeton', ed. Claudio Spies, *Perspectives of New Music* 13/1 (1974), 80–81.
[9] 'Composition with Twelve Tones (1)' (1941), in Schoenberg, *Style and Idea*, 220 and 223.
[10] Schoenberg, 'Vortrag / 12 T K / Princeton', 84–85. For an analysis of the 'Variationen' of the Serenade, Op. 24, that takes as its point of departure Schoenberg's multi-faceted conception of musical space, see Martina Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs* (Mainz: Schott, 1990), 75–84. Sichardt also makes detailed observations about pieces from Opp. 23 and 25 in chapter 3 of her monograph.
[11] Stein, 'New Formal Principles', 60.
[12] Erwin Ratz, 'Über die Komposition mit zwölf Tönen (Zwölftontechnik)', unpublished essay, Ratz–Schoenberg correspondence, Library of Congress, Washington.

Clearly, these comments pertained only to polyphonic music, where the omnipresence of the contrapuntal motive is assured by the processes of 'unfolding' or 'unravelling', meaning that variation is achieved, in the first instance, by operations such as 'the *comes* in fugue, and augmentation, diminution and inversion [which] do not aim at development but only at producing variety of sound by the changing of mutual relationships' and, in the second instance, by 'unravelling' the 'basic configuration or combination' of the motive as presented in a number of voices and reconstructing its elements into a seemingly new arrangement comprised of the same material.[13] Accordingly, because the aim in contrapuntal music is 'never that of producing new motivic forms',[14] Schoenberg argued that 'one should not expect that new themes occur in such fugues, but that there is a basic combination which is the source of all combinations'.[15] As he outlined in a *Gedanke* manuscript of 1923, he understood this basic combination in the context of his unitary conception of musical space:

> In counterpoint it is not so much a question of the combination per se (i.e., it is not an end in itself) as it is a question of how to represent an idea in its many-sidedness: it is in the nature of the theme that it already conceals in itself all these many shapes through which it [the many-sided presentation of the idea] becomes possible.[16]

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[13] 'Bach' (1950), in Schoenberg, *Style and Idea*, 397; Arnold Schoenberg, *Preliminary Exercises in Counterpoint*, ed. Leonard Stein (London: Faber and Faber, 1963), 155. See also Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 110–111. Commentators use the terms 'unfolding' and 'unravelling' in relation to Schoenberg's understanding of contrapuntal music. Although there is no evidence to suggest that Schoenberg ever used the term 'unfolding', it is the standard translation of *Abwicklung* in the published translations of Schoenberg's writings; it is for this reason that I refer to 'unfolding' in this study. It should be pointed out that the word 'unfolding' has also been used to translate *Entfaltung*, as it is in translations of Schenker's writings; see Arnold Schoenberg, 'Four Fragments by Arnold Schoenberg', trans. Daniele Bartha, *Theory and Practice* 18 (1993), 11. In his essay on 'Bach', which was originally written in English, Schoenberg used the term 'envelopment', but crossed it out, changing it to 'unravelling'. The final passage reads: 'Contrapuntal composition does not produce its material by development, but by a procedure rather to be called unravelling' (T31.09, page 13, in the Arnold Schönberg Center Privatstiftung, Vienna).

[14] Schoenberg, *Preliminary Exercises in Counterpoint*, 155.

[15] 'Bach' (1950), in Schoenberg, *Style and Idea*, 397.

[16] Schoenberg, 'zu Darstellung des Gedankens', 19 August 1923, catalogued at T34.29 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation in Charlotte M. Cross, 'Schoenberg's *Gedanke*

While Schoenberg's discussion of the contrapuntal combination sheds light on Stein's and Webern's comments, it appears to be at odds with that made by Herschkowitz (see the third epigraph), which records Schoenberg's perception—communicated to Herschkowitz during his studies with Webern—concerning the interrelationship of the principal and subordinate themes in a homophonic composition, in that 'developing variation', as the principle of homophony, was contingent not on motivic variations that exist merely to provide interest but on the variations that facilitate the production of new material ('something new always has to come into being'[17]) and, more specifically, the generation of the subordinate theme that is derived from variants of the principal theme:

> Music of the homophonic-melodic style of composition, that is, music with a main theme, accompanied by and based on harmony, produces its material by, as I call it, *developing variation.* This means that variation of the features of a basic unit produces all the thematic formulations which provide for fluency, contrasts, variety, logic and unity, on the one hand, and character, mood, expression, and every needed differentiation, on the other hand—thus elaborating the *idea* of the piece.[18]

If homophony was radically different from polyphony in its treatment of motives, how can we reconcile the assertion that the two themes are not only interrelated but they are two different versions of the same entity? While this could conceivably be explained by the resemblance of the two themes, given that the motives of the principal theme, transition, and subordinate theme are umbilically joined by the 'developing variation' process, Herschkowitz proposed, in addition to the motivic connections, that the relationship can be understood in terms of duration or space

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Manuscripts: The Theoretical Explanation of his Twelve-Tone Method?' Conference Paper, Annual Meeting of the Music Theory Society of New York State, Eastman School of Music, Rochester, New York, 3 April 2004. For an idiosyncratic interpretation of Schoenberg's twelve-tone matrices in terms of the contrapuntal combination, see Murray Dineen, 'The Contrapuntal Combination: Schoenberg's Old Hat', in Christopher Hatch and David W. Bernstein (eds.), *Music Theory and the Exploration of the Past* (Chicago and London: University of Chicago Press, 1993), 435–448.

[17] Schoenberg, *The Musical Idea*, 110–111.

[18] 'Bach' (1950), in Schoenberg, *Style and Idea*, 397.

of the respective components of the composition. He argued that the repetition of the principal theme in the transition, which may be obfuscated 'in a very transformed and unrecognisable condition', is apparent because 'the *space* of the principal theme is repeated, but the vessel is now filled with a different liquid', a phenomenon he observed not only in relation to the first movement of Beethoven's Piano Sonata, Op. 2, No. 1, but also in the context of the repetition of the principal theme in the subordinate theme of the first movement Mozart's Piano Sonata, K. 545, as he noted the structural division of the two themes reflected in the identical number of bars (two-plus-two followed by a four-bar sequential pattern).[19]

It remains, nonetheless, that *Abwicklung* and *Entwicklung*, as the constituent principles of polyphony and homophonic music respectively, were conceived as polar opposites with respect to motivic treatment: 'The method of presentation used can either "unfold" [*abwickelndes*] or "develop" [*entwickelnden*]'.[20] As I have already shown, the term *Abwicklung* replaced Schoenberg's conception of *motivische Arbeit*, which was premised on repetition—as opposed to variation—of motives, a concept was that explained in an aphorism of 1909.[21] Likewise, the notion of 'developing variation' was first sketched in the *Harmonielehre* of 1911, although it was not labelled as such:

> When Brahms introduces the second theme of his Third Symphony (F major [first movement]) in the key of A major, it is not because one 'can introduce' the second theme just as well in the key of the mediant. It is rather the consequence of a principal motive, of the bass melody (harmonic connection!) f–a♭ (third and fourth measures), whose many repetitions, derivations, and variations finally make it necessary, as a temporary high

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[19] Herschkowitz, reported in Smirnov, *A Geometer of Sound Crystals*, 27–28 and 193–195.
[20] 'Linear Counterpoint' (1931), in Schoenberg, *Style and Idea*, 290.
[21] Schoenberg, 'Aphorisms' (1909), in Joseph Auner, *A Schoenberg Reader: Documents of a Life* (New Haven, Conn. and London: Yale University Press, 2003), 64. The aphorism, which is quoted in chapter 2, was published in the periodical, *Die Musik*. A detailed discussion of *motivische Arbeit* is given in chapter 2, while the relationship between *motivische Arbeit* and *Abwicklung* is explained in chapter 4.

> point, for the progression f–a♭ to expand to the progression f–a (F, the initial key, A, the key of the second theme).[22]

An additional comment in this passage in the 1922 edition indicates a greater degree of certainty: 'Thus, the basic motive is given by the initial key and the key of the second theme'.[23] It was not until 1917 in his *ZKIF* notebooks that Schoenberg clearly formulated the distinction between localized variation and 'developing variation', referring to the latter as *entwickelnde Variation*.[24]

Although they can be traced back to 1909 and 1911 respectively, Schoenberg did not formulate *Entwicklung* and *Abwicklung* as antithetical concepts until the mid 1920s; once established, they were to remain central to his musical thought.[25] By May of 1923 Schoenberg replaced the expression *entwickelnde Variation* with the term *Entwicklung* to describe the motivic processes that take place in the principal part.[26] While he contraposed this description with the procedures in polyphonic music, its associated term was absent from this text. Rather, the practice in polyphony was outlined in relation to *entwickeln*: 'In polyphonic music, motivic shapes, themes, phrases and the like never succeed in

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[22] Schoenberg, *Theory of Harmony*, 164. This passage appears in both the 1911 and 1922 editions.
[23] Ibid. This is only in the 1922 edition.
[24] Arnold Schoenberg, *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (Coherence, Counterpoint, Instrumentation, Instruction in Form)*, ed. Severine Neff, trans. Charlotte M. Cross and Severine Neff (Lincoln and London: University of Nebraska Press, 1994), 38–39. Curiously, the word 'abwickelnd' appears in this description of 'developing variation': after writing that the 'changes proceed more less directly toward the goal of allowing new ideas to arise', Schoenberg adds a note that reads 'liquidieren, abwickelnd'. As Andreas Jacob has pointed out (private communication), Schoenberg's use of the term here is closer to that of liquidation, not just in a musical sense but also in the way that the term is understood as the liquidation of a business because of insolvency. Its use here, then, is literal and not in the sense in which Schoenberg conceived it in the early 1920s. I thank Andreas Jacob for his advice on this matter.
[25] These terms were obviously current in the Viennese School. Willi Reich, for example, noted the following from his studies with Webern between 1936 and 1938: 'Distinction between "unfolding" [*Abwicklung*] and "development" [*Entwicklung*] of themes. (Bach and Beethoven)'. See Willi Reich's postscript to Webern, *The Path to the New Music*, 57; Anton Webern, *Der Weg zur neuen Musik*, ed. Willi Reich (Vienna: Universal Edition, 1960), 63.
[26] 'Twelve-Tone Composition' (1923), in Schoenberg, *Style and Idea*, 208. The document is dated 9 May 1923 and catalogued at T34.10 in the Arnold Schönberg Center Privatstiftung, Vienna. He also used the term *Entwicklung* in the essay 'Ornaments and Construction' of July 1923; see Schoenberg, *Style and Idea*, 312.

stretching beyond a certain length [...], and are never developed [*werden nie mals entwickelt*], never split off new shapes and are seldom varied'.[27] In a manuscript on polyphony of June 1923, just one month after this document, the term 'abwikkeln' (the double 'k' and the omission of the 'c' can presumably be understood as an error) is used for the first time.[28] Having referred to *abwickeln* in 1923, Schoenberg evidently recognized the semantic parallel between *abwickeln* and *entwickeln*, as he referred to *Abwicklung* and *Entwicklung* as the two of the three principal 'methods of connecting small parts with each other', the third being 'stringing-together' [*Aneinander-Reihung*], in his *Gedanke* manuscript in July 1925.[29] (Whereas *entwickeln* can mean to develop, evolve, produce, or generate, *abwickeln* means to unwind, unravel, or unroll, in the way that a ball of wool can be unravelled, a term that perfectly captured Schoenberg's conception of the disassemblage of the contrapuntal combination.[30]) The coinage of the term *Abwicklung*—or, more accurately, its appropriation within a musical context—suggests that Schoenberg conceived it as a counterpart to *Entwicklung*. It is likely that he systematized the distinction between the two processes following the flurry of compositional activity between 1920 and 1925 and particularly in 1923.

The fundamental difference between *Abwicklung* and *Entwicklung*, formulated on the basis of Schoenberg's understanding of the music of Bach and the *Wiener Klassik* respectively, can be summarized as follows: *Abwicklung* was

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[27] 'Twelve-Tone Composition' (1923), in Schoenberg, *Style and Idea*, 208.
[28] Schoenberg, 'Polyphonie-heute', 11 June 1923, catalogued at T34.19 in the Arnold Schönberg Center Privatstiftung, Vienna.
[29] Schoenberg, 'Der musikalische Gedanke, seine Darstellung und Durchführung', 6 July 1925, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna. The title of the manuscript is given on T37.07.
[30] Michael Graubart discusses these terms in his notes to Regina Busch, 'On the Horizontal and Vertical Presentation of Musical Ideas and on Musical Space (III)', trans. Michael Graubart, *Tempo* 157 (1986), 22. In writings on music *durchführen* is usually used to describe the process of development; to my knowledge, the terms *abwickeln* and *Abwicklung* do not appear in writings outside of the Viennese School.

predicated on the immutability of the motive, whereas *Entwicklung* was dependent on the mutability of the motive. Thus, in terms of their motivic treatment, the two principles were mutually exclusive; in Schoenberg's mind, the contrasting principles of *Abwicklung* and *Entwicklung* underlay the fugue and the sonata—and, by extension, the symphony—respectively. The distinction between these forms was articulated in Schoenberg's lengthy and detailed response to Alfredo Casella's incorporation of a fugato in a sonata form:

> A fugue is a method of developing musical pictures from a basic construction and its meaning is a counterpointal-one [*sic*] which does not correspond with the method of Sonata-forms, which develops their ideas in an [*sic*] perfectly other way [...] unfortunately composers today write not only fugatos in sonata-forms but also independent fugues only for a contrast of mood and expression. This is as ridiculous than to use a machine gun like a sugar-caster. But it has its cause in a very profound misunderstanding of the nature of counterpoint. This difference can here be explained in a few words only by one circumstance. Homophonic music concentrates the whole development in one principal part, making so the other elements of a subordinate importance, supporting only the development and the understandableness [*sic*] of the principal part. Therefore this principal part is enabled to develop of its own pretty quickly an[d] can produce very different character, moods, figures, pictures and sounds, without loosing coherence, without becoming incomprehensible. On the other hand the counterpointal [*sic*] methode [*sic*] asks the full attention of the listener not only for one principal part, but simultaneously for two, three or more parts of which none is a principal one, for all are principal ones. If the listener[']s mental capacity has to realize their meaning, the form, the idea of this [*sic*] different parts and besides that: the mutual connection of them, it would be nearly unable to understand them, if at the same time this element would start to develop in such an extend[ed] manner as usual in homophon [*sic*] forms. Therefore counterpointal [*sic*] themes in contrast with homophon [*sic*] ones are mostly relatively short. [31]

This document effectively drew together a number of topics with which Schoenberg had been preoccupied since 1909,[32] in so far as it explained why the

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[31] Schoenberg, 'Casella, a Polemics', c. 1935, catalogued at T38.12 in the Arnold Schönberg Center Privatstiftung, Vienna, pages 5 and 6. For a different transcription of this passage, see Auner, *Schoenberg Reader*, 272–273.

[32] See Schoenberg's aphorism of 1909 and his short text 'Warum neue Melodien schwerverständlich sind' of 1913, translated, respectively, in Ibid., 64; Bryan R. Simms, 'New Documents in the Schoenberg–Schenker Polemic', *Perspectives of New Music* 16/1 (1977), 115–116. A detailed discussion of both of these documents is provided in chapter 2.

distribution of the content into a number of voices in a contrapuntal composition placed greater demands on the listener's apprehension than the single-content carrying line in homophony. He defined this notion in the early 1920s in relation to the tempo of presentation of the musical idea in a polyphonic context:

> Multipartite chords [*Mehrstimmigkeit*] and real polyphony, rightly understood, do not serve to make an otherwise uninteresting piece modern, rather, to hasten the pace of presentation. The literary art takes pains to express ideas clearly and comprehensively with the smallest number of words consistent with its content, selected, considered, and set down according to that content. In music, along with the content of its smallest components (tone, tone progressions, motive, *Gestalt*, phrase, etc.), there is he structure'; □ ADDIN EN.CITE <EndNote><Cite><Author>Schoenberg</Author><Year>1967</Year><Re

In accordance with that theory, he argued that the presentation was necessarily slower in a homophony to accommodate the listener's capacity for grasping the new material generated through the process of 'development':

> In homophonic art, in which the essential thing is the *development* [*Entwicklung*] arising from the basic motive, the crystallizing-out of *new* motives [...], there will have to be a rather slower rate of succession among the notes, even for reasons of comprehensibility.[34]

In other words, it was his multi-faceted conception of musical space (the 'use of the musical space aims at accelerating the presentation of the idea'[35]) that enabled him to reconcile motivic repetition—something he deemed primitive in 1909—with his aesthetic of high art, as exemplified by the 'Präludium' from the *Suite für Klavier*.

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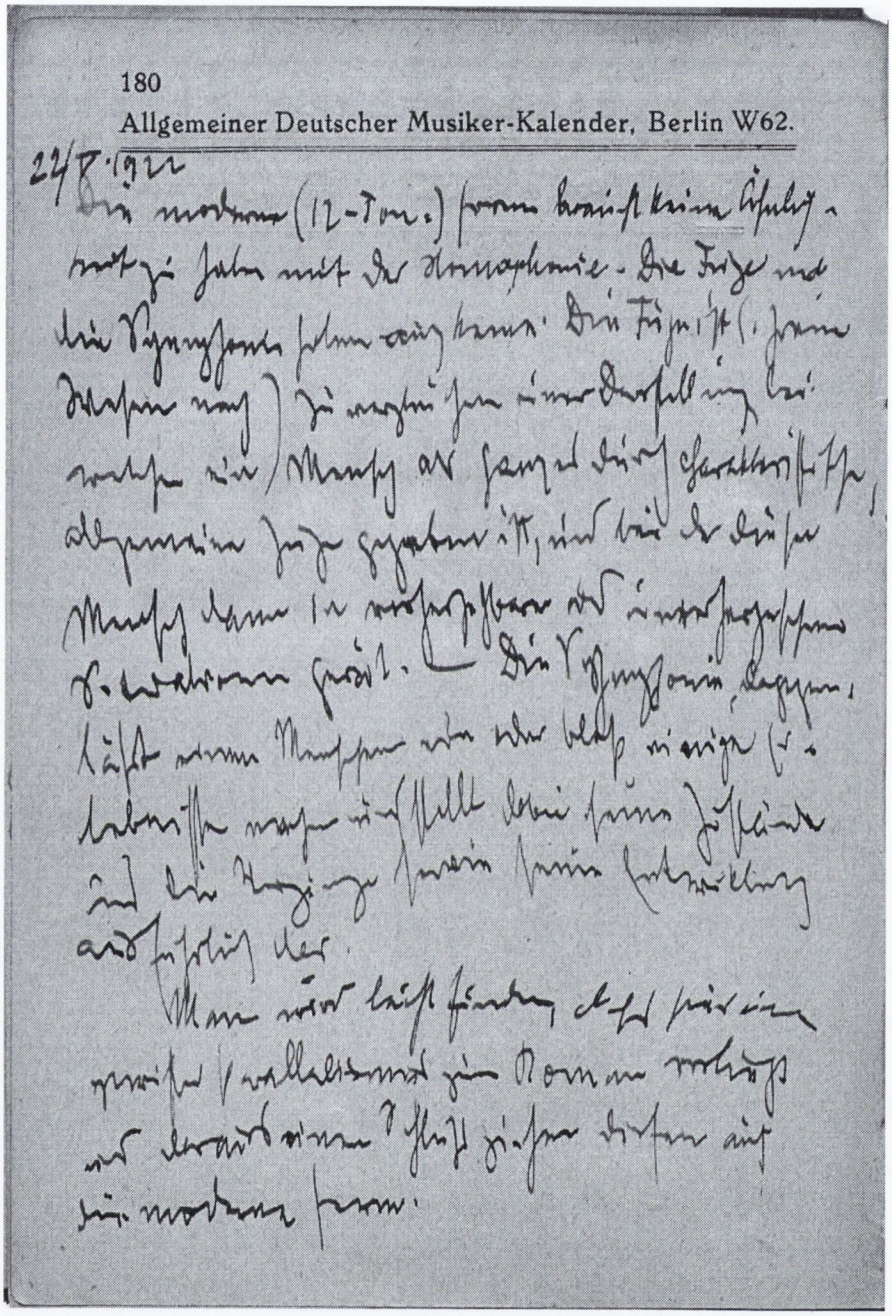
[33] Schoenberg, *Theory of Harmony*, 388–389. Stein commented on this passage, which appears only in the 1922 edition, in his essay 'Mahler, Reger, Strauss, and Schoenberg' (1926), noting that 'this conception of the purpose of polyphony characterizes an important trait in his [Schoenberg's] own musical nature—his need for concentrated expression. Compression may delay the understanding of a musical thought, but will eventually prove to increase its lucidity and hence to intensify its effect'. See Erwin Stein, *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 45.

[34] 'Ornaments and Construction' (1923), in Schoenberg, *Style and Idea*, 312.

[35] Schoenberg, 'zu: Darstellung d. Gedankens', 12 November 1925, catalogued at T35.02 in the Arnold Schönberg Center Privatstiftung, Vienna. Translation by Charlotte Cross given in Patricia Carpenter, 'Schoenberg's Theory of Composition', in Walter Bailey (ed.), *The Arnold Schoenberg Companion* (Westport, Conn.: Greenwood Press, 1998), 220.

Figure 5.1 Schoenberg's calendar entry of 22 May 1922



Schoenberg had already captured the difference between the fugue and the symphony in his calendar entry of 1922 (see the facsimile in figure 5.1) before articulating *Abwicklung* and *Entwicklung* as distinct principles:

> The fugue is (in its essence) to be regarded as a presentation in which a person as a whole is depicted by characteristic, general features, and this person then encounters predictable and unpredictable situations. The symphony, on the other hand, offers this person one or just a few experiences, yet elaborates on his conditions, those proceedings and his development in detail.[36]

That these concepts were current and being discussed as early as 1914 or 1915, when Schoenberg planned his choral symphony, is confirmed by the clarity with which Berg drew a distinction in Act II of *Wozzeck* between the sonata form of scene i and the fantasia and fugue of scene ii:

> The next scene [scene ii] also brings three people onto the stage, although, to be sure, their relationship to one another is looser than that of the three members of the family group in the previous scene [scene i]. Whereas that scene could generate a musical structure (the sonata form) in which the parts were organically related, here the form is constructed from elements that stand in opposition to one another, that is to say, a fantasia and fugue on three themes. The motivic independence of these three themes, in contrast to the more closely related melodies of the previous sonata, itself suggests a strict fugal form, although the austerity of the form is, admittedly, somewhat relieved by the fact that it employs motives that have already been heard.[37]

Berg's description builds on Schoenberg's calendar entry by drawing attention to his musical depiction of the 'blood relationship' [*Blutverwandten*] in the sonata form of scene i that features Wozzeck, Marie, and the child, in contradistinction to

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[36] The original German text reads: 'Die Fuge und die Symphonie haben auch keine. Die Fuge ist (ihrem Wesen nach) zu vergleichen einer Darstellung, bei welcher ein Mensch als Ganzes durch charakteristische, allgemeine Züge gegeben ist, und bei der dieser Mensch dann in vorhersehbare und unvorhersehbare Situationen gerät. Die Symphonie, dagegen, läßt einem Menschen ein oder bloß einige Erlebnisse machen und stellt dabei seine Zustände und die Vorgänge sowie seine Entwicklung ausführlich dar'. The entry is dated 22 May 1922. Schoenberg's calendar is housed in the Arnold Schönberg Center Privatstiftung, Vienna. I am grateful to Gilbert Carr and to Wolfgang Marx for their assistance in transcribing and translating this passage.

[37] Alban Berg, 'A Lecture on "Wozzeck"', in Douglas Jarman, *Alban Berg: Wozzeck* (Cambridge Opera Handbook; Cambridge: Cambridge University Press, 1989), 163–164. The original German article is given as Alban Berg, '"Wozzeck"-Vortrag von 1929', in Hans Ferdinand Redlich, *Alban Berg: Versuch einer Würdigung* (Vienna: Universal Edition, 1957), 311–327.

the 'looser relationship' [*in einem loseren Verhältnis*] that obtains between Wozzeck, the doctor, and the captain in the fugue on three subjects in scene ii. In so doing, he acknowledged a crucial difference pertaining to the organization of motives in homophony as opposed to polyphony, something that was recognized by various members of the Viennese School.

The difference intimated by Berg between the looseness characterizing the relation of subject and countersubject in fugue as opposed to the stability, to use Schoenberg's preferred transition, of the antecedent-consequent structure in homophony was outlined most succinctly by Rufer:

> One can say that the subject and counter-subject of a fugue correspond to the antecedent and consequent of a homophonic theme. In the latter both sections of the theme are heard in succession and firmly [*fest*] joined together (by means of harmony), while in contrapuntal music they appear at the same time and are connected by this simultaneity. The connection here is a more elastic one [*elastischer*], and the feeling of belonging together is not so strong [*die Zusammengehörigkeit loser*]; the subject and counter-subject are two relatively independent parts of a whole, easier to release from the their links, and capable of changing places with each other or being separated, corresponding to the methods of counterpoint.[38]

Ratz applied these principles to Bach's inventions and sinfonias and classified the relationship between the statement and repetition in the opening two bars of the Invention No. 1 in C major as a 'reply' [*Beantwortung*], its stable structure determined by the repetition of motives and underpinned by an harmonic pattern of I–V | V–I (see example 5.1).[39]

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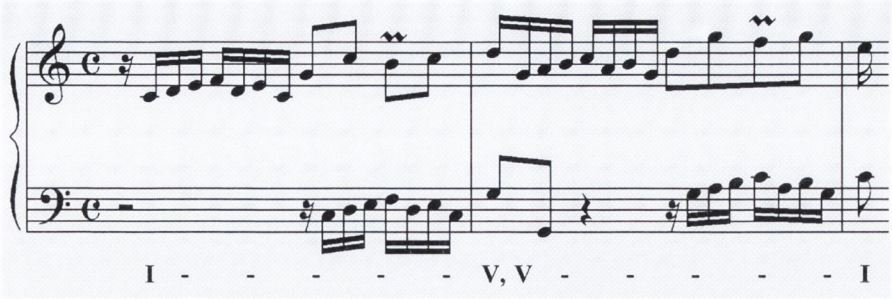
[38] Josef Rufer, *Composition with Twelve Notes Related Only to One Another*, trans. Humphrey Searle (London: Barrie & Jenkins, 1970), 53–54; Josef Rufer, *Die Komposition mit zwölf Tönen* (Berlin and Wunsiedel: Max Hesses, 1952), 54.

[39] Erwin Ratz, *Einführung in die musikalische Formenlehre: Über Formprinzipien in den Inventionen und Fugen J. S. Bachs und ihre Bedeutung für die Kompositionstechnik Beethovens* (3rd, rev. edn; Vienna: Universal Edition, 1973), 46; Erwin Ratz, 'The Formal Principles', in Erwin Ratz and Karl Heinz Füssl (eds.), *J. S. Bach: Inventionen und Sinfonien (Zwei- und driestimminge Inventionen)*, trans. Eugene Hartzell (2nd edn, Wiener Urtext Edition; Vienna: Musikverlag Ges. m. b. H & Co., 1973), 131.

Example 5.1 Ratz's analysis of bars 1–2 of Bach's Invention No. 1 in C major



Moreover, he asserted that this formation of closed units was more akin to homophonic structures, where the contrast between sections that are stable and loose was emphasized. Polyphonic writing, on the other hand, did not rely on this 'sharp conformation' of stable and loosely built sections; rather, the permeation of the fugue subject resulted in a texture whereby a distinction between stable and loose was not apparent.[40] Yet, in spite of their 'uniform thematic-motivic material', contrast was achieved in the inventions by formal differentiation (Ratz called this 'formal function'); Ratz argued that it was the 'fusion [*Verschmelzung*] of homophonic and polyphonic principles' that placed Bach 'on a plane far above his contemporaries, and which had a decisive influence on the work of later composers, especially Beethoven'.[41]

This fusion was particularly apparent from the analysis of Bach's Sinfonia No. 9 in F minor. Whilst individual sections of the three-part invention display the principles of contrapuntal composition, Ratz and Herschkowitz identified a homophonic superstructure premised on an harmonic organization and articulated by the contrast between stable and loose formation.[42] Ratz likened the opening

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[40] Ratz, *Einführung in die musikalische Formenlehre*, 44.
[41] Ibid., 43–45; Ratz, 'The Formal Principles', 131.
[42] Ratz, *Einführung in die musikalische Formenlehre*, 128–130; Ratz, 'The Formal Principles', 135; Philipp Herschkowitz, 'On an Invention of Johann Sebastian Bach: To the Problem of the Genesis of Viennese Classical Sonata Form', trans. Dmitri Smirnov, ed. Guy Stockton, /http://homepage.ntlworld.com/dmitrismirnov/Invention.htm (1967–1970); Philipp Herschkowitz,

eight bars to the exposition of a fugue with entrances in F minor and C minor, representing the *dux* and *comes* respectively, followed by a third entry in F minor (*dux*) that is preceded by an episodic section.[43] (The entries are marked in example 5.2.) Herschkowitz explained these bars as a small ternary theme (ABA^1), whereby the first and second entries formed a period that was followed by a contrasting passage dwelling on the dominant bars 5–6 and the theme was concluded with a return to the opening configuration in the original key of F minor.[44] They both asserted that, together, the fourth, fifth and sixth entries—in A♭ major, E♭ major, and C minor respectively—constitute a subsidiary theme. The E♭ major entry is followed not by a return to the tonic (as occurred in the principal theme) but by its relative minor, a move that carries the music away from the key of the subsidiary theme. It is this failure to complete the harmonic circuit that indicates a loose formation, as distinct from the stable structure of the principal theme.[45]

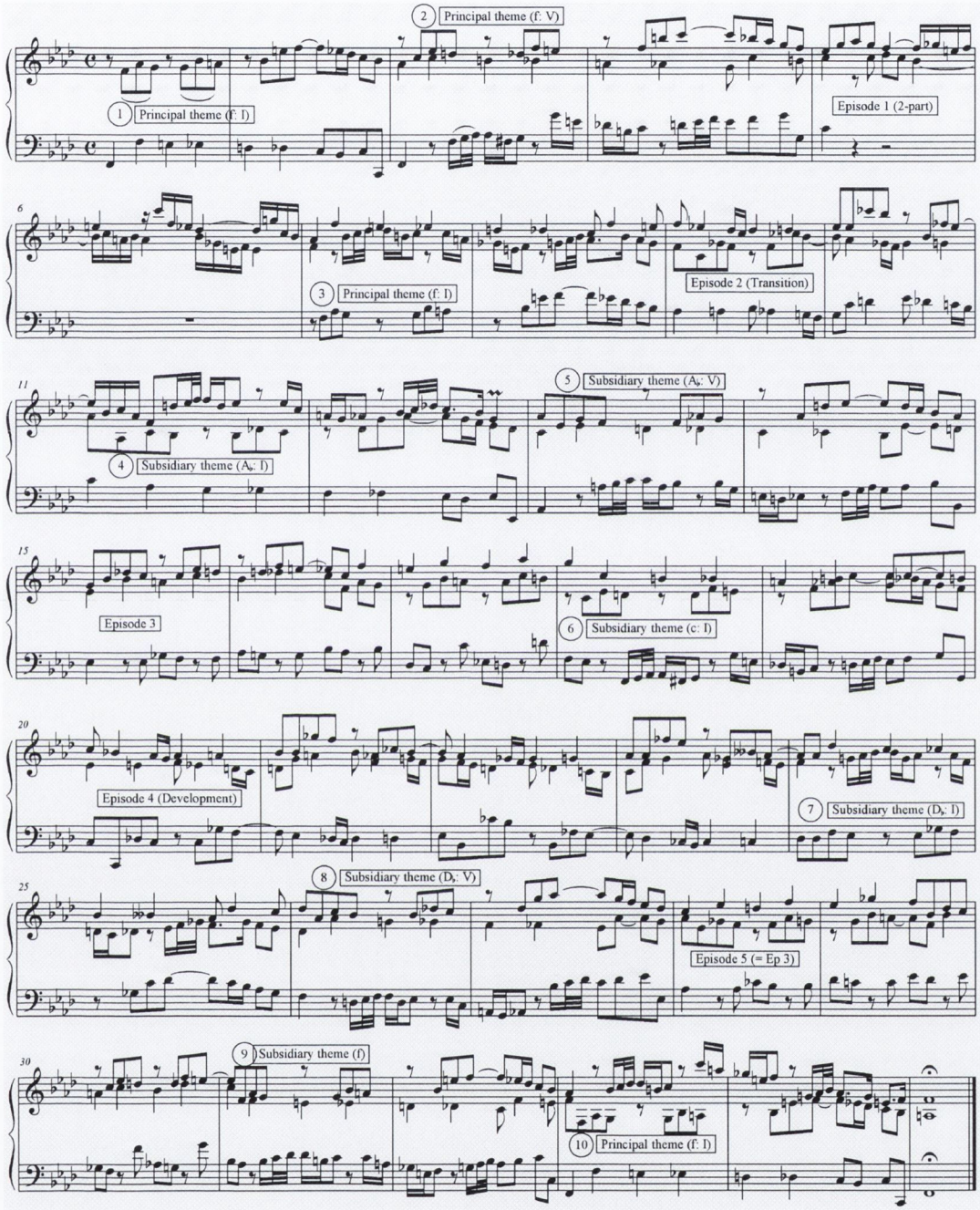
'Three-Part Invention in F minor (No. 9)', trans. Dmitri Smirnov, ed. Guy Stockton, /http://homepage.ntlworld.com/dmitrismirnov/3part.htm (1967).

[43] Ratz, 'The Formal Principles', 135.

[44] Herschkowitz, 'On an Invention of Johann Sebastian Bach', 2–3.

[45] Ibid., 4–8. Smirnov, in his translation of Herschkowitz's essay, uses the terms 'fixed' and 'floating'. For consistency, and in accordance with Schoenberg's preferences, I retain the terms 'stable' and 'loose'.

Example 5.2 Formal structure of Bach's Sinfonia No. 9 in F minor as analysed by Ratz and Herschkowitz



However, there was an apparent paradox, since the principal and subsidiary themes are characterized by the same thematic material; to that extent, various segments in the piece are related to one another through the principle of *Abwicklung*, executed by the recombination of the same material. And, although the sequence of events in the principal theme is retained in the subordinate theme, it is the absence of harmonic closure that renders the subordinate theme open-ended or, to use Schoenberg's term from 1934, 'eccentric' [*excentrisch*].[46] The contrasting shaping principles of stable and loose in the context of a piece that is written monothematically (to use Herschkowitz's expression) highlights Schoenberg's idea that contrast is posited at the level of the organization of the material rather than the actual content.[47] Moreover, it elucidates Schoenberg's comment made to Webern and reported to Herschkowitz that the principal and subordinate themes can be understood as different aspects of the same thing (see the third epigraph above).

The reason for drawing attention to proto-homophonic forms in apparently polyphonic forms was explained by Herschkowitz:

> Behind polyphonic writing there is always a homophonic form, no matter how embryonic it is; and these are inseparably linked, like the soul of the piece with its body. This form—a sonata form [...]—enlightens the invention. The essence of the succession of the epochs of Bach and the Viennese classics is hidden in the alloy of polyphonic and homophonic writing. [...] The sonata has appeared from triple counterpoint, like Aphrodite appeared from the sea.[48]

Further, he claimed that the period of fully-fledged homophony—when the musical content was expressed in a single melodic line—was preceded by 'the origin of

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[46] Schoenberg, *The Musical Idea*, 176–179 and 252–253. In the same vein, he wrote that 'modulation promotes centrifugal tendencies by loosening the bonds of affirmative elements'; see Arnold Schoenberg, *Structural Functions of Harmony*, ed. Leonard Stein (Rev. edn; New York and London: W. W. Norton & Company, 1969), 2.
[47] Herschkowitz, 'On an Invention of Johann Sebastian Bach', 5.
[48] Ibid., 3 and 17.

homophonic form in the entrails of polyphonic writing'.[49] It is perhaps in this context that the nascent homophonic form can be best understood in the 'Präludium'. Indeed aspects of Ratz's and Herschkowitz's analysis of Bach's invention seem remarkably applicable to the 'Präludium' as the melodic content of the three shapes [*Gestalten*] forming the basic material remains constant throughout the piece.[50] Whereas contrast in the F minor invention was articulated by an harmonic process, it was achieved in the 'Präludium' through the *Grundgestalt* principle, at the level of the motive, and by rhythmic means, at the level of the overall structure.

It is possible that the nascent structures of stable and loose in the period and middle section of the 'Präludium' were influenced in part by the F minor invention, given the importance attached to the piece in the writings of the School.[51] Such a deterministic reading of the invention could have enabled Schoenberg to re-establish the formal hierarchies on which homophonic form was predicated: 'Contrast in mood, character, dynamics, rhythm, harmony, motive-forms and construction should distinguish main themes from subordinate, and subordinate themes from each other'.[52] While Schoenberg wrote in 1917 that 'a purposeful structuring will distinguish between *main* and *subordinate matters* by giving each its proper place, duration, weight, form, etc.', the contrasting principles of stable and loose formation were not yet crystallized in his mind.[53] These principles were understood at this time in terms of coherence, something he believed was 'achieved

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[49] Ibid., 3.
[50] Ratz, *Einführung in die musikalische Formenlehre*, 128.
[51] The piece is discussed in brief in Rufer's treatise (*Composition with Twelve Tones*, 86–87) and it is the subject of Ratz's unpublished essay on twelve-tone composition (housed in the Arnold Schönberg Center Privatstiftung). Both Ratz and Rufer studied with Schoenberg during the period when his dodecaphony was evolving. The references to this particular invention suggest that it may have been discussed by Schoenberg.
[52] Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang with the collaboration of Leonard Stein (London and Boston: Faber and Faber, 1967), 183.
[53] Schoenberg, *ZKIF*, 32–33.

through contrast'.[54] In accordance with his later understanding of concentric tendency, he wrote that 'coherence is what binds individual phenomena into *forms*',[55] and that

> The coherence is stronger [*starker*] the more and more essential the parts that are in common.
> The coherence is weaker [*schwächer loser*] [...] the fewer and less essential the parts that are in common.[56]

He invoked different terminology in 1922, writing that 'we arrange the different components in succession, components into which we divide up [*auflösen*] the idea differently from the way we put it together [*zusammenfügen*]'.[57] The varying terminology indicates that Schoenberg was attempting to formulate in a non-harmonic context different types of coherence. Although particularly appropriate for homophonic forms, Schoenberg understood these principles as functioning to organize and delineate individual units in both contrapuntal and homophonic music, thereby blurring the boundary between polyphony and homophony and their associated principles of motivic connection.[58]

That Schoenberg may have considered a fusion of polyphonic principles with homophonic form in this way is confirmed by his comments on Bach's *Präludium und Fuge Es-Dur für Orgel* that he orchestrated in 1928: 'This is very

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[54] 'Symmetrie' (1923), translated in Leonard Stein, 'Schoenberg's Five Statements', *Perspectives of New Music* 14/1 (1975), 165.
[55] Schoenberg, *ZKIF*, 8–9.
[56] Schoenberg, undated document on coherence, catalogued at T37.08 in the Arnold Schönberg Center Privatstiftung, Vienna. I argue in chapter 2 that this document may have been written in 1921.
[57] Schoenberg, *Theory of Harmony*, 289. The term 'auflösen' is usually translated as 'dissolve', meaning to liquidate.
[58] Webern's concept of synthesis was different to Schoenberg's. The most important contribution on Webern's musical thought is a series of articles by Regina Busch entitled 'On the Horizontal and Vertical Presentation of Musical Ideas and on Musical Space, published in *Tempo* in 1985 and 1986. See also Karlheinz Essl, *Das Synthese-Denken bei Anton Webern: Studien zur Musikauffassung des späten Webern unter besonderer Berücksichtigung seiner eigenen Analysen zu op. 28 und 30* (Wiener Veröffentlichungen zur Musikwissenschaft, 24; Tutzing: Schneider, 1991), 187–197; Anton Webern, *Über musikalische Formen: Aus den Vortragsmitschriften von Ludwig Zenk, Siegfried Oehlgiesser, Rudolf Schopf und Erna Apostel*, ed. Neil Boynton, trans. Inge Kovács (Veröffentlichungen der Paul Sacher Stiftung, 8; Mainz et al: Schott, 2002).

close to a sonata or a rondo. It has 2 second ideas'; 'It is a very great approach to the homophonic. It resembles to some degrees the inventions and preludes. So it is in form close to a sonata and symphony. It is a combination of independent parts with added harmony'.[59] Likewise, a passage in the *Harmonielehre* indicates a certain fluidity between polyphony and homophony, because

> The development of harmony was not only essentially influenced by melodic principles, [...] the development of the possibility of voice leading was not only essentially influenced by harmonic principles, but that in many ways each was actually determined by the other. Every treatment, however, that uses the one or the other principle exclusively will run into facts that will not fit into its system.[60]

Rufer summarized the mixture of polyphony and homophony in Schoenberg's mature twelve-tone compositions as a 'synthesis', whereby 'many of the features of the technique of composition according to his method are of contrapuntal origin—which does not, however, prevent their being used in a purely homophonic manner',[61] a description that corresponded to Schoenberg's depiction in 1931 of his

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[59] Schoenberg, comments made during lessons with Warren Langlie, dated 11 July 1946 and 22 December 1948 respectively, in Warren Melvin Langlie, *Conversations with Arnold Schoenberg* (Private Collection).

[60] Schoenberg, *Theory of Harmony*, 26–27. This passage appears in both the 1911 and 1922 editions. Furthermore, in spite of his definition of independent voices, Schoenberg maintained that 'there can be no doubt that, after two centuries of development of homophonic forms and a very complex harmony, the musical thoughts of our time are not contrapuntal but melodic-homophonic-harmonic'; Schoenberg, *Preliminary Exercises in Counterpoint*, 222. Here Schoenberg echoed a point made in 'Polyphonie-heute', 11 June 1923, catalogued at T34.19 in the Arnold Schönberg Center Privatstiftung, Vienna. Schoenberg's interest in this fusion was further reflected in his theoretical plans. One of the planned chapters for *Fundamentals of Musical Composition* was 'polyphony and counterpoint in homophonic forms'; see Schoenberg, Letter to Webern, 8 July 1939, *Arnold Schönberg: Gedenkausstellung, 1974*, ed. Ernst Hilmar (Vienna: Universal Edition, 1974), 65. Heinrich Jalowetz observed a principal line in the music of Bach and stated that 'a real equivalence of voices' is not the case, a point that would give credence to Dahlhaus's assertion that 'the principle that forms the basis of Schoenberg's counterpoint [...] is not the textbook ideal of the equality of voices but the idea that the voices should be clearly separate in function [...] functional differentiation of the voices is the principle both of Schoenberg's counterpoint and of Bach's'. See Heinrich Jalowetz, 'Polyphonie und Kontrapunkt', *Pult und Taktstock* 2/7 (1925), 121; Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 53.

[61] Rufer, *Composition with Twelve Notes*, 52.

twelve-tone method as being 'in the middle between the homophonic and polyphonic method'.[62]

Yet, in his incipient dodecaphony, Schoenberg's practice reflected the principles of polyphony to a greater extent than the mixed style. The first of his *Klavierstücke*, Op. 23, composed in July 1920, was labelled a three-part invention by Stein,[63] something that was clarified by Steuermann as he wrote that 'the sequence of tones [in each of the three voices] is the same, but they appear in different octaves [...] and in a different rhythm', thus establishing what he called 'a new principle of variation'.[64] But, while Op. 23, No. 1, and the 'Präludium' were comparable to three-part inventions, the third of the *Klavierstücke*, written in February 1923, was described by both Stein and Steuermann as a fugue,[65] a designation that calls to mind, according to Schoenberg's writings, a texture rather than a form: 'I believe that the word [fugue] derives from the complex of German words: *Fuge, fügen, Gefüge, Gefügtes.* A structure [*Gefüge*] is something that is a composite ... Composition. thus: fugue = composition!'[66] This *Klavierstück* represents a progression from the 'Präludium' in that the entire texture in Op. 23, No. 3, is derived from the five-note *Grundgestalt*, with which the work begins.[67] The practice is, therefore, in accordance with the conception of a fugue as 'a

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[62] 'Diskussion im Berliner Rundfunk (mit Dr. Preussner und Dr. Strobel)' (1931), in Schönberg, *Stil und Gedanke*, 279.
[63] Stein, 'New Formal Principles', 66.
[64] Edward Steuermann, *The Not Quite Innocent Bystander: Writings of Edward Steuermann*, ed. Clara Steuermann, David Porter, and Gunther Schuller, trans. Richard Cantwell and Charles Messner (Lincoln and London: University of Nebraska Press, 1989), 39–40.
[65] Stein, 'New Formal Principles', 68; Steuermann, *The Not Quite Innocent Bystander*, 40.
[66] Schoenberg, 'Fuga-Flucht', 1 October 1924, translated in Severine Neff, 'Schoenberg as Theorist: Three Forms of Presentation', in Walter Frisch (ed.), *Schoenberg and His World* (Princeton, New Jersey: Princeton University Press, 1999), 79.
[67] Martina Sichardt, by contrast, sees Op. 23, No. 3, as a backward step from the 'Präludium', because it is based on a five-note rather than a twelve-note set; see Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, 74. However, as illustrated in chapter 4, the raw material for the 'Präludium' is not a twelve-note succession but an aggregate of three tetrachordal motives.

composition with maximum self-sufficiency [*Geschlossenheit*] of content',[68] since the *Grundgestalt* remains inviolate, albeit concealed within the texture by its presentation in both the horizontal and vertical dimensions and by interleaving statements of its serial variants to produce composites that appear to bear little resemblance to the opening 'fugue subject'. In this respect, the piece is a manifestation of Schoenberg's search for greater unity, and the *locus classicus* of Schoenberg's 'composing with tones' in that a five-note *Grundgestalt* is treated in the manner of an ordered set and forms the basis of the entire piece.[69]

The speed with which Schoenberg completed and wrote new works in the spring of 1923 was clearly indicative of a regained compositional control. That this coincided with a refinement of his twelve-tone method is reflected in the changing terminology from 'Komposition mit zwölf Tönen' to 'Komposition mit zwölf nur aufeinander bezogene Tönen',[70] and in the 1953 prefaces to the translations of Stein's 1924 and 1926 essays on the topic:

> The present essay does not describe Schoenberg's composition with twelve notes, but the stage immediately before it had finally crystallized. [...] Some observations apply only to the works mentioned in the essay, not to the later and still stricter method based on rows consisting of all the twelve notes. In particular the often used expression 'melodic motif' rightly suggests a clear-cut shape which is exposed, and from which the subsequent music is derived. In the later, definite method everything, including any motif's first exposition, is derived from a basic set of twelve notes which, however, is not a melodic motif, but the raw material of as many motifs as

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[68] 'Fugue' (1936), in Schoenberg, *Style and Idea*, 297.

[69] The phrase 'composing with tones' was coined by Schoenberg in the 1930s and applied retrospectively to his Op. 23 pieces to describe one of the 'attempts' leading to the formulation of his twelve-note method; see Schoenberg, Letter to Slonimsky, 3 June 1937, Nicolas Slonimsky, *Music Since 1900* (4th edn; London: Cassell, 1971), 1315. The studies of Hans Oesch and Martina Sichardt corroborate Stein by maintaining that almost every note of the pitch material of the piece is extrapolated from the *Grundgestalt*; see Hans Oesch, 'Schönberg im Vorfeld der Dodekaphonie', *Melos: Zeitschrift für Neue Musik* 41/6 (1974), 330–339; Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*.

[70] Arved Ashby describes these labels as 'nonstandardized terminology'; see Arved Ashby, 'Schoenberg, Boulez, and Twelve-Tone Composition as "Ideal Type"', *Journal of the American Musicological Society* 54/3 (2001), 598.

> the composer needs. The expression 'basic shape', on the other hand, is applicable to either the twelve-note row or any melodic motif.[71]
>
> The present article is concerned with Schoenberg's definite method, in contrast to the preceding 'New Formal Principles' which, written two years earlier, describes a preliminary stage. Thus the second article complements the first by showing Schoenberg's last step to the composition with twelve notes (or tones).[72]

In the remainder of this chapter I suggest ways in which we might understand that the final step in Schoenberg's nascent dodecaphony through an examination of the 'Menuett' from the *Suite für Klavier*, Op. 25, which was modelled not on Bach but on Beethoven.

Schoenberg's 'Menuett' and Beethovenian Form

In March 1927 a festival commemorating the centenary of Beethoven's death was held in Vienna.[73] The Viennese periodical, *Musikblätter des Anbruch*, celebrated the occasion with a part issue paying homage to the composer. Erwin Stein, in his contribution 'Das gedankliche Prinzip in Beethovens Musik und seine Auswirkung bei Schönberg', lauded Beethoven for the 'depth' of his musical ideas:

> When we admire the depth of Beethoven's ideas, we owe at least as much admiration to the thinker able to express this depth by dint of an unprecedented wealth of formal relations. That the listener does not generally become aware of the connections and immediately perceives and experiences them as depth of thought, is of the essence of profound art. For depth is the realization of connections which are not obvious.[74]

He argued that, while most contemporary composition bore little relationship to Beethoven's 'musical thought', 'the strongest creative powers of this age operate in

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[71] Preface (1953) to Stein, 'New Formal Principles', 57.
[72] Preface (1953) to Stein, 'Some Observations on Schoenberg's Twelve-Tone Rows', 78.
[73] The festival took place in Vienna during the week of 26–31 March 1927. For contemporary accounts of the festival, which included concerts and an international musicological conference, see Emil Petschnig, 'Austriaca', *Neue Zeitschrift für Musik* 94/5 (May 1927): 280–282; Dr. Rudolf Steglich, 'Austriaca', *Neue Zeitschrift für Musik* 94/6 (June 1927): 345–346.
[74] Erwin Stein, 'Musical Thought: Beethoven and Schoenberg', *Orpheus in New Guises*, trans. Hans Keller (London: Rockliff, 1953), 91; Erwin Stein, 'Das gedankliche Prinzip in Beethovens Musik und seine Auswirkung bei Schönberg', *Musikblätter des Anbruch* 9/3 (1927), 117–121.

a field which he has opened', and that his legacy was perpetuated by Schoenberg, who Stein described as 'the strongest power'.[75] Premised on the idea that Beethoven's 'astonishing mutability [*Wandlungsfähigkeit*] of motifs and themes' facilitated, on the one hand, an 'economy' of musical material (whereby 'everything has to be thematic, nothing decorative') and, on the other hand, an 'unprecedented wealth of formal relations', Stein postulated that Schoenberg's musical thought was akin to that of Beethoven and claimed that 'no other composer alive has grasped the essence of Beethoven's formal organization with the same creative insight'.[76]

While Schoenberg proposed in 1917 to write a book on *Formenlehre*, the goal of which was to present 'proven principles of application and diagrams of form',[77] the project was brought to fruition decades later as *Fundamentals of Musical Composition*. That *Formenlehre* can be understood as both the study of forms and instruction in form is reflected in the twofold purpose of *Fundamentals*, combining the analysis of classical repertoire and pedagogy in musical form.[78] The predominance of examples drawn from the piano sonatas of Beethoven attests to the importance Schoenberg attached to these works as a means of acquiring a 'feeling for form'.[79] This is confirmed in the preface to *Models for Beginners in Composition* in which Schoenberg claimed that 'the study of Beethoven's piano sonatas is recommended, because his forms are generally simpler even than Mozart's and Haydn's'.[80]

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[75] Stein, 'Musical Thought: Beethoven and Schoenberg', 92.
[76] Ibid., 91–92.
[77] Schoenberg, *ZKIF*, 105.
[78] See Leonard Stein's preface to Schoenberg, *Fundamentals of Musical Composition*, ix. Schoenberg worked on *FMC* between 1937 and 1948; it was published posthumously in 1967.
[79] According to Ratz, Schoenberg advocated the study of the Viennese Classicists to acquire a 'feeling for form'; see Ratz's account in Walter Szmolyan, 'Die Geburtsstätte der Zwölftontechnik', *Österreichische Musikzeitschrift* 26/3 (1971), 118 and 120.
[80] Arnold Schoenberg, *Models for Beginners in Composition: Syllabus, Music Examples, and Glossary*, ed. Leonard Stein (Los Angeles: Belmont, 1972), 3–4.

Implicit in Stein's article, and in all of Schoenberg's writings, is the notion that the principles of form which underlie the music of the classical period—or the so-called *Wiener Klassik*—are equally apposite to the works of the Schoenberg School. Drawing primarily upon Schoenberg's analytical remarks in *Fundamentals,* we can see how the structure of the 'Menuett', written in February and March of 1923, can be understood in relation to his *Formenlehre*, thereby suggesting the integration of traditional formal principles into a dodecaphonic context. Because the restatement of the 'Menuett' has already received attention in the secondary literature,[81] I will concentrate, here, on the organization of the opening and middle sections.

Schoenberg likened the musical composition to 'the living body that is whole and centrally controlled',[82] and claimed that its individual components 'exercise different functions' in order to articulate the musical form.[83] A consequence of this organicist viewpoint is that the comprehensibility of the overall composition is contingent on the coherence of its constituent elements.[84] Thus, his instruction in form in *Fundamentals* begins with the organization of small structures, which 'provide the material for building larger units of various kinds, according to the requirements of the structure'.[85]

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[81] See, for example, Barbara Dobretsberger, 'Suite für Klavier Op. 25', in Gerold W. Gruber (ed.), *Arnold Schönberg: Interpretationen seiner Werke* (Band 1; Laaber: Laaber-Verlag, 2002), 377–394; Silvina Milstein, *Arnold Schoenberg: Notes, Sets, Forms* (Music in the Twentieth Century; Cambridge: Cambridge University Press, 1992), 21–23; Anton Förster, 'Unterweisung in Zwölfton-Komposition: Am Beispiel des Menuetts aus Arnold Schönbergs "Suite Op. 25"', *Musik und Bildung* 23/4 (1991), 38–44; Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914–1928* (Oxford and London: Clarendon Press, 1990), 100–101.

[82] Schoenberg, *The Musical Idea*, 120–121.

[83] 'Tonality and Form' (1925), in Schoenberg, *Style and Idea*, 257. Schoenberg wrote that 'articulation accords with the function of the organs' (*The Musical Idea*, 224–225) and that 'used in the aesthetic sense, form means that a piece is *organized*; i.e. that is consists of elements functioning like those of a living *organism*' (*Fundamentals of Musical Composition*, 1).

[84] Schoenberg, *ZKIF*, 25.

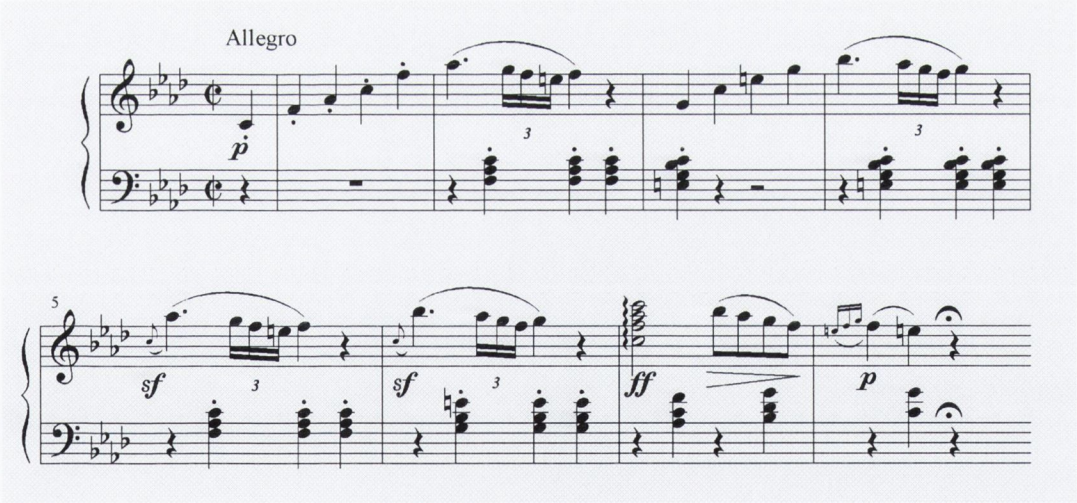
[85] Schoenberg, *Fundamentals of Musical Composition*, 2.

As one of the 'small forms' in *Fundamentals*, Schoenberg described the minuet as a ternary form (ABA^1), where A^1 constitutes a modified repetition of A, and B represents a contrast. The A section comprised a theme that was built as a period or sentence.[86] Schoenberg defined the sentence as follows:

> The school-form for the sentence (eight measures) begins with a two-measure unit, followed by a repetition (mss. 3–4) which can be a sequence or else a more or less contrasting repetition. The sixth measure will be a sequence of the fifth, and mss. 7 and 8 will be cadences to various degrees.[87]

Such features are evident in the opening eight bars of the first movement of Beethoven's Piano Sonata, Op. 2, No. 1, the theme of which was regarded by Schoenberg and his associates as the quintessential example of sentence structure.[88]

Example 5.3 Sentence structure in the first movement of Beethoven's Piano Sonata, Op. 2, No. 1



[86] Ibid., 20 and 119.
[87] Schoenberg, *Structural Functions of Harmony*, 114.
[88] In addition to Schoenberg's writings, which will be cited below, the sentence structure of this theme is discussed in Webern, *Über musikalische Formen*, 240–242; Ratz, *Einführung in die musikalische Formenlehre*, 23–24; Erwin Stein, *Form and Performance* (London: Faber and Faber, 1962), 93–95.

The opening two-bar unit is characterized by two elements: an ascending arpeggio and a punctuating triplet figure predominantly in stepwise falling movement. The repetition of this two-bar unit over a dominant harmony in bars 3–4, and the closing back to the tonic in bar 5, epitomizes Schoenberg's conception of stable formation (I–V, V–I); the combination of tonic form and dominant form, as Schoenberg called them, in bars 1–2 and 3–4 succeeds 'through its slightly contrasting formulation' to provide 'variety in unity'.[89] In bars 5–6 of the continuation the second element of the tonic form of the unit, followed by its corresponding dominant form, replaces the two-bar versions of bars 1–4, engendering a characteristic acceleration in the rate of motivic presentation underpinned by a similar harmonic intensification. This sequential pattern in bars 5–6 drives the music towards the dynamic climax and registral apogee on the downbeat of bar 7; the spread chord recalls the arpeggio of bars 1 and 3. The absence of bass support for this climax on the downbeat of bar 7 allows motivic liquidation to take place. Schoenberg described the purpose of liquidation as 'eliminating characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation'.[90] Here the liquidation, along with the repeated F across the bar line of bars 7–8, functions to articulate the weak imperfect cadence to the dominant, leaving in bars 7 and 8 only 'melodic residues' that serve to provide, in Schoenberg's words, 'effective delimitation of the structure'.[91]

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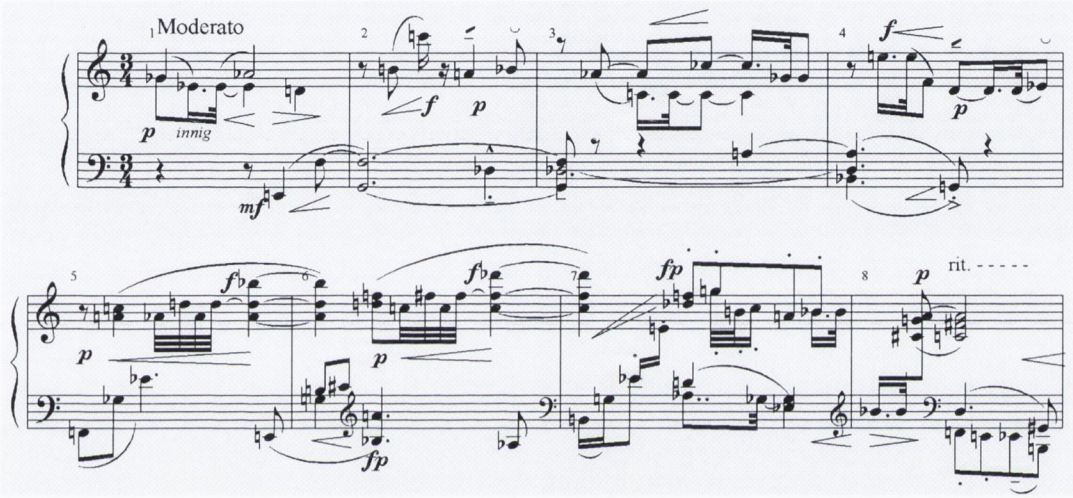
[89] Schoenberg, *Fundamentals of Musical Composition*, 21. See also Schoenberg, *The Musical Idea*, 234–235.
[90] Schoenberg, *Fundamentals of Musical Composition*.
[91] Ibid., 30, 52, 53 and 63.

An examination of the opening eight bars of Schoenberg's 'Menuett' reveals the same principles of organization as those just outlined.[92] Its structural division conforms to Schoenberg's school-form, namely a two-bar unit and its repetition followed by a four-bar continuation.[93]

Example 5.4 Sentence structure in the 'Menuett' from Schoenberg's *Suite für Klavier*



Like the Beethoven example, Schoenberg's opening two-bar unit contains two distinct elements. The pitch constellation in the right hand in bar 1 is characterized by an opening wedgelike gesture comprising a rising tone (G♭–A♭) and a falling semitone (E♭–D). The ascending tone is answered by a falling A♭–G♭ in the treble of bar 3 (separated by a C♭, itself a repetition, this time from bar 2), whilst the

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[92] The sentence structure of the 'Menuett' has been noted in Leopold Spinner, *A Short Introduction to the Technique of Twelve-Tone Composition* (London: Boosey & Hawkes, 1960), 6. Although he asserts that bars 3 and 4 are a repetition of bars 1 and 2, he does not show how the repetition is articulated. Spinner also refers to the liquidation in bars 5 to 9, and notes that the second half of the sentence comprises four one-bar reductions. The focus of Spinner's treatise is the identification of row forms and the way in which they are deployed, though he does examine the composition in the context of Schoenbergian *Formenlehre*.

[93] Phrase is defined as 'the smallest structural unit is the *phrase*, a kind of musical molecule consisting of a number of integrated musical events, possessing a certain completeness, and well adapted to combination with other similar units'; see Schoenberg, *Fundamentals of Musical Composition*, 3.

complement of E♭–D is heard in the latter half of bar 4; thus, the two elements, which were conjoined in bar 1, are dissociated in the repetition. The opening two-bar unit is punctuated by a rising semitone A–B♭, which articulates the second beat of a 𝄋 metre as a crotchet followed by a quaver. The large leap to the C in bar 2 is slurred, allowing the emphasis to fall onto the A♮ (a feature reflected in Schoenberg's stress mark). This metrical organization is retained in bar 4. Yet, unlike bar 2, where the D♭ in the left hand challenged the underlying metre, that of bar 4 is unambiguously 𝄋, reinforced by the G/D dyad on the second beat, the first time two notes are struck simultaneously. The presence of two dotted crotchet beats instead of three crotchets creates a ritardando which serves to articulate the phrase structure.[94] The downward leap from E to F in bar 4 mirrors the B–C succession of bar 2, an association which is corroborated by the abrupt crescendos followed by piano. The two two-bar units are united by the rising minor ninth in the bass of bar 1 and its complementary falling major ninth in bars 3 to 4, the mid-point being marked by the repeated D♭.

The varied repetition in 3–4 may be understood in the context of Schoenberg's aversion to literal repetition. While repetition was the basic premise for coherence [*Zusammenhang*],[95] he argued that 'repetition without variation can easily produce monotony'.[96] Indeed, in *Models for Beginners*, he advocated a free repetition of the opening two-bar unit in the sentence.[97] The repetition in bars 3–4 of the 'Menuett' accords with Schoenberg's notion of stability in the sentence, where 'the intention is to show different aspects of the grundgestalten, thereby

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[94] Ibid., 29.
[95] Schoenberg, *ZKIF*, 9.
[96] Schoenberg, *Fundamentals of Musical Composition*, 20.
[97] Schoenberg, *Models for Beginners in Composition*, 8.

suggesting their flexibility and thereby at the same time fulfilling the condition of repeating these gestalten as often as possible'.[98]

According to Schoenberg, the stable structure in Beethoven's Op. 2, No. 1, is dependant largely on the articulation of the opening two-bar unit in its tonic and dominant forms, a principle originating from the juxtaposition of *dux* and *comes* in the fugue.[99] As indicated in chapter 4, Schoenberg uses only one transposition of the set, that at the diminished fifth, in the *Suite für Klavier*. Though it may seem simplistic to make associations between tonal harmonies and set forms, the sketches for the *Suite* show that this transposition was equated in Schoenberg's mind with the dominant form.[100] It is possible that, at this early stage of composing with twelve notes, the limitation to one transpositional level and its association with the dominant may have provided Schoenberg with a tonal analogue. Thus, his deployment of set forms in the sentence of the 'Menuett' reveals correspondences with the tonal organization of Beethoven's Op. 2, No. 1, in so far as the dominant form in bars 3–4 is replicated with the transposition at the diminished fifth in the 'Menuett'. While it would be facile to equate the change in the rate at which twelve-note sets are presented at this point with the increase in harmonic speed exhibited in bars 5 to 8 of Op. 2, No. 1, what is common to both is an acceleration (via a contraction of the phrase) in the rate at which material is presented.[101]

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[98] Schoenberg, *The Musical Idea*, 176–177.
[99] Schoenberg, *Fundamentals of Musical Composition*, 21.
[100] Schoenberg's set table is transcribed in chapter 4.
[101] The shortening of the unit from two bars to one for the formation of the 'model' in bar 5, which is sequenced in bar 6, is obvious in both sentences. Bars 7 and 8 of the Beethovenian sentence are subjected to further contraction so that the unit comprises half-bars. Ratz drew attention to the rate of harmonic change in Beethoven's sentence, noting that the duration of the harmony changes progressively from two-bar to one-bar to half-bar units:

2+2+1+1+½+½+¼+¼
f: I–V–I–V– I–II^{6}–I$^{6/4}$–V

See Ratz, *Einführung in die musikalische Formenlehre*, 23. Schoenberg readily adopted this formal principle with four set forms bars 5–8 compared with only two in the opening four-bar unit. This

In his musical example in *Fundamentals* Schoenberg labelled bar 5, the beginning of the second half of the Beethovenian sentence, as a 'reduction', since its elements were drawn from only one bar of the initial two-bar unit. Similarly, the 'Menuett' continues with a reduction in bar 5, namely the wedge in rhythmically intensified form plus the prominent minor ninth in the bass. Like the Beethoven example, bar 5 constitutes a model which is sequenced in bar 6. More appropriately described as a free sequential repetition, the connection between model and sequence is rendered audible by gesture and uniformity of articulation. The preservation of particular elements serves to strengthen the connection: the tone and semitone in the right hand of bar 5 are exchanged in bar 6 with F–F♯ in the upper line and D–C beneath.[102] On a more general level, the sequential repetition expands the wedgelike structure between the hands, further strengthening the association with bar 1.

Four features denote the conclusion of Schoenberg's sentence at bar 8: firstly, the end of the sentence is marked by a 'rit.', compared with the composed rit. of bar 4; secondly, the registral peak of the sentence occurs at the D♭ in bar 6, after which the line rapidly subsides. Schoenberg marks the registral ascent in bars 5 and 6 of Beethoven's sentence as 'climatic ascension',[103] and notes that 'if there is a climax the melody is likely to recede from it, balancing the compass by returning to the middle register'.[104] Thirdly, the return of the ascending semitone A–B♭ in bar 7 is significant in articulating the sentence structure. Following three reiterations of

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acceleration of set forms is, admittedly, inaudible; yet, in terms of construction, the correspondences with the tonal organization appear to be indisputable.

[102] The D–C present in the lower part of the right hand in bar 6 forms the upper voice in the previous bar as C–D.

[103] Schoenberg, *Fundamentals of Musical Composition*, 63.

[104] Ibid., 29 and 64. This principle is illustrated most clearly by the main theme of Beethoven's Op. 10, No. 2, 1st movement.

B♭, now coupled with the dotted rhythm of bar 1, the melody returns to A. Thus, the A–B♭ pair, which was used as a light punctuation to close the opening two-bar unit, is endowed with a greater emphasis in bars 7–8 to conclude the sentence; finally, with the reduction of the melody to reiterations of B♭ in bars 7 and 8, liquidation occurs, a feature Schoenberg associated with the conclusion of the sentence.[105] The remaining three bars of the A section constitute a codetta (which Schoenberg describes as 'additions after the ending of a section' that are 'structurally independent, and ordinarily use new and rather more remote motif-forms'),[106] and a bar which functions simultaneously as a lead back for the repeat and a preparation for the middle section.

Schoenberg explicated the contrasting middle section of the minuet in *Fundamentals* with reference principally to three sonatas by Beethoven—Op. 2, No. 1, Op. 10, No. 3 and Op. 22.[107] Typified by sequential repetition of a model constructed from motives from the A section, the middle section concludes on the dominant before the reprise. Vis-à-vis Op. 22, Schoenberg writes that 'the trill-like segment [...] of the contrasting middle section can be derived from the first three eighth-notes in the left hand of bar 2, under the influence of the sixteenth-notes throughout the A-section' while bars 11 and 12 bear a resemblance to the opening two-bar unit, which forms the basis of the entire A section (see example 5.5).[108]

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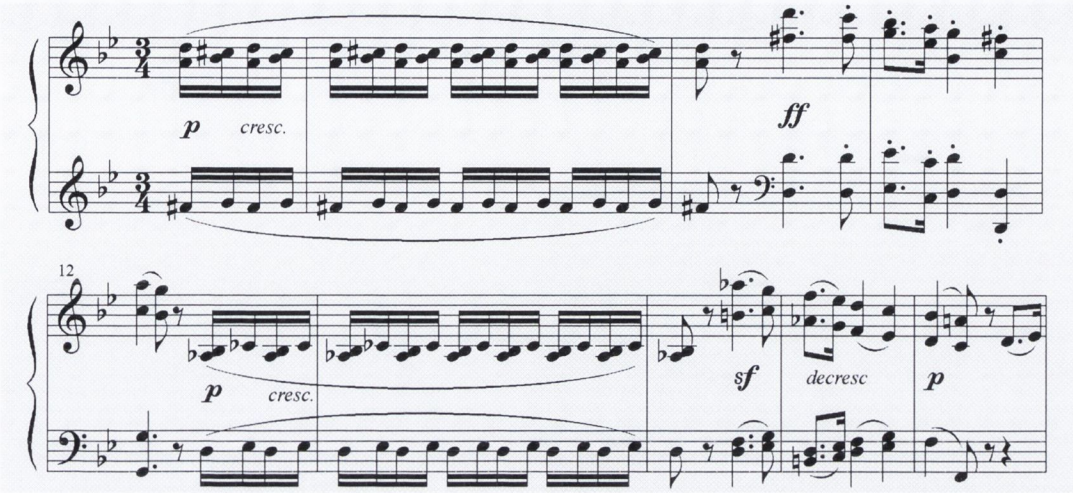
[105] 'This decline in the cadence contour, combined with concentration of the harmony and the liquidation of the motival obligations, can be depended upon to provide effective delimitation of the structure'; Ibid., 29.
[106] Schoenberg, *Models for Beginners in Composition*, 16.
[107] Schoenberg, *Fundamentals of Musical Composition*, 142–143.
[108] Ibid., 143. Schoenberg's ex. 16(b) shows how bars 3–8 of the minuet of Op. 22 can be understood as variations of the opening two-bar unit; Ibid., 12.

Example 5.5 Middle section of the third movement of Beethoven's Piano Sonata, Op. 22



The B section comprises a four-bar model and its varied sequential repetition. The D major first inversion chord with which it begins functions as a dominant leading to the G minor close in bar 12; the sequence suggests a similar dominant–tonic progression in E♭ major but, in bar 14, where, in line with bar 10, we expect the dominant chord to be retained for the dotted crotchet, a diminished seventh chord leads to C minor which, through reiteration in bar 15, behaves increasingly as the supertonic of B♭ major, finally leading to the dominant major in 16. The reprise begins on the upbeat to bar 17.

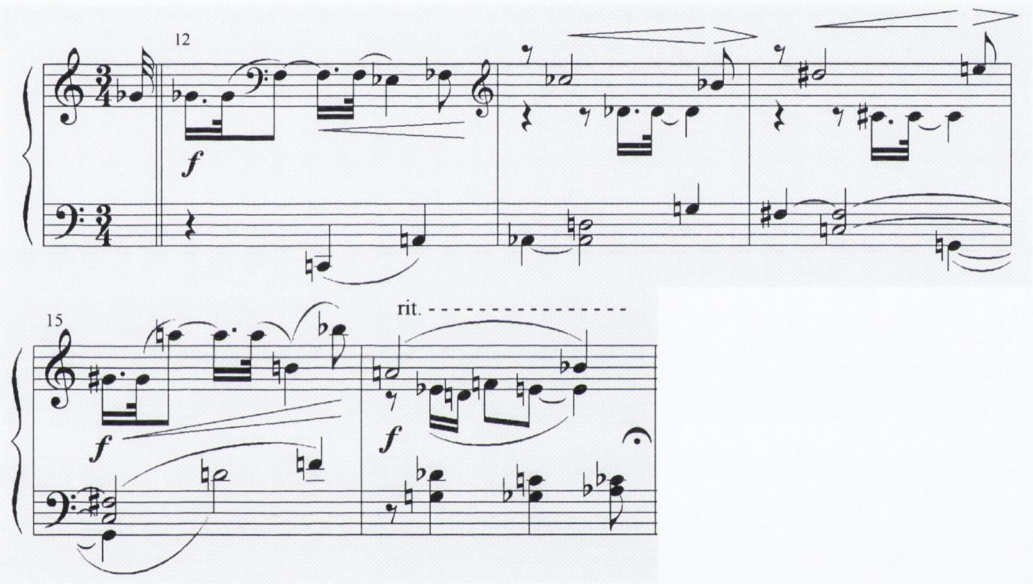
The contrasting middle section of Schoenberg's 'Menuett' reveals similar structural principles to those found in Beethoven's Op. 22. It, too, displays the model and sequence structure, yet, with a characteristic twist. Consistent with his principle of 'never repeating without varying',[109] Schoenberg subjects the sequence of the two-bar model in bars 14 and 15 to a significant degree of variation so that a

[109] 'Krenek's *Sprung über den Schatten'* (1923), in Schoenberg, *Style and Idea*, 480. Schoenberg also wrote: 'I employ constant variations, hardly ever repeat anything unaltered, jump quickly to the remoter stages of development'; see Arnold Schoenberg, 'The Orchestral Variations, Op. 31: A Radio Talk', *The Score* 27 (1960), 30.

taxonomy of bars 12 to 15 reads ab–ba, compared with the more conventional ab–ab structure evident in Beethoven's Op. 22.[110]

Like Beethoven, the model in Schoenberg's middle section draws its material from the A section, the most conspicuous link being the fanlike combination of a closing and opening wedge built from the pitch material of the opening four bars transposed at the tritone.[111]

Example 5.6 Middle section of the 'Menuett' from Schoenberg's *Suite für Klavier*



[110] This repetition by reversal may, perhaps, be equated with the reversal of the pitch pairs G–A♭ and E♭–D of bars 1–2 in the repetition in bars 3–4.

[111] Notable connections between the opening and middle sections include the falling minor 9th (associated with bar 2) and the stepwise movements F–E♭–F♭ (reminiscent of the opening wedgelike assemblage) but, whereas the two diverging stepwise movements in bar 1 constituted a tone ascent and semitone descent, the pitch succession F–E♭–F♭ in bar 12 is characterized by a falling tone and rising semitone. Also present in the B section is the minor third, which fused the stepwise movements in the assemblage of bar 1; initially, in bar 12, it is obscured as the G♭–E♭ succession—undoubtedly making a connection with the opening—is interrupted by the F natural, while the interval in the bass between C and A has been inverted. Yet, in bar 15—the repeat of bar 12—the interval of the minor third is rendered audible in the stratified texture (G♯ to B, and D to F), while a vertical reading of the same passage reveals two tritones, suggesting a further kinship with the opening wedge. Arguably, these relationships are actualized because of the registral displacement of the B♮ in bar 15. The fanlike structure in the middle section is articulated primarily by bars 13 and 14, and reinforced by the overall shape of the middle section that is characterized by an ascent in register. The relationship between the A and B sections is strengthened by the two D♭s in bars 2–3 and 13–14. The pitch material of bars 12–15, which is drawn from bars 1–4 (the set forms in bars 1–4 are T_0 and I_6 while those in 12–15 are T_6 and I_0), is reshaped, principally, by rhythmic means, so that the relationships with the opening four bars are obscured and new ones are allowed to come to the fore.

Rhythmic connections are made in bar 12 by a yoking together of the dotted motive of bar 1 and the crotchet-quaver rhythm of bar 2, a rhythmic profile that is preserved in the varied repetition in bar 15; in the same way, bar 14 retains the rhythmic shapes of bar 13. Because the model is characterized by a rising semitone answered by a falling semitone (E♭–F♭ in bar 12, and C♭–B♭ in bar 13), the absence of a semitone descent in bar 15 is notable following the D♯–E of bar 14. Instead, the displacement of the B natural creates a conspicuous ascending semitone between two non-contiguous notes, A♮ and B♭. The significance of this deviation becomes clear in bar 16, when the A–B♭ pitch pair is repeated, down an octave as an augmentation of the crotchet quaver figure, thus marking the end of the middle section. It is noteworthy that the A–B♭ in bar 16 replicates the tessitura of bar 2 and bars 7–8, and recurs at the end of the 'Menuett'; in all four instances the notes demarcate structural points of different weight, exemplifying Stein's reference to 'representing thoughts with well-differentiated emphases'.[112]

Finally, I proffer an example from the sentence of the 'Menuett' to illustrate what Stein may have had in mind when he referred to the 'mutability of motives', the feature that led him to associate Beethoven and Schoenberg.[113] The purposeful beaming together of the notes F, G, A and B♭, in the melody of bar 7 suggests that they could be construed as motivic; the presence of two dyads, one moving by tone and the other by semitone, recalls the wedge of bar 1. Thus, Schoenberg, by means of varied and modified repetition of the motive, causes it to fulfil both an opening (bar 1) and closing (bar 7) function. This mutability of motive is the antithesis of the immutability of motive found in the 'Präludium' of the *Suite* composed over

[112] Stein, 'Musical Thought: Beethoven and Schoenberg', 92.
[113] Ibid., 91.

eighteen months earlier, in which the coherence is dependent upon the rigid maintenance of the same three tetrachordal motives. The significance for the evolution of the twelve-note method of the shift from immutability to mutability of motive did not escape Stein, who wrote that 'the time will come when we shall better understand how Schoenberg's "composition with twelve notes" [...] derives—as a final consequence—from Beethoven'.[114]

Conclusion

> With the renunciation of the formal advantages inherent in tonal cohesion [*Tonalitäts-Zusaammenhang*], presentation of the idea has become rather harder; it lacks the external rounding-off [*Abrundung*] and self-containedness [*Geschlossenheit*] that this simple and natural principle of composition brought about better than did any of the others used alongside it. At least, none was able to achieve so much simply by its presence: rhythmic relatedness [*rhythmische Verwandschaft*] could not do anything similar, nor could motivic repetition [*motivische Wiederholung*], nor any of the more complicated ones (which are indeed more apt to disrupt than to further cohesion—sequences [*Sequenz*], variation [*Variation*], development [*Entwicklung*], etc.). For in a key, opposites [*Gegensätze*] are at work, binding together [*zusammenhaltend*]. Practically the whole thing consists exclusively of opposites, and this gives the strong effect of cohesion [*die starke zusammenfassende Wirkung*]. To find means of replacing this is the task of *the theory of twelve-tone composition* [*Lehre der Komposition mit 12 Tönen*].[115]

The ultimate aim of Schoenberg's new compositional method, as he explained it in this important document of 1923, was to establish alternative strategies for effecting coherence. His goal, therefore, was not to base a work on the linear ordering of twelve notes; rather, this referential ordering presented itself as the

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[114] Ibid., 95.

[115] 'Hauer's Theories' (1923), in Schoenberg, *Style and Idea*, 209. The original typewritten manuscript, entitled 'Hauer Gesetze', is dated 8 May 1923 and catalogued at T34.08 in the Arnold Schönberg Center Privatstiftung, Vienna.

solution to a compositional conundrum, because it facilitated the re-incorporation of the traditional formal principles that he identified in tonal music.

For Schoenberg, tonality was a 'formal possibility' that 'emerge[d] from the nature of the tonal material, a possibility of attaining a certain completeness [*Einheitlichkiet*] or closure [*Geschlossenheit*] by means of a certain uniformity',[116] qualities that were achieved by the 'simplest structural principles' ('binding ones [*Zusammenhaltende*]' and 'separating ones [*Auseinandertreibende*]'[117]), as he called them in 1917, or by opposites that were bound together [*zusammenhaltend*], as he expressed it in 1923 (see the quotation above from 'Hauer's Theories'). But, as Schoenberg re-engaged with the music of the past *c.* 1917, his understanding of tonality became increasingly less dependent on harmony, something that is apparent from his reflections in the *ZKIF* notebooks as he considered the power of rhythm and metre to bring about the principles of binding and separating.[118]

Indeed he recreated these principles in varying ways between 1920 and 1923. In his works of 1920 he established unifying devices by means of ordered pitch-class successions, while his search for formal differentiation was dependent on contrasts of character, texture, and dynamics. The overriding structural principles of juxtaposition or 'stringing-together', as seen in the theme-and-variation structures of the first two of the *Klavierstücke*, Op. 23, and various movements from the Serenade, gave rise to forms that he would categorize as loose.

These principles were superseded the so-called 'new polyphony': this emerged in 1921 as a direct response to the quest for greater unity, on the one hand,

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[116] Schoenberg, *Theory of Harmony*, 27.
[117] Schoenberg, *ZKIF*, 44–45.
[118] Ibid., 54–59.

and to the lack of regulation of the vertical combinations, on the other. Stein outlined the reasons for the latter in a radio talk for the BBC in 1949:

> It appeared that, without keys, the musical structure had to be strengthened in some other way, if the equilibrium and unity of large forms were to be achieved. If it was formerly harmony which carried the burden of musical form, now it was the turn of melody to take on a similar responsibility. It had always been the function of melody to provide the thematic material; but now the theme had to become the main carrier of the musical structure.[119]

Thus, coherence in the polyphonic texture of the 'Präludium' was achieved in the pitch domain by the process of 'unfolding' [*Abwicklung*] and in the rhythmic domain by the formation of a closed thematic structure followed by a middle section exhibiting dissolution. It was rhythm, then, that delineated the form by contrasting stable and loose formation.

It was most likely in July 1921, when Schoenberg began a second piece—the 'Intermezzo'—based on the same pitch material as that of the as yet incomplete 'Präludium', that the two 'series' of piano pieces, so denominated in the manuscripts, became independent works. In spite of the unifying device of pitch, Schoenberg's conception of the 'series' in 1921 was a group of disparate pieces of sharply differentiated character. But, in the process of composing the *Suite für Klavier*, Schoenberg discovered alternative ways of producing contrast.

Whereas the *Grundgestalt* was equated with the melodic tetrachord in the 'Präludium', the three groups of four notes were transmuted in the 'Menuett' to a referential succession of twelve notes. Thus, the *Grundgestalt* was reconceived not as the motive but as the background ordering of twelve notes from which new motivic relationships could be forged between non-contiguous notes. To put it another way, 'Komposition mit zwölf Tönen' had been superseded by 'Komposition

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[119] Erwin Stein, 'An Introductory Talk on Twelve-Note Music', Radio Talk for the British Broadcasting Corporation, 21 June 1949.

mit zwölf nur aufeinander bezogene Tönen', in that the emphasis was now on developing the 'relationship of the twelve tones to one another [...] on the basis of a prescribed ordering'.[120] Despite the increasing sophistication of the connections between motives in the 'Menuett', this was still achieved within the framework of a tetrachordal division, whereas, in the succeeding 'Trio', Schoenberg drew fresh motivic material from the linear ordering of all twelve pitches, characterized by hexachordal division, creating the necessarily higher order of contrast appropriate between a 'Menuett' and its 'Trio'. Hierarchical contrast was achieved, furthermore, by the juxtaposition of the homophonic form of the 'Menuett' and the canonic texture of the 'Trio', a distinction that is consistent with one of Schoenberg's contrasting pairs of the archetypal minuet-and-trio form as 'melodious–contrapuntal'.[121]

Moreover, the new-found motivic malleability evidenced in the 'Menuett', as distinct from the rigidity of the melodic motives in the 'Präludium', meant that Schoenberg could replicate varying degrees of coherence, something that Stein intimates may have been derived from Beethoven. Indeed the parallels are so striking that it is conceivable Schoenberg modelled the theme of the 'Menuett' on the sentence structure of Beethoven's Op. 2, No. 1, although it was not until later that such a structure was labelled *Satz* ('sentence') and recognized as one of the principal means of constructing a theme.[122] Although the terminology of *fest* (stable) and *locker/los* (loose) may have not have been formulated as such during

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[120] 'Twelve-Tone Composition' (1923), in Schoenberg, *Style and Idea*, 208.

[121] Schoenberg listed this contrasts as follows: 'lyrical–rhythmical; melodious–contrapuntal; melodious–étude-like; grazioso–energico; dolce–vivace; melancholy–gay'; see Schoenberg, *Fundamentals of Musical Composition*, 143.

[122] Earlier usages of the term 'Satz' refer, depending on the context, to a 'phrase' or a 'setting'. Schoenberg discussed the varying interpretations of the term in a manuscript entitled 'Zur Terminologie der Formenlehre', 5 October 1923 (catalogued at T34.36 in the Arnold Schönberg Center Privatstiftung, Vienna) but this did not include an understanding of the term as a thematic structure. It is not possible to pinpoint exactly when it was established as such, although Webern did invoke it in his lectures in 1933; see Webern, *The Path to the New Music*, 27.

the early 1920s, Stein's essay confirms that these ideas were current at the time: in 1927 he wrote of 'clear distinctions between centres of formal gravity' [*das deutliche Auseinanderhalten der formalin Gewichte*]' (whereas, in the translation of 1953, he added the clause, 'the organizing of compact and loose sections').[123] Such contrasting shaping principles were embedded in the sentence structure itself: bars 1–2 and bars 3–4 epitomized stable formation, while the sequential patterns of bars 5–6, in particular, and the liquidation in bars 7–8 were in accordance with Schoenberg's understanding of loose formation. The sentence was understood, therefore, as a higher form of organization than the period, since it effectively comprised a four-bar period followed by a developmental continuation.[124] Seen in this light, it would appear that Schoenberg's conception of sentence structure, which is not to be found in the writings of H. C. Koch, A. B. Marx, or J. C. Lobe, came about because of an attempt to merge stable and loose formation into a single unit (as Schoenberg had perceived it in the music of Beethoven).

Such contrast of formal coherence was not confined to the thematic structure, however. Differentiated levels of stability and looseness were vital for the articulation of musical form. Having effected at least two different types of loose organization in the 'Menuett' (in the second half of the sentence and in the middle section), Schoenberg's increasingly flexible attitude toward the row enabled him in the *Bläserquintett*, Op. 26, to extend these principles and generate the graduated degrees of looseness required by the transition, subordinate theme, and

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[123] Stein, 'Musical Thought: Beethoven and Schoenberg', 92; Stein, 'Das gedankliche Prinzip in Beethovens Musik und seine Auswirkung bei Schönberg', 119. Stein used the terms compact and loose in his writings in English to reflect the distinction between stable and loose; see Stein, *Form and Performance*, 93. In general, stable formations are defined by closed cadential structures and exemplified by principal themes, whereas loose formation is characterized by less definite thematic shapes, and features sequences and modulation as a way structuring material, as seen in the subsidiary theme, transition, and development.

[124] Webern's description of bars 1–2 and bars 3–4 as antecedent and consequent ('VS' and 'NS' representing 'Vordersatz' and 'Nachsatz') bears witness to this point. See Webern, *Über musikalische Formen*, 241.

development; it was in this process that 'developing variation' as the concomitant method of sonata form became possible, since it depended on the organization of motives in the principal theme, transition, and subordinate theme into stable, loose, and less loose structures respectively.[125] In this respect, the *Bläserquintett* marked, in Stein's words, the return of Schoenberg's 'symphonic' [*symphonisch*] style—for Schoenberg, the term 'symphonic' signified the principles of large-scale homophonic form—and the return of *Geschlossenheit* associated with tonality, since all aspects of the work were derived from the background structure of the twelve-note row.[126] Thus, the picture of the evolution of Schoenberg's dodecaphony adumbrated in Berg's notes—written during the early 1930s from a position of hindsight and, therefore, adopting a teleological approach—presented the *Bläserquintett* as the realization of the potential of dodecaphony to effect the large-scale structures of the sonata cycle, categorizing the preceding works and their respective technical procedures as 'various attempts' [*Verschied. Versuche*] to this end.[127]

Having allied himself at various junctures with composers such as Bach, Mozart, Beethoven and Brahms, Schoenberg considered himself the trustee of the Germanic musical tradition.[128] Following a period of renewed engagement with the music of the past between 1917 and the early 1920s, he reconceived the principles of tonality in the context of the *Gedanke*: his seminal text on the topic of 1925, in

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[125] This is reflected in Schoenberg's analysis of Mozart's String Quartet in C major, K. 465 ('Dissonance'), in his *Gedanke* manuscript of 1934; see Schoenberg, *The Musical Idea*, 252–255.
[126] Erwin Stein, 'Schönbergs Bläserquintett', *Pult und Taktstock* 3/5–6 (1926), 103–107.
[127] Alban Berg, 'Unterlagen zu den Schönberg-Vorträgen 1932/33', catalogued at F 21 Berg 101/VII in the Music Collection of the Austrian National Library, Vienna. Transcribed in Werner Grünzweig, *Ahnung und Wissen, Geist und Form: Alban Berg als Musikschriftsteller und Analytiker der Musik Arnold Schönbergs* (Alban Berg Studien, 5; Vienna: Universal Edition, 2000), 281.
[128] Schoenberg famously wrote: 'My teachers were primarily Bach and Mozart, and secondarily Beethoven, Brahms, and Wagner'; see 'National Music (2)' (1931), in Schoenberg, *Style and Idea*, 173.

which he outlined the principles of 'unfolding', 'stringing-together' (or juxtaposition), and 'development' (or 'developing variation'), can be understood then not only as a codification of the practices he had discovered in the music of the past but also as a compendium of the multifarious compositional techniques of his incipient dodecaphony. Crucially, this conception of the *Gedanke* and its associated principles of coherence and comprehensibility arose because of his attempts to solve what he perceived before 1923 as a compositional conundrum. Given the interdependence of theory and practice during this period, an examination of Schoenberg's musical thought—and his musical morphology, in particular—is best undertaken in the context of the evolution of dodecaphony, since his terminological concepts came about precisely because of his compositional experiments during the early 1920s; by the same token, the richness and diversity of his nascent dodecaphony can be fully appreciated only in the context of the development of his musical thought.

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