Grundgestalt, Multi-Piece, and Intertextuality in Brahms's Opp. 117, 118, and 119.

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ABSTRACT

Schoenberg's notion of the Grundgestalt is one which has fascinated and intrigued analysts, theorists, and aestheticians alike. However, until the very end of his life, Schoenberg was reluctant to provide an absolute definition for Grundgestalt, and subsequent commentators have attempted multifarious deployments of the term, with various degrees of success. This thesis attempts a new examination and definition of the Grundgestalt, based upon a reconciliation of Schoenberg's writings with modern music theory. This locates the Grundgestalt as a median point between specific motivic structure of a given piece and the more generalised attributes of voice leading: providing a new and powerful method of interrogating generative structure.

The thesis begins with an exploration of Schoenberg's own writings on the Grundgestalt, as well as an attempt to place Grundgestalt in his hierarchy of musical units. It will proceed to explore previous appropriations of the Grundgestalt, particularly the writings of Schoenberg's pupils. The main body of the thesis is provided by the development and implementation of a new methodology for Grundgestalt analysis in Brahms's Opp.117, 118, and 119.

The final two chapters expand the scope of the thesis from the exploration of the way in which a single construct may be of great generative importance to the structure of a single musical artifact, to the unifying links between larger musical communities: the Multi-Piece considers groups of compositions to be a single musical utterance, endowed with coherence and structural integrity. The thesis sets forward Brahms's *Klavierstücke* Op.118 as a new example of the type. The final chapter explores the utility of the idea of Intertextuality, a structuralist coinage, in the broader exploration of musical identity and semantics.

ACKNOWLEDGEMENTS

A NOTE ON TERMINOLOGY AND PRESENTATION

Pitch Notation:

The system adopted is the version of Helmholtz's proposed in the *New Grove Dictionary*. Middle C is c^1, the octaves above c^2, c^3 and so on; the octaves below are c, C and C^1. Notes within these boundaries are calculated from C upwards. Other pitch-classes and keys are given in capital letters.

Technical Terms:

There exists a difficulty in distinguishing between the conflicting usages of some of the terms: for example, referring to a musical idea or deploying Schoenberg's concept of the <u>Idea</u>. Thus, terms with a specific technical meaning in Schoenberg's writing will start with a capital letter and be underlined throughout. There are three exceptions: (1) direct quotations will retain their original style (for example, capitals, underlinings, and use of italics) of the original, even if a specific term is appropriated by an author (an example of this is Collisson's *Grundgestalt Urmotive* which will retain the italics used by the author); (2) certain terms not originating in English which are not derived from Schoenberg's writing will be italicised (for example the *Urlinie*, and *Die Idee*); (3) underlining will not be used where Schoenberg's term is used as an adjective (for example, a 'motivic collection'). Authorial explication within quotations is indicated throughout by square brackets and italicised text.

Bar Numbers:

Bar numbers in the analytic portion of this study are based on the Mandyczewski edition of Brahms's *Complete Shorter Works for Solo Piano* (1971).

References:

References are made using the Harvard system. Reference to the works of Schoenberg most significant to this study will be by abbreviation. The abbreviations used are explained in the first page of the Bibliography.

INTRODUCTION

This thesis appropriates Schoenberg's concept of the Grundgestalt, Dunsby's Multi-Piece, and Kristeva's Intertextuality, to explore issues of identity and structure in Brahms's Opp.117, 118, and 119. The thesis progresses from detailed analysis of single pieces, through consideration of the unifying features of groups of pieces, to the study of musical communities and collective identities. Because of the nature and complexity of the processes involved, the thesis concentrates on the exploration of the Grundgestalt - the work on Multi-Piece and Intertextuality is relatively briefer.

Schoenberg's notion of the Grundgestalt is one which has fascinated and intrigued analysts, theorists, and aestheticians alike. The use of a single controlling Grundgestalt in a piece is something which appeals to the instincts of most critics: what de Man calls 'the intent at totality of the interpretative process' (1971:31). However, Schoenberg was reluctant to provide an absolute definition for Grundgestalt, and subsequent authors have attempted multifarious deployments of the term, with various degrees of success. This thesis attempts a new definition of the Grundgestalt, based upon a reconciliation of Schoenberg's writings with modern music theory. This locates the Grundgestalt as a median point between specific motivic structure of a given piece and the more generalised attributes of voice-leading: providing a new and powerful method of interrogating generative structure. This thesis is the first attempt at a large-scale application of the Grundgestalt in analysis, as well as providing a new approach to Brahms's Opp.117, 118, and 119.[1]

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[1] For a very complete consideration of the *Fantasien* Op.116, see Dunsby (1983)

The thesis begins with an exploration of Schoenberg's own writings on the Grundgestalt, especially the newly-translated material contained in MI, as well as an attempt to place Grundgestalt in his hierarchy of musical units. It will proceed to explore previous appropriations of the Grundgestalt, particularly the writings of Schoenberg's pupils. The main body of the thesis is provided by the development and implementation of a new methodology for Grundgestalt analysis in Brahms's Opp.117, 118, and 119.

The final two chapters expand the scope of the thesis from the exploration of the way in which a single construct may be of generative importance to the structure of a single musical artifact, to the unifying links between larger musical communities: the Multi-Piece is a structural notion that considers groups of compositions to be a single musical utterance, endowed with coherence and structural integrity. The thesis sets forward Brahms's *Klavierstücke* Op.118 as a new example of the type. The final chapter explores the possibilities offered by the structuralist notion of Intertextuality in the exploration of musical identity and semantics.

CHAPTER 1 - SCHOENBERG AND THE GRUNDGESTALT

INTRODUCTION

The <u>Grundgestalt</u>, usually translated as 'Basic Shape',[1] is an explanatory concept in music, formulated by Schoenberg, which seeks to demonstrate the derivation of entire compositions (or groups of compositions) from single, underlying ideas. There exists no definitive definition of <u>Grundgestalt</u> by the composer; the reports of this aspect of his teaching, and interpretations of the precise meaning of the term in his pedagogical works have yet satisfactorily to establish <u>Grundgestalt</u> as a distinct concept with practical value in the explanation and appreciation of works. This thesis will put forward a new historical interpretation of the <u>Grundgestalt</u> based upon material in MI previously unavailable to commentators. It has been suggested that the <u>Grundgestalt</u> may be equated with the <u>Idea</u> - formatively significant for the generation not only of pitch structures, but also conditioning rhythm, texture, form, and even dynamics and articulation; the present interpretation, predicated on the manifold links between the <u>Grundgestalt</u> and Schoenberg's method for composing with twelve notes, will suggest that it is equally possible to interpret the <u>Grundgestalt</u> as an arhythmic pitch-contour, capable of controlling and embodying the pitch-structures (including harmony) of entire movements and even entire works.

As possibly the most challenging thinker about music in the twentieth century, Schoenberg was preoccupied with the notion of the musical <u>Idea</u> (*Gedanke*) for more than half his lifetime; as a composer this was made manifest in his work from about 1915, when he started explicitly to consider each of his works to be the expression of a single, controlling <u>Idea</u> - the <u>Idea</u> providing not only the source or 'germ' of the work, but also having latent within it the means of its own elaboration:

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[1] Epstein informs us that Hans Keller and Humphrey Searle were the first to use this translation, in their translations of Rufer (1954) and Stein (1953) (1979:30). In MI, Carpenter and Neff translate the term as 'Basic Configuration' (353).

After that [1915] I was occupied with the aim to base the structure of my music *consciously* on a unifying idea, which produced not only all the other ideas but regulated also their accompaniment and the chords, the 'harmonies.' There were many attempts to achieve that But very little of it was finished or published.[2]

He describes this as one part of his attempt to 'replace the structural functions of harmony'; and that 'my first distinct step toward this goal occurred in 1915' (SI 247). From 1923 Schoenberg began to write about his concept of the <u>Idea</u>. The 'workshop' he used has come down to us as a series of twelve manuscripts in which his concepts may be seen to develop; it seems that the manuscripts were intended for a book putting forward his theory of composition in its entirety.

The chapter is in three stages followed by a conspectus and definition of the <u>Grundgestalt</u>: the first stage explores the evolution of Schoenberg's use of the term <u>Grundgestalt</u> through time; the second considers the relationship between <u>Grundgestalt</u> and <u>Idea</u>; and the third investigates the place of <u>Grundgestalt</u> in Schoenberg's hierarchy of musical units.

[2] Letter to Nicholas Slonimsky, 3 June 1937 (Reich 1971:131)

A DIACHRONIC APPROACH TO THE <u>GRUNDGESTALT</u>

(a):   1919

In a letter to the translator of his *Composition with twelve tones related only to one another*, Josef Rufer states that 'Schoenberg formed the concept of <u>Grundgestalt</u> (Basic Shape) as early as 1919' (1954:vi-viii). There is no primary evidence to support this, although it is congruent with what is known of Schoenberg's work at that time.

(b):   1923 (unpublished manuscript: 'Zur Terminologie der Formenlehre')

> *Motive* ... should be used in a very definite, specific sense. It probably must be distinguished from the concepts theme, gestalt, phrase, etc. even though a motive often can be all that and the opposite.
>
> The motive is the *effective* and *active* element in each gestalt (theme, phrase, *Satz*, etc.) (MI 386-7)

Although <u>Grundgestalt</u> is not mentioned directly in this extract, the essay is significant in establishing that there is a difference between the units described as <u>Motive</u>, <u>Theme</u>, and <u>Gestalt</u>. Further, it suggests that the <u>Motive</u> may be present and of significance in every larger musical formation.[3]

(c):   1925

> With this [technique of composing with twelve-tones] the relationship of the 12 tones is fixed once and for all for an entire movement, indeed for an entire piece, and relationships other than those provided by the grundgestalt can never occur. The course of the piece serves to make everything that could not be grasped on the first hearing more accessible by frequent repetition and diverse presentation. Presentation of the idea uses this material exclusively, and it is always the task of the composer to reduce everything he has to say, as it were, to this "common denominator" [gemeinsamen Nenner] (Manuscript no.3 (1925b) in MI 355)

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[3] See the definition of Motive in FMC p.8

This is the earliest reference to the Grundgestalt in Schoenberg's writings. Here, maintaining the mathematical metaphor, Schoenberg equates the Grundgestalt with the twelve-tone Row. In doing so, he suggests that the generative role of the Grundgestalt ('it is always the task of the composer to reduce everything he has to say ... to this "common denominator"') not only allows for a coherent presentation of the composer's Idea, but also that its use makes the Idea comprehensible for the audience.

(d):   1925

The *more primitive* a musical idea and the piece based on it, the more the concern for comprehensibility prevails, the slower the tempo of presentation, the fewer the gestalten and remote gestalten employed. The more *artful* or at least the more *complicated* the idea is, the richer the number of gestalten, the greater their distance from the grundgestalten, the faster the tempo of their stringing together, and the more the ability of a listener will be relied on to grasp quickly and in their full consequences the coherence-forming components. (Manuscript no.2 (1925a) 1 in MI 353)

Alteration or replacement of unrepeated parts always occur in *accordance with the grundgestalt.* The cause of this, as a rule, is that there is also recognisable in the grundgestalt a characteristic *that indicates changeability.*

Contrast and *new formations* are usually shapes rather more remote from the grundgestalt ... relatively near-related forms can be traced back easily and directly to the components and parts of the grundgestalt, while those more remote formations occurring in both are often only related indirectly to the grundgestalt; hence the coherence can only be recognised indirectly via one or several intermediate gestalten. (Manuscript no.2 (1925a) 1 in MI 353-4)

The extracts from *Manuscript no.2* both discuss Grundgestalt in terms of its role as a coherence-bearing component within a piece; a definition which implies a close relationship between Grundgestalt and Idea. That the Grundgestalt is a construction from which subsequent material may be derived, and against which all subsequent music is compared in order to determine its coherence. The relationship between Grundgestalt and its derivations may be so remote that of 'one or several intermediate gestalten' may be required to furnish

a link. The <u>Grundgestalt</u>, like the <u>Motive</u>, may contain within it what Schoenberg describes as a <u>Problem</u>, that is, 'a characteristic *that indicates changeability.*'

These two extract have close links with the thought of later commentators. David Epstein, writing in 1968, defined the <u>Grundgestalt</u> in the following manner:

> *Grundgestalt* (Basic Shape) - a configuration of musical elements, formatively significant in a composer's thinking with reference to the structure of a particular work. This significance is magnified in the course of the work through the appearance of this configuration in differing guises and on differing structural levels. In so appearing, certain intrinsic features are retained but varied or disguised by means of embellishment, inversions, interpolations and/or contractions of elements, inversions, augmentations and diminutions and other procedures of compositional manipulation. (Epstein 1968:14)

Yet Epstein himself admits the weakness of this definition:

> The above definition is vague with respect to "musical elements", i.e. are they pitches, rhythms, phrasing nuances, harmonies, or what? The lack of precision is deliberate, for this question is not clarified in Schoenberg's own writings.

(e): 1931 (SI 290)

> 'Whatever happens in a piece of music is nothing but an endless reshaping of a basic shape [<u>Grundgestalt</u>]' Or, in other words, there is nothing in a piece of music but what comes from the theme, springs from it and can be traced back to it; to put it still more severely, nothing but the theme itself. Or, all the shapes [<u>Gestalten</u>] appearing in a piece of music are *foreseen* in the "theme". (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, the various characters and forms arising from the fact that variation is carried out in a number of different ways; the method of presentation used can either 'unfold' or 'develop') (SI 290)

This, the most oft-quoted of Schoenberg's definitions, significantly links the concept of Grundgestalt to Theme. At this stage in Schoenberg's thinking, the two terms seem to be very close: the following extract also dates from 1931:

> But the theme is a special formation and [an] accessibly plastic one, required by certain forms in order to provide a fitting point of departure for later development. Since in its course this may wander far afield (subsidiary idea, variation, modulation [!]), the principal theme must be moulded so as to be very easy to grasp and liable to stick in the mind. (SI 472-3)

In this, Theme, like Grundgestalt elsewhere, is endowed with structural significance - it forms the basis for development, and moreover, development in accordance with its properties produces coherence.

Three years later Schoenberg's position has changed, allowing the possibility of a difference between Theme and the Fundamental Gestalt (this is from 9 June 1934):

> Theme is the connection of a number of motivic transformations that for their part are usually linked together into phrases and often too into small phrases, [resulting] in a unified form.
> The Theme will, so to speak, formulate the problem of unrest present in the fundamental gestalt. (MI 180-1)

This position is reinforced during the course of his later writings. In 1942, for example, he states that:

> A complete musical idea or theme is customarily articulated as a period or a sentence.
> ... In its opening segment a theme must clearly present (in addition to tonality, tempo, and meter) its basic motive. (FMC 20-1)

In the later writings, the Theme has fewer consequences for the structure of a piece than the Grundgestalt; it embodies the Problem that is inherent in the Grundgestalt, but is a closed and complete melodic segment:

Every succession of tones produces unrest, conflict, problems. ... A theme solves the problem by carrying out its consequences. The unrest in a melody need not reach below the surface, while the problem of a theme may penetrate to the profoundest depths (FMC 102)[4]

(f):   January 1934 ('Vortrag/12 T K/Princeton')

It followed further by itself that the accentuation of a tonic was the best to avoid if, at least in the basing set [Grundgestalt] of 12 tones no tone got an overweight (Spies 1974:86-7)

"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." (Spies 1974:93)

The first extract is a translation from the German by Schoenberg; the second was written in English. They establish the term Grundgestalt (a word apparently coined by Schoenberg whilst writing in German) as one which seems to have a specific technical significance in English. More importantly, they are related to the 1925 quotation in equating Grundgestalt with Row.

(g):   June 11, 1934 (MI 168-9)

Grundgestalten are such gestalten as (possibly) occur repeatedly within a whole piece and to which derived gestalten can be traced back. (Formerly, this was called the motive; but that is a very superficial designation, for gestalten and grundgestalten are usually composed of several motive forms; but the motive is at any one time the smallest part.)

This comprises Schoenberg's most overt definition of the Grundgestalt. Although vague, it is important in relating Grundgestalt to Motive ('Formerly this was called the Motive'), and for distinguishing between them (that the Grundgestalt is comprised of 'several motive forms').

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4 This is discussed in more detail on page 22

(h):   June 24, 1934 (MI 258-9)

> The scale is capable of many structural functions through its simple, readily
> comprehensible but compelling principle. ...
>   It is obvious why such a procedure works convincingly and logically
> because the succession of tones follows from a clear, comprehensible principle. -
> Accordingly, other such principles could be involved: for example, a succession of
> thirds (minor or major, or alternating); a succession of fourths or fifths; a succession
> that is decisive for the whole piece, namely a twelve-tone grundgestalt and its three
> transformations.

Again, the extract shows the link in Schoenberg's thinking between Grundgestalt and Row.

(i):   June 10, 1934 (MI 226-7)

> The furtherance of the musical idea (stick to the point) may ensue only if the unrest -
> problem - present in the grundgestalt or in the motive (and formulated by the theme or
> not, if none has been stated) is shown in all its consequences. These consequences are
> presented through the destinies of the motive or the grundgestalt. Just how the
> grundgestalt is altered under the influence of the forces struggling within it, how this
> motion to which the unrest leads, how the forces again attain a state of rest - this is the
> realisation of the idea, this is its presentation.

This extract emphasises that there is a difference between Motive, Grundgestalt, and Theme; it also enforces the fact that both the Motive and Grundgestalt are endowed with musical consequences, tensions which need to be resolved throughout the working of the piece. The tensions are here said to be a component part of the Idea.

(j):   1948 (SFH 193-4)

> For the sake of a more profound logic, the Method of Composing with Twelve Tones
> derives all configurations [elements of a work] from a basic set (*Grundgestalt*) [tone-
> row or note-series]. The order in this basic set and its three derivatives - contrary
> motion [inversion], retrograde, and retrograde inversion respectively - is, like the
> motive [in music of the common-practice period], obligatory for a whole piece⁵

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5 The square brackets in this extract are Schoenberg's own.

(k):   1949 (SI 91)

> The method of composing with twelve tones substitutes for the order produced by permanent reference to tonal centres an order according to which, every unit of a piece being a derivative of the tonal relations in a basic set of twelve tones, the 'Grundgestalt' is coherent because of this permanent reference to the basic set

In both these last quotations, the <u>Grundgestalt</u> is very closely related with the <u>Row</u>.

SUMMARY:

Thus, there are differing constellations of meaning surrounding the term Grundgestalt in Schoenberg's writing over time:

- There is one meaning of the term in constant use throughout the period considered: thus, in 1925, 1934, 1948, and 1949, a <u>Grundgestalt</u> is seen as being synonymous with a <u>Twelve-Tone Row</u>.

- In 1923, <u>Gestalt</u> (and <u>Grundgestalt</u>) are said to be different from <u>Motive</u>, <u>Theme</u>, and <u>Phrase</u>: though all of these units may be constructed from <u>Motives</u>.

- In 1925, the <u>Grundgestalt</u> is said to be a coherence-forming musical component closely related to the <u>Idea</u>.

- In 1931, <u>Grundgestalt</u> is identified with <u>Theme</u>.

- In 1934, the <u>Grundgestalt</u> is said to act like a <u>Motive</u> in deriving and influencing the course of a piece; it is, however, bigger than a motive because it contains <u>Motive-Forms</u>.

- Later in 1934, the <u>Grundgestalt</u> is different from <u>Theme</u> and <u>Motive</u>.

This overview gives us a chance to put forward a synchronic interpretation of the emergence and development of <u>Grundgestalt</u>

A SYNCHRONIC APPROACH TO THE GRUNDGESTALT

The diachronic overview forces us to examine in some detail the emergence and development of the Grundgestalt concept in Schoenberg's thought and writing. Grundgestalt is intimately linked with his hierarchy of musical units (Motive, Gestalt, Phrase, Theme and so on), with his concept of the Idea (*Gedanke*), and with the emergence of his method for composing with twelve notes. Given these factors, especially the close involvement of Grundgestalt with the twelve-note method, two questions emerge which are of fundamental importance both to our understanding of the Grundgestalt and to our later appropriation of the concept in analysis of the music of Brahms:

(1)
It is clear from the diachronic survey that at a certain stage in its development, Grundgestalt contained a rhythmic element - if Grundgestalt is a formation which is built of several Motives, it must contain the rhythmic component of these Motives. Later, Grundgestalt is more closely associated with the twelve-note row, an arhythmic ordered pitch-class set. Thus, at what stage and for what reason did Schoenberg's thinking about the necessity of a rhythmic element in the Grundgestalt change?

(2)
Schoenberg several time uses Grundgestalt as a synonym for twelve-note row; the genesis of the Grundgestalt concept seems to have occurred at about the same time that Schoenberg was seeking to supplant tonality with his new formal principles. Given this, for how long did Schoenberg associate Grundgestalt with tonal music?

Our attempt to answer these questions will divide the development of the Grundgestalt in Schoenberg's thinking into three hypothetical stages. These stages are primarily based upon observable changes in Schoenberg's writings over time, but they also associate the development of his thought with his

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compositional practice, as well as with his changing personal circumstances and professional activities.

STAGE 1: 1919-1934[6]

The dates given for this stage in the emergence of the Grundgestalt are determined by two significant pieces of primary source material: the first date is taken from Rufer's statement that Schoenberg 'formed the concept of the *Grundgestalt* ... as early as 1919' (Rufer 1954:vi-viii); the is marked by Schoenberg's several definitions of 'Elements of Form' dated June 11 1934 (MI 162-75). These dates are arbitrary but useful; the earlier date, in particular, could easily have been somewhat earlier. As it is, 1919 was part of a time of enormous significance for Schoenberg: the end of the first world war found the composer deeply pessimistic about the future of human society,[7] and it seems that these external events spurred him into the clarification of ideas which had been latent for many years. He founded the Society for Private Performances with the idea of revivifying post-war Viennese concert life and began to compose again using his twelve-note method. The first three entirely twelve-note works appeared between 1920 and 1923.[8]

The emergence of the twelve-note method was preceded by a lengthy period of musical introspection. As essentially an auto-didact, Schoenberg's development was possible only through deep thinking, consideration of his compositional practice to date, and profound understanding of the music of his usable past. Teaching was a vital part of this process, and the association with intellects such as those of Berg and Webern (Schoenberg's pupils from 1904) must have

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[6] Throughout this section, reference will be made to the quotations presented in the diachronic survey: rather than reproducing the extracts in their entirety, we shall refer to the letter of each extract. Thus, Schoenberg's definition of the Grundgestalt in SI in 1931 (beginning with 'Whatever happens in a piece of music ...') will be described as quotation E.

[7] For Schoenberg, the Great War was 'the overturning of everything one has believed in' (MacDonald 1987:55).

[8] These are the op.23 piano pieces, the *Serenade* (op.24), and the Piano Suite (op.25). These pieces are the first complete examples of the method: earlier works, such as *Die Jakobsleiter* and the incomplete choral symphony, used the twelve-note method for short sections, or shorter Rows.

encouraged his greatly.[9] Schoenberg's method for generating progress in his own compositional development was through rigorous analysis and exploration of his earlier works. The combination of this and the increasing necessity of communicating his understanding forced Schoenberg to develop a vocabulary capable of conveying his meaning to others.

Schoenberg's central interest in this period is the creation of organic musical artifacts; the way in which small musical fragments may be of formative significance to a given musical structure. The links between this interest and the twelve-note method are clear, but it was also developed out of Schoenberg's reconsideration of his own earlier highly-thematic works, as well as from his fascination with the music of his forebears.[10] The terminology used to explore these ideas is at this stage complex: the Idea is the metaphorical precursor to the piece; its musical actualisation explored using an almost-interchangeable combination of Motive, Theme, and Grundgestalt.

Schoenberg is searching for a way to explore and explain the unity of works of music, the better to reproduce the same quality in his own. In 1917, he writes that:

Coherence is what binds individual phenomena into *forms*. (ZKIF 8-9)

The attribute of Coherence is created by the repetition of materials, the constant reference to a group of formative characteristics and a single underlying Idea.

At this stage, the Idea is something fundamental to the nature of the musical object, an inexpressible concept equally influencing the design and the meaning of the work. In 1923, Schoenberg admits that there are difficulties with the concept:

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[9] The first sentence of the preface to the first edition of TH is 'This book I have learned from my pupils'

[10] 'I am convinced that eventually people will recognise how immediately this "something new" is linked to the loftiest models that have been granted us. I venture to credit myself with having written truly new music which, being based on tradition, is destined to become tradition.' (SI 174)

Idea 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). That way one may still speak of the thoughts of the whole piece (main ideas) or of the individual small or smallest parts (secondary ideas). It would be preferable to speak of the basic idea: what is intended by it, what is to be stated by it (musically stated, of course'). That is rewarding and revealing; every other use is like a phrase; superfluously figurative; for wherever there are more accurate designations than the image, this is simply practical. (MI 371-2)

In this, Schoenberg warns himself that the concept of <u>Idea</u> should be treated with great circumspection, to be used strictly in the abstract. This is in keeping with the handling of <u>Idea</u> in TH (from the 1922 revision):

But we may still assume that the notation successfully symbolises the musical idea, and that the form and articulation manifested by the notes corresponds to the inner nature of the idea and its movement. (TH 289)

The <u>Idea</u> may equally function in twelve-note music: indeed, one may infer from the following except, dated May 9 1923, that Schoenberg's 'Elements of Form' are of similar value in tonal, atonal, and twelve-note music:

but the relationship of the twelve tones to each other develops, on the basis of a particular prescribed order (motive), determined by the inspiration (the idea!) (SI 208)

The association of a 'prescribed order' with the <u>Motive</u> is very similar to the use of <u>Grundgestalt</u> as given in extract C (1925) above:

the relationship of the 12 tones is fixed once and for all for an entire movement, indeed for an entire piece, and relationships other than those provided by the grundgestalt can never occur.

The 'prescribed order' is the <u>Motive</u> in one and the <u>Grundgestalt</u> in the other. In these extracts, Schoenberg treats tonal and twelve-note compositions as being the same: both begin with a formatively and generatively-significant configuration of pitches and rhythms (either described as a <u>Motive</u> or as a <u>Grundgestalt</u>); the difference between them is that the twelve-note piece is preceded by a pre-compositional ordered pitch-class set (the <u>Row</u>) which takes

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the place of tonal conventions of harmony and tonality. The interchangeability of <u>Motive</u> and <u>Grundgestalt</u> is one of the characteristics of this stage of Schoenberg's development. In April 1917, the <u>Motive</u> is the fundamental material, omnipresent in the structure:

> [*The*] musical motive is a sounding, rhythmicized phenomenon which, 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 ... The *most important characteristic of a motive is its repetition* (ZKIF 28-9)

The <u>Grundgestalt</u> is equally significant, a reference point against which each subsequent development must be measured:

> Contrast and new formations are usually shapes rather more remote from the grundgestalt ... relatively near-related forms can be traced back easily and directly to the components and parts of the grundgestalt (Extract D, 1925)

Further, both <u>Motive</u> and <u>Grundgestalt</u> entail a quality of movement, an inherent instability that requires exploration throughout the course of the piece:

> A motive is something that gives rise to motion. ... Thus, one can compare a motive with a driving force ... It is comparable to a sphere on an inclined plane the moment before it rolls away, to a fertilised seed, to an arm raised to strike, etc ... The *smallest musical event* can become a motive if it is permitted to have an effect; even an individual tone can carry consequences. (ZKIF 24-7)

Thus, in 1917, the instability inherent in the <u>Motive</u> is something that may have longer-term consequences. In 1925, the <u>Grundgestalt</u> is said to have very similar attributes:

> there is also recognisable in this grundgestalt a characteristic that *indicates changeability*. (MI 353)

The concept of instability, a <u>Problem</u> created and the need for resolution is a quality later closely associated in Schoenberg's thinking with the <u>Idea</u> (*Gedanke*).

Schoenberg's later definitions of the Motive describe it as the smallest musical event, in its most fundamental form, consisting of a single pitch and a single rhythm (FMC 8-10). At this stage, however, the extent of the Motive is not at all clear:

> Motive also should be used only in a very definite, specific sense. It probably must be distinguished from the concepts theme, gestalt, phrase, etc. even though a motive often can be all that and the opposite. ...

> The phrase can be larger or smaller than the motive ... Nonetheless, phrases and parts of phrases (!!) can also be used as motives. The characteristic difference between phrase and motive is that the former *is inconceivable without emphasis*, while the latter is abstract, independent of effect! (MI 387)

Dating from 1923, this extract states that the Motive may be the same as a Phrase. This forms a revealing parallel with Rufer's later definition of Grundgestalt in which he confuses Gestalt and Phrase (see pages 39-40; and 41). Further, Schoenberg here makes the extraordinary claim that the Motive is 'abstract, [and] independent of effect'. From this it seems that Motive may also encroach on the territory of the Idea. There is also a clear overlap between the meanings of Motive and of the twelve-note Row:

> This scale [*Row ordering*] ought always to be the first positiv [*sic*] musical thought, just so as a motive, for it ought to act in the same manner as a motive (MI 487)

Although written in January 1934, this statement, an early example of Schoenberg's characteristic use of English, is a clear link between Motive and twelve-note music. A very closely-related statement is extract C, which links the Row and the Grundgestalt:

> the relationship of the 12 tones is fixed once and for all for an entire movement, ... and relationships other than those provided by the grundgestalt can never occur

It is difficult to come to firm conclusions about the meanings of Grundgestalt and Motive at this stage of Schoenberg's thought. Although he was already an accomplished composer in 1919 and a mature thinker about music,[11] his definitions of his elements of form are too closely linked with the emergence of his own method for composing with twelve notes to be expressed fully in theoretic terms.

For our appropriation of the Grundgestalt concept as an analytic tool, this period is not at all suitable. The meaning of Motive and Grundgestalt are too closely enmeshed to be usable; indeed, the two terms seem to be interchangeable in the consideration of both tonal and twelve-note music. At this stage, there seems to be a definite rhythmic component in Grundgestalt/Motive. Idea is a separate category, but one which is not yet fully formed.

The final part of our consideration of this hypothetical stage in Schoenberg's development is the extract E above (dated December 2-3 1931). This difficult quotation directly equates Grundgestalt and Theme. This leads us into a definition of Theme which is very different from Schoenberg's more generally-accepted later description in FMC. Two factors must be taken into consideration: first, that text E must be closely related to the method for composing with twelve-notes ('there is nothing in a piece of music but what comes from the theme, springs from it, and can be traced back to it; ... nothing but the theme itself'). Theme, Idea, and Grundgestalt are all used to much the same effect in this exposition; secondly, extract E comes from Schoenberg's essay 'Linear Counterpoint', and the Theme referred to is specific to that particular type of composition. Nevertheless, the essay clearly aims to find a model for the music of the future in that of the past, and Schoenberg is attempting to justify and explain his now-established method of composing with twelve notes in terms of his evolutionary view of musical history.

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[11] He was 45 years old in 1919, having published the first version of TH in 1911.

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STAGE 2: June 1934-37

The starting date for this stage is taken from a series of entries in MI dated June 1934, in which Schoenberg puts forward his hierarchy of 'Elements of Form' (MI 164-5). The part which is most interesting in a study of the Grundgestalt is Schoenberg's 'Small components of themes' namely: Phrase (166-7), Gestalt (168-9), 'Grundgestalten' (168-9), Motive (168-171), and Features (170-1). Partly because of the worsening political situation in Germany (Schoenberg rejoined the Jewish faith in July 1933), and the difficulty of obtaining regular teaching or conducting work in first Berlin and later Paris, Schoenberg emigrated to America in October 1933. He first took up a post at the Malkin Conservatory in Boston, being required to teach in both Boston and New York.[12] Steadily worsening health in the Summer of 1934 forced him to move to Chautauqua in New York State, and he settled in the more clement environs of Los Angeles in the Autumn of 1934. The end of the stage is represented by Schoenberg's appointment as Professor at the University of California at Los Angeles, his final move to Hollywood, and the beginning of work on FMC in 1937.

Schoenberg's move to America was in many ways a difficult one. He was profoundly concerned with political developments in Europe, planning a United Jewish Party to organise and inspire resistance against Fascism. To Adorno, he is reported to have said:

> Today there are more important things than Art (MacDonald 1987:55)

Despite this, the more prosaic need to support his family forced him to cross the Atlantic. In intellectual terms, the move proved to be an opportunity to reconsider his old ideas. Having decided to compile a comprehensive composition textbook as early as 1911 (MI xvi), the experience of a new continent, and an increasing awareness of his failing health, was a spur to

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[12] MI is thought to have been written in part on the train between Boston and New York, and in his hotel room in Chautauqua (MI xviii)

activity. From the intention to publish, even if the surviving manuscripts are more notes to himself rather than pre-publication drafts, it may be inferred that Schoenberg had confidence in his ideas, and in their practical worth.

This is an important point to amplify. There is a significant difference in the intellectual value of ideas hastily notated to oneself on a train journey, and those which might one day be the basis for a published textbook. MI begins with a 'Preface and Overview' in which Schoenberg states his intention for the work:

> Here it will not be shown how to present an idea but rather how an idea is presented.
> This is not a textbook from which the student might learn how he should do it but one
> from which he finds out merely how others have done it (MI 88-9)

The proposed title in 1911 was 'Aesthetics of Music' (MI xvi), and from this one may see not only further evidence of the way in which Schoenberg must be regarded as one of the progenitors of modern Musicology, but also one of the fundamentals aims of his teaching - to teach how to learn rather than merely to impart knowledge.[13]

In order to communicate this knowledge, Schoenberg forced himself to attempt final usable definitions of terms which previously it had suited him to leave ambiguous. These definitions in MI are highly significant in unpacking terms which previously Schoenberg had used interchangeably. Motive (and its Features), Gestalt, Grundgestalt, and Phrase are defined as separate entities - even if their definitions are not always entire clear, the intention to separate and interrelate them is unmistakable.

The definition of Grundgestalt is given as extract G above. He confesses that the Grundgestalt and Motive were previously confused ('Formerly, this was called the motive; but that is a very superficial designation'), explaining that the reason for the error is that Grundgestalten are 'composed of several motive

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[13] 'He refused to teach the codified knowledge that he had never learnt, mistrusting mere knowledge as the enemy of understanding ... His primary aim was to teach logical thinking, and that was best done in a context where theory, which must necessarily lag behind practice, could aid elucidation.' (Neighbour 1981:706)

forms'. The definition is less helpful:

> Grundgestalten are such gestalten as (possibly) occur repeatedly within a whole piece
> and to which derived gestalten can be traced back.

As the Grundgestalt is here said to be a Gestalt with of particular generative value, it is necessary to examine Schoenberg's definition of Gestalt (also dated June 11, 1934):

> A gestalt usually consists of more than one statement of the motive. Often there are
> various forms of the motive ... but often it consists merely of a motive chain. In any
> event, a gestalt will have to have a characteristic feature to justify its name:
>
>> a striking interval or interval progression or
>> a striking rhythm or rhythmic progression
>> A gestalt need not necessarily have more than local significance (MI 168-9)

A text-book Grundgestalt usually consists of several motives, either one motive repeated or developed, or several connected motive forms. It will contain some memorable event, either in its pitch or its rhythm, which serves as a 'characteristic feature', that is, to identify it. It is similar to, but not the same as a phrase:

> A phrase ... is the more or less connected stringing together of gestalten, motivic
> transformations, and motives (MI 166-7)

> I would speak of 'gestalt,' when in doubt, only if dealing with something
> characteristically articulated (quasi-articulated) - of 'phrase,' when in doubt, if it is
> like a part of speech, perhaps in the raising and lowering of the voice, and so forth.
> (MI 170-1)

He goes on to state that motivic transformation is more likely to be a characteristic of the Phrase than it is to be of the Gestalt. A Phrase is a meaning-carrying element that has a recognisable significance in the musical discourse; a Gestalt is a characteristic unit. The relationship might have a linguistic analogue: the Phrase is similar to a verbal clause; the Gestalt to a well-turned portion of a sentence.

It seems that, within these definitions, the Grundgestalt has a clearly-defined rhythmic component. Indeed, the characteristic Feature of a Grundgestalt might itself be rhythmic. Although rhythm is allowed for in Schoenberg's definition, in two crucial ways, Schoenberg prefers to work exclusively with the pitch-component:

(1)

Schoenberg continues to associate Grundgestalt with his method for twelve-note composition: he does so in extract F written in 1934, describing the Grundgestalt as a 'basing set' or a 'basing configuration' in twelve-note music; more significant is extract H, from MI, where he describes the 'twelve-tone Grundgestalt' as 'a succession that is decisive for the whole piece.' The continued dual usage of Grundgestalt, as a formative unit in tonal music, and as a synonym for the twelve-note Row, is fascinating in view of the lengths that Schoenberg goes to in clarifying the confusions identified in stage 1 above. By 1934, Schoenberg is an accomplished and wholly committed twelve-note composer, and the method is intrinsic to the way he views music. Thus, from this continuing dual meaning for Grundgestalt it may be inferred that, although Schoenberg allowed the possibility of music in which the Grundgestalt was identified by rhythmic means alone (and his later music attests to Schoenberg's mastery of rhythm), the pitch-based Grundgestalt was almost exclusive in the way he viewed tonal and atonal music alike. Further, the Grundgestalt is valid in tonal and non-tonal music alike.

(2)

The second type of evidence for the dominance of the pitch component of the Grundgestalt is found in the ways that Schoenberg explains the deployment of the Grundgestalt throughout the musical discourse. The initial definition states that Grundgestalt is a type of Gestalt to which 'derived gestalten can be traced back' (extract G). Extract I goes much further, stating that the only way that the 'musical idea' may achieve 'furtherance' is if the 'unrest' or Problem is 'shown in all its consequences'. The Problem is 'present in the grundgestalt or in the

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motive'. In this, <u>Grundgestalt</u> and the <u>Motive</u> coexist - both may embody the <u>Problem</u>, the solving of which derives complete forms. The next sentence, however, singles out <u>Grundgestalt</u> in the most sweeping definition of its potential:

> Just how the grundgestalt is altered under the influence of the forces struggling within it, how this motion to which the unrest leads, how the forces again attain a state of rest - this is the realisation of the idea, this is its presentation. (MI 226-7)

Just how important this portentous statement is may be determined by comparing it with Schoenberg's title for the manuscript, 'The Musical Idea, and the Logic, Technique, and Art of Its Presentation' ('Der musikalische Gedanke und die Logik, Technik, und Kunst seiner Darstellung'). The key to the argument here is the association of <u>Grundgestalt</u> with <u>Problem</u>. <u>Problem</u> may be taken to be the musical realisation of the <u>Idea</u> (*Gedanke*). It is the pitch-based process by which musical tension and direction is generated, and is fundamental to musical identity:

> [Each composition] raises a question, puts up a problem, which in the course of the piece has to be answered, resolved, carried through ... all this might lead to a conclusion. (MI 395)

The <u>Problem</u> arises by the conflict of tones:

> Every succession of tones produces unrest, conflict, problems. One single tone is not problematic because the ear defines it as a tonic, a point of repose. Every added tone makes this determination questionable. Every musical form can be considered as an attempt to treat this unrest either by halting it or limiting it, or by solving the problem. (FMC 102)

<u>Problem</u> is exclusively a tonal phenomenon; Schoenberg does not consider the possibility of a rhythmic component:

> Thus there is a problem in every harmonic phrase no matter how short that phrase: straying from and then recovering the path to the principal tone. (TH 130-1)

From this may be seen the close relationship between <u>Problem</u> and Schoenberg's theory of <u>Monotonality</u>:

> Compositions executed tonally in every sense proceed so as to bring every occurring tone into a direct relationship to the fundamental tone (MI 1925)

From the association between the long-term working-out of a <u>Grundgestalt</u> and the <u>Problem</u>, it is possible to state that, although the <u>Grundgestalt</u> may - in its initial presentation within a piece - have a rhythmic identity, the longer-term consequences vested in it are exclusively in the pitch domain. Long-term rhythmic development may exist within a piece, but this is <u>Motivic</u>; the <u>Grundgestalt</u> is the source of truly structural changes.

Although not the composer's last word, this stage is the most fruitful in an examination of the <u>Grundgestalt</u>. The primary reason for this is that Schoenberg makes an explicit attempt to define and deploy the <u>Grundgestalt</u> as a tool for the understanding of music (MI is a textbook in which a student 'finds out merely how others have done it' (MI 88-9)). And although later he was more reluctant to use the term, and significantly reduced the scope of his writings in his published textbooks, this 'middle' period (he was, nevertheless, 60 years old at the beginning of it) provides the best sources for his use of <u>Grundgestalt</u>, and its place in his hierarchy of musical units.

The starting date for this stage is provided by the beginning of Schoenberg's work on FMC in 1937; the period lasts up to the end of his life. During the period <u>Grundgestalt</u> retreats from the central position it had occupied during stage 2.

For the last years of Schoenberg's he was employed as Professor at the University of California at Los Angeles; as well as providing an invaluable income, this post proved to be a spur to the production of a number of pedagogical works. He found himself, however, disappointed by the level of the American students' basic musical knowledge:

> Although in Europe I was almost unfailingly very dissatisfied, I did usually find that there was at least a certain fairly extensive knowledge of the works of the masters. This indispensable basis for teaching appears to be in the main lacking here. I attribute this to two circumstances: above all to the high price of printed music ... and secondly to the excessively high price of tickets for concert and operas, and the social style in which they are got up (Letter 165)[14]

Although encouraged by students such as Gerald Strang, Leonard Stein, and, for a time, John Cage, he found himself expected to teach students who were not primarily musicians; for a time he offered 'music appreciation' classes (MacDonald 1987:45). His published textbooks were based on his teaching: MBC on his 'elementary composition classes ' (Rufer 1962:133); SFH on his course of the same name. Amongst his papers is a description of its aims:

> This class is an attempt, which I venture for the first time. The purpose is to make the student conscious of the structural effect of harmonies and teach him to take advantage of them and avoid the dangers they offer. (Rufer 1962:150)

FMC was completed posthumously by Gerald Strang, Schoenberg having worked on it intermittently between 1937 and 1948.

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[14] FMC is designed to counter this: in Strang's introduction he points to Schoenberg's deliberate use of many examples from the 'first volume' of Beethoven's piano sonatas.

These publications are only a partial reflection of Schoenberg's thinking at the time: devised for the use of his students they necessarily simplify and adapt his ideas. The hierarchy in FMC includes 'motive, unit, element, phrase, fore-sentence, after-sentence, segment' (FMC xiii) and so on. This is quite different from the hierarchy in MI. It is important that Schoenberg's notoriously-refused application for a grant from the Guggenheim Foundation was not only for the completion of *Die Jakobsleiter*, and *Moses und Aron*, but also for work on three textbooks. He wrote in the letter of application:

> I feel that my life-task would be fulfilled only fragmentarily if I failed to complete at least those two largest of my musical, and two, perhaps three, of my theoretical works. (Letter 200)

SFH was the only textbook of the three completed, and is, significantly, the only one of the late works to mention Grundgestalt (extract J). By this stage, it seems that Grundgestalt was exclusively taken to be a synonym for twelve-note Row. The last use of Grundgestalt comes in the valedictory essay 'My Evolution' (extract K). This final extract is interesting in that it associates Grundgestalt with Row, but does not quite equate it - the Grundgestalt could constitute an important Gestalt ('one or more statements of the motive ... [having] a characteristic feature' (MI 168-9)), with longer-term structural consequences.

There is not enough evidence to determine what the importance of Grundgestalt was to Schoenberg at this stage. It is reasonable to hypothesise that he was still fascinated by it, and might have written about it given time and resources, but felt that he had to communicate some of his simpler concepts to his students first. Grundgestalt is clearly still closely connected with the method of composing with twelve-notes - that is to emphasise that the pitch component which is of more significance than the associated rhythm. It cannot be proved that Schoenberg still believed that the Grundgestalt was applicable in tonal music - its absence from the textbooks shows he recognised the difficulties associated with it. However, in 1949, in 'My Evolution' Schoenberg is still at

pains to emphasise that his music is built on the tradition of Brahms, Wagner, Strauss, and Mahler (SI 79-92), and the hypothetical link between <u>Grundgestalt</u> and tonal music is not in any way undermined.

This last stage is not fruitful in the appropriation of <u>Grundgestalt</u> as an analytic tool. There is not enough evidence, and there are too many hypotheses for it to be of significance.

THE <u>GRUNDGESTALT</u> AND THE <u>IDEA</u>[15]

(1) Musical Identity and *Einfall*

Epstein's use of all-embracing terminology in his definition of the <u>Grundgestalt</u> (for example the deliberately-ambiguous 'musical elements') closely mirrors Schoenberg's own manner of writing, and clearly illustrates the problems which beset any attempt to define the <u>Grundgestalt</u>. The cause of many difficulties is the relationship between <u>Grundgestalt</u> and Schoenberg's writings on the <u>Idea</u>. Rufer's description of the <u>Grundgestalt</u> as 'the basis of the work', representing the 'first creative thought', clearly links the two concepts. Thus, most commentators begin their work by establishing Schoenberg's views on the nature of works as single, 'organic' wholes, entities which are explained by the omnipresence of their <u>Idea</u>:

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[15] The following discussion aims to define Schoenberg's use of <u>Idea</u> as one which has a very specific definition. He also uses the word in two further ways not discussed here:

1. as a way of exploring questions about the semantic structure of pieces (*die Idee*), a more general method of exploring the aesthetics of art:

    I. The idea in a piece of music is
    1) in conception
        a) purely material
        b) metaphysical
        c) psychological
    2) in presentation
        a) logical
        b) metaphysical
        c) psychological (ZKIF 4-5)

    Further:

    > What is the idea of a piece of music? The answer to this question would have to produce what is found here and extend far beyond. Or the related question: what is the inspiration of the composer? And, what is inspiration, what is realisation: is realisation also inspiration and to what extent? Or: How do individual works (ideas, inspirations) of a composer relate to one another, namely, do they form a unity? To what extent and what kind of unity? ... answering such questions is probably not the task of a musician who, at least as a musician, could at most contribute symptomatic experiences (MI 418-9)

2. as a non-specific way of referring to musical units: generally as a synonym for <u>Theme</u> or <u>Motive</u>

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A real composer does not compose merely one or more themes, but a whole piece. In an apple tree's blossoms, even in the bud, the whole future apple is present in all its details - they only have to mature, to grow, to become the apple, the apple tree, and its power of reproduction. Similarly, a real composer's musical conception, like the physical, is one single act, comprising the totality of the product. The form in its outline, characteristics of tempo, dynamics, moods of the main and subordinate ideas, their relation, derivation, their contrasts and deviations - all these are there at once, though in embryonic state. The ultimate formulation of the melodies, themes, rhythms and many details will subsequently develop through the generating power of the germs. (SI 165)

Also:

A work of art is created at once, as a whole like every living thing, and as a plumtree produces a plum: not the motivation toward it, but an infinitely small but totally definite plum-certainty is produced as its first manifestation. (MI 149)[16]

This is a particular use of _Idea_, one in which Schoenberg describes the way in which the outline of a particular composition is envisaged as a single flash of inspiration (*Einfall*). Schmalfeldt (1991) suggests this is the meaning of _Idea_ which Schoenberg 'spoke as a composer' (1991:84). In this mode of expression, indeed, Schoenberg is almost dismissive of the practical value of theory:

Music does not depend upon the theme. For a work of art, like every living thing [Goethe], is conceived as a whole - just like a child, whose arm or leg is not conceived separately. The Inspiration ['Einfall'] is not the theme but the entire work. And it is not the one who writes a good theme who is inventive, but the one to whom a whole symphony occurs at once (SI 458)

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[16] This has parallels with Brahms's remarks about the organic nature of musical form: "That which you would call invention, that is to say a thought, an idea, is simply an inspiration from above, for which I am not responsible, which is no merit of mine ... It is as with the seed-corn: it germinates unconsciously and in spite of ourselves." (in George Henschel: *Personal Recollections of Johannes Brahms* (Boston 1907) p.22)

(2) *Gedanke*

Much more relevant to a consideration of the relationship between Idea and Grundgestalt are Schoenberg's views on the musical manifestation of the Ideas:

> Composing is: *thinking in tones and rhythms.*
>
> Every piece is the *presentation of a musical idea* (M6 1931a: 1)

The Idea is primarily foregrounded in the relationship between the 'tones':

> Every tone which is added to a beginning tone makes the meaning of that tone doubtful. If, for instance, G follows after C, the ear may not be sure whether this expresses C major or G major, or even F major or E minor: and the addition of other tones may or may not clarify this problem. In this manner there is produced a state of unrest, of imbalance which grows throughout most of the piece ... The method by which balance is restored seems to me the real idea of the composition. (SI 123)

The act of composition is the working-out of the possibilities, the solving of the Problem inherent in any juxtaposition of pitches:

> The primitive ear hears the tone as irreducible, but physics recognises it to be complex. In the meantime, however, musicians discovered that it is *capable of continuation,* i.e., that *movement* is latent within it. That problems are concealed in it, problems that clash with one another, that the tone lives and seeks to propagate itself (TH 313);

The Problem and the Idea are clearly related:

Every succession of tones produces unrest, conflict, problems. One single tone is not problematic because the ear defines it as a tonic, a point of repose.[17] Every added tone makes this determination questionable. Every musical form can be considered as an attempt to treat this unrest either by halting or limiting it, or by solving the problem. (FMC 102)

The result of this thinking is that each aspect and division of the piece is justified and made coherent by reference to the Idea:

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 [*Grundgestalt*], the various characters and forms arising from the fact that variation is carried out in a number of different ways; the method of presentations used can either 'unfold' or 'develop' (SI 290)[18]

Herein lies the difficulty in establishing an exact relationship between the Idea and the Grundgestalt. Both are formative constructs, reference to which may

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17   'But an individual tone could also stand *at the beginning* of an idea and by itself be its motive.
      Because, without further ado, an *individual tone immediately poses a question* concerning its harmonic significance (is it a third, fifth, fundamental, etc.?)' (ZKIF 29)

This comment is dated 16.iv.1917; FMC was begun in 1937 and TH was first published in 1923. There are three possible explanations for this contradiction: (1) that Schoenberg's ideas changed over time, and that the opinions expressed in HL are superseded by the work in FMC; (2) that the concepts in ZKIF are incomplete, and not designed for publication without significant revision; and, most probably, (3) that the intellectual level of FMC is based on Schoenberg's experience of undergraduate teaching - thus excluding the composer's more personal, less fully-formed, and more abstract thoughts.

18 A related statement describes the multi-dimensional nature of the Idea:
      'Science aims to present its ideas exhaustively so that no question remains unanswered. In contrast, art is content with a many-sided [presentation] from which the idea will emerge unambiguously but without having to be stated directly.' (Manuscript no.1 in MI 18)

Webern acknowledges Goethe as the source of these remarks in a letter written to Schoenberg in 1932:
      A theme is presented. It is varied ... all the rest is based on that one idea; it is the prime form. The most astounding things happen, but it is still always the same.
      Now you see what I am driving at - Goethe's *Urpflanze*: the root is actually nothing other than the stem, the leaf in turn is nothing other than the blossom; all variations of the same idea. (Rauchhaupt 1971:31)

This is also related to one of Schoenberg's most charming illustrations:
      There is a story of Schoenberg's picking up a hat, turning it about in front of his pupils, and explaining: "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, though it may look one thing from above and another from below." (Dineen 1993:435) P. Murray Dineen: 'The Contrapuntal Combination: Schoenberg's Old Hat' (in Hatch and Bernstein (eds.): *Music Theory and the Exploration of the Past* (London 1993) 435-448)

endow the musical structure with the perception of unity and completeness (both conscious and unconscious). The clearest accounts of this vital relationship are by Patricia Carpenter and Janet Schmalfeldt.[19] Both suggest that Idea (*Gedanke*) and Grundgestalt are different aspects of the same imperative to musical unity: Idea is the abstract statement of the need for unity, and the metaphorical trope by which Schoenberg was able to explain the imperative to his students; Grundgestalt is the musical structure by which the Idea is expressed in composition and analysis.

It is also true to say that Schoenberg's compositional practice, although informed by his theory and analysis to an unprecedented degree, was most often one step ahead of his theory. The use of idea is his way of describing what it 'feels like' to be a creative artist engaged in the presentation of the fruits of his imagination. The Idea may be considered to be naming of the composer's knowledge of his aim and some idea of how he might achieve it.[20] Musgrave emphasises this in his description of Schoenberg's position as:

> a composer who laid great stress on the power of instinct rather than theory in the creation of new methods. [An example of this is] His claim that in his twelve-note compositions he had depended entirely on "feeling, sense of form, and musical instinct" ... Once achieved, however, the innovations of his creative instinct were the subject of endless rationalisation; he was incapable of accepting an idea without working out its fullest implications in relation to his existing understanding. (Musgrave 1979:23)

It is important, therefore, for the commentator to distinguish between the intention which seems to be expressed in Schoenberg's writings, and our wish to plunder them for fully-formed and readily-applicable analytic techniques. Musgrave hypotheses that Schoenberg's reluctance to define the concept of Grundgestalt is because of his realisation of the problems surrounding the concept:

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[19] Schmalfeldt (1991); Carpenter (1983; 1984; 1988a; 1988b)

[20] For a composer, the simplest way of expressing this is to be able to determine when a work is completed (examples of this are the lengthy revisions of Brahms's Op.34, and the common process which resulted in Op.15 and Op.45). For further discussion of these generative issues, see Pascall 1982.

For, whilst many details of a work can certainly be related to its opening materials, the derivation of all the main elements from a basic shape represents far greater difficulties in tonal music than in serial music, indicating that the concept was most significantly influenced by serial practice. (1979: 181)

Musgrave further suggests that Rufer had Schoenberg's tacit support in putting forward the <u>Grundgestalt</u> as a concept which is 'universally valid' (181).

SCHOENBERG'S HIERARCHY OF MUSICAL UNITS:

The following is a exploration of Schoenberg's hierarchy of musical units. In particular, it explores those units which have some connection with the concept of the Grundgestalt.

MOTIVE

(1):

The Motive is his smallest generative unit (although Phrase is discussed before it in FMC). It consists of:

> at least one interval and one rhythm (Rufer ibid.)

and is:

> something that gives rise to a motion. *A motion is that change in a state of rest which turns it into its opposite.* Thus, one can compare the motive with a driving force (ZKIF 26-7)

Schoenberg subsequently alters this claim slightly:

> A *thing is* termed *a motive* if it is already *subject to the effect of a driving force, has already received its impulse, and is on the verge of reacting to it.* It is comparable to a sphere on an inclined plane at the moment before it rolls away; to a fertilised seed; to an arm raised to strike, etc.

> What, therefore, are the *musical characteristics of a motive?*

> *First of all:* even *the smallest musical event* can be a motive; if permitted to have an effect, even an individual tone can carry consequences...

> The effect of a motive is more readily understood if it is *a succession of tones.* In this case, it is already endowed with *rhythm* as well.

> *Definition*
> A musical motive is a sounding, rhythmicised 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. (ZKIF 26-29)

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The fullest explanation the role of <u>Motive</u> is found in FMC:

Even the writing of simple phrases involves the invention and use of motives, though perhaps unconsciously. Consciously used, the motive should produce unity, relationship, coherence, logic, comprehensibility and fluency.

The Motive generally appears in a characteristic and impressive manner at the beginning of a piece. The features of a motive are intervals and rhythms, combined to produce a memorable shape or contour which usually implies an inherent harmony. Inasmuch as almost every figure within a piece reveals some relationship to it, the basic motive is often considered the 'germ' of the idea. Since it includes elements, at least, of every subsequent musical figure, one could consider it the 'smallest common multiple'. And since it is included in every subsequent figure, it could be considered the 'greatest common factor'.

However, everything depends on its use. Whether a motive be simple or complex, whether it consists of a few or many features, the final impression of the piece is not determined by its primary form. Everything depends on its treatment and development.

A motive appears constantly throughout a piece: <u>it is repeated</u>. Repetition alone often gives rise to <u>monotony</u>. Monotony can be overcome by variation.

<u>Use of the motive requires variation.</u>

Variations means change. But changing every feature produces something foreign, incoherent, illogical. It destroys the basic shape of the motive.

Accordingly, variation requires changing some of the less-important features and preserving some of the more-important ones. Preservation of rhythmic features effectively produces coherence (though monotony cannot be avoided without slight changes). For the rest, determining which features are more important depends on the compositional objective. Through substantial changes, a variety of <u>motive-forms</u>, adapted to every formal function, can be produced. (FMC 8)

(2):

There are several aspects of this vital definition which have caused confusion between the terms <u>Motive</u> and <u>Grundgestalt</u>:

    (i) 'The features of a motive are intervals and rhythms, combined to produce a memorable shape or contour which usually implies an inherent harmony'

If, as is my contention, the <u>Grundgestalt</u> consists of an arhythmic pitch-contour, then this statement points to a significant overlap between the early presentations of the <u>Motive</u> and the <u>Grundgestalt</u> in any single piece.

    (ii) 'It destroys the basic shape of the motive'

This helps to show the consequences of the process described in (i) - that the 'shape or contour' of the motive is broken down to produce variations of the <u>Motive</u>; a process of development that takes place in accordance with, and as a reaction to, the consequences of the use of a <u>Grundgestalt</u>:

> Often a contour or shape is significant, although the rhythmic treatment and intervals change. ... the upward sweep followed by a return within it which pervades Beethoven's Op.2/3 -IV, illustrate[s] such cases. (FMC 9)

The <u>Basic Motive</u> is different to the <u>Grundgestalt</u>; this despite the regular appearance of the <u>Basic Motive</u> in the music:

Inasmuch as almost every figure within a piece reveals some relationship to it, the basic motive is often considered the 'germ' of the idea (FMC 8)

Motive is that which is *effective* in each gestalt (theme, phrase, *Satz*, etc.) ... One should find in everything a basic motive; it is necessary, however, to anticipate that later branched-out motives (outgrowths, seedlings, embellishment) achieve great significance (Mus 66:1 in MI 357)[21]

Unlike Grundgestalt the Basic Motive is endowed with a rhythmic identity:

Any rhythmicised succession of notes can be used as a basic motive, but there should not be too many different features. (FMC 9)

(3):

Developing Variation is the means by which the Basic Motive derives the subsequent material:

Homophonic music can be called the style of 'developing variation'. This means that in the succession of motive-forms produced through variation of the basic motive, there is something which can be compared to development, to growth. (FMC 8)

Perhaps the clearest definition of Developing Variation is found in the essay entitled 'Bach':

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 (SI 397)

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[21] As with so much of Schoenberg's writing, an alternative interpretation of the relative importance of Basic Motive and Grundgestalt is available:

The presentation of ideas is based on the laws of musical coherence. According to these, everything within a closed composition can be accounted for as originating, derived, and developed from a basic motive or at least from a grundgestalt. (MI 134-5)

The key phrase here is 'at least', suggesting that Schoenberg here states that the Basic Motive is of more significance than the Grundgestalt.

Contradicting the first extract, the 'basic unit' described here is most likely to be the Grundgestalt, not the Basic Motive, for four reasons:

(i):   The close links between this quotation (1950) and the definition of Grundgestalt found in the 1931 essay 'Linear Counterpoint' (SI 290);

(ii):   The close association between Grundgestalt and Idea;

(iii): The purpose and intention of FMC. This textbook might be thought to contain the final version of Schoenberg's theoretical writings (it was written between 1937 and 1948). However, it neglects several of Schoenberg's most exciting concepts (including Grundgestalt), and, several times contains simplifications of his ideas (an example is the possibility of a single tone being treated as a Motive (depending on its (harmonic) context) - this is discussed in note 7). FMC, MBC, and PEC:

were written with the express purpose of imparting to students concepts and the compositional methodology of this period [that which Epstein describes as the 'common practice period'] which Schoenberg considered as fundamental to musical understanding in general. (Epstein 1968:5).

They are pedagogical in intent, thus only presenting ideas which are fully-formed and easily explained (simply accounting for the omission of Grundgestalt) (see also Musgrave 1979:181).

(iv):   The second extract makes explicit reference to 'thematic formulations' whereas the first deals with the derivation of 'motive-forms'. In accordance with the interpretation of Grundgestalt put forward here, both the statements are correct and relevant: Developing Variation is the way in which the Basic Motive produces all the motive-forms within the piece. However, the process of variation takes place with reference to and in accordance with the implications and obligations of the Grundgestalt.

(4):

The Motive is given identity by Features; these are:

> the marks of the motive. They are indeed primarily of a purely musical nature: pitches (intervals), rhythm, harmony, contrapuntal combination, stress, and possibly dynamics. But nonetheless they can also pertain to expression, character, mood, colour, sonority, movement, etc., insofar as these may not be presentable through the aforementioned features. (MI 170-1)

Features are particularly important in defining the difference between Motive and Grundgestalt: Motive operates in a rich diversity of musical domains; it is my contention that the influence of the Grundgestalt is restricted to pitch alone (thematic material and harmony).[22]

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22 This is a generalisation: there must be occasions on which, for example, a particularly powerful or striking harmony might beget a rhythmic accent or augmentation.

GESTALT

The <u>Gestalt</u> or <u>Shape</u> is closely related to the <u>Figure</u>:

> *Gestalten* and *figures* have very great similarity with each other except for one thing: a gestalt is something unique (even though it is repeated); in contrast, the figure is relatively noncommittal (even if it is not repeated), and in its repetitions usually appears more freely than other small components. Both differ from the motive (which *is active* in them !!!), since the motive - so to speak, the unadorned, abstract underlying basis - can occur entirely or partly in the figure of gestalt, and the latter two are simply the adornment of the underlying abstraction. Conversely, a motive can also be delineated by figures, but can also occur independently or less frequently than figures, can be larger or smaller than figures. (Mus 66:2 in MI 368-9)

> A <u>gestalt</u> usually consists of more than one statement of the motive. [Schoenberg's footnote to this page reads: 'However, without possessing the peculiarity of the phrase in performance: in the same breath - caesura.'] Often there are various forms of the motive (for example, <u>inversion</u> or <u>augmentation</u> or diminution of the interval, or both, rhythmic <u>broadening</u> or <u>contraction</u>), but often it consists merely of a <u>motive chain</u>. In any event, a gestalt will have to have a characteristic feature to justify its name:
> a striking interval or interval progression or
> a striking rhythm or rhythmic progression
> A gestalt need not necessarily have more than local significance. (MI 168-9)

The <u>Gestalt</u> is much harder to define than the <u>Phrase</u>. Although it is easy to see the importance of <u>Shape</u> in the comprehension of the links between musical units, the role of rhythm in this process is more complex. The issue becomes more complex when one considers the definition of <u>Grundgestalt</u> which Schoenberg attempted on the same day (June 11, 1934):

> <u>Grundgestalten</u> are such gestalten as (possibly) occur repeatedly within a whole piece and to which derived gestalten can be traced back. (Formerly, this was called the *motive*; but that is a very superficial designation, for gestalten and grundgestalten are usually composed of several motive forms; but the motive is <u>at any one time the smallest</u> part.) (MI 168-9);

There are two possible interpretations of <u>Gestalt</u>:

(1):   As with <u>Grundgestalt</u>, it is possible that <u>Gestalt</u> should be viewed as a contour (literally a <u>Shape</u>), endowed with a local significance in the presentation of the music. A <u>Gestalt</u> is likely to become associated with a particular rhythm (and, unless the listener is very familiar with the piece, be identified by that rhythm), but it is its pitch-contour that is most important;

(2):   The examples of <u>Phrase</u> in FMC are almost exclusively the first significant pattern in a piece of music - this leads to the possibility that a <u>Gestalt</u> might be considered to be very similar to a <u>Phrase</u>, but one which is only introduced later in the course of the music (consequently having less importance to the structure than if it had been introduced at the beginning).

PHRASE

The <u>Phrase</u> is the first musical unit to be defined in FMC:

> The term *phrase* means, structurally, a unit approximating to what one could sing in a single breath ... Phrase-endings may be marked by a combination of distinguishing features, such as rhythmic reduction, melodic relaxation through a drop in pitch, the use of smaller intervals and fewer notes; or by any other suitable differentiation (FMC 3)

They:

> usually contain basic features more than once (MB 56)

> The kinds of *construction of a phrase*

> 1.   characterised
>   by one breath (Atem)
>   one point of gravitation (accent)
>   ·   the impossibility or improbability to be divided

> 2.   composed by more than 1 motive-form
>   a)   unvaried appearances of the motive
>   b)   harmonical [*sic*] variations
>   c)   rhythmical
>   d)   of the intervals variations

> 3.   Characteristic of the end of a phrase
>   1.   open for continuation (harm., rhythm, tones)
>   2.   independent end
>   3.   contrast from the beginning (male, female, masculine, feminine)
> (cited in "Little Ideas, Some Musical Ones" (Rufer 1963:159)

The <u>Phrase</u> is a small musical unit which achieves interim closure - typically employed at the beginning of a piece to expose the motivic material. It is likely to contain the contour of the <u>Grundgestalt</u>, but possibly only as part of the <u>Grundgestalt's</u> interpenetration of lower levels of structure. Again, it allows the possibility of the <u>Grundgestalt</u> as pitch-contour alone, controlling and defining the sounding musical surface.

There are particularly close links between <u>Theme</u> and <u>Grundgestalt</u>:

> 'Whatever happens in a piece of music is nothing but an endless reshaping of a basic shape [<u>Grundgestalt</u>]' Or, in other words, there is nothing in a piece of music but what comes from the theme, springs from it and can be traced back to it; to put it still more severely, nothing but the theme itself. Or, all the shapes [<u>Gestalten</u>] appearing in a piece of music are *foreseen* in the "theme". (SI 290)

The <u>Grundgestalt</u> is first stated in and alongside the <u>Theme</u>, and, with it, is responsible for unity, comprehensibility and coherence, and presenting the <u>Problem</u> of the piece:[23]

> <u>Theme</u> is the connection of a number of <u>motivic transformations</u> that for their part are usually linked together into <u>phrases</u> and often too into <u>small phrases</u>, [resulting] in a <u>unified</u> form.
> The <u>Theme</u> will, so to speak, formulate the problem of unrest present in the <u>fundamental</u> gestalt. (MI 180-1)

<u>Melody</u> is a subdivision of <u>Theme</u>, for Schoenberg less significant in the construction of musical structures:

> <u>Melody</u> is a particular kind of <u>theme</u>. While the theme may be content with fulfilling obligations of the idea, the structure, and the motive, so that the <u>laws of comprehensibility</u> are served as well, several other things are characteristic of melody. ... I would characterise the most essential features of melody as follows: 1. extremely slow and sparing <u>development</u>; 2. <u>concentration</u> of all events in a single voice, beside which all others become actually stunted; 3. extensive <u>unification</u> of all figuration; 4. frequent <u>repetition</u> of slightly varied <u>phrases</u>. (MI 180-1)

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[23] Every succession of tones produces unrest, conflict, problems. ... Every musical form can be considered as an attempt to treat this unrest either by halting or limiting it, or by solving the problem. A melody re-establishes repose through balance. A theme solves the problem by carrying out its consequences. The unrest in a melody need not reach below the surface, while the problem of a theme may penetrate to the profoundest depths. (FMC 102)

It seems possible that the Grundgestalt provides for the 'unification of all figuration', as well as controlling the 'repetition of [the] slightly varied phrases'.

> the theme is a special formation and an accessibly plastic one, required by certain forms in order to provide a fitting point of departure for later development. Since in its course this may wander far afield (subsidiary idea, variation, modulation(!)), the principal theme must be moulded so as to be very easy to grasp and liable to stick in the mind. (SI 472-3)

Comprehensibility is provided by reference to a thematic constant, the Grundgestalt.

> a melody can be compared to an "aperçu," an "aphorism," in its rapid advance from problem to solution. [see note 17] But a theme resembles rather a scientific hypothesis which does not convince without a number of tests, without presentation of proof.
>
> The melody also tends to achieve balance in the most direct way. It avoids intensifying the unrest, it supports comprehensibility by limitation, and facilitates lucidity through subdivision; it extends itself rather by continuation than by elaboration or development. It uses slightly varied motive-forms which achieve variety by presenting the basic features in different situations. It remains within the closer harmonic relationships.
>
> All these restrictions and limitations produce that *independence* and *self-determination* because of which a melody requires no addition, continuation, or elaboration. (FMC 102)

The foregoing survey of Schoenberg's use of the term <u>Grundgestalt</u> in the context of his hierarchy of musical units has led us to a position from which we can attempt to draw all the strands together into a single definition of each unit taking part in Schoenberg's hierarchy of musical means. Underlying this is the understanding that the <u>Grundgestalt</u> evolved in parallel with and has numerous links with Schoenberg's method for composing with twelve notes.

Patricia Kerridge has hypothesised that much of the confusion which has surrounded the meaning and purpose of the <u>Grundgestalt</u> can be attributed to Schoenberg's dual activities as teacher and composer (Kerridge 1986). Much of the difficulty which is attached to the concept of <u>Grundgestalt</u>, and especially to its sister concept of <u>Idea</u> (*Gedanke*) can be assigned to this cause. This can also be used to account for the lack of precision in many of Schoenberg's statements: like all good teachers it seems that he wanted to stimulate his pupils into finding their own answers, and as a composer it was sufficient for him to understand the concepts intuitively - his primary means of communication is through his music, not through his textbooks. And although Schoenberg's writings are a treasurehouse of information and insight, he never completed his long-contemplated textbook on the musical <u>Idea</u>.[24]

The diachronic survey of Schoenberg's use of the <u>Grundgestalt</u> yields some interesting results. The most important finding is the close link between <u>Grundgestalt</u> and his method for composing with twelve notes. This is true for virtually the entire twenty-six year period the term appears in his published and unpublished writings. It is also clear that the <u>Grundgestalt</u> is strongly related to at least one and generally several <u>Motives</u>.

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[24] Schoenberg's goal of a 'unified theory' presenting his perspective on musical unity and construction dates from as early as 1911, when he wrote to his publisher proposing a series of textbooks under the collective title 'Aesthetic of Music' (preface to MI).

The explication of Schoenberg's hierarchy of musical units proposed below, and, in particular, the novel understanding of the Grundgestalt is predicated on its close association with twelve-note music. The following is a list of musical units, from the smallest cell upwards in scale to large structural entities. As I believe Schoenberg wanted, it is a hierarchy which may be used in the exploration music of all types and of all periods (including twelve-note music):

Motive:

The Motive is the smallest musical unit. Consisting of at least one interval and one rhythm (Rufer 1954) it is at once the 'smallest common multiple' and the 'greatest common factor' in any one piece (FMC 8). Memorable in initial presentation it is used throughout the musical structure.

Gestalt and Figure:

Both configurations of more than one Motive. A Figure is a simple musical shape. A Gestalt is a characteristic and memorable unit, capable of longer-term significance.

Phrase:

A Phrase contains Gestalten and Motives. In size it is 'a unit approximating to what one could sing in a single breath' (FMC 3). It is a single closed unit, difficult to divide, which articulates a single musical accent.

Theme:

The Theme is a collection of Phrases, a larger-scale complete unit which provides the subject-matter for the piece. It formulates questions and issues which require answering - inherent in it is the need to be developed.

The hierarchy may in this manner be continued through <u>Sentence</u> and <u>Period</u> to its logical destination in the complete organic musical organism:

<u>Grundgestalt</u>:

> <u>Grundgestalt</u> is a construction of peculiar and overriding structural importance. According to the musical exigencies its results may be identified as any of the above musical units. If the <u>Motive</u> is a musical atom, the <u>Grundgestalt</u> is the unique D.N.A. which determines the combination and eventual function of the derived units.

> <u>Grundgestalt</u> is closely linked with the <u>Idea</u> (*Gedanke*). <u>Idea</u> is the metaphorical statement of how music is made both into unitary organic wholes, and propelled through time; <u>Grundgestalt</u> is the musical means by which the <u>Idea</u> is realised.

> Schoenberg's musical ontology is an immensely complex and continually-evolving structure. If we are to distil from it definitions which are useful in analysis and explication of music, we have to take as our fundamental the musical trope which is most often associated with his concept of <u>Grundgestalt</u>, the <u>Basic</u> <u>Set</u> or <u>Row</u>. Accordingly, the musical identity of the <u>Grundgestalt</u> is best expressed as an ordered pitch-class set. This mode of understanding allows the <u>Grundgestalt</u> to be part of any element of the hierarchy of musical means: it may be expressed as <u>Motive</u> or <u>Phrase</u>, accounting for the structural importance with which Schoenberg endows these units; it may be the controlling element in a <u>Theme</u> or a '<u>Gestalt</u> that occurs repeatedly within a whole piece and to which derived *Gestalten* are traceable' (MI 168-9); and, most importantly, it may be endowed with or associated with <u>Features</u> such as characteristic rhythms, articulations, or dynamics, through its presence in other elements in the hierarchy.

The extent and realisation of the possibilities inherent in the set are determined by the musical surroundings: if the Grundgestalt is being used in the ambitious attempt to explain the generative structure of a piece, it may be a formative, pre-compositional entity; whereas if the appropriation is made by an analyst, its identity must by determined by the analyst from the musical context and from their analytic intent in relation to the piece under consideration.

CHAPTER 2 - LITERATURE SURVEY

INTRODUCTION

This chapter explores previous explorations of Schoenberg's concept of the Grundgestalt, and the variety of its implementations in analysis. The chapter contains considerations of the work of writers who both explicitly and implicitly work with the concept and with related explorations of musical unity.

It is organised into three sections:

(1)   firstly, the three commentators who studied with Schoenberg. Their personal association with Schoenberg, and the strong possibility that Grundgestalt is a term which Schoenberg was more willing to use in his teaching than he was to define in print, give these individuals a particular authority;

(2)   secondly, what I have arbitrarily described as an 'English' school of authors. This group are linked together by their having been influenced by the work of Rudolph Réti;

(3)   the third group comprises the most recent appropriations of Schoenberg's concept.

(1) SCHOENBERG'S PUPILS

ERWIN STEIN

Erwin Stein's[1] most direct discussion of the <u>Grundgestalt</u> is found in his essay, 'New Formal Principles'.[2] The context for his comments is provided by the 'crisis in which to-day's [1924] technique of composition finds itself' (1953:57). The enrichment of the tonal system, as a result of the 'need to make matters tonal more interesting and exciting' (58), had resulted in a blurring of the distinction between consonance and dissonance: once an absolute dichotomy between the 'few dozens of chords' and the rest; by 1924, 'all vertical combinations have now become possible, including those of all twelve notes' (58), some two thousand in all. The evidence for this 'crisis' is found in the music and writings of Schoenberg, especially his Opp. 23, 24, and 25 and TH.[3] After a period devoid of publication, these works are evidence of Schoenberg's search for 'New Formal Principles': one piece in each of Opp. 23 and 24 employs an early form of twelve-note technique; the Op. 25 Suite is dodecaphonic throughout.[4]

The expansion of the possibilities of tonality, and its concomitant weakening, inevitably has results for traditional means of formal organisation. If 'the old keys are dead', then with them fall 'all the formative principles of music' (59). Stein outlines three immediate possibilities for the way forward: (1) the return to polyphonic composition. 'The growing insecurity of the harmonic terrain came

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[1] Stein studied with Schoenberg for four years from 1906, and later collaborated with him in running the Society for Private Performance (1920). He was an editor and arranger for Universal (of particular note are his arrangement of Mahler's Fourth Symphony for chamber forces, and edition of Schoenberg's F-sharp minor String Quartet).

[2] in *Orpheus in New Guises* (London 1953). The essay first appeared in German under the title 'Neue Formprinzipien'. It was published in the 1924 edition of *Musikblätter des Anbruch* (Vienna) as part of a tribute to Schoenberg's fiftieth birthday.

[3] Opp. 23 and 24, the Five Piano Pieces and the Serenade, date from 1920-3; Op.25, the Suite for Piano from 1921; *Harmonielehre* was first published in 1911, but which appeared in a revised form in 1922.

[4] The way Stein describes this process is interesting: 'It is a familiar story, told with the sense of inevitability and logical progression that is characteristic of Schoenberg and his school' (Schiano 1992:56).

to inhibit those architechtonic possibilities which rested upon tonality - until another constructive principle emerged, i.e. counterpoint.' (59). Stein admits that the current examples of this style are only short and that it has yet to stand 'the test of new, extended forms' (60); (2) the use of tonality enriched by the possibilities of polytonality, 'the simultaneous use of different keys' (60); and (3) 'The application of the new means of expression [twelve-note music] to traditional formal schemes ... [in this] key-contrasts will be replaced by contrasts of character or tempo, the return of the tonic by the repetition of another characteristic chord. No doubt the texture will be polyphonic ... Formal cohesion and connection are achieved, in the first place, by motivic work. (60).

It is the third possibility that most interests Stein. He describes in some detail the possibilities provided by using all twelve tones as a replacement for tonality, leading the convert through the procedures of Schoenberg. At this stage, he admits that 'the characteristics and requirements we have recognised are of but little formative value' (61). What is required is something which will provide the 'differentiation the lack of which made the chromatic scale so barren' (62).

Stein stipulates the use of a <u>Basic Set</u>[5] as the form-bearing component in this new principle. It is necessary:

> to lay down a certain order of the twelve notes for every piece of music and let the row [Basic Set] thus obtained become the bearer of construction. (62)

Thus far, Stein's explanation has been fascinating document, through which one may explore the early development of Schoenberg's thoughts about twelve-note music. The <u>Basic Set</u> will take the place of the now-redundant tonal system, endowed with form-building properties in the same ways that scales build keys. What comes next leads to a reinterpretation of some of the latencies in the previous writing:

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[5] Originally, Stein called this a 'row', in accordance with Schoenberg's English usage, preferring <u>Basic Set</u> in an 1953 addendum (62).

> The most significant feature of the new method is the introduction of a succession of notes, a *basic shape* [Grundgestalt], as Schoenberg calls it, which carries the form of the piece. Thereby all kinds of repetitions are once again rendered organic, rhythmico-symmetric repetitions as well as those of the motive itself. It would appear that music, or at any rate the larger forms, cannot do without them. The basic shape consists of several notes whose melodic structure (i.e. the relation between whose intervals) is binding upon the entire piece. The rhythm, however, is free, and since rhythm contributes at least as much as melody to musical characterisation, that circumstance alone produces countless possibilities of variation. (62)

This is the central explanation of what Stein believed to be the definition of the Grundgestalt - what we may reasonably take to be an accurate record of what Schoenberg was teaching in the nineteen-twenties. Stein believes that the Grundgestalt is an arhythmic tone-row which is the basis of the form of a piece. It is very easy to state that the Grundgestalt is the same as a twelve-note Row:[6] the correspondences are immediately underscored by Stein's subsequent delineation of some of the ways in which the Grundgestalt may be developed by inversion, by appearing in retrograde, and by being subjected to retrograde inversion:

> The basic shape should be fit to enter into sundry combinations with its various forms and with other motives, their derivative forms and transpositions. Inversion, retrograde motion and chords must yield useful forms both by themselves and in combination. If several motives occur, they should bear a 'complimentary' 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 features making for a wealth of relations between them. Not every succession of notes will therefore be a suitable 'basic shape' [Grundgestalt]. It will have to be adequately formed, as will the other motives. (65)[7]

This an exposition of the basic principles of twelve-note composition, as well as a description of combinatoriality. But the next sentence takes the work back into tonal regions:

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6 see Schiano's discussion of Stein's work (1992:54-65)

7 note that from this, it may be deduced that for Stein, the Grundgestalt is a conscious, pre-compositional construct with strong generative capabilities. This is at odds with the work of several other writers, notably Alan Walker (1962) and Hans Keller, who believe that the Grundgestalt is a way of exploring the unconscious motivation of the composer.

Fugue was a similar case: its subject had likewise to fulfil certain condition. The fact is that polyphonic forms are inverted polyphonically. (65)

Time and again, Stein's intention is to root the twelve-note method in the music of the past, and it is this aim that leads us to the belief that, for Stein, Grundgestalt and Basic Set are not completely interchangeable terms - Grundgestalt has a much wider significance. The reason for the development of the twelve-note principle is to revivify the old formal models - models which had been undermined by the increasingly-chromatic interpretation of the fundamentals of tonality. Giving new life and direction to the old models is, for both Stein and Schoenberg, a process which requires one to build new form-giving procedures from basic components shared between old and new. The inspiration to overcome the obstacles facing a composer active in the 'new' aesthetic, according to Stein, was 'likely to emanate from ... counterpoint and from practical experience.' (59). This completely in accordance with what we know of Schoenberg's teaching and compositional practice at this time.

STEIN AND THE GRUNDGESTALT

It is at once the difficulty and the fascination of Stein's definition of the Grundgestalt that it was produced at a time when the twelve-note method was in its infancy. Stein acknowledges this in his preface to the 1953 reprint of the essay:[8]

> The present essay does not describe Schoenberg's composition with twelve notes, but the stage immediately before it had finally crystallised. (57)

As in the body of the essay, he explains that the technique developed organically out of the practices of the past:

> The description will show, it is hoped, that the method grew gradually and inevitably from Schoenberg's earlier compositions, as a practical, if personal, means of expressing his musical thoughts. (57)

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[8] It is interesting to note that this is the only essay in the volume which Stein feels the need to explain and update.

Finally, in the preface he provides retrospective explanations of the relationship between three terms: <u>Melodic Motif</u>; <u>Basic Set</u> (twelve-note row); and <u>Grundgestalt</u>:

> the often used expression 'melodic motive' 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 motive's first exposition, is derived from a basic set of twelve notes which, however, is not a melodic motive, but the raw material of as many motives as the composer needs. The expression 'basic shape' [Grundgestalt], the other hand, is applicable to either the twelve-note row or any melodic motive. (57)

This explanation goes a long way to clarifying the inconsistent and confusing terminology employed in the essay, and is important evidence of the link Stein perceives between the <u>Grundgestalt</u> and the <u>Basic Set</u>. But it is also proof that the <u>Grundgestalt</u> is a pitch-class set derived either by twelve-note, atonal, or tonal means. Stein's definition of the <u>Grundgestalt</u> must be re-read in terms of its relevance in both tonal and non-tonal musics:

> The most significant feature of the new method is the introduction of a succession of notes, a *basic shape* [<u>Grundgestalt</u>], as Schoenberg calls it, which carries the form of the piece. (62)

The Grundgestalt may be the same as a Melodic Motive,[9] but has a wider role: whereas the Melodic Motive may derive 'subsequent music' (57), the Grundgestalt 'carries the form of the piece' (62). The Melodic Motive is influential, but there may be several of them operating within a given structure - in twelve-note music, it is 'the relations between the twelve notes ... [that] are to be expressed, whence as many notes as possible should be used - all of them, if possible. They need not, however, be united within a single motive, but can be distributed among several motives.' (63).[10] The Grundgestalt is omnipotent:

> The basic shape consists of several notes whose melodic structure (i.e. the relation between whose intervals) is binding upon the entire piece. (62)

and it is divisible into smaller portions:

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[9] It is also interesting further evidence of the close relationship between Stein and Schoenberg's thinking. Stein uses Melodic Motive in two ways: (1) to distinguish pitch elements from rhythmic elements; and (2) in very much the same way as Schoenberg uses Basic Motive (in German *Hauptmotiv* or *Grundmotiv*).

1.
The Basic Motive is a particular type of Motive, endowed with more structural significance, being a necessary Feature (*Eigenschaft*) of larger structural shapes:

> Motive is that which is *effective* in each gestalt (theme, phrase, *Satz*, etc.) ... One should find in everything a basic motive; it is necessary, however, to anticipate that later branched-out motives (outgrowths, seedlings, embellishment) achieve great significance. (unpublished essay 'Zur Terminologie der Formenlehre' (1923) translated in MI 357-8)

Just as with Stein's Melodic Motive, there may be several Basic Motive forms within a piece: it is possible for there to be a developing pattern of Basic Motives growing one out of another.

2.
Stein states that the Melodic Motive may be a part of a Basic Set or a Grundgestalt; Schoenberg agrees that the Basic Motive is an important surface indicator of higher-level structural activity:

> Inasmuch as almost every figure within a piece reveals some relationship to it, the basic motive is often considered the 'germ' of the idea. (FMC 8)

3.
Stein's preface indicates that a Melodic Motive may be the same in musical substance as a Grundgestalt: 'The expression "basic shape" [Grundgestalt] ... is applicable to either the twelve-note row or any melodic motive' (57). In his *Harmonielehre*, Schoenberg describes the F - A flat - F Grundgestalt of Brahms's Third Symphony as a Basic Motive, using the terminology to explain the relationship between the first subject (F major) and the second subject (A major) (1978:164).

[10] 'Even if the row consisted of fewer than twelve notes, one could easily employ the notes that are foreign to the basic motive (or motives), just as one previously used notes foreign to a given scale.' (62)

it [the Grundgestalt] is not the smallest possible entity, but can be split up into further motives (65)

Herein lies the <u>Grundgestalt</u>'s form-bearing ability:

> Its possibilities of variation ... are more numerous and various than those of a motive [or the <u>Melodic Motive</u>] in the usual sense. In addition to inversion, retrograde motions, divisions into smaller motives, and chordal formations, a number of other derivations play a decisive part. Among the most important is the inversion of intervals. The relation between the notes C and E, for instance, may express itself now in a major third, now in a minor sixth, now in the leap of a tenth; ... for only the relations between the notes are binding, their direction is not.(65)

This fascinating passage might be argued to be a further explanation of twelve-note composition. Emphatically, it is not. Given the evidence of the musical circumstances in which the book was written (that is 'the stage immediately before it [the twelve-note method] had finally crystallised' (57)), his own usage of <u>Melodic Motive</u> (less significant than the <u>Grundgestalt</u>), and Stein's preface ('[<u>Grundgestalt</u>] is applicable to either the twelve-note row or an melodic motive'), this section describes Stein's view of all music before the evolution of the twelve-note method. Given also Stein's preoccupation with the music of the past, this is a 'manifesto' which may be considered in terms of German music from J.S. Bach onwards.

STEIN AND THE MUSIC OF THE PAST

In the essay 'Some Observations on Schoenberg's Twelve-Note Rows' (Stein 1953:78-81)[11], Stein outlines the principles of twelve-note composition. In exploring the possibilities for development inherent in the Basic Set he seeks to conjoin Schoenberg's procedure with those of the past:

> What immediately strikes us about this new procedure is that a series of note - a melodic line - assumes formal significance. We find similar processes in variation technique (especially in Brahms, Strauss, and the earlier Schoenberg) where they form a counterpart to the principle of motivic work which subjects a rhythmic motive to melodic variation (70)

Stein's writings on the music of Beethoven are of particular note. In an essay entitled 'Musical Thought: Beethoven and Schoenberg' (1953:90-95),[12] Stein presents a stimulating commentary on the thematic unity of the first movement of the Eroica Symphony:

> It is, in particular, the astonishing mutability of his motives which creates an unprecedented wealth of relations. We only have to recall (to cite some of the best-known examples) how almost the entire first movement of the fifth Symphony is developed from its short basic motive; how, in the first subject of the *Eroica*, the motive E flat - D - C sharp (which forms the fourth and fifth bars of the opening 'cello phrase [E flat - E - F (clarinet to violin), F - G - A flat, and A flat - A - B flat], how the same motive develops into the theme of the bridge-passage and, indeed, shows its influence in countless places until, in the coda, it appears in the woodwind over the B flat pedal (again in inversion); or how, in the Adagio of the Ninth, the motive of the first introductory bar becomes the motive of the second theme. In this way, extended symphonic movements which abound in contrasts achieve a formal unity that had previously been confined to melodies, themes, short pieces, and - alone amongst wider structures - fugues. (91)[13]

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[11] The essay originally appeared in 1926

[12] First published in 1927

[13] This anticipating Epstein's Grundgestalt analysis of the same piece by over fifty years (see Epstein 1979:111-39)

Stein's aims are clear:

> The time will come when we shall better understand how Schoenberg's "composition
> with twelve notes", too, derives - as a final consequence - from Beethoven. (95)

He wishes to demonstrate that Schoenberg's methods are irrefutably rooted in
the music of the past:

> A new principle arises: everything has to be thematic, nothing decorative. ... What
> makes such strictness possible is the very mutability of motives and themes which
> Beethoven initiated. (93)

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Josef Rufer is the second of Schoenberg's pupils to commit themselves in print to a definition of the Grundgestalt.[14] Published in German in 1952, *Composition with Twelve Notes* is an exploration of Schoenberg's compositional principle. Like Stein, Rufer emphasises the links between twelve-note composition and earlier compositional practices, and it is in this context that he introduces Schoenberg's concept of the Grundgestalt. Rufer's **most important contribution to our understanding of the Grundgestalt comes not in the main body of the book, however, but in a letter written to the translator of the English edition, Humphrey Searle. The letter is dated 22 January 1954 and is reproduced in the preface to the English edition:**

> In his composition teaching, Schoenberg formed the concept of the *Grundgestalt* (Basic Shape) as early as 1919 and used it with the exact meaning it has in my book - as being the musical *shape* (or phrase) which is the *basis* of the work and is its "first creative thought" (to use Schoenberg's words). Everything else is derived from this - in music of all kinds, not only twelve-note music; and it is not derived merely from the basic *series* which is contained in the basic shape, but also from *all* the elements which, together with the series as the melodic element, give it its actual shape, this, rhythm, phrasing, harmony, subsidiary parts, etc. In this connection it is especially important that Schoenberg, who in those days was working out his [serial] method for the first time, applied the results of his composition with twelve notes to composition in general from the outset, by choosing the concepts he used for the theoretical formulation of his method in such a way that they could also apply to music of any kind (tonal, classical, etc.). ...

> In my very full notes of his teaching between 1919 and 1922 I find these definitions: a *motif* is the smallest musical form, consisting of at least one interval and one rhythm. The next sized form is the *Grundgestalt* or phrase, "as a rule 2 to 3 bars long" (the number of bars depending on the tempo, among other things), and consisting of the "firm connection of one or more motifs and their more or less varied repetitions." This next size form, the *theme*, "arises as the need to connect several shapes together" and consists of the "connection (here he expressly does not say *firm*) of the *Grundgestalt* with its more or less varied repetitions."

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[14] Rufer was Schoenberg's pupil in Vienna for three years from 1919, becoming his assistant in Berlin from 1925 to 1933. Later in 1957, Rufer undertook the cataloguing of the Schoenberg archives in Los Angeles.

It is quite clear from this that Schoenberg invented and used the term *Grundgestalt* as a concept which is universally valid in music, especially in analyses of classical music. So far as I know he never tried ... to analyse a whole work showing its derivation from a *Grundgestalt*. But he certainly spoke of doing this. (Rufer 1954:vi-viii)

This bold letter makes a number of assertions about the <u>Grundgestalt</u>:[15]

(1)

The letter, firstly, informs us that Schoenberg was confident enough with the term in 1919 to include it in his teaching. One may infer from this that the term, or at least the constellation of concepts which Schoenberg gathered and explored using the nomenclature, evolved somewhat earlier. Schoenberg's earliest surviving manuscript using the term is dated July 1925 (MI 413-416). This finding is fully in accordance both with Stein's account (published in 1924), and with the way his music was exploring new regions in the decade from 1920.

The letter also confirms the temporal and conceptual link between the <u>Grundgestalt</u> concept and the evolution of the twelve-note method:

> In this connection it is especially important that Schoenberg, who in those days was working out his [serial] method for the first time, applied the results of his composition with twelve notes to composition in general from the outset, by choosing the concepts he used for the theoretical formulation of his method in such a way that they could also apply to music of any kind (tonal, classical, etc.).

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[15] quotations are taken from Rufer's letter to Searle unless otherwise stated.

(2)

Rufer describes the Grundgestalt as 'the musical shape (or phrase) which is the basis of the work and [which] is its 'first creative thought'. That the confusion between 'shape' and 'phrase' is a mistake is made clear by Rufer's later substitution of the term Gestalt for Phrase.[16] Schoenberg makes a clear distinction between Gestalt and Grundgestalt in MI, stating: (1) that a Gestalt 'need not necessarily have more than local significance' (MI 168-9); and (2) that a Grundgestalt is a construction 'to which derived gestalten can be traced back' (MI 168-9).[17]

(3)

Rufer states that the Grundgestalt is of paramount importance to all parameters of musical structure, 'not merely the basic *series* which is contained in the basic shape [Grundgestalt], but also from *all* the elements which, together with the series as the melodic element, give it its actual shape, this, rhythm, phrasing, harmony, subsidiary parts etc.' Again emphasising the links between Grundgestalt and the twelve-note method, Rufer links the Grundgestalt with the Grundreihe (Basic Set):

> Just as the thematic material of a tonal work is derived from the basic shape [Grundgestalt], similarly in twelve-note music it arises out of the basic series. (1954:45)

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[16] The same passage with the single change appears in Rufer's later article, 'Begriff und Funktion von Schönbergs *Grundgestalt*' (1971).

[17] Rufer uses the prefix Grund- throughout the book to denote primary importance ('Grundmotiv' and 'Grundidee' are examples); despite the assertion that Grundgestalt was 'especially important for Schoenberg', one may infer from Rufer's usage that, for him, Grundgestalt is a (merely) an important or primary Gestalt.
Musgrave suggests that the only Gestalten which Schoenberg discussed with Rufer are also Phrases, adducing Rufer's analysis of Beethoven's Piano Sonata Op.10 as an example of this unfortunate coincidence (Musgrave 1980:180). This also explains Rufer's ambiguous hierarchy of musical units. He states that 'a *motif* is the smallest musical form, consisting of at least one interval and one rhythm. The next sized form is the *Grundgestalt* or phrase, "as a rule 2 to 3 bars long" (the number of bars depending on the tempo, among other things), and consisting of the "firm connection of one or more motifs and their more or less varied repetitions." This next size form, the *theme*, "arises as the need to connect several shapes together" and consists of the "connection (here he expressly does not say *firm*) of the *Grundgestalt* with its more or less varied repetitions."'

Rufer is careful to state that, although related, the <u>Grundgestalt</u> and the <u>Basic Set</u> are not one and the same:

> So *Grundreihe* (basic set or series) and *Grundgestalt* (basic shape) are two different things. The latter is a wide musical concept; the former belongs to twelve-tone music and is a part of the latter - this must be brought out quite clearly, because 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*. On the other hand, for nearly all the twelve-note composers I know, the series is the primary element and starting point! Both expressions, *Grundreihe* and *Grundgestalt*, come from Schoenberg himself. (in preface to Rufer 1954)

In twelve-note music, the <u>Basic Set</u> may be present as the thematic disposition of the <u>Grundgestalt</u>, but the <u>Grundgestalt</u> is a 'wide musical concept' with equal relevance in twelve-note and tonal music alike.

(4)

Rufer states that the <u>Grundgestalt</u> not only lies at the heart of the 'melodic element' (which he also describes as the 'thematic material'), but also 'all the elements which ... give it its actual shape, this, rhythm, phrasing, harmony, subsidiary parts etc.' This ambitious endeavour goes beyond anything that Schoenberg was prepared to commit himself to in print, and contains internal inconsistencies.

An important problem is the relationship between the 'melodic element' and the 'harmony'. Rufer claims that the thematic and harmonic domains of any one piece are two separate forces: the <u>Grundgestalt</u> determines the way the two domains intersect:

> In tonal music two fields of force are at work. One of them is, so to speak, of dual power, for its energies arise from the combination of the melodic and the rhythmical elements and create motivic and thematic (melodic) shapes. The other field of force is that of tonality, which is preponderantly harmonic. Each of these fields of force produces energies out of itself: the latter by the perpetual variation of harmonic formations and sequences of chords with differing degrees of tension, the former through changing combinations and variations of the melodic (the intervals) and the rhythmical element.

The very varied interplay of both fields of force acts as the motive power of the course of the music. The way in which this interplay takes place represents the musical idea which is the basis of the piece ... the *basic shape* (*Grundgestalt*) ... [comprising] in its disposition both the fields of force, between which the work "plays" - the basic tonality and the basic motivic content. Everything else arises from these, so that one can truly say: the original conception (=the basic shape) contains the *law* of the whole work and is the first precise formulation of it ... this applies both to tonal and to twelve-tone music (56-7)

The term <u>Grundgestalt</u> was coined as part of the process that led to the development of the twelve-note method; in its later life it justified the validity of twelve-note composition in terms of its close relationship with preceding music. Twelve-note composition generates its 'harmonic' content contrapuntally, and by verticalization of <u>Basic-Set</u> elements. Rufer's definition states that the <u>Grundgestalt</u> has a 'melodic element', a 'basic series', around which are constellated those <u>Features</u> which give the 'series' identity ('rhythm, phrasing, harmony, subsidiary part'), that the <u>Grundgestalt</u> is the agent controlling the interaction of the different 'domains' of music. From the writings of Schoenberg and Stein, one may infer that the <u>Grundgestalt</u> is indeed a 'basic series', but it is 'series' which acts as a generative structure, evolving its own harmonic identity or identities - not a 'series' with which is associated harmony. This is a subtle distinction, Stein's position possessed with a pleasing organic 'completeness', and one which is blessed by having been written at the time of the idea's formulation, not, as Rufer's was, from student notes thirty years later.

Rufer's evidence is of great importance; its problems stem from his anxiousness to place the twelve-note method at the apogee of musical progress. He attempts an all-embracing definition of <u>Grundgestalt</u>, which, rather than emphasising its strong links with the twelve-note method, succeeds only in undermining them with extraneous detail.

(5)

Rufer states that <u>Grundgestalt</u> is a concept which is effective in music of all periods, 'in music of all kinds, not only twelve-note music'. It is a concept which is 'universally valid in music especially in analyses of classical music', and 'So far as I know [Schoenberg] never tried ... to analyse a whole work showing its derivation from a *Grundgestalt*. But he certainly spoke of doing this'.

Schoenberg thought that the <u>Grundgestalt</u> had a potential influence far wider than the restricted world of twelve-tone composition. It is clear that the emergence of <u>Grundgestalt</u> is intimately involved with the remarkable processes which shaped Schoenberg's twelve-note method. It is equally clear that the justification of the revolution is found in Schoenberg's view of the music of earlier composers - the way that he sees his innovations to be the next stage of the single sweep of musical progress which began with J.S. Bach. Rufer reveals the effects of this conviction on Schoenberg's teaching work: Schoenberg 'mentioned himself that in his teaching he quite consciously absorbed the newly-born perceptions drawn from twelve-note composition in analyses of Mozart, Beethoven, Brahms, but in camouflaged form' (Rufer 1962:148).[18]

One is forced to ask why Schoenberg never attempted a <u>Grundgestalt</u> analysis. There are a number of reasons for this. Firstly, Schoenberg's <u>Grundgestalt</u> is a single concept about musical unity, but it is never completely accounted for by one single author. Partly because it was evolving in parallel with Schoenberg's compositional theory and practice, and partly because it suited Schoenberg's role as teacher, Schoenberg never completed a thorough definition of the project. In his writings about music, Schoenberg enjoyed ambiguity, more often than not suggesting rather than defining, allowing his pupils to take the concepts their own ways. <u>Grundgestalt</u> was of enormous significance for him, and definitively to have defined it would have undermined its use to him. As for

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[18] Josef Rufer: *The Works of Arnold Schoenberg* tr. D. Newlin (London 1962) 148

analysis, Schoenberg dabbled (brilliantly), but was more interested in using extant music to condition his own compositions than producing analyses of other composers' work.[19]

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[19] Musgrave contends that Schoenberg found the implementation of Grundgestalt in tonal music to be too difficult, and preferred to leave the work to someone else: 'Despite the central importance of long-term relationships to Schoenberg, however, he never committed himself to an analysis ... For, whilst many details of a work can certainly be related to its opening materials, the derivation of all the main elements from a basic shape represents far greater difficulties in tonal music than in serial music, indicating that the concept was most significantly influenced by serial practice, a fact which has not escaped attention.' (1980:181)

Patricia Carpenter is the last of the pupils of Schoenberg to have written about his concept of the Grundgestalt. Carpenter's work on the Grundgestalt is contained in four articles published between 1983 and 1988.[20] Carpenter has a number of advantages over the other authors considered here: (1) she worked with Schoenberg in California between 1942 and 1949, giving one of the first performances of his piano concerto in 1944. By 1942, Schoenberg had established the primary tenets of his twelve-note method, and was beginning to gather material for his textbooks on musical composition. Rufer and Stein first worked with Schoenberg when he was developing his ideas, Carpenter was working with an established composer; (2) In the work of Rufer and Stein, there is the necessity to argue that Schoenberg's methods and ideas are valid and important; by the time Carpenter was writing (some sixty years after Stein), she has the luxury of taking a more objective approach to Schoenberg's writing; (3) Carpenter's 1988 article 'A problem in Organic Form' is one of the first to appropriate Schoenberg's writing in MI.[21]

Carpenter discusses three related concepts: form; Schoenberg's concept of Monotonality; and the Grundgestalt. A second preoccupation is the crucial difference between Schoenberg's view of the Idea and the Grundgestalt.

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[20] (a) 'Grundgestalt as Tonal Function' in *Music Theory Spectrum* 5 (1983) 15-38

(b) 'Musical Form and Musical Idea: Reflections on a Theme of Schoenberg, Hanslick, and Kant.' in Edmond Strainchamps and Maria Rike Maniates (eds.): *Music and Civilisation: Essays in Honor [sic.] of Paul Henry Lang* (New York 1984) 394-427

(c) 'Aspects of Musical Space' in Eugene Narmour and Ruth Solie (eds.): *Explorations in Music, the Arts, and Ideas: Essays in Honor or Leonard B. Meyer* (Stuyvesant 1988a) 341-73

(d) 'A Problem in Organic Form: Schoenberg's Tonal Body' in *Theory and Practice* 13 (1988b) 31-65

Also relevant is Carpenter's most recent contribution: 'Tonality: A Conflict of Forces' in James Baker, David Beach, and Jonathan Bernard (eds.): *Music Theory in Concept and Practice* (New York 1997) 97-129.

[21] Carpenter is reported to regard this article as her most important contribution to the discourse (Schiano 1992:100)

(1) Form[22]

The concept of form which Carpenter outlines is far removed from straightforward notions of internal disposition: she discusses form in terms of identity or ideational 'completeness':

> If Schoenberg can be said to have developed a theory, it is first of all a theory of art and the work of art, that is to say, an aesthetic theory. His concept of form is that of aesthetic form, form as it applies to the concrete work of art. (1988b:32)

This is the starting point for her exploration of <u>Grundgestalt</u>; the 'concept [of form] underlies his specific technical treatment of musical form' (1988b:32). Stating that 'Form should be understood as a function rather than a mould' (1988b:33), she explain the way form articulates perceptual singularities:

> form in regard to a whole that evolves in time has its own set of problems: for example, the distinction between process and product; or specific perceptual problems, such as the comprehension of the content of a 'moment', or content collected at different levels, or the gathering together of an entire work. (1988b:33)

The problem of applying form to a work of art is to distinguish between its inner content, its matter, at its outer embodiment, its form. The continuum between these two points is wherein the nature of form is examined. Carpenter, adducing Kantian aesthetic theory, argues that form is essential to the identity of art: paraphrasing Conrad Fiedler, she says that 'Art ... owes its essence to the spiritual power of man; therefore it is not the same as nature' (1988b:34). Thus:

> Man engages in a struggle with nature, not as a physical, but as a mental necessity. The artist is not interested in copying, but in comprehending. Comprehension comes only in shaping. (1988b:34)

and:

> The work of art is an outer manifestation of an inner process (1988b:34)

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[22] for a considerably fuller (and highly-perceptive) examination of notions of musical identity and distinctiveness see Carpenter's 'The musical object' (1967)

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Carpenter goes on to discuss Schoenberg's particular view of this vital debate (1988b 35-6). She describes the way that, for Schoenberg, art is an organic form, the 'construct is not a mechanical one, like a clock, for example, but an image which is like an organism' (1988b:36). This is the essential metaphor of the work of art for Schoenberg, as a body with differentiated parts and functions (limbs), but conceived in a single instant, and to be understood as a singularity (SI 458). The parts have specific functions, but cannot undertake their assigned tasks without the whole within which they belong:

> The inner force of such a whole comes from an inner energy, an inner necessity. The inner force that gives the tonal body its life is a musical idea. These three notions - a particular kind of wholeness, its articulation but the function of its members, and the idea which is its inner force - are the basis of Schoenberg's theory of form. He treats them as technical matters. (1988b:37)

(2) The **Idea** and the **Grundgestalt**

As with so many of Schoenberg's concepts, the notion of the Idea developed through time. 'In traditional music theory 'idea' designated a theme or a melody. He seems to have begun with that, but by at least 1934, he no longer conceived as the idea as a concrete theme, but rather as the abstract relations it embodies (Carpenter 1988b:37). In 1934 he writes:

> Through the connection of tones of different pitch, duration, and stress (intensity ???), an unrest comes into being: a state of rest is placed in question through a contrast.
> From this unrest a motion proceeds, which after the attainment of a climax will again lead to a state of rest or to a new (new kind of) consolidation that is equivalent to a state of rest. (MI 102-3).

Carpenter goes on to quote the passage in MI in which Schoenberg further explores this 'motion', and the musical manifestation by which it is realised:

This unrest is expressed almost always already in the <u>motive</u>, but certainly in the gestalt.

In the theme, however, ... the problem of <u>unrest</u> that is present in the <u>motive</u> or the <u>fundamental gestalt</u> achieves formulation. This means that as the theme presents a number of <u>transformation (variations) of the motive</u>, in each of which the problem is present but always in a different manner, the tonic is continually contradicted anew (MI 105-7)

Carpenter's own definition of the <u>Problem</u> inherent in the <u>Idea</u> emphasises the <u>Idea's</u> tonal actualisation:

Schoenberg views tonality as a necessary conflict, a battlefield of centrifugal and centripetal forces. If life, if a work of art is to emerge, he writes, then we must engage in this movement-generating conflict. The tonality must be placed in danger of loosing its sovereignty. Each particular tonality is made manifest by this course of events: it is established, challenged, and reestablished. The challenge to the tonic creates unrest and imbalance, thus presenting a problem. The restoration of its sovereignty restores balance and resolves the problem (1988b:38)

This introduces one of Carpenter's prime interests: the relationship between the <u>Idea</u>, <u>Grundgestalt</u>, and Schoenberg's theory of <u>Monotonality</u>.[23] The following is Carpenter's explication of Schoenberg's theory:

Tonality for Schoenberg in not merely a certain collection of pitches, a scale, but more importantly, a kind of centricity. All pitches of a key-collection are related to a single tonal centre, each in a specific way. The function of a single tone is signified by the degree of the scale it represents. The function of a chord depends upon its root, which is, in turn, the scalar degree upon which the chord is constructed. Tonality, then, is a set of functions of scalar degrees. If we want to grasp the idea of a composition that is "about" F, for example, we shall want to know how each pitch that arises in the course of the piece is related to the tonic. (1983:16-7)

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[23] Schoenberg referred to <u>Monotonality</u> in a letter to Andres Twa in 1944:

I believe in *monotonality*, that is there is only one tonality in *one* piece and all that was called "another key" is only "a region carried out like a key" - a region of the one tonality of the piece (Letters 219)

It is:

[A] principle [that] every digression from the tonic is considered to be still within the tonality, whether directly or indirectly, closely or remotely related. In other words, there is only *one tonality* in a piece, and every segment formerly considered as another tonality is only a region, a harmonic contrast within that tonality [SFH 19]

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Thus, Monotonality is the background against which the Problem, inherent to and which, according to Carpenter, is part of the direct musical expression the Idea, is worked out. Tonal destabilisation is the way in which musical motion is directed: the tonic provides a central point within Musical Space around which the tonal structure is deployed; it is also the means by which the Problem is eventually overcome. The start of a typical process is explained in a passage from Schoenberg's essay 'New Music, Old Music, Style and Idea': this is referred to, in one form or another, in all of Carpenter's articles listed above:

> Every tone which is added to a beginning tone makes the meaning of that tone doubtful. If, for instance, G follows after C, the ear may not be sure whether this expresses C major or G major, or even F major or E minor: and the addition of other tones may or may not clarify this problem. In this manner there is produced a state of unrest, of imbalance which grows throughout most of the piece ... The method by which balance is restored seems to me the real idea of the composition. (SI 123)

The Grundgestalt is the way that the tonal 'problem' (that is, the expression of the Idea), is made manifest and directed through the piece. The following is Carpenter's exposition of her interpretation of Schoenberg's hierarchy of musical divisions; she begins with a recapitulation of the organic basis of Schoenberg's interpretation of form:

> Because a piece of music is like an organism, its formal members, like the limbs of an organism, are differentiated and characterised by their function - such as, for example, statement and establishing, transition and bridging, contrast, elaboration, or closing. [1988a:39]

The subsequent hierarchy outlines the way in which these functional divisions may be further divided:

In his theory of form Schoenberg interprets a traditional hierarchy of segments and sections as a functional progression from smallest part to organic whole. A motive is the smallest part in a piece of music which, "despite change and variation, is recognisable as occurring everywhere" [MI 168-171]. It will be characterised by features of interval and rhythm and have harmonic implications. A *Gestalt* or figure is a configuration of motives. A phrase is a connection of *Gestalten* and motives, about as long as a breath. A theme or melody consists of phrases, and so on. The *Grundgestalt* or basic shape is a "Gestalt that occurs repeatedly within a whole piece and to which derived *Gestalten* are traceable."[24] [1988a:39]

It is interesting to compare this with Rufer's hierarchy: here, the <u>Grundgestalt</u> is a particular form of <u>Gestalt</u>, removed from the hierarchy, and <u>Phrase</u> is given a convincing Schoenbergian explanation. Carpenter, further, relates this hierarchy of musical units to the <u>Idea</u>, with its inherent need to create and direct 'rest and unrest':

> By explaining the musical idea in terms of rest and unrest, Schoenberg is able to unify the formal levels of the work: unrest is inherent in the motive or *Gestalt*; the theme formulates the specific problem that unrest creates; the entire work is the development of the imbalance produced and balance restored. If I understand Schoenberg correctly, the idea is a set of abstract relations; the *Grundgestalt*, its concrete presentation. [1988a:39]

(3)

Carpenter's exploration of the <u>Idea</u> is convincing. There is a pleasing directness about the link between the abstract <u>Idea</u> and Schoenberg's theory of <u>Monotonality</u>, and her hierarchy of musical forms is impressive. There are three areas in which inconsistency arises:

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[24] MI 168-9

(a)

Although Carpenter's theoretical exposition carries conviction, there a are number of problems with her analytic implementation of her findings.[25] The first problem with Carpenter's work in the inclusion of a rhythmic element in the Grundgestalt. She appropriates Schoenberg's definition the Grundgestalt in MI:

> A *Gestalt* that occurs repeatedly within a whole piece and to which derived *Gestalten* are traceable [MI 168-9]

Thus, its surface constitution will be that of a Gestalt, a configuration of motives, defined by pitches and rhythms. Carpenter's method is most directly expressed in her analysis of Brahms's Intermezzo Op.76 no.6 (1988b:39ff).[26] Her approach identifies a rhythmic component in Grundgestalt as outlined in the 'Initial Phrase',[27] but makes very little use of it later. Her rhythmic component serves merely to identify the presence of the the the opening texture:

> Generally, throughout the piece, when this rhythmic configuration is present it characterises this disposition of the voices [1988b:45]

Her (sparse) rhythmic analysis indicates the use of the rhythmic component of significant motives - albeit associated with the Grundgestalt - but without the determining rôle one might expect from her theoretical exposition.

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[25] The majority of comments herein will refer to Carpenter's analysis of Brahms's Intermezzo Op.76 no.6 (1988b). This is the most developed and detailed example of her method. Her other analyses are of Beethoven's Piano Sonata in F minor (Op.57) (1983); Beethoven's String Quartet (Op.95) (1984); and Schubert's Impromptu in G flat major (Op.90 no.3) (1988a).

[26] Carpenter's analysis of Beethoven's *Appassionata* (Op.57), is unconcerned with rhythmic matters, presenting the influence of a three-note pitch-collection (Grundgestalt) on the tonal discourse of the piece (1983:15-38). Her aim is to:

> to explicate features of Schoenberg's concept of tonality as a network of tonal relations; and ... to demonstrate how the *Grundgestalt* functions on several levels - as motive, theme, span of bridge or development, and structural design - to make manifest that tonality.[1983:38]

[27] see her example 2 (1988b:44)

(b)

Despite the case she made for the relationship between the Grundgestalt and the generative Problem (the tonal manifestation, Carpenter claims, of the Idea), in her analysis of the Brahms *Intermezzo* there is a disjunction between her exposition of tensions comprising the tonal 'body' of the piece and her Grundgestalt. Although the parallel tenths which embody her Grundgestalt must be associated with the third-related key-areas of the Intermezzo, the all-important 'tonal problem' is contained elsewhere. She states:

> A tonality may be challenged - and imbalance brought about - by ambiguous diatonic elements or by the introduction of nondiatonic tones. [1988b:40]

She identifies three non-diatonic tones: B sharp, D sharp, and F natural. Her conclusion summarises her results:

> I have traced how [they] ... were enhanced and how the disruption they brought about was ultimately subdued by their assimilation into an expanded tonality. [1988b:63]

However, these pitches are not contained in or derived from the Grundgestalt. They are introduced in the second Phrase (what Carpenter calls the Dominant form of the first Phrase), and are exposed in a 'third voice, added to the basic combination below and above the original lower voice' (1988b:47).

Fundamental to Carpenter's argument has been the assumption that individual pitches may stand for harmonies. There are good Schoenbergian (and Schenkerian) precedents to corroborate this assertion. However, the most compelling part of Carpenter's argument is undermined by her implementation of the theory. She states that:

> unrest is inherent in the motive or *Gestalt*; the theme formulates the specific problem that unrest creates; the entire work is the development of the imbalance produced and balance restored. ... the idea is a set of abstract relations; the *Grundgestalt*, its concrete presentation. [1988a:39]

The 'unrest' she identifies, the non-diatonic pitches, is associated with the Grundgestalt but is not 'inherent' to it.

(c)

Finally, there are problems with the identity of the Grundgestalt. Carpenter's Grundgestalt consists of two elements:

> the first is a two-voiced combination, two parallel tenths, the upper displaced by an octave. ... The second is a third inner voice, the leading tone (A -G sharp), which I call a "free" voice [1988a:42-5]

Carpenter goes on to describe the way the Grundgestalt leads to the discovery of what she calls a 'basic combination':

> This basic two-voice combination [the Grundgestalt], cleared of suspensions, octave displacements, and octave inversion is the stepwise descent of a third in parallel tenths [1988a:45]

This is perceptive and significant analysis. What is disturbing is the terminology used: why is this 'basic configuration' not described as a Grundgestalt? The 3 - 2 - 1 contained in this 'basic combination' might usefully be related to the Schenkerian *Urlinie*, and the motivic descending tone emphasised by the repetition of what Carpenter describes as the Grundgestalt could be identified as motives which Schoenberg requires of a Gestalt.[28]

Most worrying is the sudden appearance of 'basic configuration' as distinct from her identified Grundgestalt. In her translation of MI, Carpenter (with Neff) translate Grundgestalt as 'basic configuration' (MI 353). She appears to have outlined two, formatively-significant, contemporary, and intimately-related Grundgestalten in one piece.

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[28] This is in accordance with Carpenter's analysis of Schubert's Impromptu in G flat, which outlines the influence of a Grundgestalt whose upper line consists of a Schenkerian 3 - 2 - 1 progression combined with a lower-stave I - V - I (1988:369).

Carpenter appears to use 'basic configuration' as the first development of the Grundgestalt. It is within the constellation of the Grundgestalt, but one step further on from the original. 'Basic configuration' is nowhere to be found in her model definition of the Schoenbergian hierarchy of musical syntax, nor in her exposition of the Idea.

(4) Conclusions

Carpenter is an enormously significant writer for the purposes of this study: her interpretation of Schoenberg's concept of form, the Idea, and the Grundgestalt is of great clarity and importance. Unfortunately, her analyses fail to live up to the standard of her other writing. The analysis of the Brahms *Intermezzo* has moments of great perception, but troubling inconsistencies. Like several other writers, her definition of the Grundgestalt is too all-encompassing, making the concept cumbersome in implementation.[29]

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[29] 'Each of the pieces studied by Carpenter had a particular enharmonic or otherwise noteworthy pitch reinterpretation that was sufficiently interesting to be labelled as the focus of the idea of the piece. One might ask what happens in pieces where the tonality is not challenged in such exotic ways.' [Schiano 1992:117]

(2) RÉTI AND THE 'ENGLISH' SCHOOL

RUDOLPH RÉTI

Rudolph Réti's theories of thematic transformation are amongst the most influential, and the most controversial of all accounts of tonal music. Réti's work has a great deal in common with the writings of Schoenberg, and especially with the concept of the <u>Grundgestalt</u>.

It is possible that Réti was a pupil of Schoenberg (Cook 1987:91), and it is certain that the two musicians corresponded. When Réti gave the first performance of Schoenberg's *Drei Klavierstücke* (Op.11) in 1911, the composer wrote to thank him and described him as 'a person who stands very close to my sphere of thought' (Frisch 1984:22). Réti's three main publications are *The Thematic Process in Music* (1961) in which he outlines his theory of thematic transformation within a historical conspectus of his beliefs about thematic interrelation and development; *Thematic Patterns in Sonatas of Beethoven* (1967) is a collection of essays, generally pre-dating *The Thematic Process*, which his widow gathered and published after the author's death; and *Tonality - Atonality - Pantonality* (1957) was also published posthumously, although it was completed by Réti himself.

Réti's main subject is musical unity, and his particular view of it. The main source of Réti's thoughts on the subject, *The Thematic Process in Music*, has been much criticised for his lack of coherent methodology: 'it is widely adduced to epitomise the perils of lack of method' (Dunsby and Whittall 1988:89). However, Réti's aim is clear, he wishes to 'lay bare a principle: to give a description, or at least a first outline, of *the thematic process in musical composition*' (1961:5-6). Réti is fully aware of the criticism which will surround him, ending his first chapter with the injunction for: 'Objections should not be smothered, but final judgment should perhaps be postponed until the end'. Much of the brouhaha which has surrounded Réti's work is

correspondingly ill-informed and unfair.[30]

(1)

Réti's position has a great deal in common with that of Schoenberg; a particular point of contact between the two is the <u>Grundgestalt</u>.[31] In his introductory chapter, Réti introduces his subject:

> The forthcoming analysis proves through an abundance of examples that in the great works of musical literature the different movements of a composition are connected in thematic unity - a unity that is brought about not merely by a vague affinity of mood but by forming the themes from one identical musical substance. (1961:4)

The 'one identical musical substance' could easily be described as a <u>Grundgestalt</u>. If one takes the <u>Grundgestalt</u> to be an arhythmic pitch contour, then its role in providing 'thematic unity' is clear. Réti immediately launches into an ambitious analysis of thematic relations in Beethoven's Ninth Symphony (1961:11-30). In his description of the way the opening theme of the first movement (Réti calls this the 'Allegro theme') is transformed into the opening of the Scherzo, we find another linguistic similarity with Schoenberg:

> Accordingly, we see the Allegro theme transformed in the Scherzo into quite a different theme. Tempo, rhythm, melodic detail, in fact the whole character and mood are altered and adjusted to the form in which the composer conceived them fitting to the new movement. Nevertheless, there can be no doubt, as the examples clearly prove, that it is one common musical idea, *one basic pattern*, from which both themes have been formed. (1961:14)

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[30] Accounts of the reception of Réti's work may be found in Dunsby and Whittall (1988:89ff) and in Schiano (1992:219ff).

[31] Despite this, Réti never acknowledges the source of his ideas, or even the possibility of a similarity. Réti's sometimes cavalier approach to his forebears is one of the reasons that his work has attracted such criticism. His acknowledgments page in *The Thematic Process* begins with:

> Since to the best of my knowledge this book represents the first attempt to analyse the particular type of compositional process described in the following pages, scarcely any of the customary bibliographic acknowledgements can be made (1961)

Donald Mitchell's Prefatory Note attempts to redress the balance, drawing attention to Réti's predecessors, those 'two renowned seekers after musical unity, Arnold Schoenberg and Heinrich Schenker.'

The 'common musical idea' further is a 'basic pattern', a fundamental entity which lies behind and controls the relationship of the thematic materials. The 'basic pattern' (or Grundgestalt) operates beyond the influence of 'tempo, rhythm, [and] melodic detail', and its identity is not altered by the 'fact that the whole character and mood are altered and adjusted'. Réti goes on to demonstrate the way the second themes in each movement are related to their own 'basic pattern'.[32] Thus:

> Every musical composition on a high structural level contains several motivic cells
> from which its structure is formed. These cells need not necessarily be identical with
> the concrete motives. In some compositions the cells may not even be visible in their
> literal form. The motives, and subsequently the themes, are developed from the cells:
> the cells, however, usually represent the essence of the motives rather than the
> motives themselves. (Réti 1967:17)

It is easy to see how the collection of 'motivic cells' operating in a piece might be described as a Grundgestalt: they contain the basis of the smallest musical unit, the Motive, and determine the structure of the Themes. Further, Réti's 'Cell' respects Schoenberg's definition of the Motive, 'a unit which contains one or more features of interval and rhythm' (MBC 56), by describing the way they extract the 'essence' of the Motive.[33] Réti explains this further in a footnote:

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[32] Réti's approach posits two 'basic patterns' operating over the entire piece - one for the first themes of the movements, and the other for the second themes. This is clearly different from Schoenberg's single Grundgestalt, although it exercises many of the same preoccupations.

[33] It is commonly held misconception that Réti's main concern is motivic. Réti is careful not only to stress the difference between his basic cells and Motives, but also to adhere quite closely to Schoenberg's nomenclature of the syntax of music.

> It is the fact that the interconnections shown to be at the basis of the architectural
> plans in the works analysed so far, almost invariably proved to be interconnections
> centred not merely on affinities between small motivic particles but on affinities
> between full 'themes' ... That our presentation is mainly centred on thematic rather
> than on motivic connection is one of the fundamentals of this whole enquiry. Of
> course motivic particles constantly play an important role in a work's structure.
> Themes are built from motives, and motivic features in general account in great part
> for a work's structural consistency. Yet the deeper architectural unity of a work is
> usually centred on the transformation and evolution of the actual themes...
> (1961:193)

In this connection the cell is not to be regarded as a (so to say) mystical phenomenon from which the composer builds his work, but rather as a variant of a motive, the variant which represent the shortest extract of a motive, its contour. (Réti 1967:17)

The 'essence' is thus explained as the 'contour' of the music. It is reasonable the maintain that in modern terms, Réti's 'contour' is the same as a pitch class set, and it is not the up-and-down undulation of the 'cell' that it is significant, it is the relationship of its pitches. Réti defines this later:

Such a 'thematic contour', repeatedly indicated in our preceding demonstration, is one of the central conceptions in the structural realm of the classics. Since, as sufficiently described, shapes are not literally varied, this phenomenon of contour, or at least a touch of it, will to a greater or lesser degree become audible in almost any transformation. *Thus it proves in the last analysis the archetype of thematic metamorphosis.* For be there an inversion, augmentation, change of tempos or rhythm, or whatever specific device, in one way or another the original shape will invariably sound from the contour of that shape into which it was transformed - or vice versa. (1961:93)[34]

This echoes one of Schoenberg's most famous definitions of the Grundgestalt:

...all the shapes appearing in a piece of music are *foreseen* in the theme. (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 ... (SI 290)

(2a)

Réti's aim is nothing less than a revolution in composition: a return to what he sees to be the central concern of musicians of earlier ages.[35] Through analysis his seeks to prove the value of conscious thematic transformation as a

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[34] Réti's chapter 'Categories of Transformation' (1961:66-105) confirm the observation that 'contour' is the same as Pitch-Class Set. In this, he outlines a number of possibilities for thematic transformation: including 'Inversions, Reversions, [and] Interversions'.

[35] As Schoenberg had attempted to justify his new compositional principle in terms of the music of the past, so Réti justifies his calls for a movement 'back to thematicism' (!), devoting considerable attention to a historical conspectus of the principle (1961:248-80).

fundamental in musical form-building.[36] For Réti, this is the central index of the value and importance of a work. The primacy of thematicism has been lost, the structural rôle of thematic transformation has been replaced with thematic transformation which 'the contemporary composer considers ... [to be] interesting accessories with which he embellishes his work. (1961:346).[37] The 'Dissolution of the Thematic Principle' (1961:280) is coming to an end, 'And it seems that our time is gradually awakening to the necessity of a return to thematic thinking.' (1961:347). Réti sees particular hope in certain aspects of his contemporaries' work, especially those composers influenced by Schoenberg:

> And even the most radical trend in the modern movement, the so called 'twelve-tone' music, reveals a vehement desire to lead music back to a thematic concept. Such attempts - quite apart from the question whether they are made in the right or wrong direction - certainly appear indicative of the time's irresistible urge to recapture the lost key, to base material expression once more on structural, indeed, on thematic formation. (1961:347)

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[36] It seems clear that in his theory of thematic transformation, Réti believed that he had found a conscious preoccupation of all great musical minds:

> However, confronted with an abundant variety of different and irrefutable proofs, the author is now convinced beyond a doubt that it was, at least in the representative works of great musical literature, essentially a *conscious* process. (1961:233)

Further, he saw the value of analysis and study in the development and sustenance of the form-building powers of a composer:

> The great composers, almost without exception, were serious, thinking, searching minds, expressing their inspiration *by means of* conscious construction. Invariably eager to expand their spiritual horizon, alert to the philosophical and even the scientific questions to which their circumstances gave them access, they occupied themselves ceaselessly with both the general and the concrete technical problems of their art. (1961:346)

[37] 'But in the creative domain of our time an attitude of neglect toward theoretical, technical problems can frequently be observed. As for the thematic idea in particular, the knowledge of its central role in the compositional process has disappeared ... with the loss of its conscious, systematic use as a form-building force, the power which this great phenomenon exerted in the process of musical composition has almost vanished' (1961:346-7)

(3)

There are a number of links between Réti's theories and the method of composing with twelve notes (thus also with the concept of the Grundgestalt). His analyses reveal a similar preoccupation with deriving disparate sections from similar material; he makes a distinction, familiar from twelve-note composition, between the structural form-bearing entities and their manifestation at the musical surface. In the course of his analysis of Beethoven's Ninth Symphony, he contends:

> It is by no means alleged that this identity implies that a theme from one movement is literally or even almost literally, repeated in the next. Naturally, such a procedure would be nonsensical and would never lead to any compositional form of higher structure. The composer's endeavour is just the opposite. He strives toward *homogeneity in the inner essence* but at the same time toward *variety in the outer appearance.* Therefore he changes the surface but maintains the substance of his shapes. (1961:13)[38]

Just as twelve-notes composers derived new rows from the development and recombination of pre-existing material, 'the thematic technique no longer inverts, augments, or simply varies the shapes, but transforms them in the full sense of the word' (1961:67).

The thematic process is not just a horizontal process: its adherents may derive vertical configurations from the original (Grundgestalt - an equally plausible substitution in Basic Set). Réti thus explains the mighty discord a the beginning of the last movement of the Ninth Symphony:

> For the work's dramatic course had reached such a degree of overconcentrated intensity that the composer, wrestling for adequate expression attempted to force, as it were, the entire thematic content into one chord. (1961:28)

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[38] Réti's theories, 'in which variegated ideas and expressions converge into one architectural entity' (1961:353), echoes Schoenberg's writings on Contrast. In 1925 he wrote:

> The most important devices for satisfying the requirements of comprehensibility and diversity in both the smallest and largest forms are repetition, variations, and contrast ... contrast constitutes a different kind of variation: in art there exists only cohesive contrast (MI 363-4)

The original material may also be used to determine the disposition of key areas and movement tonalities. This is what Réti calls 'Thematic Key Relations' (1961:219-30). Although he recognises the limitations of such relationships, 'we should keep in mind that the possibilities of expressing thematic thoughts through keys are limited ... in Mozart's or Beethoven's time, there was only a comparatively small choice of key relations ... from which to draw' (1961:219).

(4)

Réti's analysis of Debussy's *La Cathédrale Engloutie* support his contention that his 'basic motive' may be of wider structural significance:

> Thus the astounding fact presents itself that the contours of the soprano and bass of the whole section each constitute a giant expression of the basic motive. (1961:199)

According to Réti, the 'basic motive' in this piece achieves levels of interpenetration one might expect of Schoenberg's <u>Grundgestalt</u>:

> Here, in Debussy's work, the thematic permeation of the harmonic domain becomes complete. From the very first bar, the chords and their series are but additional utterances of the basic motives. (1961:206)

This principle is particularly close to Schoenberg's theories. Réti exemplifies his ideas with an analysis of Mozart's G-minor Symphony, no.40: 'the first movement ... is seen to evolve from continuous reinterpretation of the basic motives of the first theme, the descending semitone E flat - D and the ascending sixth D - B flat ... Réti makes a good case for a genuine *process* in the Mozart, whereby the initially unstable motives move gradually toward "fulfilment" or "resolution" in more rounded themes' (Frisch 1984:22). As part of this process of 'Architectural Planning', 'a kind or story or "architectural plot" is evolved which makes all the shapes of a composition a part and expression of one higher unity' (Réti 1967:141).

ALAN WALKER

Alan Walker makes both explicit and implicit use of the Grundgestalt in *A Study in Musical Analysis* (1962). In his preface, Walker states that his aim is the examination of 'the unity of contrasting themes, and ... the principles (both musical and psychological) behind such unity' (1962:9). Describing the work of his forebears, he mentions in passing the influence of Schenker's analyses, but is most concerned with those of Schoenberg:

> It is true to say that Schoenberg's music has become a window through which we of the twentieth century see our musical heritage in a new light. (9)

Furthermore, he points out the consequences for analysis of Schoenberg's 'preoccupation with the problem of thematic unity' (9):

> His concept of a dynamic *Grundgestalt* is the corner-stone of all subsequent theories of musical unity. (10)

Walker equates the Grundgestalt with his concept of the 'unconscious background' (137). The 'unconscious background' is the common goal which links analysis with composition - it is the process by which this is sought which divides the disciplines:

> All the contrasts in a masterpiece are foreground projections of a single background idea. On the foreground level is contrast, on the background level unity. The primary aim of analysis is to work back from the *manifest* contrasts towards the latent unity, just as the primary (albeit unconscious) aim of composition is to express the latent unity in the form of manifest contrasts. (43)

The 'unconscious background' is 'latent' throughout the 'masterpiece'; if it is stated directly, or too much attention is drawn to the links between the contrasting themes, 'the musician is tempted to regard ... [the background unities] as 'contrived' or exaggerated' (46).

Walker is careful to make a distinction between the 'unconscious background' (the <u>Grundgestalt</u>) and the <u>Idea</u>. For Walker, like Schoenberg, the 'idea' is generative, being developed in accordance with the <u>Grundgestalt</u>:

> One of the most important things about a musical idea is its potentiality. In a masterpiece, ideas give birth to ideas and these in turn to still newer ones: a network of relationships is established, everything belonging to everything else and ultimately to a single progenitor. The fundamental task of analysis must be to show how a piece of music hangs together by demonstrating this progenitor. (47)

The musical embodiment of the 'unconscious background' is harder to define because of its nature and function:

> It is vital to a correct understanding of this notion that a background be regarded as a *pre-compositional* stage in the creative process; a primal, musical idea which projects itself into the foreground as a succession of contrasts. (91)

The 'background unity' is made manifest as the common factor of contrasting themes.[39] It is clear from Walker's music examples that the 'background' invariably takes the form of a pitch contour. One of Walker's most penetrating analyses is that of Brahms's Second Symphony. He states:

> If ever there was a work in which the Schoenbergian concept of the *Grundgestalt* is glaringly obvious in every bar, it is this one. (81)

In an article significantly entitled 'Brahms and Serialism',[40] Walker describes serialism as 'a conscious attempt on the part of twentieth century composers to

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[39] Walker's clearly-stated preoccupation is with the underlying unity of themes which have contrasting foreground identities. This raises difficult questions about the material which links one thematic area to another - it is possible to speculate that in ensuring continuity, the composer will make more direct (conceivably conscious) use of his background material.
Further, as Schiano has pointed out, many of Walker's demonstrations of unity involve pitch-sets which relate over large spans of music; these may seem to be related to a Schenkerian middleground structure (Schiano 1992:212-3). However, the pitches which Schenker isolates at the Middleground are the higher-level determinants of the surface structures; Walker's pitch-sets are discontinuous, making no attempt to account for the intervening music. This is the fundamental difference between Walker and Schenker: Schenker's preoccupation is with a harmonic background unity; Walker's unity is thematic.
[40] in *Musical Opinion* (October 1958) 17-21

do what pre-twentieth century composers did intuitively.' (1958:17).[41] He takes as his examples the second and fourth symphonies of Brahms, and demonstrates the derivation of many of the main thematic groups from their Grundgestalten. The main themes of the second symphony 'nearly all spring from a basic motive of three notes' (19); the 'generating idea' of the fourth is 'a descending and an ascending series of thirds (19).

This is, by now, well known.[42] What is interesting about this article is the way it illuminates Walker's view of the Grundgestalt.[43] Firstly, the musical actualisation of the Grundgestalt is both flexible and context-dependent. In the second symphony, it is a what Walker ambiguously calls a 'basic motive', a primary combination of Motives formatively significant by interval, pitch,[44] and contour, but not in rhythm; the fourth symphony is conditioned by a seven-note 'series' ascending and descending by thirds.[45] Furthermore, Walker's choice of music enables his most complete implementation of his interpretation of the Grundgestalt, for, 'In this Second Symphony there is practically no episodical material' (19).[46] His examples 'mark the beginnings of important themes and are not haphazard selections' (19), demonstrating significant Grundgestalt interpenetration.

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[41] see also Hans Keller's 'Strict Serial Technique in Classical Music' (Keller 1994) 167-78 and Heinrich Jalowetz: 'On the Spontaneity of Schoenberg's Music' in *The Musical Quarterly* (30/iv, 1944) 385-408.

[42] see Stein (1953:97)

[43] 'What in this book has been called the 'unconscious background', [is] what Schoenberg called the *Grundgestalt*' (1962:137)

[44] Walker appropriates Réti's Thematic Key Relations, describing the way 'themes sometimes beget keys' (1962:88). Walker adduces the example of the last movement of Brahms's third symphony, as well as his own analysis the rôle of third-related keys in Tchaikovsky's Fourth Symphony.

[45] a 'series' Schoenberg himself drew attention to in 'Brahms the Progressive' (SI 405-6; Walker 1958:17)

[46] I believe that would be perfectly possible to demonstrate that the great composers barely knew the meaning of the term (Hans Keller has already gone a long way towards doing this in a method of wordless 'functional analysis') (1958:19)

By the choice of this music, Walker is able clearly to demonstrate the links between the Grundgestalt and twelve-note composition. For:

> [Brahms] was one of the first composers to do his musical thinking out loud. His unifying technique lies near the surface of his music (17).

By demonstrating the 'tenacity' of Brahms's ideas (19), Walker's analysis stands as a convincing implementation of his view of the Grundgestalt.

In his remarkable article on 'The Unity of Beethoven's Late Quartets', Deryck Cooke describes a form of unity closely related to the Grundgestalt.[47] He discusses Beethoven's five late quartets[48] as a single chronological utterance, unified by reference to a fundamental structural entity, and expounding a powerful narratological structure. Musical structure and semantic structure are treated as equal partners in the enabling of musical identity ('music is an indissoluble whole of form-and-content' (166)):

> What I hope to show is that the set of five constitutes a self-contained unity, a single continuous act of creation, in which Beethoven persistently developed certain implications of two basic pitch-patterns. (146)

Cooke's identifies a 'basic pitch-pattern' (A) and its two overlapping derivatives (x and y). The 'basic pitch-pattern' might be seen as a Grundgestalt; x and y derived Gestalten. Cooke demonstrates the interpenetration of the 'basic pitch-pattern' in each of the Quartets: most directly in the first and fifth quartets of Cooke's 'cycle'; and as a varied pattern, the 'the dark minor motto-theme' (153) in the central three quartets. Cooke concludes with an examination of the way the 'cycle' of quartets forms a narrative structure, driven by the conflict between the 'basic pitch-pattern' (expressing 'an unbounded humanistic confidence and joy' (167)) and the varied minor-key development.

Even without the Cooke's fascinating semantic interpretation, his paper has a number of insights into his understanding of the 'basic pitch-pattern'. His views about the nature of the work are of obvious relevance:

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[47] in *Vindications: Essays on Romantic Music* (London 1982) 143-70. The article originally appeared in 1963.

[48] Cooke considers the five quartets in their chronological order: Opp.127, 132, 130 (with the *Grosse Fuge* as its finale), 131, and 135.

> Each of ... [the composer's] works must be analysed as an entity in itself - as a
> continuous working out of a single idea - to show the particular way in which the
> basic theme is metamorphosed into the other themes of the work. (144)

The 'metamorphosis' of one theme into another is a subtle difference from most other views of the <u>Grundgestalt</u>: the egalitarian change of one entity into another contrasts with the more normal assumption of a hierarchy of thematic material. In a footnote, Cooke explains his position:

> I must stress that the conception of the later themes of a work being *evolved from* the
> initial one is my own; the orthodox view of Hans Keller, the creator of the special
> technique of Functional Analysis, and his disciples, is that the later themes are *related
> to* the initial one, which is thus not given precedence over the others. (144)

Cooke's clear views about the derivation of <u>Themes</u> from <u>Grundgestalten</u>: more often than not, he states, the underlying entity will consist of 'one of the basic pitch-patterns that form part of his personal language'; in order create a theme from 'pattern', 'he will usually remold the pattern afresh, giving it new tonal inflections and/or a new rhythmic articulation' (144). The 'basic pitch-pattern' is an arhythmic entity; its thematic foregrounding is associated with <u>Features</u> such as rhythm, and harmonic colour.

Keller's Functional Analysis, his method for the wordless presentation of analytic insights, is based on the amalgamation of work by Réti and Schoenberg:[49] from Réti, Keller appropriates the concept of thematic unity; from Schoenberg, the possibility of deriving entire movements and works from single generative entities. Thus, Functional Analysis is

> based on the tenet that a great work can be *demonstrated* to grow from an all-embracing basic idea, and that the essential, if, never-asked questions of why contrasting motives belong together, why a particular second subject necessarily belongs to a particular first subject, why a slow movement belongs to its first movement, and so forth, must be answered, if an'analysis' is to deserve its name.[50]

Keller's particular strength is the enrichment of Schoenberg's ideas with Freud's theory of the unconscious. Making reference to Freud's essay on the *Interpretation of Dreams*, Keller explains how Freud:

> demonstrated the unity of the most chaotically diverse dream by analysing the *latent* content of the *manifest* dream, and demonstrating that behind all the dreamy contrasts there was the single-minded, basic motive of wish-fulfilment. (1956:91)

In music:

> It will be the latent basic motives, and generally the unitive forces behind the manifest music, on which my analytical observations will concentrate. (1956:91)

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[49] Keller also gives due recognition to Schoenberg's influence: 'Schoenberg's analyses, without which Réti's would be unthinkable, ... represent perhaps the most revolutionary event in the history of music.' (1956: 93)

[50] 'K503: the Unity of Contrasting Themes and Movements' (Keller 1956). Also:

> 'Functional Analysis postulates that contrasts are but different aspects of a single basic idea, a background Unity' (Keller 1995:143)

In this manner, Keller restricts himself to outlining general analytic principles, rather than expounding a systematic method. He concerns himself with the exploration of thematic similarities, often neglecting simpler motivic interrelationships. Neither does he state clearly the nature of the 'latent background', except that it moves closer to the musical surface in development sections:

> I shall not often mention development sections, because usually the working-out brings the latent background to the fore anyway (1956:92)

The latent background plays a role in the harmonic resonances between themes:

> Many of my observations on thematic unity will stand or fall with the harmony of the melodic entity analysed (1956:92)

It may also rely upon rhythmic similarities:

> There will also be occasions when I shall regard essential rhythmic relations as self-evident (1956:92)

This lack of methodological precision is frustrating because Keller's analytic practice is often compelling. His analysis of Mozart's Quartet (KV387) shows not only the thematic importance of a 'basic motive', but also that the first and second subjects are together an example of the 'principle of reversed and postponed antecedents and consequents' (1956:103ff). Keller 'distils' from this relationship two arhythmic pitch contours, what he calls 'basic phrases' which contains the 'basic motive'. It is possible to recognise in this Schoenberg's Grundgestalt (='basic motive') and Theme (='basic phrases').

(3) OTHER WRITERS

DAVID EPSTEIN

Epstein uses the <u>Grundgestalt</u> in order to explore notions of musical unity. He appropriates Schoenberg's interest in exploring music of the past in terms of the music of the twentieth century. Indeed, his thesis is entitled 'Schoenberg's Grundgestalt and total serialism: their relevance to homophonic analysis' (1968). He expands on this in his *Beyond Orpheus* (1979).

Epstein finds that <u>Grundgestalt</u> is vital to Schoenberg's thinking. Epstein brings out three aspects of this: (1) that <u>Grundgestalt</u> is derived in part from Schoenberg's studies of the music of Beethoven, particularly the derivation of movements from their <u>Head Motives</u>;[51] (2) that <u>Grundgestalt</u> is the enabler in compositional technique of Schoenberg's metaphorical glosses of organic unity in music;[52] and (3) that <u>Grundgestalt</u> is a strong background influence on the development of the technique of composing with twelve tones.

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[51] In a footnote, Epstein cites personal correspondence with Felix Greissle:

> presently Editor-in-Chief of E.B. Marks Music Company of New York. Greissle is the son-in-law of Arnold Schoenberg and a widely informed musician in his own right, who was close to the composer during the years of formative thinking under study

> Greissle has stated that "Schoenberg mentioned this term [in his writings] very rarely, but rather only explained it". He derived it in large part from studies of Beethoven, particularly form examination of the "head motive" (*Hauptmotiv*) in Beethoven's music, from which 'everything else followed". "Everything", according to Greissle, not only included themes subsequently derived, but rhythms, harmonies, harmonic progressions, key relationships, and so forth. (1968:92)

Epstein goes on to adduce Schoenberg's analysis of Beethoven Op.135 (in SI 221) as an example of the importance of <u>Head</u> <u>Motive</u> to Schoenberg. Epstein builds on this observation in his own analysis of the first movement of Beethoven's Eroica Symphony (1979:111-139).

[52] 'The gist of these statements, some of them metaphorical or analogical in nature, is that the basic germs of musical thought extent a wide-ranging influence upon the the successive development of ideas within a work.' (1968:4)

Epstein's definition of the <u>Grundgestalt</u> is of particular interest. He cites his analytic forebears as Réti, Keller, Walker, and Rosen, praising their treatment of unity. He shows the way in which Schoenberg's compositional practice, with its particular emphasis on pitch-relations, influenced these authors into ignoring or treating 'other parameters' (such as rhythm, phrasing, and dynamics) with methodological imprecision (1968:14). Just as generations of composers after Schoenberg have expanded his serial method into other musical domains, Epstein contends, with the support of Greissle, that <u>Grundgestalt</u> may have influence beyond pitch. His definition is as follows:

> *Grundgestalt* (Basic Shape) - a configuration of musical elements, formatively significant in a composer's thinking with reference to the structure of a particular work. This significance is magnified in the course of the work through the appearance of this configuration in differing guises and on differing structural levels. In so appearing, certain intrinsic features are retained but varied or disguised by means of embellishment, inversions, interpolations and/or contractions of elements, inversions, augmentations and diminutions and other procedures of compositional manipulation.

> The above definition is vague with respect to "musical elements", i.e. are they pitches, rhythms, phrasing nuances, harmonies, or what? The lack of precision is deliberate, for this question is not clarified in Schoenberg's own writings. Whilst his primary attention as a theorist and composer was devoted to developing structural systems in the domain of pitch, Schoenberg has passages in his articles ... that indicate that *Grundgestalt* in his own thinking exerted a structural influence in other musical parameters as well.

There are two difficulties with this definition: (1) that Epstein does not clearly distinguish between the use of the <u>Grundgestalt</u> in analysis, and its appropriation by theorists as a strong metaphor in the consideration of the generation of musical structures; (2) Epstein does not incorporate Schoenberg's concept of the <u>Idea</u>. Neither of these faults undermines the clarity of Epstein's work, merely causing difficulties in its appropriation as an analytic tool.

Epstein's innovation is to extend the concept into the realms of total serialism.
Just as Schoenberg justifies his twelve-note system using the music of the past,
Epstein's forward extension in time of Schoenberg's explanatory concept is
firmly rooted in music history

> Total serialism can be seen in historical perspective as systematising and extending,
> perhaps to the ultimate degree, certain musical concepts emanating form the
> Grundgestalt idea - concepts developed through the intermediary stage of twelve-tone
> practice. Yet the Grundgestalt, with its implicit premise of unity, was itself based
> largely upon the music of the classic-romantic era. (1979:27)

Graham Phipps' interpretation of the Grundgestalt is explicitly built on Epstein's definition. Accordingly, Phipps declines to use abstract pitch-sets or motives, preferring complete extracts from the score. Thus, his Grundgestalt for Schoenberg's Variations for Orchestra consists of the first nine-and-a-half bars of the piece - a passage which comes before the first linear appearance of the row (1976:5). For the finale of Eroica, he chooses the first eleven bars as the Grundgestalt, again, before the bass-line component of the theme is heard.

In 'A response to Schenker's Analysis of Chopin's Etude, Opus 10, No.12, Using Schoenberg's *Grundgestalt* Concept' (1983), Phipps contrasts his interpretation of the Grundgestalt with Schenker's analysis of the relationship between harmony and voice-leading in the piece. Once more, he chooses introductory material as his Grundgestalt (the eight-bar introduction at the beginning of the piece). He justifies the choice of the introduction as Grundgestalt over the more conventional main theme of the movement as follows:

> Whereas mm. 9-18 [the main theme] might appear to be the main melodic material of the composition and may, in fact, have been Chopin's original 'basic idea', nonetheless, in the finished composition as we perceive it, the first eight measures constitute the first presentation of ideas. Since the listener can only hear the composition in its finished form, one may legitimately regard mm. 9-18 as predicated upon events from the first eight measures, and hence may consider mm. 1-8 as the actual *Grundgestalt*, the source of all musical events in the composition. (1983:553)

Apart from the unfortunate conflation of 'basic idea' and Grundgestalt, Phipps puts forward the possibility of two different Grundgestalten for one piece: one, a generative Grundgestalt, which he posits the composer developed the piece from; the second, an aesthesic Grundgestalt, accounting for the way we hear the piece. Interesting as this dual identity is, it is significantly at odds with Schoenberg's organic view of the piece as a single entity.

In the subsequent analysis, Phipps' main concern is the absence of the 'subdominant function' in Schenker's reduction: a pitch which is 'unquestionably one of the most significant gestures in the composition.' (553). Phipps goes on to demonstrate the way in which 'the conflict between d and f [which is predicated] in the first eight measures [the Grundgestalt] ... provides the basis for understanding the Etude.' (553). This 'unrest', its implications for the foreground, and its final 'resolution' is a thoughtful implementation of Schoenberg's theories of tonal function. Phipps' conclusions highlight the differences between the Grundgestalt and Schenker's methods.

Phipps seeks to locate the Grundgestalt at the music's surface:

> Schoenberg's *Grundgestalt* concept assumes that the foreground of a given composition is the basis of its logic, that the foreground gestures are the result of the basic *idea* of the work. (569)

For Phipps, the Grundgestalt is the initial foreground expression of the Idea; it is the Idea that is the generative component. The background structure is opened-out from the Grundgestalt, an inevitable higher-level expression of its inherent capabilities:

> The composer's realisation of such foreground gestures in turn creates an organic formal architecture which is original for each composition based upon the inherent qualities of the *Grundgestalt*. (569)

Phipps contrasts this with the writings of Schenker: 'Schoenberg's concept provides a basis for comprehending a continuum of musical expression throughout music history - a continuum which leads to its own expression', whereas 'Schenker is forced by his theory not only to reject music of the *Spätromantik* and the twentieth century, but also to perceive all music of the so-called "tonal period" as based upon a single unchanging principle' (569).

There are four main problems with this assertion:

(1)

Phipps' theory seeks to locate the Grundgestalt at the musical foreground: his analytic practice implies interpenetration of the Grundgestalt at both foreground and middleground levels. He criticises Schenker on the grounds that he ignores the 'subdominant function' - Phipps's exploration of the ways in which the pitches of the Grundgestalt beget subdominant harmonies takes place at a Schenkerian middleground level. Schenker's theories are a good analytic tool for the exploration of Schoenberg's view of the piece as a single entity.

(2)

Phipps' theory leads to an uncomfortable relationship between Idea and Grundgestalt. The Idea is first expressed in the Grundgestalt. This 'foregrounding' of the Idea leads inevitably to the primacy of the Grundgestalt - the Idea is contained in the Grundgestalt. The 'foreground gestures are the result of the basic *idea* of the work' (569), but they are the result of the Idea as realised in the Grundgestalt.

(3)

Phipps does not make a clear distinction between the generative and the analytic roles of each theory. Such ambiguity is expressed in his contention that the Grundgestalt offers the possibility of a musical 'future' (589), that the working-out of the possibilities of the Grundgestalt leads to the 'form' of a piece. From this we are not sure whether this working-out is carried out by the composer or the analyst (or listener). Neither does Schenker argue that the music of the '"tonal period" [is] based on a single unchanging principle' (589): he states that the music may be explained by and examined in the light of his principles, and not that the composers thought in his very particular manner.

(4)

Schenker does not 'reject' music after say 1890. He does not seek to account for such works. It is unfair to compare an ideological theory designed to explore and explain, with one which is so patently linked with Schoenberg's entirely pragmatic search for the compositional way forward.

Severine Neff makes use of the Grundgestalt in her analysis of the first thirty

bars of Schoenberg's First String Quartet (Op.7).[53] She takes advantage of the

copious sketch material available for this work, putting forward an approach

which has the aim of 'showing how Schoenberg carefully constructed and

consciously controlled the Grundgestalt to ensure coherence in the work'

(1984:7). Neff quickly makes clear her understanding of the relationship

between Grundgestalt and Idea:

> The totality of the piece, or its 'idea', must not be confused with the technical means
> of realising the 'idea' through different musical transformations of the same 'basic
> shape' or *Grundgestalt*. (12)

She identifies the Grundgestalt of the Quartet as the first three bars of the first

violin line. Within this segment, she identifies three motives as well as a

characteristic dotted rhythm (13-4).[54] Neff then addresses the problem of

motivic derivation. She states that:

> In his theoretical writings Schoenberg does not outline any all-encompassing method
> of determining precisely how one motive is an altered form of another (17)

She argues that the imprecision of Schoenberg's method is a result of the

overlap between his activities as teacher (analyst) and composer. She attempts

to create a rule-based method for the derivation of motivic resources from the

Grundgestalt:

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[53] 'Aspects of *Grundgestalt* in Schoenberg's First String Quartet, Op.7' in *Theory and Practice* (vol.
9 nos.1 and 2, 1984) 7-56

[54] Collisson provides an alternative reading of this Grundgestalt. Rather than three separate
motives, his interpretation is predicated on a 'pitch/interval/rhythm/shape repetition' of a single
motivic unit (Collisson 1994:64-70)

motivic units will be given the same latter as those in the basic shape if they preserve 1) at least three pitch-classes of the motive in the Grundgestalt, 2) interval content unique to the original motive, 3) the interval content of the original motive in any order, or 4) if they state the pitch content of the original motive (or part of it) in terms of chromatic substitutes. All motives having the same letter form a motivic class. (18)

She further examines the transformation of the Grundgestalt using a number of Schoenberg's theoretical concepts: monotonality, regions, substitutes, transformations, vagrants, and liquidation. Her stated aim, partially achieved, is to demonstrate the way 'that Schoenberg generates his material for the piece out of harmonic, linear (melodic), and regional (tonal) transformations of the basic shape.' (45)

The second part of Neff's work is an examination of the generative history of the work. She reveals that the first extant sketch contains an initial version of her Grundgestalt. Of most significance is the sketch upon which Schoenberg has written 'verwenden' (to use) followed by four exclamation marks. Neff describes this as an analytic sketch (33), using it to demonstrate the way in which Schoenberg is alive to the potentialities of his material. She further demonstrates that this particular sketch forms the basis of the 'subordinate group', and the four-bar transition which precedes it (bar 30) (45). This fascinating example implies that Schoenberg is consciously manipulating and exploiting the possibilities provided by the pitch-resources of the Grundgestalt to enhance the logic and coherence of a new structural group. Although this is a very specific example from Schoenberg's early tonal period, it nonetheless raises two important possibilities: (1) that Schoenberg's concepts of analysis are derived from his compositional practice; and (2) that Schoenberg's concept of the Grundgestalt may be deployed both consciously and unconsciously.

JANET SCHMALFELDT

Janet Schmalfeldt's <u>Grundgestalt</u> analysis of Berg's Piano Sonata (Op.1) is a powerful account of the structure of this remarkable piece.[55] Her aim is to place Berg's early masterpiece in the context of his studies with Schoenberg, particularly Berg's apparently complete understanding of the principle of Developing Variation.[56] Her interest in <u>Developing</u> <u>Variation</u> leads to her definition of the <u>Grundgestalt</u>, the initial musical unit which provides the source for all subsequent music.

Schmalfeldt offers one of the most cogent interpretations of the <u>Grundgestalt</u>, facing directly the question of how it relates to <u>Idea</u>:

> The truth, as I see it, is that Schoenberg never reached a definitive view of the *Grundgestalt*. When he spoke as a composer, Schoenberg tended to emphasise 'idea' in the sense of *Einfall* - an initial flash of inspiration whereby the composer conceives the totality of a work but not necessarily all of its specific musical details. When Schoenberg spoke as a pedagogue or analyst, the *Grundgestalt* became a concrete musical manifestation of the *Einfall* - that is, a particular small musical unit, usually (but perhaps not necessarily) the initial event of a piece. As for the totality of a work, only the composer might claim to know the nature and sources of the original vision. We, like Schoenberg the analyst, can only surmise those sources on the basis of their concrete representations (84)

<u>Grundgestalt</u> and <u>Idea</u> are expressions of the same concept, but belong to different parts of Schoenberg's activities: the <u>Idea</u> (*Einfall*) explains the way Schoenberg the composer conceives a work as a singular, organic whole; the <u>Grundgestalt</u> is the way Schoenberg explains this conception to his students or for himself in analysis. The <u>Idea</u> may contain elements which eventually find their way into the score, but it is only fully understood by the composer: the <u>Grundgestalt</u> usually has a singular musical substance. The <u>Idea</u> has latent within it the total structure of the piece: proceeding from the assumption that the

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[55] Janet Schmalfeldt: 'Berg's Path to Atonality: The Piano Sonata, Op.1' in Gable and Morgan (1991) 79-109

[56] 'by 1907 [the completion of Berg's Op.1] ... Berg fully comprehended the compositional issues Schoenberg addresses in 1950' (1991:81-2)

piece is an expression of a single musical structure, the Grundgestalt provides one means for exploring and expressing the influence of one possible agent of unity.

Like Graham Phipps, Schmalfeldt chooses the entirety of an initial Phrase as her Grundgestalt. Although she provides no criteria for the selection of a Grundgestalt, she states that her work 'depart[s] radically from numerous motive-oriented Grundgestalt analyses of the past' (84). Her interpretation is intimately linked with the Berg Sonata, and proves to be very convincing. Her Grundgestalt, 'Berg's first phrase contains *three* distinct melodic motives, and it is from the three of these, rather than just the first motive, that virtually all the melodic materials of this work will be generated by means of developing variation' (85-90).

As well as setting out the motivic influence of her Grundgestalt, Schmalfeldt seeks to explore the way in which the Grundgestalt generates new motive forms:

> I wish to place special emphasis upon Schoenberg's notion that the multifarious techniques of developing variation are at the service of a larger process, or pathway, through which the work as a whole unfolds chronologically: along that path, each musical event arises organically and logically from what precedes it, that is, each event affects the nature and function of the next event (98)

Schmalfeldt demonstrates this unfolding on a small scale as motivic process, exemplified on a paradigmatic chart, her example 9 (99). A result of this is use of her Motive a (the first three quavers of the piece with characteristic dotted rhythm) as a 'head motive' generating the 'head motives of all the other primary thematic regions' (107).

Finally, she considers the harmonic implications of her <u>Grundgestalt</u>. These reside primarily in her motive a, which is 'treated as a set structure - that is, an unordered pitch-class collection' (101). This helps to condition the distinctive harmonic palette of the piece, particularly in its influencing 'the half-diminished-seventh chord, the whole-tone formations, the [use of pitch-class sets] 4-16 and 4-19, and the fourths-chords' (108).

Despite the excellence of much of Schmalfeldt's analysis, her work does raise two important issues:

(1)

Her <u>Phrase-Grundgestalt</u> with its three constituent motives is convincing and well used. However, it is equally possibly to demonstrate the way in which her motives b and c are developed from, and are the result of motive a. Much of the subsequent analysis considers the influence of a above that of the other motives - particularly in Schmalfeldt's excellent findings about the harmonic content.

(2)

Schmalfeldt's work on the <u>Grundgestalt</u> emphasises the importance of context for all such studies. She does not claim to be putting forward a complete analytic methodology, merely expressing a particular view of a work especially influenced by Schoenberg. If anything, her work argues for a case-specific approach to <u>Grundgestalt</u> analysis, the success of her approach here, the direct result of the musical matter she is examining.

Schiano puts forward a method for <u>Grundgestalt</u> analysis which he describes as analysis of the 'Background Motivic Structure' (1992:260-82). However, his comments about the concept are as undogmatic as Schoenberg's own,[57] allowing for a great variety of approaches influenced by the <u>Grundgestalt</u>:

> just as, say, different lenses and filters may tell an astronomer different things about the same celestial object, so the analyst might perform Grundgestalt-type analyses using different constructs in the hope of answering different analytical questions (197)

Deliberately excluding the intentional fallacy, he argues for an analytic <u>Grundgestalt</u>, being 'a device brought *to* a piece by an analyst' which 'operates in a way that is intrinsically related to the specific piece itself' (198). Schiano deliberately contrasts the approaches of Stein and Rufer: he states that Stein's pitch-class-set <u>Grundgestalt</u> was derived from the works of Schoenberg he was most interested in, and that Rufer's excerpted <u>Phrase</u> <u>Grundgestalt</u> was derived from the Beethoven Sonata he worked on.

Schiano's own analysis of the Scherzo of Mendelssohn's Octet uses what he describes as 'Background Motivic Structure'. This, he states, is in accordance with his exploration of Schoenberg's writings:

> Motivic networks and progressions are constructs that closely represent how one might expect a Grundgestalt to behave (260)

Schiano makes clear the difference between the <u>Grundgestalt</u> and motivic analysis. For Schiano, <u>Grundgestalt</u> analysis is:

> one that demonstrates how the constituent elements of a musical composition cohere in order to form a comprehensible musical structure, and this comprehensibility is shown to be the result of a basic shape or Grundgestalt (261)

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[57] 'The open-ended nature of Schoenberg's contributions to the field of music analysis calls for continuation and experimentations.' (281)

A <u>Basic</u> <u>Motive</u> may be the same as a <u>Grundgestalt</u> in certain types of music, but 'abstract entities [such] as musical ideas or processes' must not be excluded 'since literal motivic comparison may not adequately illustrate the unifying forces that are apparently involved' (261). His criteria for defining a <u>Grundgestalt</u> are equally all-embracing:

> In general, then, choosing a *Grundgestalt* involves choosing a construct that sheds light on as much of the music as possible, since one measure of the attractiveness of the Grundgestalt principle lies in how pervasive a basic shape can be shown to be. (262)

The <u>Grundgestalt</u> he selects for his analysis of the Mendelssohn Octet movement comprises the first four pitches of the first violin part (271). Schiano presents his findings on staves parallel to the score, each stave exploring appearances of particular elements of his <u>Grundgestalt</u> (271-8). Thus, the first stave ('Mode A') contains instances of the perfect fourth; the second (Mode B') the inversion and filling of the perfect fourth as the basis of scalic motion in the movement. Schiano admits that these findings present only the most 'elemental type of motion', but argues that the <u>Motives</u>:

> as generic as they may be, are specifically made to function as motives by means of their presentation and their gradual development along the musical surface ... Mendelssohn grants motivic status to these figures by presenting them and developing them as such (272-3)

Schiano unveils a single <u>Grundgestalt</u> and demonstrates the use of its (albeit simple) components in a cumulative and structurally-determining fashion. The motivic components do develop and are transformed, but the altered motive-forms are demonstrably expressions of a single entity.

STEVEN COLLISSON (1994)

Collisson equates <u>Grundgestalt</u> with <u>Motive</u>, defining it as a <u>Motive</u> of particular importance. He talks of a 'Grundgestalt Urmotive' rather than a <u>Grundgestalt</u>, a formatively-significant construct which unifies and makes coherent the ongoing structure of the work. Writing about Schoenberg's String Quartets, he describes the presence of:

> a motivic network stemming from the *Grundgestalt Urmotive*, which provides both local and long-range integration of the thematic material that shapes the musical discourse. (1994:247)

Collisson describes the way in which the 'Grundgestalt Urmotive' is responsible for this 'total integration' by providing for the unity of each subsequent 'motive-form' (247). Collisson believes that the unity he perceives in Schoenberg's String Quartets is best explored in the relationship between clearly-delineated motivic nodes derived by motivic evolution; the progression from one evolutionary stage of the motive to the next is achieved by developing variation. Thus, Collisson's intention:

> is to demonstrate the *Grundgestalt*'s periodic growth (long range *developing variation*) rather than its continuous motivic development (local *developing variation*): a kind of 'middleground' (though not in the Schenkerian sense). (44)

Collisson's method cleverly avoids the intentional fallacy, treating each work as a single unified artifact. He explores the facets of each work which endow it with the impression of unity, rather than involving himself with its genesis:

> This aspect of motivic integration was termed 'relational' as opposed to 'continual' since it concerned the extant connection between motive-forms and not the process of developing variation whereby one evolved from the other. (247)

Collisson's 'Grundgestalt Urmotive' develops Schoenberg's ideas in order to illuminate a particular repertoire. Implicit in his work is the fact that the originating 'Grundgestalt Urmotive' is merely a starting point for the exploration of the motive structure of a piece; the identity of the 'Grundgestalt Urmotive' alters and develops through the piece. There are two main problems with the findings:

(1) Schoenberg's writings are sometimes deliberately ambiguous and provocative; in developing from them a firm analytic system, Collisson's work reduces their value. Schoenberg's <u>Grundgestalt</u>, a single construct of overpowering significance becomes Collisson's network of motivic developments initiated from an original 'Grundgestalt Urmotive'. For Schoenberg, the development of the piece's motivic resources strengthens the <u>Grundgestalt</u>: developments of the <u>Motive</u> contained within the Grundgestalt illustrate new possibilities for a single entity. Collisson's method suggests flux and change.

(2) In equating <u>Grundgestalt</u> with <u>Motive</u>, Collisson is able to make some telling points about the structure of Schoenberg's Quartets - the dense thematicism of these works lends itself to Collisson's approach. However, many other writers, including some of Schoenberg's pupils, define the <u>Grundgestalt</u> specifically as a <u>Phrase</u>. Excluding this possibility directly contradicts Schoenberg's apparent intention, and again limits the utility of Collisson's work.

One interesting feature of Collisson's method is his taxonomy of motivic transformation and development. Taking his cue from Schoenberg, Collisson divides the distinctive features of <u>Motive</u> into four: contour, rhythm, intervallic content, and 'boundary' (this last refers to the distance between highest and lowest pitches of the <u>Motive</u>) (83). He establishes the fifteen possible permutations possible by the manipulation of these events, dividing these into four 'Elemental Permutations' according to the preservation or development of

aspects of rhythm and contour (83-4). He relates his 'prioritising of Contour and Rhythm over Interval and Boundary' to Schoenberg's definitions in FMC (84). It is interesting to compare Collisson's theory with his practice, particularly with regard to the relationship between contour and rhythm in his 'Grundgestalt Urmotives'. In his conclusions, Collisson states that:

> Motive-forms that were developed by significant alterations to the rhythmic feature were shown to be more common than those which retained this element (248)

Further:

> that the majority of motive-forms underwent significant rhythmic change, and that contour therefore played a greater part in the integration of motive-forms. (248)

TOWARDS A METHODOLOGY
FOR <u>GRUNDGESTALT</u> ANALYSIS

i. Introduction

This brief interlude aims to make the transition from theory into analytic hypothesis and thence into the practical application of the method. Based on the findings of the previous chapters, it will introduce the assumptions and the methodology adopted in the subsequent analyses.

ii. Theoretical Conspectus

In our exploration of Schoenberg's writings and its appropriation by later commentators, we have seen that there are many differing and discordant definitions of the <u>Grundgestalt</u>. The <u>Grundgestalt</u> was a concept of the greatest personal importance for Schoenberg, closely linked with the evolution and justification of his method for composing with twelve notes. We have found that, for him, the explicit musical foregrounding of the <u>Grundgestalt</u> most often took the form of a pitch contour: Schoenberg never excluded the possibility of a rhythmic association for the <u>Grundgestalt</u> - sometimes, it seems, encouraging others to explore this fascinating possibility - but was himself most occupied with the analysis and generation of tightly-organised pitch-structures.

Of the theorists and analysts that have adopted the mantle of the <u>Grundgestalt</u>, few would find fault with much of David Epstein's definition:

> *Grundgestalt* (Basic Shape) - a configuration of musical elements, formatively significant in a composer's thinking with reference to the structure of a particular work. This significance is magnified in the course of the work through the appearance of this configuration in differing guises and on differing structural levels. In so appearing, certain intrinsic features are retained but varied or disguised by means of embellishment, inversions, interpolations and/or contractions of elements, inversions, augmentations and diminutions and other procedures of compositional manipulation. (Epstein 1968:14)

The great benefit and utility of such a definition is its very lack of specificity (for him, the <u>Grundgestalt</u> is completely flexible, 'a configuration of musical elements'): its danger is in falling into the intentional fallacy.[1] However tempting this might be, as analysts we can only add our ideas and insights to the constellation of structural, semantic, and sentimental meanings which surrounds any piece: we are surely incapable of the musicological equivalent of second sight.[2]

Following on from Epstein's definition, Schmalfeldt (1991) and Schiano (1992) argue that the <u>Grundgestalt</u> is less an analytic methodology even in the broad sense than it is a straightforward heuristic - a way of seeking out truths about the structure of particular musical artifacts or collections of artifacts. These commentators contend that the identity and nature of the <u>Grundgestalt</u> is specific to each piece; that the <u>Grundgestalt</u> identified by an analyst should be a method of organising, evaluating and prioritising information in order to gain

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[1] see W.K. Wimsatt and Monroe Beardsley: 'The intentional fallacy' (in *The Verbal Icon* (Kentucky 1946))

[2] Epstein's definition of the <u>Grundgestalt</u> as something which is 'formatively significant in a composer's thinking' might be adequate as a theoretical definition, but causes serious problems in its implementation as part of an analytic methodology in the way that it confuses the idea of compositional process and what goes on in the composer's mind with a neutral, but realistic and useful, analytic category or tool.

specific insights into the nature of musical structure and the way we perceive it:[3]

Schmalfeldt's work on Berg's op.1 attempts to make Schoenberg's very lack of precision a virtue, arguing that a once-and-for-all definition of <u>Grundgestalt</u> is less important than an insightful implementation of the concept on a piece-specific basis.[4] Schiano's analysis of the Scherzo from Mendelssohn's Octet is similar, exploring a 'Background Motivic Structure' through an inferred motivic 'lowest common denominator' which is fundamental to his interrogation of the structure of the movement.[5]

Unlike these commentators, it is the intention of this study to provide a cogent methodology with explanatory power, that is not only able to yield insights into the structure, identity, and formidable musical logic and coherence of individual piano pieces by Brahms, but which might also be offered as a practical analytic tool capable of informing work on other composers and other periods of musical time. Taking its cue from the work of Walker, Cooke, and Keller, this study will proceed from the presumption of musical unity and completeness, attempting to provide a definition of <u>Grundgestalt</u> consistent with Schoenberg's writings, but a definition which also has practical value in a more generalised exploration and explication of musical unity.[6]

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[3] see Schiano 1992:197, cited on page 102.
[4] see pages 99-101.
[5] see pages 102-3
[6] see the discussion of Walker on pages 82-6; Cooke pp.86-7; and Keller 88-90.

iii. Analytic Conspectus

In their analytic practice, writers have selected their Grundgestalten almost invariably from the opening moments of the artifact concerned. Despite the influence of the self-styled New Musicologists, music is most often appreciated (by both analysts and listeners) starting at the the beginning and moving chronologically to the end. In cognitive terms, the opening should establish the expectation-horizons for the piece, as well as deploying musical means against which the rest of the musical discourse may be measured.

The impact and influence of opening material is particularly pronounced in the music of Brahms. Numerous commentators have undertaken motivic analyses demonstrating the far-reaching significance of the opening Motives. The Second and Fourth symphonies have been most often chosen for this approach.[7]

This, however, illustrates one of the great problems of Grundgestalt analysis. In what ways is the Grundgestalt, or an analysis predicated on Grundgestalt principles, different from a Motive or a motivic analysis? Indeed, many previous Grundgestalt analyses have fallen into this trap: particularly in Brahms, where movements may be shown to be based on very small cells rather than a more-extensive Phrase, the danger is to equate Grundgestalt with Motive. Schoenberg's own work creates the problem: several of his definitions of Motive seem closely related to those of Grundgestalt.

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[7] see Walker (1962:91ff) for an insightful account of the use of what he calls a 'basic motive' in the first movement of the Second Symphony; Tovey explores the use of the same musical cells and describes their use throughout all four movements of the work (Donald Francis Tovey: *Essays in Musical Analysis* (Oxford 1935) 95-107) for commentaries on the Fourth, see foot-note 42 on page 84 and SI 405-6.

iv. Methodology

A possible way further to clarify the situation and derive a practical method therefrom is suggested by the implicit inclusion of a Schenkerian hierarchy in Epstein's definition. In the following analyses, Motive is taken to be exclusively a foreground entity: a Grundgestalt may constitute an ordered pitch-class set of one or several Motives at the foreground. The crucial difference is that it may be carried over into the higher reaches of the musical hierarchy. The Features of the Motive (especially rhythm) may be responsible for the aurally-impacting foreground: the pitch-class set of the Grundgestalt, which may be the same as that of the Motive, may be used to account for the structure at both foreground and middleground, and perhaps, to offer a cogent account of the interplay between structural elements and their local, low-level prolongations.

It is the intention of this analysis to define the Grundgestalt as an arhythmic pitch contour endowed with generative significance over virtually all levels of the musical structure - deriving, controlling, and lending coherence to thematic material, counterpoint, and harmony. In its purest form, the Grundgestalt resembles a Row which functions in tonal music. By its nature, and the nature of the music it is taking part in, the Grundgestalt will generally be shorter in length than the Row. In its strictest form, there are only four forms of the Grundgestalt: the original, the inversion, the retrograde, and the retrograde inversion; and all material in the piece is derived exclusively from these forms. In practice, however, many (often quite far-removed) variants are possible because of the processive employment of variation, and, in particular, of the technique Schoenberg identified as Developing Variation; the Grundgestalt appears as a fundamental, incorporating each sequence of development within the whole.

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The methodology and the quasi-Schenkerian reductive method adopted in the subsequent analyses is able to incorporate many of the findings of previous Grundgestalt work. It accounts, for instance, for the adoption of Réti's 'thematic key relations' by demonstrating the way in which harmonic progressions may be derived from voice leading at the middleground.[8] It may also demonstrate that way in which an entity which is foregrounded as a Motive may be of the greatest possible long-term significance as part of an *Ursatz* progression.

This new methodology for Grundgestalt analysis posits three types of generative linearities: three ways in which a composer may be said to have controlled the unfolding of their music through time. The first linearity is motivic. Schoenberg is at pains constantly to assert the generative capabilities of the Motive; the Motive is an entity which has 'obligations', Features which require realisation and development and which give rise to the process of Developing Variation. Motivic linearity ensures foreground continuity by reference to, and the development of, a single, piece-specific Motive.

The second linearity is that provided by Schenkerian voice leading. This is an abstract and generalised generative construct providing a piece, and communities of pieces, with linear directionality, constituted by prolongations and teleological motion. Voice leading conforms to general archetypes and specific types of prolongation technique - the use of, for example, a neighbour-note or a linear progression from $\hat{3}$ is common to a large proportion of tonal music; the specific implementation of these generalities in any one piece may be revealing about the way a composer controls the unfolding of his music through time, but they remain essentially abstractions for all tonal pieces.

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[8] This is in accordance with Schoenberg's concept of Monotonality

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The third type of generative linearity is the Grundgestalt. The Grundgestalt is a generative feature which, like Motive, has the power to create foreground unity and melodic continuity. Equally, like voice leading, the Grundgestalt may provide for linear prolongations. However, the Grundgestalt is not the same as either, although all three generative features may occasionally correlate. The Grundgestalt is a construct which mediates between the piece-specific foreground considerations of the Motive, and the generalised categories of middleground voice-leading progressions. This mediation may be used to account for the way in which Motive, Grundgestalt, and voice leading may sometimes be very closely related to one another.

The Grundgestalt is a linear generative abstraction, specific to each piece; in level it falls somewhere between middleground voice leading and foreground motivic working - like voice leading, it is a linear abstraction; like the Motive, it is specific to a single piece. Because of its arbitrating rôle between foreground specificities and middleground abstractions, Grundgestalt may account for the teleology of the motivic unfolding, directing and ensuring continuity in the use of Developing Variation. The working-out of motivic obligations is carried out in accordance with the Grundgestalt. Indeed, the Grundgestalt, itself, behaves like a Motive at middleground levels. This interpenetration of an ordered pitch-class set into middleground levels is one of the most striking capabilities of the Grundgestalt. In certain cases, the Grundgestalt is a fragment of the middleground voice-leading progression, which may act as a Motive at the foreground, but which may equally form part of the *Ursatz*.

The analytical implementation of this theory involves a reconciliation of the surface motivic structure with the middleground voice leading. In the intersection of the motivic structure and the middleground voice leading, a communality can be identified; this common denominator is the Grundgestalt.

The Grundgestalt is always an ordered pitch-class set. It may be very closely related to the motivic structure and to the middleground progressions - if the middleground and the motivic structure are congruent, so will the Grundgestalt be. Equally, according to how it is used, the Grundgestalt may prioritise either foreground or middleground levels, but may not do so exclusively. The subsequent analyses contain examples of both these outcomes.

This new method of analysis posits Grundgestalt as a powerful mediating force between the specificity of motivic analysis, and the abstraction of middleground voice leading. It is a very powerful generative force, co-ordinating Motive and middleground, but significantly independent from both.

The scope of this implementation of the Grundgestalt is to explore the structure of Brahms's opp. 117, 118, and 119 - pieces whose dense counterpoint make them particularly suited to such an approach. However, this method of Grundgestalt analysis is likely to have validity away from these specific pieces.

The intention of the analyses is to explore and explain the author's perception of unity in very specific musical circumstances (a selection of the piano pieces written by a master composer in the years 1892 and 1893). It is not wholly inconceivable that the composer could have thought in these terms - indeed Schenker is thought to have studied informally with Brahms,[9] and Schoenberg's formative years were spent in a Vienna dominated by the music of Brahms - but the analysis makes no claims other than exploring an interpretation of the concept in terms of the one musician's understanding of the works.

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[9] see William Pastille: 'Schenker's Brahms' (in *Newsletter of the American Brahms Society* V.2 1987)

CHAPTER 3:
GRUNDGESTALT ANALYSIS OF THE
DREI INTERMEZZI, Op. 117

Op.117 no.1

APPLICATION OF THE METHODOLOGY

The use of a pitch-based Grundgestalt which may be employed to explain our perceptions about a musical structure begins with the three *Intermezzi* Op.117. The influence of a single pitch contour is particularly effective in an exploration of the structure of the *Intermezzo* in E flat (Op.117 no.1).

Two factors converge in the selection of a Grundgestalt: (1) the initial Motive which can be shown to have the greatest influence upon the motivic structure of the piece, as it were the central point in the motivic universe; and (2) the middleground upper voice-leading which expresses the structure of the piece.

The E-flat *Intermezzo* is particularly suited to this approach. Its motivic structure is dominated by two motivic clusters: a group derived from scalic material, and a turning Motive whose fundamental form consists of a step followed by a leap of a third (the first example of this is the f^1 - e flat^1 - g^1 which comprises the melody of bar 2^1. The turning Motive inverted to provide the opening melody of the contrasting section (bar 21). A Schenkerian middleground deploys a *Urlinie* descending from 8, interrupted on 5 at the contrasting section. The contrasting section employs a secondary *Urlinie* descent from 5.

By the concatenation of these means, the <u>Grundgestalt</u> of the Intermezzo is determined to be a scalic descent of an octave. This construct may not only be used to account for the scalar motive-groups, but also for the turning figure by interversion of pitch content, and the manner of its initial presentation. The Schenkerian findings, especially the determination of an Urlinie descending from 8 are also accounted for by this construct.

ANALYSIS

The *Intermezzo* Op.117 no.1 becomes therefore an essay exploring the possibilities of the simplest material: a descending major scale. Brahms presents this <u>Grundgestalt</u> (<u>Gg</u>) without delay:

Example 1

Although the substance of the <u>Grundgestalt</u> is very simple, it is presented within a passage of great rhythmic ambiguity. The quaver anacrusis and specifically the way the left-hand part undermines the bar-line becomes important in our understanding of the music: it is a significant enabler of the thematic reminiscence in the bass part at bar 7. Further, the anacrusis draws our attention to the thematic symmetry of the opening presentation of the <u>Grundgestalt</u>:
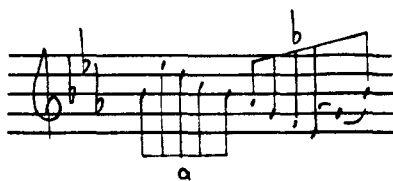
Example 2

Example 2 shows the bipartite partition of the opening phrase into sections a and b, the plain of symmetry falling between these two portions. The gap from b flat^1 to e flat^2 at the opening of the first phrase is answered by the gap e flat ^{1} to b flat^1 at the end of the second phrase, framing the scalic Grundgestalt.

The gap structures at the beginning and end of the first phrase lead us to a division of the Grundgestalt into two:

Example 3
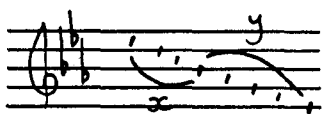
Example 3 shows the nomenclature given to the two portions of the Grundgestalt: x is the four-note segment descending scalically from e flat^2 to b flat^1; y is the five-note segment extending from b flat^1 to e flat^1. The partitioning of the Grundgestalt about 5 provides the impetus for the fundamental line of the middle section (from bar 21).

At the foreground, the Grundgestalt generates a third motive, z:

Example 4
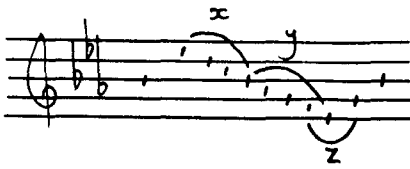
Because of the metric deployment of the material, the f^1 becomes an accented passing tone forming a characteristic *echappée* motive which appears a number of times in the foreground.

Example 5 identifies a fourth motivic component, i:

Example 5

Motive i is the anacrustic leap of a fourth which opens the piece, and which generates (as one of Meyer's gap-fill constructs requiring 'resolution')[1] and delineates motive x. Motive i represents a striking use of a conventional melodic formulation (an ascending leap of a fourth as an anacrusis): it is memorable as a leap in the context of constant scalic motion, but it also brings the bass line of the structural cadence into the constellation of the Grundgestalt.

Example 6 shows the foreground and middleground of the the first 9 bars.

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[1] see Meyer 1973:109ff; Narmour 1990

Example 6

Appearances of motives x, y, and i are bracketed and labelled on the foreground
graph. Motive x^1 is a retrograde of x; z^1 is an inversion of z.

Taking its cue from the symmetrical presentation of the initial <u>Grundgestalt</u>, the
first sentence (bars 1 to 8) also begins as it ends:

Example 7

Example 7 demonstrates the way in which the opening melodic material is answered in the bass line from the last quaver of bar 6. At a remove of three quavers, the answering descending scale in the bass line (from the octave b flat - B flat) is twice imitated in the right-hand part (b flat^1 - b flat^2 in bar 7 also descending from b flat1 in bar 8). The original and its twofold imitation are shown in example 8:

Example 8
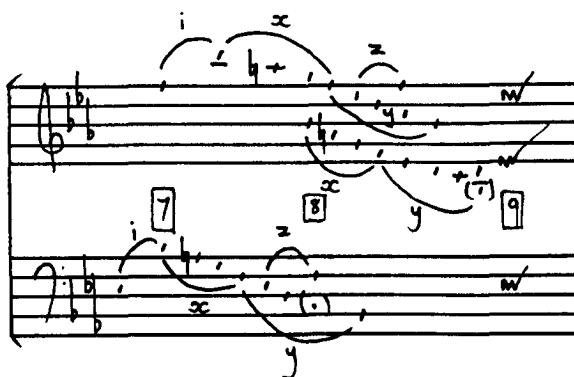
The canonic imitation in the right hand performs two functions: it brings the music back into its original register (bars 5 and 6 having explored higher reaches); and it points out the importance of a scalic descent from $\hat{5}$ (introducing what will become the basis of the contrasting middle section).

Example 9 is a foreground reduction of bars 9 to 16:

Example 9

120

This section begins with a reprise of the opening but quickly begins to explore new regions. The climax of the first section (from the opening to bar 20) falls in bar 13. Here the opening melody is recontextualized within a 3/4 hemiola and recoloured by upwards transposition of its highest note (this e flat3 is the highest note in the piece). Once more, there are elements of symmetry in this section. Standing roughly equidistant from the bar-13 climax, motives x^2 and x^3 are x-variants (x^2 ascending like x^1, and x^3 descending like x) characterized by pitch-omission.[2]

As in the section ending in bar 8, the highest pitch sets off a canon at the octave; again the role of the bass-part is expanded to include x-material (the x^1 from the last crotchet of bar 14).

Example 10 is a foreground reduction of the transition to the middle section (bars 15 to 21); on this reduction, z^2 is a retrograde of z:

Example 10

This section is the transition to E-flat minor. Characteristically, Brahms does not promote the new key by modulation, delighting rather in the sudden change of colour at the end of bar 16. The new key (E-flat minor with Phrygian 2)

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2 The intervallic content off x^2 and x^3 (step followed by a leap), demonstrates the Grundgestalt-inspired link between the x-collection and foreground-motive z.

enacts the shape of the opening melody (motive x); the octave pedal of the opening becomes the texture of bare octaves employed from the end of bar 16. This equivalence is shown in example 11:

Example 11
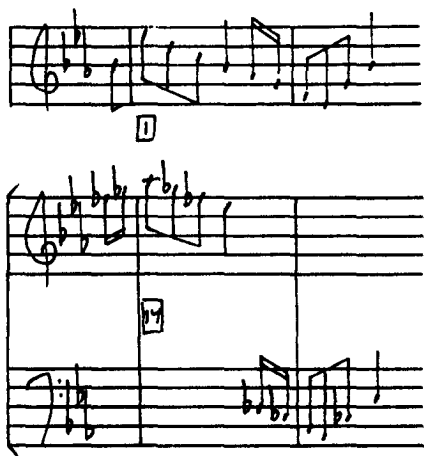
Each of the three phrases from the end of bar 16 ends on a bare octave E flat, denying the certainty of a minor (or major) third to the listener; definitive confirmation of the new tonic only comes in bar 28, at the beginning of the second phrase of the middle section. This transition section acts as a counterbalance to the middle section in motivic terms: the four bars from bar 17 make use of Grundgestalt-derived motives x and z; the middle section is primarily concerned with motives y and z.

Example 12 is a middleground reduction of the first section of the piece.

Example 12

The constant foreground interpenetration of the Grundgestalt has already been demonstrated. What is remarkable about this piece is the way in which the Grundgestalt dominates not only the middleground but also becomes the Schenkerian 8-line. As may be seen in example 12, the middleground makes almost exclusive use of the Grundgestalt, predominantly in the form of the Grundgestalt's partition into motives x and y, but also in the retrograde x^1 and the derived motive z.

The middle section contrasts strongly with the opening music: the opening's long and flowing melody is replaced by bar-long fragments scattered over three octaves; the 6/8 melody, accompanied by caressing trochees, becomes a texture of considerable rhythmic complexity with the left-hand part operating in 6/8 and the right in a 3/4 hemiola; the mysterious quaver-displacement of the opening is developed into a much more unsettling feature - the impression is of a Sarabande in the right hand (the second-beat accent provided by hairpin dynamic markings) preceded a quaver early by the accompaniment of a Siciliana. The structure of the middle section is, however, very closely related to that of the opening. Example 13 comprises a foreground and a middleground reduction of the first 8 bars of the middle section:
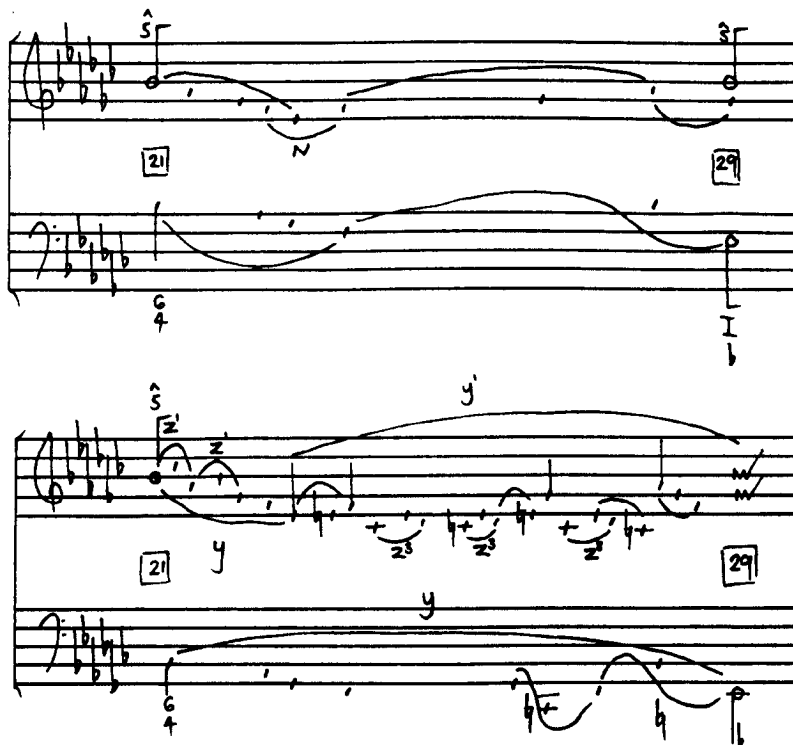
As may be seen in example 13, the middleground of this section is controlled by the y-partition of the <u>Grundgestalt</u> (the retrograde of y, y^1 is a new departure in the second part of this extract). The foreground is dominated by motives z and z^3 (z^3 is a retrograde of z^1). Example 14 contains a foreground and middleground reduction of the second half of the middle section (from bar 29):

Example 14

$\overset{\wedge}{5}$ in bar 21 is the first note of the fundamental line of this section, moving towards completion from bar 34. The $\overset{\wedge}{8}$ -$\overset{\wedge}{7}$ - $\overset{\wedge}{6}$ in bar 20 leads us towards two possible interpretations of this middleground: firstly, that the middle section is an elaboration of the interruption (on $\overset{\wedge}{5}$ at bar 21) of the fundamental line, and that the fundamental line resumes its descent (from $\overset{\wedge}{8}$) at the reprise (bar 38); the second possibility is that there are two complete structural descents in the music. The first of these descents is instigated in bar 20 and completed from bar 34, and the second is enacted at the end of the piece. This second possibility might help to explain the close correspondence between the middle section and the opening music as well as the delicious g natural in bar 37. However, the putative bar 34 fundamental line is separated from its supporting harmony (a possibility not unknown in this music), but it is the view of this author that the middle section is an elaboration of an interruption. The composer deliberately uses the second partition of the Grundgestalt (y) as well as the subsidiary z to emphasise the structural primacy of the outer sections. He also builds 'quotations' from the outer section into the middle section at bars 26, 28, 34, and 36-7. These bars mimic the rhythm of the first complete bar of the piece, use the characteristic scalic descent, and 'disguise' the melody as the middle voice of the texture. The first instance of this is shown in example 15:

Example 15

125
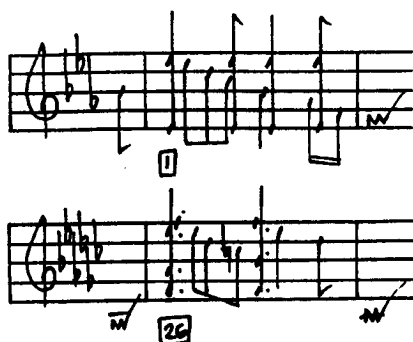
A foreground and middleground reduction of the first part of the reprise is shown in example 16:

Example 16

The foreground and middleground structures shown in example 16 are very similar to those found at the opening: making almost exclusive use of Grundgestalt material. The musical surface is very different again. As we have demonstrated, the opening of the piece is notable for the way in which Brahms allows his melody and his accompaniment to be out of alignment: at the reprise, he takes this idea and develops it into something remarkable. He surrounds the melody with iambic chords, asks for it to be played *dolce*, and, by doing so, creates from it a sweet, wistful waltz. Further, from the end of bar 42, he adds an alto 'descant' to the proceedings, only closing down affairs with a diminuendo in bar 45, and a return to the more restrained opening texture in bar 46.

Example 17

Example 17 comprises foreground and middleground reductions of the remainder of the piece. The middleground explored here contains the structural cadence: final confirmation of the all-embracing power of the Grundgestalt. The section begins with the music of bar 9 and is structurally the same until bar 53. Bar 50 is a development of bar 13, the high register of the right-hand part again setting the passage apart: the latter section's rerhythmicization brings out the two contrapuntal parts much more clearly than in its model.

As may be seen in example 17, the fundamental line begins its final descent from $\hat{8}$ in bar 52. The fundamental line emerges from the e flat[2] which has been omnipresent throughout the piece.[4] This is a fascinating moment in the piece whereby the fundamental line of the piece emerges from what appeared to be a subsidiary accompanying part.[5]

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[4] Even in the middle section, the first two 'quotations' from the opening (bars 26 and 28) contain e flat[2] as the flattened seventh degree.

[5] This is also a powerful piece of evidence in favour of the interpretation of the middle section as an elaboration of the interruption.

The final meaning of this coda is to reveal the importance of the motive i:

Example 18
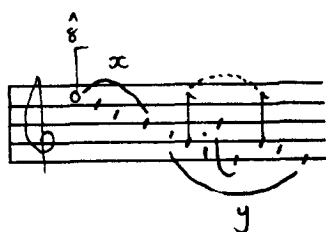
The upper-stave formulation shown in example 18 appears five times in the foreground of the piece.[5] This construction has previously been accounted for as a <u>Grundgestalt</u> descent (that is division x followed by division y) interrupted by a reformulation of motive i. The twofold repeat at the end of the piece leads us to reassess it, and its purpose becomes clear.[6] This figure is a foreground assimilation of motive i into the <u>Grundgestalt</u>. In example 2, we have seen that i performs a generative function in the opening melody. The music that follows, however, concentrates on the scalic identity of the <u>Grundgestalt</u>. The foreground prominence of the figure identified in example 18 at the end (in bars 53 and 55) forces us thus to reconsider its previous appearances - an ever-thorough composer tying-up a loose end. This finding at the foreground neither changes the nature of the <u>Grundgestalt</u>, nor our assertions about the remarkable unity found in this piece: it is a further example of the composer bringing his entire motivic resources for a composition into an ever-tighter and more closely-related constellation, centred about the <u>Grundgestalt</u>.

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[5] Bars 4, 16, 41, 53, and 55 - note that the figure is weighted by appearing twice at the end of the piece.

[6] From this, we infer that the former grace notes in the melody (bars 4, 16 and so on) should be played on the beat, not before, making them resemble a 'scotch snap'.

APPLICATION OF THE METHODOLOGY

The relationship between Schenkerian structure and motivic process is given a different emphasis in *Intermezzo* in B-flat minor. The relationship of the Grundgestalt to the musical surface determines the perceptual level at which we begin to unpack the musical structure: in the E-flat *Intermezzo*, the closeness of the Grundgestalt to the motivic resources meant that the analysis could precede from the musical surface, ascending through the structure to the middleground; in the B-flat *Intermezzo*, the Grundgestalt is much more closely associated with the middleground.

The motivic structure of the piece is dominated by two Motives: in their initial forms comprising a descending second and an ascending fourth. The Schenkerian middleground comprises an interrupted *Urlinie* descent from $\hat{3}$. The lower reaches of the middleground, however, are dominated by octave descending scales. The first presentation of an octave descending scale is taken to be the the Grundgestalt.

By this determination, the method for finding a Grundgestalt is brought into question. The octave descent has little to do with the aurally-impacting motivic structure. The Grundgestalt is associated with and controls the deployment of the motivic resources, but does not (without unreasonable manipulation) contain them.

Why then, has this selection been made? Outlined in the foregoing methodological statement was the intention to derive the method from analysis of specific pieces. This analysis is an example of the freedom and adaptability that I believe should be inherent to any implementation of Schoenberg's concepts. The Grundgestalt used in this piece is a response to the musical object: the *Intermezzo* in E flat contains more overt accompanimental material

than most of Brahms's late piano music - the accompaniment consists of arpeggiation of the basic harmony, rather than the thematically-derived contrapuntal lines more characteristic of this music. Because of this, the Grundgestalt was deemed to be located further away from the foreground. This approach leads to quasi-Schenkerian middlegrounds in which motivic material plays more of a rôle than in conventional Schenkerian reduction. But the carrying-over of motivic forms into the middleground is inherent to the current interpretation of the Grundgestalt, and responds to the nature of the musical object considered.

ANALYSIS

The *Intermezzo* in B flat is very different from the preceding *Intermezzo* in E flat: whereas the former outlines a straightforward ternary form, the latter is a finely-wrought sonata-like miniature; the first *Intermezzo* begins with an extended scalic melody surrounded by a simple accompaniment; by contrast, the second Intermezzo begins with short fragments of melody, densely accompanied by its tenor line; the first *Intermezzo* begins with four-bar phrases, the second with much shorter Figures which combine in an initial Theme nine bars in length; the middle section of the former is a contrasting Grundgestalt-variation on the tonic minor (bars 21-37), the latter glories in a full-blown second subject on the relative major (bars 22 to 38).

The structures of the two pieces are closely related, however, based on a single scalic Grundgestalt - they are different explorations of the same structural concept. Example 19 shows the Grundgestalt of the E-flat *Intermezzo* (upper stave), and the first form of the Grundgestalt in the B-flat Intermezzo (lower stave):

Example 19

The Grundgestalt of the E-flat *Intermezzo* is shown with the associated motive i;
the Grundgestalt of the B-flat Intermezzo is shown with its associated motive,
p. Once more, the octave of the Grundgestalt may be divided into a scalic
descent with the range of a fourth (x), and a scalic descent with the range of a
fifth (y). This is shown in example 20:

Example 20
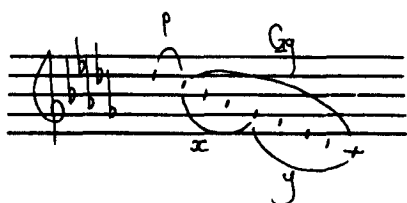
The Grundgestalt of the second piece is harder to identify than that of the first
because its pitch-content is more irregular - it consists of a scalic descent over
an octave which either starts from, or is closely associated with, the pitch d
flat^2. This Grundgestalt is more elusive because, unlike the all-pervasive
Grundgestalt of the E-flat *Intermezzo*, it is most clearly expressed in middle-
and background structures. As we shall see, the Grundgestalt exerts a
considerable influence in the foreground, but is not the constant presence which
it was in the first piece in the set.
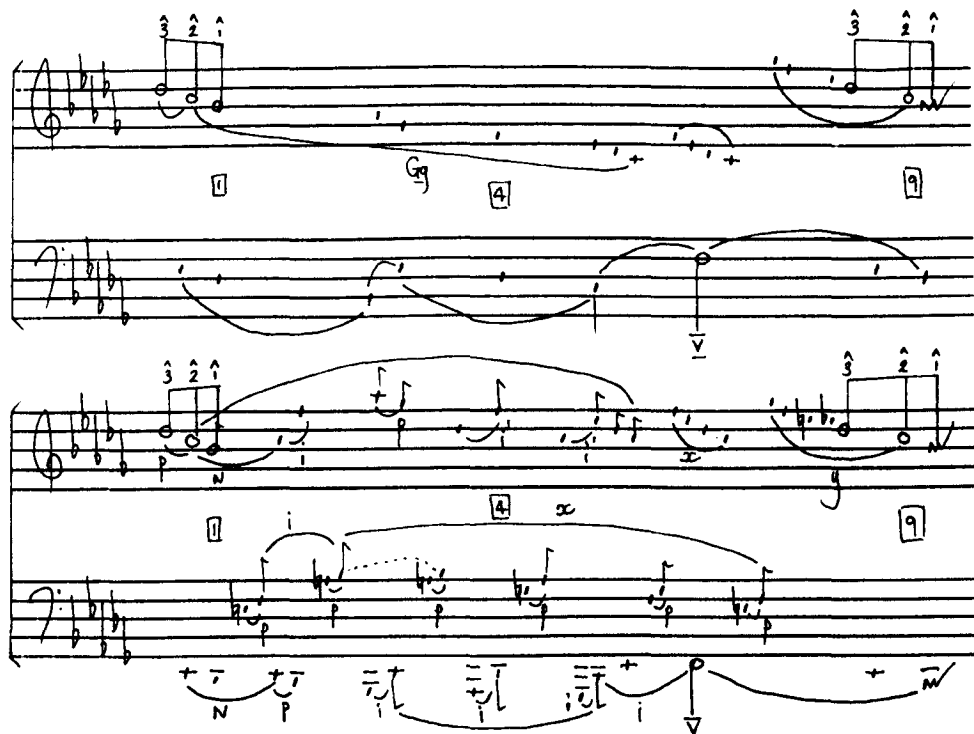
Example 21 is a foreground and middleground reduction of the first 9 bars of the piece. The middleground is dominated by one complete Grundgestalt-descent and two partial descents: x from f^1 on the last semiquaver of bar 5 (f^2 in the foreground); and y from g^2 (from the last semiquaver of bar 6).[8] The complete Grundgestalt is obscured by octave displacement at the foreground: the first two notes of the Grundgestalt descent (along with the preceding d flat^2) appear in the principal register; the next six notes are transposed up an octave (starting from a flat^2). The Grundgestalt is further prolonged by means of motives i and p.

The foreground reduction in example 21 clearly shows the way in which the texture is divided into three: the upper voice accompanied by demisemiquaver arpeggiation; the bass line; and an intervening voice. Taking our cue from the clear division of the upper voice into melody and demisemiquaver accompaniment, one may make a similar division of this middle voice.[9] Its structure is revealed as a Grundgestalt-derived x-figure, introduced by the

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[8] This y-appearance forms an overlap with the second complete Grundgestalt-appearance (from bar 8).

[9] Although in performance this middle voice should not be over-emphasized - Brahms has carefully marked the right-hand melody with two-note slurs beneath the eight-note group-slurs, and equally-carefully omitted this feature in the middle voice.

fourth-ascending i (f to b flat), and embellished throughout by an inversion of p; this is shown in example 22:[9]

Example 22
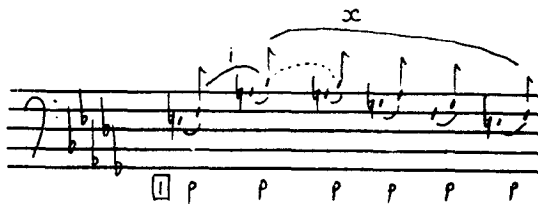
Motive p is not merely a foreground derivative of the fundamental line: it acts as a significant factor in directing the attention of this listener, enabling our perception of the fleeting d flat^2 - c^2 as the first two pitches of the emerging fundamental line. By varied repetition, p enables a retrospective reinterpretation of the importance of the first two melody notes in initiating the musical discourse in the higher structural realms.

By describing the initial $\hat{3}$ - $\hat{2}$ - $\hat{1}$ of the fundamental line as 'fleeting', I have inadvertently drawn attention to the character of the first nine bars. There is a sense of searching in this music, a transitory and restless quality providing a singular and intriguing opening to the composition. The dislocation between the appearance of $\hat{2}$ as the anacrusis to bar 1 and the establishment of V in bar 6 is one of the enablers of this quality. The bass line of the first 9 bars is excerpted in example 23:

Example 23

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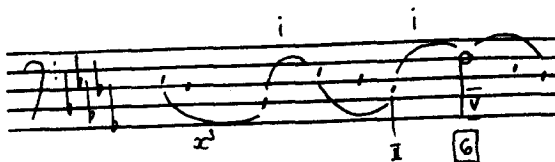
[9] This example also shows the closeness between the first and second *Intermezzos* in the set: the line labelled i and x in example 22 is a varied transposition of the opening melody of the *Intermezzo* in E flat.

The example shows the confirmation of V by means of II, but it is equally telling as an exploration of the motivic resources of the lowest voice. These comprise three <u>Grundgestalt</u>-derived scalic-descents: x^3 (a descending x with pitch-omission) from e flat at the opening; and two three note descents from e flat in bar 3 and from f in bar 6. These are conjoined by motive i. The rich motivic content of the bass (as well as that of the other two identified voices) is an important difference between this piece and its predecessor.[10]

Example 24

Example 24 is a foreground and middleground reduction of the section from bar 8 to bar 22.[11] This section comprises a varied repeat of the opening music itself extended by repetition (bars 17 to 21) together with the beginning of the second subject area. Within the sonata-outline of the piece, this section has a very interesting role to play. The section looks back to the form of the A section of

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10 The first piece exposes the Grundgestalt content simply: the second is a three-voiced contrapuntal essay in the potentialities of the material.

11 The music explored in this graph overlaps with that shown in example 21.

the first piece. The E-flat *Intermezzo* begins with an eight-bar section, followed by an eight-bar answer from bar 9. The answer takes the form of a varied repetition of the opening, and the section ends with a four-bar transition to the B section. The outline of the B-flat minor *Intermezzo* is similar. It begins with a nine-bar opening section, is followed by a nine-bar answer derived by varied repetition of the opening, and ends with a four-bar transition to the contrasting section. The difference here is that the contrasting section bears the hallmarks of a sonata-practice second subject: a discrete key-area (the relative major of a minor key); a contrasting character and a different texture (a much more confident character and chordal writing). Why are the two opening sections so closely related? There are two reasons for this: firstly, the composer is seeking to play on our expectations of form. He established an archetype in the first piece which he is here seeking to subvert - a section which was so clearly the first group in a ternary form now becomes the first subject of a sonata outline. Secondly, Brahms's sonata expositions expanded the classical model, and it was more usual than not for him to use three groups (each with a separate tonal area) rather than two.[12] In this piece, Brahms divides the first subject into two (bars 1 to 8 and 9 to 21) - rather than employing two keys, Brahms makes the varied repeat tonally-distinct by introducing V much earlier in the section (in bar 12).

The transition to the middle section makes interesting use of the Grundgestalt. D-flat major is introduced from its very beginning (bar 18), initially through III of V (A flat) which becomes V of D flat. Indeed, example 24 shows that the transition is underpinned by a structure consisting of I - IV - V - I in D flat. The upper stave supports this: motive y is heard descending from a-flat[2], followed by a complete Grundgestalt descent from d flat[2]. This descent seems to end on g flat[1], but is in fact completed by the first three notes of the second subject (f[1] - e flat[1] - d flat[1]). This descent shows the generative power of this Grundgestalt: the Grundgestalt from bar 7 begins with $\overset{\wedge}{3}$ - $\overset{\wedge}{2}$ in the principal

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12 derived from Schubert's first-movement technique, all four of Brahms's symphonic first movements employ three tonal areas (although two keys, the second in both modes).

tonality (B-flat minor); the <u>Grundgestalt</u> descent which ends the section ushers in $\hat{3}$ - $\hat{2}$ - $\hat{1}$ in the contrasting tonality (D-flat major). This is shown in example 25:

Example 25

This helps to explain the difficulty in defining the exact pitches of the <u>Grundgestalt</u> at the opening. The first <u>Grundgestalt</u> descent begins from c^2, but is preceded by d flat (conjoined by motive p). The first section, thus, emphasises the interruption in the fundamental line on $\hat{2}$. By contrast, the <u>Grundgestalt</u> from bar 7 is an octave descent from d flat^2. Structurally, this continues to prolong $\hat{2}$ (this time the second pitch of the <u>Grundgestalt</u>), but in the lower reaches of the hierarchy, the descent prepares the key of the interruption by ending on the pitch d flat^1. This finding is emphasized by a second descent from d flat^2 beginning in bar 19.

Example 26 is a foreground and middleground reduction of the second subject (examining the music from bar 22 to bar 38):

Example 26

As may be seen in this example, the middleground structure of the second subject is controlled by two __Grundgestalt__ descents from d flat^2. The framework of the second subject is, therefore, exactly the same as that of the first subject area. Further, if one compares the foreground structure of the opening of the second subject and that of the opening, one discover that, for all their apparent differences, they are very closely related indeed. This quality is explored in example 27 (the upper pair of staves explore the structure of the opening; the lower pair, the beginning of the second subject):

Example 27

As at the opening, the second subject may be divided into three voices: in both cases, the upper voice contains a scalic descent of a third, it rises by a step and then a perfect fourth, rises again (at the opening by a third; at the second subject by a tone), and then falls by a step; the tenor voice rises by a fourth and is embellished with motive p; the bass at the second subject comprises a cadence onto D flat which continues as a pedal for almost three bars - the bass at the opening also revolves around a single pitch (E flat) which is strengthened by its dominant.

Just as with the opening, the second subject is contained within irregular Phrase-lengths. Unlike the first section, these phrases are divided into two groups, the first four-and-a-half bars in duration, the second lasting for three-and-a-half bars: the expansive chordal first section (from bar 22), is answered by more restive music, the melody (making continual use of motive p) banished to the middle voice (bars 27 to 30). The second four bars again look back to the E-flat *Intermezzo*: the inner-voice melody is one obvious similarity; but they

also recall the decorated melody from the end of bar 42 in the former piece.

A final relationship between first and second subjects is their dynamics. The Italian performance directions from the opening of the piece to the end of the second subject form a palindrome:

Example 28:

Bar:	1	9	11	22	27	30
Direction:	p dolce	p	espress.	p	legato espress. e sostenuto	p dolce

As may be seen in example 28, the first eight and the last eight bars of the exposition are marked *dolce*; the middle groups are marked *espressivo*. Brahms's care with such markings was considerable and, however difficult and ambiguous in execution, the intention to begin and end the exposition with a similar timbral palette is clear.

Example 29 is a foreground and middleground reduction of the retransition:

Example 29

This section embodies a remarkable combination of functions. At the same time, it stands for both a development and a retransition to the recapitulation. It begins with opening melody in bare octaves (from the end of bar 38) - a short-term statement of $\hat{3}$ - $\hat{2}$ - $\hat{1}$, as well as a powerful moment of reprise. This gesture is one of development,[14] and it is followed by a development of the opening texture. Brahms fuses the tenor and bass voices of the opening into a single entity, and actualizes the opening's potential for counterpoint, setting the upper voice against its inversion at the remove of a crotchet. The counterpoint becomes more intense (almost stretto-like) in bar 42, resulting in a feeling of release in bar 43. It might be argued that bar 43 is where the 'retransition' function begins to assert itself over the 'development' function. Bars 43 to 46 present a series of descending and ascending diminished sevenths enriched by the motive p. Bars 47 and 48 verticalize the sevenths and the 'melody', motive

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[14] Beginning a development with the music of the opening is typical of the composer - the most famous example is the 'false' repeat development of the first movement of the fourth symphony (Op.98).

p. This six-bar section, so often misunderstood in performance, has a vital role to play: it is a clue as to the true identity of the second subject, an appeal to the astute listener to consider the similarities between the second subject and the opening. Bars 43 to 46 present the outline of the opening melody; bars 47 and 48 the chordal structure of the second subject - the juxtaposition of their two textures is no accident.

The remarkably Impressionistic three bars from the end of bar 48 seem to dissolve the end of the section - clarity only returning with the recapitulation in in bar 51. These bars, consisting of a scalic descent from d flat^3 over a dominant pedal, lead us to consider the structural significance of the development/retransition. As may be seen in example 29, the section in founded on two Grundgestalt appearances: the descent from d flat^3 beginning in bar 49, and the ascent from D flat (from bar 38). This is the solitary ascending Grundgestalt (marked Gg^1), and its appearance is vital to the function of the piece. As the second subject was prepared by two Grundgestalt descents from d flat^2, the initial Grundgestalt descent from c^2 must be prepared. This is the true function of, what must because of this be called, the retransition. The ascending Grundgestalt in bar 38 ends on d flat but immediately subsides onto c. This c (II of V) is the fulcrum whereby the tonality returns to B-flat minor. The Grundgestalt needs now to return to its initial form, and does so in the wonderful adumbration of bars 49 and 50 - structurally a Grundgestalt descent from c^2 preceded by d flat^2 (motive p).

Example 30 is a foreground and middleground reduction of the first part of the recapitulation:

Example 30

The most striking change at the recapitulation comes in bar 61. This development of bar 9 superimposes an incomplete descending Grundgestalt scale from d flat^3 on the previous structure. Like the Grundgestalt use in bar 49, this appearance of the Grundgestalt marks another important turning-point in the musical structure, paving the way for closure of the fundamental line. Once more, it consists of a Grundgestalt descent from c^2, preceded by d flat^2. Its consequences are shown in example 31:

Example 31

The structure of this second section of the recapitulation is dominated by a
Grundgestalt descent from b flat[1] beginning in bar 61. The last three notes of
this form a short-term $\hat{3}$ - $\hat{2}$ - $\hat{1}$ in bar 73, and allow the assimilation of the
second subject into the tonic. This descent also underpins the establishment of
the structural dominant in bar 69. The motivic structure of this section
concentrates on the possibilities of i, expanding the interval leap from a fourth
to an octave in bar 64; later i appears in inversion.

Example 32 is a foreground and middleground reduction of the final section
(from bar 72):

Example 32

This section takes on the functions of coda and of second-subject recapitulation, 'resolving' the second subject into the tonic key. The final section, marked *Più Adagio*, begins with a group based on first few notes of the second subject (and, accordingly, on the opening of the piece); this is shown in example 33:

Example 33

As may be seen in the lower stave of the example, the ascending fourth of motive i has become a descending fifth instigating this descending arpeggiated pattern. The coda figure, therefore, reverses the rising contour of the second subject figure (the second subject except in the upper stave of example 33 rises from f^1 and ends on b flat^2). The sharply-rising contour has earlier determined the use of scalic Grundgestalt-descents. The descending arpeggiated semiquavers in bars 73 and 74 ensure that the music remains confined and is able straightforwardly to proceed to closure.

From the middle of bar 76, the coda section mimics the opening form of the melody. Once more, this juxtaposes the texture of the second subject (bar 72) with that of the first (76). The whole is supported by an extended dominant pedal (sustained by motive-p neighbour-note figures), which extends the structural dominant (first established in bar 69).

There are no complete Grundgestalt appearances in the coda section, although the twice-employed motive y is a substantial except, and the concluding $\hat{3}$ - $\hat{2}$ - $\hat{1}$ is a direct result of the Grundgestalt descent from b flat^1 (begun in bar 61). This leads us to some interesting conclusions about the nature and function of the Grundgestalt in the piece. In the E-flat *Intermezzo*, the Grundgestalt is synonymous with the fundamental line; in the B-flat minor *Intermezzo*, the fundamental line is contained within the Grundgestalt but is not the same as the Grundgestalt. The Grundgestalt is the defining feature of the middleground of the piece, conditioning and directing every structural and tonal twist and turn - it might be said that with this remarkable structure, Brahms reveals that he is more interested in the means (the Grundgestalt-dominated middleground) than the end.

APPLICATION OF THE METHODOLOGY

The Grundgestalt of the *Intermezzo* in C-sharp minor is predicated strongly on its motivic content. The Schenkerian middleground consists of an *Urlinie* descent from $\hat{3}$, provisionally reaching closure at the end of the first section. The contrasting section is controlled by a subsidiary *Urlinie* descent from $\hat{5}$.

The proposed Grundgestalt consists of an octave descending scale. There are two unconventional features in this approach. Firstly, the Grundgestalt is not presented in its entirety at the outset: its first complete appearance near the foreground begins in bar 11. Secondly, the Grundgestalt is not comprehensively carried-over into the middleground: its presence is felt in the scalic material of the *Urlinie* descent but not in the exhaustive fashion predicted by the methodological introduction.

The justification for the analytic practice is in its interaction with the musical artifact. In the subsequent analysis, the Grundgestalt is demonstrated to be the fundamental from which virtually all the motivic material is extracted. The Grundgestalt lies at the centre of a constellation of Motives, providing a central axis about which the musical discourse may revolve. This interpretation is fully in accordance the findings about the relationship between the Grundgestalt and Schoenberg's method for composing with twelve notes. Continuing the analogy with dodecaphonic techniques, the Grundgestalt may be said to act as a repository for the building-blocks of the piece.

In a way, this implementation of the Grundgestalt does penetrate into the middleground. It is not at all a conventional Schenkerian middleground, but this Grundgestalt is an entity removed from the musical foreground of the piece, and it does enable the structural unity of the piece.

The final justification of the selection of this particular <u>Grundgestalt</u> is its relationship with the other pieces in the set. A scalic descent provided the <u>Grundgestalt</u> in both the previous *Intermezzi* in the set. It is known that Brahms created these sets with great care,[15] and it is possible to argue that an analytic approach such as this such be carried-out with equal thoroughgoing consistency.

ANALYSIS

After the formal complexity of the *Intermezzo* in B flat, the the *Intermezzo* in C-sharp minor returns to the relative simplicity of a ternary outline, albeit a ternary outline strongly conditioned by techniques of variation. The yearning opening group of ten bars (5 plus 5) is answered by an arpeggiated section, again ten bars in duration. At bar 21, the opening group is varied, the bare octaves of the beginning softened by the addition of an accompaniment. At end of this ten-bar section, the arpeggiated idea returns slightly varied (bar 31). The A section concludes with a five-bar coda, built entirely over a tonic pedal.

Example 34 is a middleground reduction of the first twenty bars of the piece:

Example 34

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15 A full account of this is found in Cai (1986)

The halfway division of the section in bar 10 is clearly marked on the reduction by a cadence on V, strengthened by a low-order $\hat{3}$ - $\hat{2}$ - $\hat{1}$ on G-sharp major. But what is most striking is the division of the motivic resources of the extract into two. As with the previous two *Intermezzi* in the set, the Grundgestalt is a scale, partitioned at the dominant so as to provide a scalic descent over a fourth and a scalic descent over a fifth (motives x and y respectively). This is shown in example 35:

Example 35
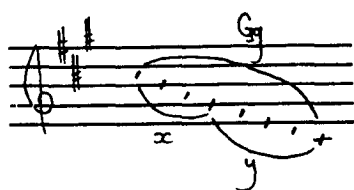
There are two complicating factors: firstly, this construction rarely appears in the musical discourse, and it certainly does not make the decisive impact at the beginning of the piece that it does in the other two pieces in the set. We will explore the high-middleground ramifications of this construction later. The second complicating factor is that the scalic Grundgestalt may both ascend and descend. Accordingly, the motivic resources of the first ten bars of the piece generally rise, and the motivic resources of the second ten bars generally fall. This is an extraordinarily simple, and yet quite brilliant way of forming a statement and a strongly-contrasting answer from the single Grundgestalt. There is almost an air of innocence about the way Brahms presents this mastery - both the statement and the answer begin with guileless octaves, disguising the relationship within seemingly-transparent texture.

The motivic resources of the first 20 bars are explored on example 34 using the following nomenclature:[16]

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[16] Note that this taxonomy relates exclusively to the C-sharp minor *Intermezzo*; it is related to those employed previously in the chapter, but not exactly the same.

Example 36
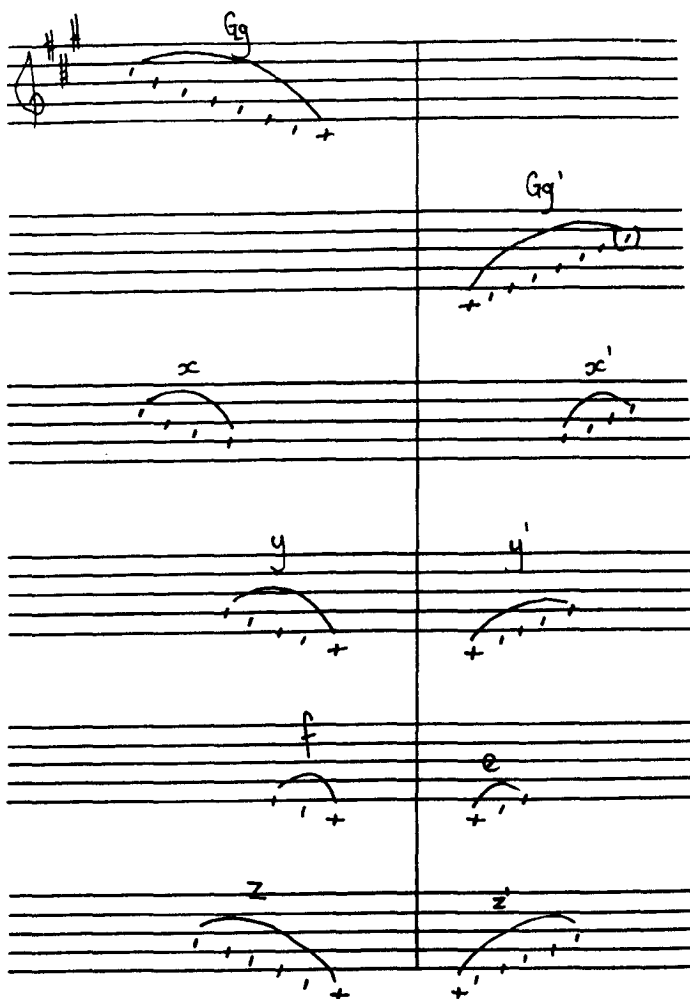
This example shows the two Grundgestalt forms and their motivic derivatives. The descending form of the Grundgestalt (Gg) is shown to be of more significance than the ascending (Gg[1]) because the descending version will eventually direct the descent of the fundamental line.

As may be observed in example 34, there are two prominent motive-y ascents from e^1 to b^1 in the first ten bars : from the last quaver of bar 2 to bar 4; and from the last quaver of bar 7 to bar 9. Ascending from $\hat{3}$, these stress the importance of b^1. Taken in combination with the recurrence of c sharp^1, this leads to an important observation:

Example 37
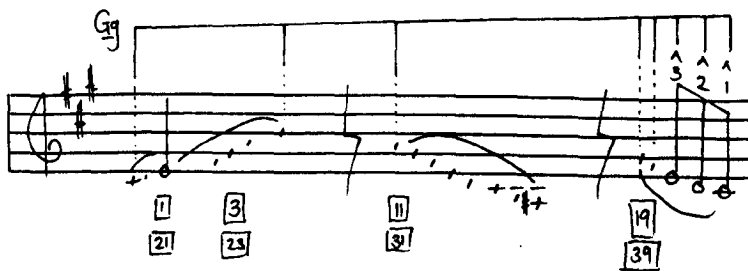
As may be seen in example 37, the first twenty bars of the piece are controlled by an appearance of the descending Grundgestalt.[17] This explains the prominence of c sharp^1 and the y^1 ascents to b^1 in the first ten-bar phrase, as well as providing the first pitch of the Grundgestalt descent from bar 11, and the material for the first structural cadence from bar 19. The ascending Grundgestalt variants are subsumed within the descending primary Grundgestalt, setting-out pitches of the higher-level Grundgestalt by their boundary tones.

Example 38 is a middleground reduction of the second part of the A section (bars 21 to 45):

Example 38

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[17] The second set of bar numbers indicate the presence of this structure in the second part of the A section.

Much of this is similar in structure to the opening. The revised repeat of the opening in bar 21 gives a surface prominence to IV (F-sharp minor). As well as adding a new tonal colour to the repeat, this has the effect of strengthening the harmonic direction of the section, adding particular weight to the cadence on V in bar 30, and thus enhancing the structural cadence in bar 40. The first ten bars of this section surround the melody with accompaniment, a process which strongly resembles the opening texture of the first piece in the set. The second difference is the new five-bar coda section from bar 41. This takes place over a pedal C sharp and lends what Musgrave rightly describes as an 'astringent' quality in the harmony (Musgrave 1985:260). The coda enhances the effect of the middleground Grundgestalt explored in example 37 by juxtaposing the beginning and the end of the process: its melody fuses the first two bars of the opening (significantly before the prominent ascent to b[1] has taken place) with the melodic material of bars 19 and 20.

The contrasting section of the piece is itself contained within a ternary form: the first section is from bar 46 to bar 55; the contrasting section from bar 56 to bar 65; and the return to the opening section is from bar 66 to bar 75. It resembles a miniature monothematic sonata-structure: a first section with two groups (bars 46 to 50, and bars 51 to 55) moving from I to V; a central 'development' section more adventurous in tonality and containing new approaches to the original material; and a 'recapitulation', initially on V, recalling the two thematic groups of the first section (bars 66 to 70, and 71 to 75) and 'resolving' them onto the tonic key.

The middle section must be viewed in terms of its relationship with the E-flat *Intermezzo*. The melody and the bass in this section are out of alignment by a semiquaver; similar displacements were prominent in the first *Intermezzo*. Here, the displacement makes for a very adventurous texture. The second point of contact between the two pieces is the use of octave displacement: the middle section of the E-flat *Intermezzo* (bars 21 to 37) made great play of octave disjunction, contrasting the resultant short phrase-lengths with the longer-

breathed melodies of the outer sections. A similar relationship pertains in the C-sharp minor *Intermezzo*: Brahms spreads the melody and accompaniment of his middle section over several octaves contrasting greatly with the relatively-constrained range of the outer sections.

The relationship with the E-flat *Intermezzo* (whose seemingly-different middle section turned out to be closely related to the opening music) is the first of two clues as to the identity of the middle section. The second is that, like the opening, the section is contained within three ten-bar phrases (with 5 plus 5 internal structures).

Example 39 is a middleground reduction of the middle section of the piece from bar 46 to bar 66:

Example 39

Example 40 explores the relationship between the first portion of this and the opening of the piece:

Example 40
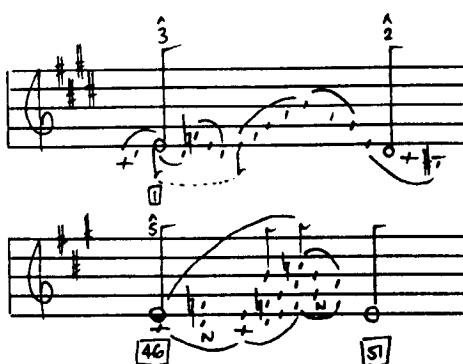
As may be seen from this alignment, the pitches of these two sections are almost exactly the same. In the same way that the opening of the *Intermezzo* is an exploration of ascending and descending <u>Grundgestalt</u> figures, the first part of the middle section contains a prominent scalic ascent from e^1 to a^1 (motive x^1), and the second part a prominent descent from c sharp^2 to g sharp^1 (motive x).[18] The descent from c sharp^2 is prepared by the leap from e^1 to b^1 (bars 46 and 47 respectively). The b^1 (as it appears in the middleground) is prominent for a number of reasons: its altitude, and its links with the c sharp^2 in bar 52, the first note of the x descent.

The 'development' portion from bar 56 is also contained within two five-bar phrases. Prolonging V, the section explores more chromatic reaches, making especial use of three-note chromatic figures in the bass. Both phrases end with motive-x descents (from bar 59 and bar 64).

Example 41 is a reduction of the 'recapitulation' of the middle section (from bar 66 to bar 76), showing the way the material first heard in bar 46 is brought to a cadence on A major:

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[18] This leap outlines the boundary-tones of motives y and y^1

153
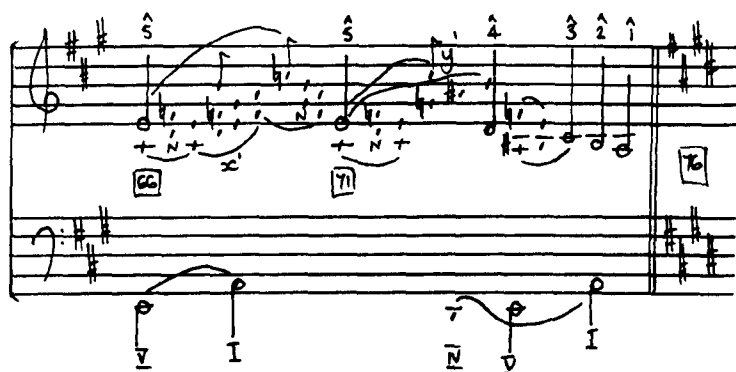
Example 41

There follows a remarkable six-bar retransition to the return of the A section. The structure of this is explored on example 42:

Example 42
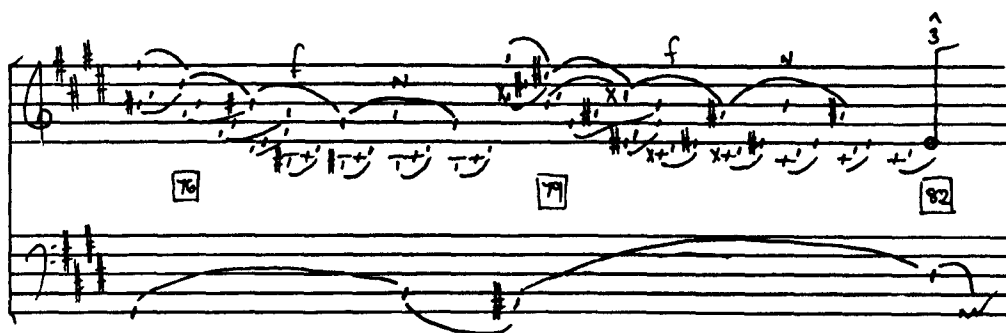
As Musgrave points out, the retransition begins straightforwardly enough on the dominant of C-sharp minor, but quickly explores more adventurous regions, ending on A sharp, an 'effective dominant at four removes' (Musgrave 1985:260). The upper-stave descent operates in three-bar periods, coming to a rest (in two *poco ritardando* followed by pause bars) in bars 78 and 81. This periodicity promotes a sense of 'otherness', paradoxically the shorter phrase-length almost brings the musical progress to a standstill. The three-bar phrases

draw our attention to the phrase structure of the middle section: although contained in five-bar units, the texture fosters a 3 plus 2 subdivision. In this way, the retransition develops an idea which is latent in the middle section.

The highest voice of the retransition makes use of falling thirds, motive f, and a neighbour-note figure. This obscures the true identity of the upper stave, seven overlapping occurrences of motive e. Motive e, the motive of the opening of the piece, is reestablished through the retransition, enabling the recapitulation. The Grundgestalt-derived motive e is not prominent in the middle section, despite forming part of the common x-material central. Motive e is, however, employed in the 'development' of the middle section, as what I previously described as 'three-note chromatic figures'.

The retransition, therefore, may be seen as a second development of the middle section: it explores the three-bar periodicity of the middle section's principal idea; and it shares motivic material with the first development (bars 56 to 65). Because of this, is just possible that the composer is taking the formal disposition of the A section of the piece (A - B: A - B), and creating an echo of it in the middle reaches of the piece (A - B - A - Retransition (=B)).

Example 43 is a reduction of the return of the opening section (from bar 82 to the end):

Example 43

This return is altered in a number of ways by the retransition. Firstly, the retransition emphasises motive e of the opening melody, enabling the reprise to employ the texture of bar 21, rather than returning to the bare octaves of the opening. Secondly, the harmonic exploration of the retransition 'spills-over' into the reprise. It takes until bar 87 for the tonic definitively to be re-established (the reprise itself begins on II). Finally, the six-bar phrase-structure of the reprise 'unlocks' the possibility of breaking-out of the five-bar structure of the opening, enabling the climax of the piece in bar 91 to be savoured in a six-bar phrase, and coda also thus to be augmented (enhancing the molto ritardando required of the player).

The extension of the phrase-length at bar 91 also enables a second (albeit incomplete) Grundgestalt descent. In accordance with the finding about the motivic contour of the A section (first ascending then descending), this seems to throw the balance in the reprise decisively towards the descending version, and well before the middle of the section. However, one must, again, take into account the role of the retransition in the maintenance of this delicate balance, the retransition developing what might be called the ascending first-half contour of the opening section (in the guise of motive e). This relationship also helps to explain why the reprise is shorter than the exposition, the composer widening the influence of the motivic contour outwards into the retransition, and thereby making redundant the second recurrence of the opening music.

CHAPTER 4:
GRUNDGESTALT ANALYSIS OF THE
SECHS KLAVIERSTUCKE Op.118

INTRODUCTION

The analyses of the *Sechs Klavierstücke* are predicated on related Grundgestalten. A description of this façet of the music will be reserved until chapter 6. However, the nature of the Grundgestalten employed in analysis of these works has a significant bearing on the implementation of the analytic method outlined in the work.

The Grundgestalten are either three- or four-note pitch-class sets. This immediately suggests that the Grundgestalten will be located close to the musical surface, as their extent is closely related to that which might be expected of a Motive. However, in practice, the Grundgestalten may be demonstrated to achieve significant interpenetration of all levels of the musical structure, especially interesting in the way they are carried-over into the middleground. The Grundgestalten also play an important part in the explanation of the tonal disposition of the pieces.

Intermezzo Op.118 no.1

APPLICATION OF THE METHODOLOGY

The *Intermezzo* in A minor can be explored using a <u>Grundgestalt</u> which not only dominates the motivic structure of the piece, but also carried-over to higher levels of the musical structure.

The *Intermezzo* makes significant use of two related motivic groups: a three-note scalic descent followed by a descending fourth and a three-note <u>Motive</u>-form consists of a step followed by a leap of a third. The second form is derived by interversion of the first three-notes of the first.

The Schenkerian middleground consists of a single Urlinie descent from $\hat{3}$. The initial appearance of $\hat{3}$ is unsupported, appearing with a prolongation of III; when the *Urlinie* is supported by harmony, it consists of a large-scale V - I cadence.[1]

As a result of these finding, the <u>Grundgestalt</u> is determined to be the same as the first main <u>Motive</u>, a three note scalic descent followed by a descending fourth. This forms part of the opening melody, and is shown to dominate the motivic structure of the piece. The same construct plays a significant part in the middleground structure, controlling the deployment of lower-level motivic means, as well as determining tonal structure by its rôle in more-conventional Schenkerian middleground. The pitch-content of the <u>Grundgestalt</u> may also stand for the main tonal areas in the piece.

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[1] Schenker calls this an example of the 'Incomplete Transference of the Forms of the Fundamental Structure', and proposes a middleground in *Free Composition* (example 110d in volume 2) (Schenker 1979).

EXAMPLE 2

ANALYSIS

The A-minor Intermezzo presents its <u>Grundgestalt</u> as part of the dramatic four-note descent heard at the outset:

Example 1

Eugene Narmour has described the prominence of this 'melodic motive' in the thematic structure of the piece, and the way in which a performance not conditioned by the necessary analytic insight might seem to the audience to be lacking in 'perceptual consistency' (1988: 319-21). He describes: (1) the use of the c^2-b flat^1-a^1-e^1 motive (doubled at the octave) at the opening (bars 1 to 4); (2) its transformation after the double bar (here as: 'both a varied inversion of the four-note motive in the outside voice and simultaneously a variation of the original four-note motive in the inside voice' (320)); (3) its augmentation as the melodic component of the closing gesture (bar 38ff).

The current analysis aims to build on Narmour's insights, showing that his 'melodic motive' is a construct of considerable importance beyond the domain of melody, as a factor conditioning the overall structure of the piece. Example 2 is a reduction of the piece showing the almost-constant interpenetration of <u>Grundgestalt</u> variants and derivatives.[2]

As Narmour points out, the <u>Grundgestalt</u> appears twice at the opening of the piece: the initial c^2-b flat^1-a^1-e^1, and a transposed and altered version: a^1-g^1-

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[2] The graph uses a combination of notations derived from Schenkerian voice-leading analysis, and Schoenbergian motivic analysis: <u>Grundgestalt</u> derivatives are marked either with a slur, or with quaver note heads; examples of congruent motion only distantly related or not derived from the <u>Grundgestalt</u> at all are also marked with slurs.

piece: the initial c^2-b flat^1-a^1-e^1, and a transposed and altered version: a^1-g^1-f^1-c^1. Two other four-note occurrences of the <u>Grundgestalt</u> appear in the first section: pitches c^2-a^1-a flat^1-g^1 from bar 6;[3] and the intervalically-symmetrical C^1-F^1-F sharp^1-G^1-C^1 in the left-hand part:

Example 3
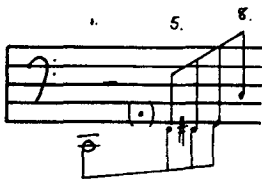
The c^1-f^1-e^1-d sharp^1 in bars 5 and 6 is a form of the <u>Grundgestalt</u> in retrograde, altered so as to encompass a now bidirectional contour; this development begins the move away from the <u>Grundgestalt</u> in its primary identity.

The remainder of the motivic structure of the first section (ending at bar 10) is occupied with a <u>Grundgestalt</u>-derivative, consisting of a step and a leap of a third (x). This is first heard in bar 5^3:

Example 4
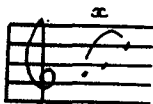
'x' is extracted from an inversion of the <u>Grundgestalt</u> with its terminal leap of a perfect fourth contracted to a minor third - the striking contour which begins the second section (bar 11):

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[3] c^2-a^1-a flat^1-g^1 is an anticipation of its own retrograde - the figure g^2-g sharp^2-a^2-c^3 in bar 11, the latter playing an important part in the middle section.
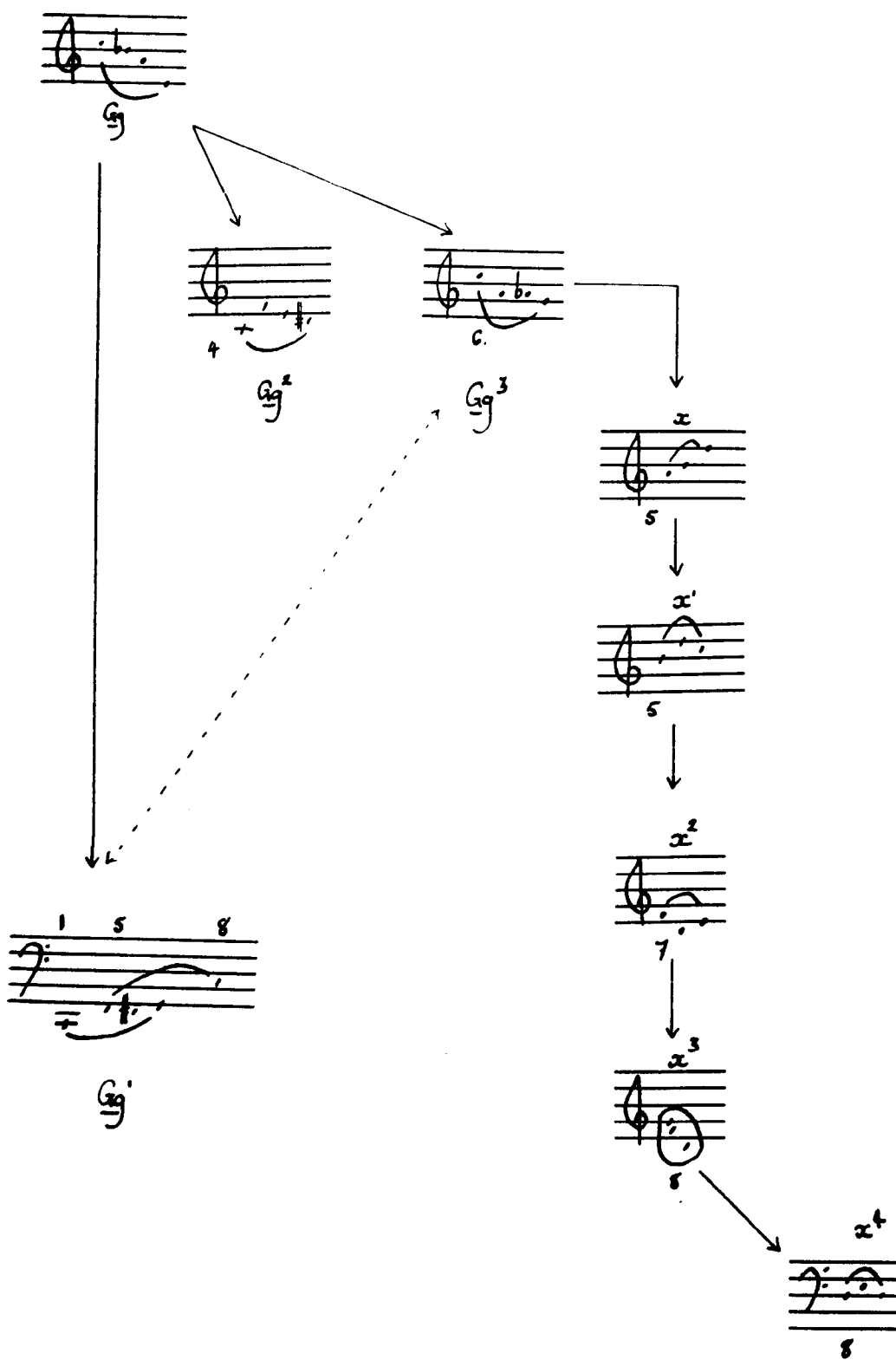
EXAMPLE 7

Example 5

The number of pitches in this motive also rhymes strongly with the perceptual division of the original <u>Grundgestalt</u> into two components - a three note cell and a single pitch:

Example 6

The motivic structure of the remainder of the first section of the piece is occupied with x variants, and their verticalization.[4]

Example 7 is a chart showing the <u>Grundgestalt</u> and the collection of motive-forms which arises from it.

The B section of the piece opens with a simultaneous presentation of three forms of the <u>Grundgestalt</u>:[5]

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[4] motive verticalizations are circled on the graph.

[5] The <u>Gg</u>^{5} derivative (g^2-f sharp^2-e^2-a^1) differs from the analysis put forward by Narmour (321). who suggests that the contour g^2-f sharp^2-e^2-c^2 is the 'variation of the original four-note motive'. The current analysis is more in keeping with the disposition of the voices at the beginning, and the clear link between the E ∶ e^1 octave in bar 2 and the A / a^1 in bar 12 (Brahms marks both of these points with an accent).

Example 8
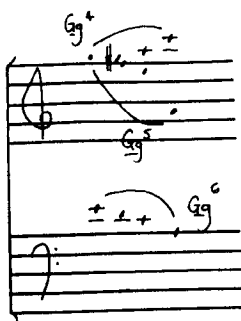
There is a high-middleground neighbour-note configuration (c^3-b^1-c^2) spanning bars 11 to 14. Lower-level material is provided by a mixture of x motive-variants and broken chords of the diminished seventh. It is possible to speculate that Brahms's use of diminished harmony is itself derived from the Grundgestalt-derivative in bar 11 ($\underline{Gg}^4$): this emphasises the contraction of the original interval of a perfect fourth to a minor third, which is then incorporated harmonically and elaborated.[6]

Bar 15 is an altered transposition of bar 11. A new continuation ensues, founded upon a chromatic ascent from A^1 in bar 17 to E in bar 20 in the left-hand part with an inverted Grundgestalt as its upper line (c^2-d^2-e^2-a^2). As these processes move towards their respective goals on the second minim of bar 20, bar 19 and the beginning of bar 20 show two x-derivatives and a Grundgestalt appearance - heightening the sense that a moment of great significance is about to arrive. Bar 20 is an extended version of the anacrusis to bar 1, and bar 21 sees the return of the opening.[7]

As before, bar 21 begins with two presentations of the Grundgestalt (c^3-b flat^3-a^3-e^1 and e^3-d^3-c^3-g^2). The continuation, however, is different, structured

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6 It is interesting to note that motive x also contains a significant minor-third component.

7 Although the piece expounds a rounded binary structure with coda, it is strongly conditioned by reference to the sonata principle. In the manner of a development, the middle section explores the material in new tonal and motivic configurations; there is a marked recapitulation; and the coda contains references to the subdominant (bar 39ff).

about a scalic descent from g^3 to b^1 (2) enabling the structural cadence. The prolongation between $\hat{3}$ in bar 14 and $\hat{2}$ in bar 27 is made by an ascent from c^2 (3) in bar 14 to g^2 in bar 20 and a mirroring descent from g^2 to c^2:

Example 9
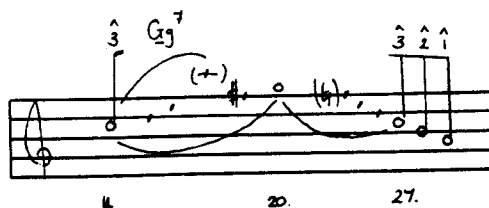
This scalic infill of a perfect fifth is clearly derived from the interaction of the two Grundgestalt appearances at the opening (defining a filled fifth from c^2 to f^1):

Example 10

The lower-level material between bars 20 and 28 is provided by the Grundgestalt derivative x; the lower stave is based on motive-form $\underline{Gg}^2$.

The remainder of the piece is founded on two Grundgestalt appearances: E^1-A^1-B^1-C sharp^1 from bar 33 and the valedictory d^2-c^2-b^1-e^1 from bar 38. The foreground makes use of the diminished harmony seen at the beginning of the middle section.

The background structure also makes use of the Grundgestalt. The overarching $\hat{3}$-$\hat{2}$-$\hat{1}$ descent is contained within the Grundgestalt (see example 6); the

relationship of other pitches to the $\hat{3}$-$\hat{2}$-$\hat{1}$ descent is determined by the Grundgestalt (an example of this is the g^2 in bar 20, which in combination with c^2-b-a^1 ($\hat{3}$-$\hat{2}$-$\hat{1}$ from bar 27) becomes a variant of $\underline{Gg}^3$; indeed, even the ambiguity of the harmony at the outset (predicated on III) is 'contained' in the pitches of the initial Grundgestalt:

Example 11

Intermezzo Op.118 no.2
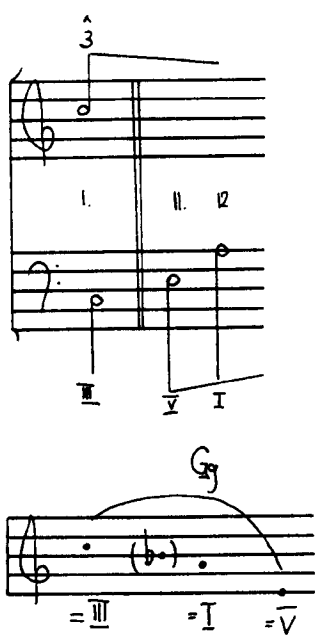
APPLICATION OF THE METHODOLOGY

The Grundgestalt in the A-major *Intermezzo* is determined by the relationship and intermediate stage between foreground motivic structure and the Schenkerian middleground.

The motivic structure of the piece is dominated by three-note cells. The fundamental of this motive is the step-and-leap structure which comprises the first three notes of the opening melody. By interversion and transformation, this construct provides virtually all the motivic resources of the piece, including the melody of the contrasting section.

A Schenkerian middleground reveals an *Urlinie* descending from $\hat{3}$: this reaches provisional closure before the contrasting section. The middle section prologues the middleground $\hat{3}$, supported by natural IV (accounting for the key of F-sharp minor).

For the purposes of this analysis, the Grundgestalt is said to be the same as the opening Motive of the piece. This Motive is used to account only by interversion and transposition for the *Urlinie*, and does not achieve significant interpenetration into the middleground. The relevance of this Grundgestalt is that it may be used to account for the low-level structural framework of the piece: derivatives of the Grundgestalt may be used to explore the deployment of clusters of motive-forms; this relationship occurs most often within the extent of the Phrase. The Grundgestalt, thus, is used to interrogate hierarchical structural impulses within the foreground prolongations - impulses which condition and determine the middleground voice-leading impulses but do not form part of them. Such a short Grundgestalt might easily lead to an analysis dominated by motivic findings, but these Phrase-level relationships make for a utility beyond that of the Motive.

EXAMPLE 13

ANALYSIS

The A-major *Intermezzo* expounds a <u>Grundgestalt</u> consisting of a step and a leap; this figure is presented at the outset of the music:

Example 12
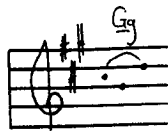
The unity of this music is foregrounded by frequent iteration of this figure and by its dominant role in defining the motivic resources employed.

Example 13 is a reduction of the first 33 bars of the piece.

The first four bars of this Intermezzo are remarkable for the way they simultaneously present and develop the <u>Grundgestalt</u>; the <u>Grundgestalt</u> and the two satellite motive-collections which it generates are explored below:

Example 14
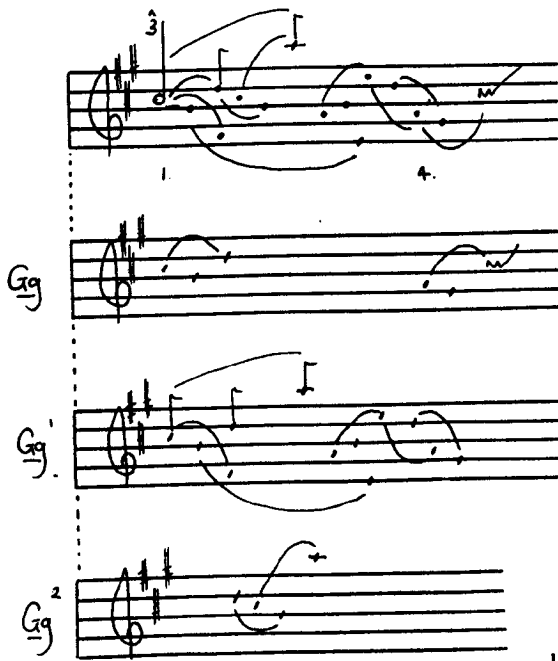
The Grundgestalt appears at the opening and, transposed and with an expanded leap, at the end of the phrase. Gg^1 is a collection of motives which expands the minor third of the Grundgestalt to a fourth; the distinctive convex contour of the Grundgestalt is flattened so that Gg^1 either ascends or descends. Despite its secondary importance, Gg^1 introduces the interval of a fourth (fifth by inversion) into the constellation of the Grundgestalt, an enrichment which becomes of considerable significance in the middle section of the piece. The emphasis of the fourth by Gg^1 is acknowledged by the Grundgestalt in bar 4 where its first altered version is embodied by pitches a^1-g sharp^1-c sharp^2.[8] Gg^2 is a three-note scale, derived by interversion from the Grundgestalt. This extrapolation from the Grundgestalt has obvious significance for the *Urlinie* as well as being of importance in the middle section of the piece.

The first eight bars continue to explore the possibilities of the Grundgestalt-constellation described above. A further Grundgestalt derivative forms the basis of the left-hand part:

Example 15
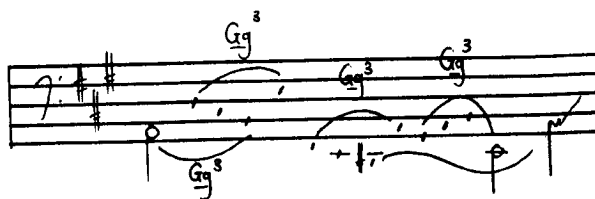
This derivative, Gg^3 combines salient features of the Grundgestalt (the convex contour), Gg^1 (a leap of a fourth) and Gg^2 (the three-note descent). Gg^3 provides the basic material for the middle section.

The next significant Grundgestalt derivatives are found in the passage from bar 16:

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8 Although intervalically related to Gg^1, this is more closely related to the Grundgestalt because of the convex contour.

Example 16

Two developments are apparent here: (1) the new $\underline{Gg}^4$ is a neighbour-note figure derived from the <u>Grundgestalt</u>; and (2), this is the first use of the contour $\underline{Gg}^3$ in the upper register. The second $\underline{Gg}^3$ appearance, $\underline{Gg}^{3'}$ is a good illustration of the close relationship between <u>Grundgestalt</u> derivatives:

Example 17
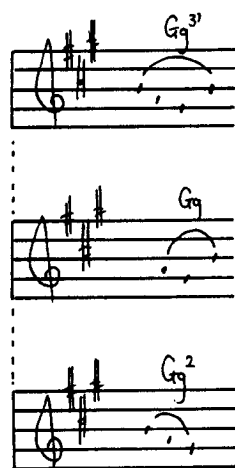
Example 18 shows the number of <u>Grundgestalt</u> derivatives which contribute to a short passage from bar 20:

EXAMPLE 20
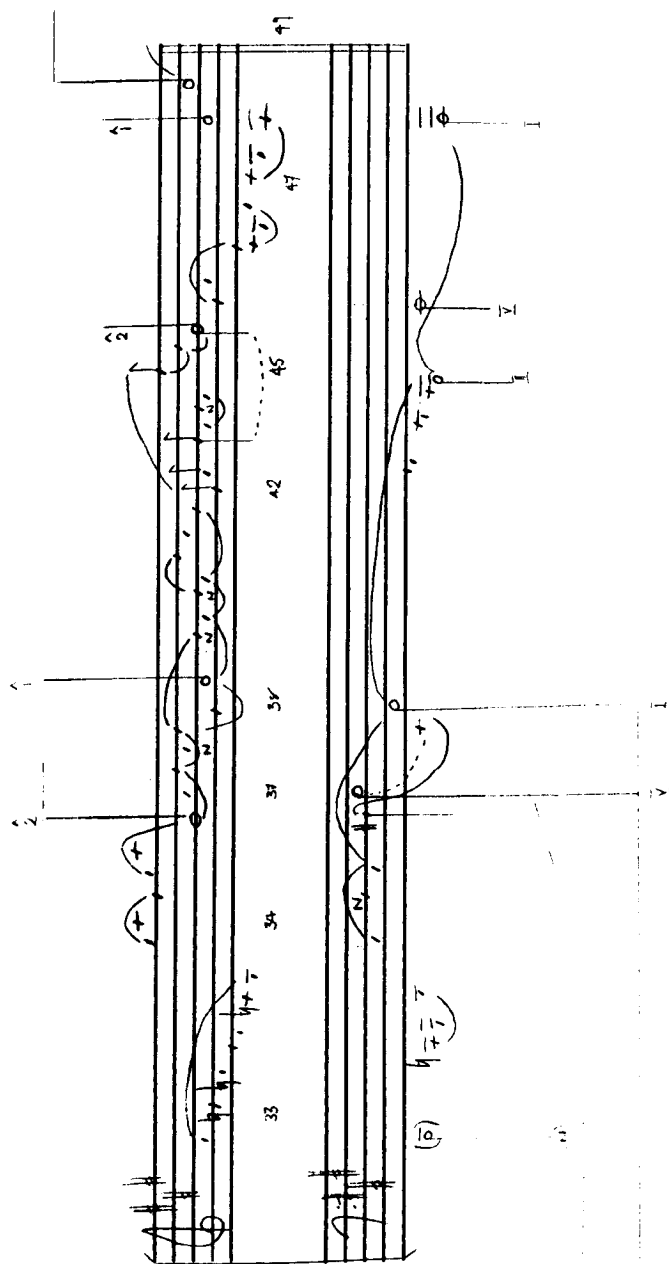
Example 18

The first stave shows a further development of $\underline{Gg}^3$. Like $\underline{Gg}^1$, this new form of $\underline{Gg}^3$ ($\underline{Gg}^5$) is monodirectional. It is heard twice, the second version being almost a mirror-image of the first. The second stave of example 6 (labelled 'i') shows the way that $\underline{Gg}^1$ is a component of the new $\underline{Gg}^5$; the third stave ('ii') shows the contribution of the Grundgestalt and of $\underline{Gg}^4$ to this segment of the music. The monodirectional $\underline{Gg}^5$ is also heard in retrograde inversion in bar 24 (g sharp^2-f sharp^2-e^2-B), and, in its original form, as the motivic material which supports the establishment of 2 in bar 27:

Example 19

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After this remarkable concatenation of motivic resources, the following bars represent a retrenchment: the upper stave taking its structure from two scales descending from a^1 to B (A major followed by A minor); the lower employing the original form of the Grundgestalt (C sharp^1-B^1-D and C^1-B^1-D). Example 20 is a reduction of the remainder of the first section of the piece. The emphasis of the Grundgestalt on the lower stave from bar 30 is significant in providing a point of reference for what follows: in an extraordinarily powerful melodic turn, bar 34 begins with an inversion of the opening. Example 21 superimposes the two passages:

Example 21

The deliberate backwards reference provides a 'frame' for the opening section; it also emphasises the structural cadence found at this point. The gesture emphasises the remarkable motivic restraint shown throughout the section by ending it with something which is recognisably related to the opening.

After the structural cadence, the music returns to its former explorations of Grundgestalt and material derived from the Grundgestalt. Between bars 38 and 42, the bass is occupied with a pedal A^1; mirroring the two scales found between bars 30 and 34, this is the first pitch of a descending scale of A major from A^1 to B^2. The section ends as it began, with the use of the Grundgestalt and Gg^2.

EXAMPLE 22

A reduction of the middle section (bar 49ff) is found in example 22. It begins with a canonic iteration of $\underline{Gg}^3$. Example 23 shows the use of $\underline{Grundgestalt}$-derivatives as the basis of the first part of the section:

Example 23

The explanatory staves show the use of $\underline{Gg}^3$, the Grundgestalt, $\underline{Gg}^1$, and $\underline{Gg}^2$ respectively. The Grundgestalt appears twice in its initial form (c sharp^2-b^1-d^2, and b^1-a^1- c sharp^2), once in retrograde (b^1-g sharp^1-a^1), and twice as an altered retrograde in which the initial third is expanded to a fourth (d^2-g sharp^2-f sharp^2, and c sharp^2-f sharp^2-e^2).

Three changes define the music between bars 53 and 57: (1) the use of a descending scale from a^1 to c sharp^1 which has the effect of drawing the music onto V of VI; (2) the more prominent use of Grundgestalt derivatives as the supporting bass line ($\underline{Gg}^1$ (D^1-F sharp^1-G sharp^1) from bar 54^1, and an altered version of $\underline{Gg}$ (F sharp^1-G sharp^1-C sharp^1) from bar 54^3); (3) a monodirectional variant of $\underline{Gg}^3$. This new facet of the Grundgestalt spans bars 53 and 54 and is related by contour to $\underline{Gg}^{1/3}$.

The F-sharp major section from bars 57 to 64 is given structure by canonic appearances of $\underline{Gg}^3$, enriched by the scalic $\underline{Gg}^2$ at the end of each four-bar phrase.

Bar 66 returns to the material and minor mode of the beginning of the middle section (bar 49), the music this time seeing an alteration in the disposition of the voices. Two descending scales (one from c^3, the other from c^2) form the basis of a new consequent phrase; these are interrupted by three appearances of the original Grundgestalt, in two of which the pitches are verticalized.[9]

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[9] On the main reduction graph (example 11), verticalized motive-forms are ringed.

EXAMPLE 24

The music which brings about the return of the opening material contains a number of Grundgestalt appearances. The lower stave of the main reduction (example 11) shows the use of Gg^1 (B^2-C sharp^1-F sharp^1 (bars 71 to 73)) and the Grundgestalt (F sharp^1-E^1-A^1 (=I) (bars 73 to 77)) to underpin the section.

The return of the A section (bar 77ff) is structurally equivalent to the opening, the minor changes serving only to intensify the music's foreground. The reprise of the A section is shown in example 24. An example of the intensification of the music in the reprise is the return of the music first heard in bar 6 at bar 82. The most obvious changes are the latter are the fuller texture of the later bar and the extension of the leap of a seventh at bar 6 (c^2 -b^1-a^2 =Gg^2) into a leap of an octave (c^2-b^1-b^2). What is significant, however, is the way in which Brahms's intensification of the surface structure at bar 82 does nothing to disturb the dominant role of Grundgestalt-derivatives in the motivic structure:

Example 25
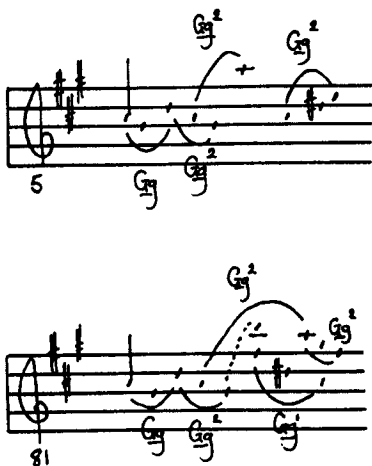
APPLICATION OF THE METHODOLOGY

The analysis of the *Ballade* in G minor demonstrates an unconventional approach to the <u>Grundgestalt</u>. It is predicated on two principal <u>Grundgestalt</u>-derived forms which are used to explore the higher reaches of the structure.

The motivic structure of the *Ballade* is dominated by three-note cells, making constant use of the familiar step-plus-leap-of-a-third intervallic content.

A Schenkerian middleground reveals an <u>Urlinie</u> descent from $\hat{8}$, reaching provisional closure at the end of the first section. The contrasting section is controlled by a subsidiary *Urlinie* descent from $\hat{3}$.

The <u>Grundgestalt</u> has been determined to consist of the two fundamental forms of the motivic-structure of the piece. There are two features of the analysis which explains this decision: first, the Urlinie descent from $\hat{8}$ is carried over to a lower middleground level in the early stages of the piece. The entirety of this lower-level occurrence may be accounted for by the <u>Grundgestalt</u> and <u>Grundgestalt</u>-derivatives. This finding generates the analysis from the foreground, into a low-middleground level, and finally linking to the high structural levels. It is this sense of adopting a bottom-up approach that led to the definition of the <u>Grundgestalt</u> as the same as the principal <u>Motives</u>. The second element which requires explanation is the use of two fundamental <u>Grundgestalt</u>-forms. This unconventional determination is a response to the relationship between the two principal <u>Motives</u> and the <u>Urlinie</u>. The two <u>Motives</u> / <u>Grundgestalt</u> are related to each other by interversion, and are of equal importance.

EXAMPLE 27

ANALYSIS

The Grundgestalt of the G-minor *Ballade* exists in two principal forms: the three-note scalic pattern which is so assertively displayed at the outset of the music (Gg^1); and three-note segment consisting of step and a leap of a third (Gg^2).[10] As may be seen in example 1, both forms of the Grundgestalt are differently-ordered versions of the same fundamental material:

Example 26

Gg^1

Gg^2

Example 26 shows Gg^1 and Gg^2 at the pitch-level of their respective first appearances in the upper stave of the music. This analysis aims to show that the music constantly refers to these fundamental shapes and their derivatives, and that this interpenetration occurs throughout the structure of the music.

Example 27 is a reduction of the first 40 bars of the piece. The two additions to the score beneath the main reduction illustrate the way the music is introduced and concluded on its second appearance (from bar 73). The music is given direction by a high-level descent from 8. 8 is achieved by an initial ascent (e^2-f sharp^2-g^2 (=8)), and overlies the first 27 bars of the music. The descent from 8 occurs between bar 28 and bar 32, supported by a strong II - #V - I in the lower part.

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[10] The nomenclature applied (Gg^1 and Gg^2) is not intended to imply that either form of the Grundgestalt is more important than the other. Gg^1 is only so named by virtue of the fact that it appears first in the piece. It is the aim of this analysis to demonstrate that both forms of the Grundgestalt are mutually inclusive, and that they are of equal significance to the structure of the music.

The middleground contains three further descents from $\hat{8}$ (starting in bar 1, bar 6, and bar 23). These lower-level descents endow the music with order and contrast: the strong-middleground cadence into bar 10 concludes the first section of the music; the following twelve bars expand the initial ascent (e^2-f sharp^2-g^2 (=$\hat{8}$)) into a scalic ascent from g^1 to g^2 - thus, contrast is built into the structure by the simple (yet profoundly effective!) opposition of ascent and descent. The return of the descent from $\hat{8}$ in bar 23 dictates a return to the initial character of the music, and the conclusion of the section by the structurally-significant descent from bar 28.

The scalic nature of the <u>Grundgestalt</u> creates an immediate association with each of the scalic descents from $\hat{8}$. The relationship is made more telling still by the disposition of lower-level material within each structurally-significant descent. Example 28 shows the way in which the entire opening descent may be accounted for using the two forms of the <u>Grundgestalt</u>:

Example 28
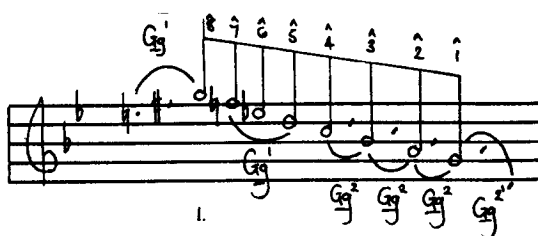
One of the features of this descent is the close relationship between the foreground (the descent from $\hat{8}$) and the middleground (motivic structure). It is almost impossible to divide the two, to say, as one might easily do in other circumstances, which one defines the other. An example of this symbiosis is found in bars 5 and 6. Here, $\underline{Gg}^2$ is expanded to comprise a leap of a fifth rather than a leap of a third ($\underline{Gg}^{2'}$). Rather than being a simple example of melodic expediency (or analytic licence), this expansion provides a strong link between the <u>Grundgestalt</u> and virtually all the cadential material in the piece:

Example 29

Example 29 shows two cadential formations (from bar 5 and bar 31). Both are based on II - V - I. The second part of example 29 demonstrates the way $\underline{Gg}^{2'}$ may be reordered to form this cadential figure.

As might be expected, the analysis of the lower stave reveals extensive use of the Grundgestalt:

Example 30

Example 30 shows the reduction of the lower stave of the first 10 bars; a single occurrence of $\underline{Gg}^2$ is labelled spanning bars 2 and 3. Example 30i is a clarification of the the previous stave:[11] it shows the way in which the leap from G^1 to C initiates, first, a scalic ascent and, later, a scalic descent which returns to its origin. 30i also demonstrates the way in which the descent to the origin is interrupted by the reiteration of the initial leap between bar 5 and 6. This fascinating melodic construction, a splendid example of an intensification of Meyer's Gap-Fill construct,[12] may, itself, be explained by reference to the $\underline{Grundgestalt}$-collection. This taxonomy is found in example 30ii. This construction also gives structure to lower stave of the closing portion (from bar 23).

Example 31 shows the way in which the scalic motion dominates the middleground of the twelve-bar section which begins in bar 10:

Example 31
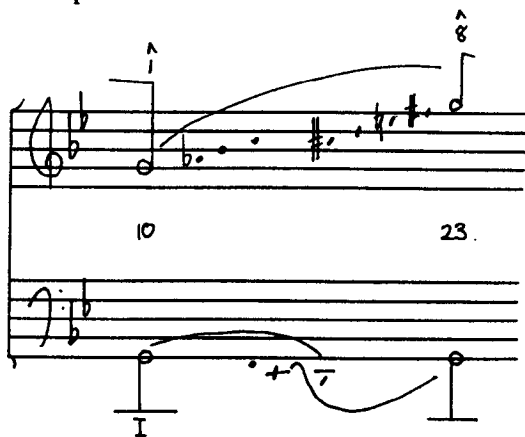
The scalic upper stave (symmetrical about c sharp^2) may be accounted for by $\underline{Gg}^1$; the lower stave (which may be identified with the leap-of-fourth-plus-scale Gap-Fill construction identified in example 5) uses both $\underline{Gg}^1$ and $\underline{Gg}^{2'}$.

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[11] 5i extracts from the main reduction those elements linked by quaver flags and dotted slurs.
[12] see Meyer 1973:109ff; Narmour 1990

EXAMPLE 32

The contrasting section employs the key of B major, a third removed from the principal tonality in clear derivation for both version of the <u>Grundgestalt</u>.[13] Example 32 comprises a reduction of this section.

Example 33 shows the use of the <u>Grundgestalt</u> in establishing the thematic material of the contrasting section:

Example 33

Example 8i demonstrates the use of <u>Gg</u>^{1} in this passage; example 33ii shows the way in which a new form of <u>Gg</u>^{2} (<u>Gg</u>$^{2"}$) has been introduced into the contrasting section. <u>Gg</u>$^{2"}$ uses a retrograde of the pattern of its model (leap of third and a step rather than step and leap of a third), and is now monodirectional. <u>Gg</u>$^{2"}$ outlines a fourth rather than a third; in this it seems to have taken on the influence of <u>Gg</u>$^{2'}$.[14] In the section explored in example 32, <u>Gg</u>$^{2"}$ occurs twice in this initial form, and twice in retrograde inversion.

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[13] In their initial forms, <u>Gg</u>^{1} fills a third, and <u>Gg</u>^{2} contains the leap of a third.
It is also interesting to note that both sections begin with a three-note initial ascent to the first note of the *Urlinie*. In addition, the first three notes of the contrasting section are b^1-g sharp^1-b^1, a melodic pattern, separated by a third, of little previous significance in the piece, but what might be described as a mirror-image of the tonal disposition of the piece (G minor - B major - G minor).

[14] Although the range of <u>Gg</u>$^{2'}$ is a fifth, its first and last notes are separated by a fourth. The impression that a fourth is the significant interval of this subset of the <u>Grundgestalt</u> (rather than a fifth) is strengthened by the tonal function of the g^1 and the d^1 employed on its first appearance.

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Example 34 shows the use of the <u>Grundgestalt</u> from bar 45 to bar 48:

Example 34

Example 34 exhibits three <u>Grundgestalt</u>-derivatives: $\underline{Gg}^1$ in its original form; a two-note pair derived from $\underline{Gg}^1$; and a new version of $\underline{Gg}^{2"}$. Example 34 tabulates the use of $\underline{Gg}^1$ in this passage. It is interesting to note the way in which $\underline{Gg}^1$ seems to move towards the middleground in the section, controlling small areas of the structure, rather than only having significance in the foreground. Example 34ii shows the way in which the leap of a third in $\underline{Gg}^{2"}$ is expanded into a leap of a fourth in this passage.

Example 35 explores the use of <u>Grundgestalt</u>-derivatives on the lower stave in the first eight bars of the contrasting section.

Example 35

Both original forms of the Grundgestalt are used in this passage: Gg^1 may be used to account for the scalic material (the scale from E to B ^{1} may be classified as two appearances of the construction: E-D sharp (D natural)-C sharp; and D sharp (D natural)-C sharp-B ^{1})), as well as for the two note pairs; Gg^2 appears twice, overlapping about a point of symmetry.

Bars 49 to 52 return to the structure of the opening of the contrasting section.

The four bars from bar 53 are occupied with a wistful reminder of the material of the opening, complete with the original structure. Both original forms of the Grundgestalt appear, conditioned, as in the section's model, by a descending scale from d sharp^2 to d sharp^1.

The remainder of the middle section uses structures previously considered.

Intermezzo Op.118 no.4

APPLICATION OF THE METHODOLOGY

As in the foregoing *Ballade*, the Grundgestalt of the F-minor Intermezzo is most closely related to the motivic structure.

The foreground of the piece operates in two different ways: the triplet accompaniment figure presents the most significant Motive; the longer-note-value soprano line (echoed in canon by the tenor) explores a slightly-different pitch class. The triplet motive is more significant in an exploration of the motivic structure of the piece.

A Schenkerian middleground prolongs an interrupted *Urlinie* descent from $\hat{3}$; the contrasting section a secondary *Urlinie* descent from $\hat{8}$.

The identification of the Grundgestalt aims to distil a fragment which enables the most penetrating analysis of the work in question. The following analysis is predicated upon a motivic Grundgestalt. However, the interpenetration of the Grundgestalt into the Phrase-level is negligible. By interversion it may be related to the *Urlinie* descent from $\hat{3}$, but it does not condition and control our understanding of the piece in the way several of the Grundgestalten previously seen have.

Conversely, this finding does reveal something important about the nature of the music, and one may, from this, put forward a simple hypothesis about the generative history of the piece. Whereas in other analyses, the Grundgestalt has been able to account for all levels of the musical structure, in this piece, the Grundgestalt is limited to a motivic rôle at the foreground. The relationship between this motivic Grundgestalt and the canon explains this. Elsewhere, the Grundgestalt accounts often comprehensively for the Middleground structure;

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here, the middleground is facilitated by the pitches of the canon, the foreground accounted for by the <u>Motives</u> of the <u>Grundgestalt</u>. From this it is possible to infer the formative importance of the canonic structure to the composer.

ANALYSIS

The F-minor *Intermezzo* makes use of a four-note <u>Grundgestalt</u> presented at its outset. This is shown in example 36:

Example 36
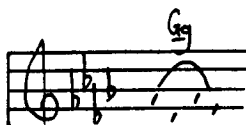
As a <u>Motive</u>, this fragment may be shown to derive virtually all the surface features of the piece; reordered, it provides the Schenkerian <u>Urlinie</u> descent from $\hat{3}$. However, its rôle in the music is made more subtle and complex by its relationship with the most immediate feature of the foreground, a strict canon at the octave between soprano and tenor voices.[15] The canon provides the most striking feature of the foreground, and, in motivic content, is linked with a variant of the <u>Grundgestalt</u>. The relationship between the canon and the <u>Grundgestalt</u>-dominated accompaniment in the first three-and-a-half bars is explored in example 37:

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[15] Throughout, even at the passionate return of the opening in bar 91, the texture of the piece tends towards four-parts.

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Example 37

KEY:
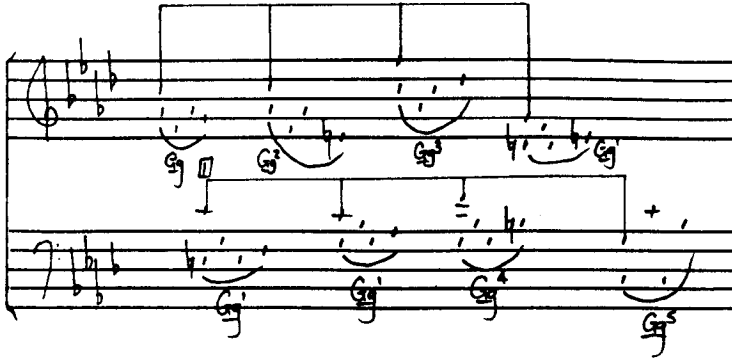
Gg is the Grundgestalt;

Gg[1] is the inversion of Gg;

Gg[2] is a redisposition of the motivic content of Gg, the descending semitone between the last two notes of Gg repositioned as the second and fourth notes of the fragment (f^1 and e natural1). The final interval of the fragment becomes a descending fourth (a flat1 to e natural1);

Gg[3] is the same as Gg but with the descending semitone between the third and fourth notes replaced with an ascending semitone;

Gg[4] is an inversion of Gg[2];

Gg[5] is developed from Gg[1] with the intervals of a third replaced by octaves.

The canon is marked with beamed notes in example 37. The ascending fourth between its third and fourth notes is derived from the interval of a fourth brought into the constellation of the <u>Grundgestalt</u> by variant **Gg**[2]. The canonic melody retains some of the intervallic content of the Grundgestalt; this is explored in example 38:

Example 38
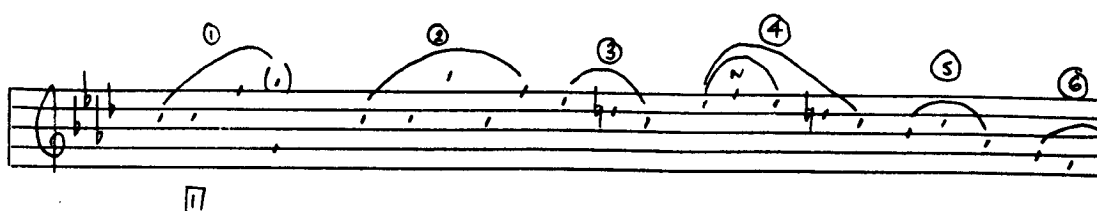
KEY:

Collection 1.   like the Grundgestalt, a four-note fragment, with motivic content of a
                step and a leap, and a repeated pitch;

Collection 2.   an expanded reordering of fragment 1;

Collection 3.   a three-note descending scale, derived from an interversion of the
                pitch-content of the Grundgestalt;

Collection 4.   collection 3 decorated with a neighbour-figure (derived from the
                semitone component of the Grundgestalt;

Collection 5.   the first three notes of the retrograde of the Grundgestalt;

Collection 6.   neighbour-note extracted from collection 4.

Although related, the canon and the Grundgestalt-dominated accompaniment are distinct entities. The first two entries of the accompaniment are a mirror canon although this relationship is not maintained. This is shown in example 39:

Example 39

EXAMPLE 40

EXAMPLE 41

The canon, and especially the upward-reaching beginning (collection 1 in example 38) has important consequences for the longer-term structure of the music. A reduction of the first twenty-four bars of the piece is shown in example 40. This section comprises the establishment of the main idea of the piece (opening to bar 12), its varied repeat (from bar 13), and the escape from the rigour of the opening canon (bar 16 onwards). The most striking feature of the section is the way in which the *Urlinie* $\hat{2}$ (bar 11) is approached by octave descending scale. The scale is a result of the ascent to g^2 of the right-hand opening canon.

The move away from the strict canon (from bar 16) is brought about by a low-level 2, and the use of <u>Grundgestalt</u>-forms related to <u>Gg</u>^{5}. The wide-intervals and use of continuous triplets allows the texture to become much more 'capricious' (Musgrave 1985:262). The harmony becomes much more adventurous, the Tonic Major of bar 20 swiftly leading towards more adventurous regions.

Example 41 is a reduction of the section from bar 24 to bar 38. The harmonic excursion may be clearly seen in this example: of particular note is the momentary chord of B major in bar 28 (approached by its dominant). In the absence of the canon, the <u>Grundgestalt</u> gives motivic coherence to the section. In parallel with the distantly-removed harmonic structure, two and three-note <u>Grundgestalt</u>-derived <u>Motives</u> are the norm in in the section: the three-note motives extract from the <u>Grundgestalt</u> the motivic content of a step and a leap of a third; the two note fragments most often employ the leap of a third.

Example 42 is a reduction of the section from bar 38 to the beginning of the contrasting section in bar 51:

EXAMPLE 43

EXAMPLE 44

EXAMPLE 45

Example 42

This example demonstrates the reestablishment of the opening texture controlled by the canon at the octave, with Grundgestalt-dominated accompaniment. The section also contains the interruption in the *Urlinie* on 2.

The contrasting section, on F minor comprises a simple chordal canon at the octave. Example 43 is a reduction of the section to bar 91. Like the central portion of the opening section, the motivic structure makes use of three-note cells, most often predicated on the step-plus-leap-of-a-third model provided by the Grundgestalt. As may be seen in the reduction, the middleground is controlled by an *Urlinie* descent from 8. This structure is related to the octave descent from g^2 in the first part of the opening section. It is as if the composer has reduced to its constituent parts the structure of the opening - even the triplet figuration is turned into three-note chords - allowing the differing texture and harmony to make the contrast.

Example 44 is a reduction of the first part of the return of the opening section. Although the foreground is much fuller, the structure is very similar to that of the opening: a canon, associated with four-note Grundgestalt-derived materials. Example 45 is a reduction of the remainder of of the piece.

APPLICATION OF THE METHODOLOGY

This analysis of the *Romanze* uses the Grundgestalt to explore the relationship between the pitch-structure and the formal disposition of the piece. Underlying the piece are two repeated four-bar frameworks (one in the opening material, the second in the contrasting section), creating a strong impression of baroque formal archetypes.

The motivic content of the piece is dominated by a three-note construct with intervallic content of a step and a leap of a third. This derives much of the subsequent thematic material.

A Schenkerian middleground reveals an *Urlinie* descent from $\hat{3}$, reinterpreted before the establishment of $\hat{2}$ as a secondary *Urlinie* from $\hat{5}$ in D major.

The Grundgestalt is deemed to be the three-note initial Motive. This may be used to account for both foreground and middleground structures, as well as for the *Urlinie* descent. There are two complicating factors in the subsequent analysis: first, there is a prominent scale descending over an octave repeated four times in the opening section. This is derived from and originated in the Grundgestalt, but has a strong independent identity. Secondly, the variation procedure used in the music alter the analytic implementation of the Grundgestalt, by making it necessary only to demonstrate the links between the Grundgestalt and the initial appearance of the material, and also to explore the ways in which material is varied in accordance with material present in the Grundgestalt. The tonal relationships within the pieces may also be accounted for using the pitch-content of the Grundgestalt.

ANALYSIS

The *Romanze* in F major is based on a Grundgestalt (Gg) whose basic intervallic content comprises a step followed by a leap of a third. The first pitch-level of this construction is shown in example 46:

Example 46
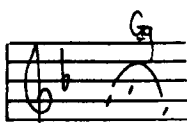
As may be seen in the example, its initial disposition takes the form of an arched contour. Overlapping occurrences of the Grundgestalt provide the material for the opening melody. This is shown in example 47:

Example 47
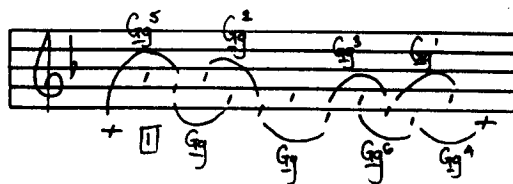
KEY

Gg^1 is an inversion of the Grundgestalt (Gg);

Gg^2 is an intervallic retrograde of Gg with monodirectional contour;

Gg^3 is an intervallic retrograde of Gg with the original contour;

Gg^4 is a reordering of Gg;

Gg^5 is a derivative of Gg^3 but with the initial leap of a third expanded to encompass a sixth (that is, the inversional equivalent of a third);

Gg^6 is a reordering of Gg to produce a three-note scale.

As may be seen in the example, the first appearance of the Grundgestalt in its original form is not the first prominent Motive of the melody. Indeed, it might be argued that the anacrusis ascent of a sixth is more striking, and, on first examination, more likely to be of long-term significance (Gg^5). However, the Grundgestalt is a more elemental set (like a musical prime), is repeated twice within the opening Phrase, and plays a significant rôle in the middle section. Further, it proves to be the 'lowest common denominator' of all the motivic resources of the Phrase. Grundgestalt-variant Gg^5 is of local significance in setting the boundary-pitches of the opening melody (c^1 to a^1), as well as providing the 'Gap' whose infill sets in motion the descending contour of the melody. This is shown in example 48:

Example 48
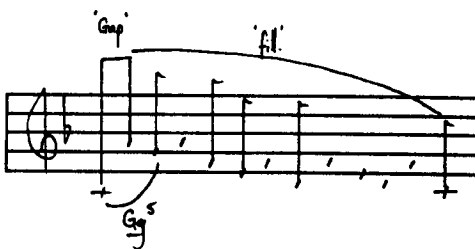
This descending contour is doubled at the sixth, generating the scalic descent from F which is superimposed on the melody. The Grundgestalt may be reordered to produce a three-note scalic pattern, producing both the pattern of movement and the last three pitches of the descending scale (Gg^6). This is shown in example 49:

Example 49

Stage 1 in the example is the <u>Grundgestalt</u> in its initial form; in stage 2 the <u>Grundgestalt</u> is reordered to produce an ascending scalic fragment; in stage three, the retrograde of the stage-2 fragment is put in its place in the descending F-major scale. The pitches of the <u>Grundgestalt</u> are important in this context, as they comprise a foreground $\hat{3}$ - $\hat{2}$ - $\hat{1}$ progression (this relationship is shown in context in example 52).

The opening section of the form (the A section) consists of four four-bar sections grouped as antecedent and consequent phrases. Example 50 shows the bass line of the first three bars:

Example 50
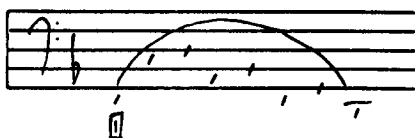
This 'ground' is found beneath each phrase, the composer making use of the techniques of the passacaglia, surface variation making each phrase distinct. Each occurrence of bass line is combined the an octave descending scale; this is shown in example 51:

EXAMPLE 52

Example 51

Example 51 also demonstrates the way in which the 'ground' is derived from the Grundgestalt.

KEY:

Gg^7 expands the third of Gg to a fourth;

Gg^8 is Gg^7 in retrograde;

Gg^9 is an inversion of Gg^7;

Gg^{10} is a reordered Gg^7 with the interval of a fourth re-identified as a fifth;

$Gg^{10'}$ is an inversion of Gg^{10}.

Motive x is the third-component of Gg.

The most important derivative in the lower stave of this example is Gg^7: this enables development of a related Grundgestalt form exploring the interval of a fourth. Gg^7 is related to the descending fourth in the melody of the second bar (Gg^4), as well as to the range produced by the developed contour comprising Gg^2.

Example 52 is a middleground reduction of the first sixteen bars of the piece.

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EXAMPLE 53

The first sixteen bars are dominated by Grundgestalt-derived material; each of the four phrases (starting in bars 1, 5, 9, and 13) begins with the descending scale (in the soprano line of the first, second, and fourth phrases, at the same octave level, but also in the alto line of the third phrase); and the Grundgestalt-derived 'ground' may be seen from the start of each phrase. Most striking is the way that the Grundgestalt is the source of almost all the motivic material of the section: there is very little that cannot in some way be related back to the Grundgestalt-forms explored in example 47.

The harmonic structure of the section is dominated by the fourfold repetition of the Grundgestalt-derived 'ground' explored in example 6. The central cadence of the section (bar 8), and the movement towards D major for the middle section are of particular significance. The central cadence of the section comes to rest on A major, approached by II and V of A: the chord of A major becomes III of F to enable the return of the opening harmony in bar 9. The importance of this bar is twofold: (1) it announces the dominant of D major, and in doing so, prepares the tonality of the middle section; (2) it embodies the harmonic potential of the motivic Grundgestalt. The pitches of the original Grundgestalt (g^1, a^1, and f^1) are of twofold significance for the harmony of the piece. Reordered, they become the *Ursatz* $\hat{3}$ - $\hat{2}$ - $\hat{1}$ progression which eventually brings the music to closure. In the middleground, pitches F and A become harmonies: F major the main tonality of the piece; A major the cadential harmony in bar 8, and the enabling dominant of the D-major tonality of the middle section. The dominant of D major is produced by the harmonic realisation of the pitches of the Grundgestalt: the third-relationship between the F major of the opening of the piece and the D major of the contrasting section is determined by the prominent interval of a third in the Grundgestalt.

The contrasting section (B) is an interruption in the fundamental line; it contains a subsidiary *Urlinie* descent from $\hat{5}$ in D major. This reinterprets the $\hat{3}$ in the principal tonality as $\hat{5}$ in D major. The Grundgestalt determines both the harmonic and motivic content of the section. Example 53 is a reduction of the

first sixteen bars of the section.

Once again, the music takes the form of a set of variations on a four-bar original, based on the Grundgestalt. This is shown in example 54:

Example 54

KEY:

$Gg^{2'}$ is a retrodgrade of Gg^2;

$Gg^{6'}$ is a retrograde of Gg^6;

$Gg^{10''}$ is a retrograde inversion of $Gg^{10'}$;

Gg^{11} is a retrograde inversion of Gg;

Gg^{12} is a retrograde inversion of Gg^2.

As at the opening, the Grundgestalt provides the entire motivic structure of the section; as before, the principal Grundgestalt form is preceded by one of its variants (in this case Gg^2).

In the opening section, we have seen how the Grundgestalt generates a subsidiary part consisting of a descending scale of F major. The influence of this derivation is reflected by a significant scalic element in the middle section. In the middle section, each variation ends with an ascending scale of A major (bars 20, 28, and 35); the variation from bar 40 consists of a series of octave ascents. These octave ascents combine with the generally-descending contour of the variations to effect registral transfer: the variations alternate a^1 and a^2 as their first pitch; the left-hand pedal oscillates between D^1 and D.

EXAMPLE 55

EXAMPLE 56

The relationship between the scalic elements beginning on F and those on A is predicated on the tonalities of the two sections, and, thus, to the pitches f^1 and a^1 in the initial Grundgestalt. In the middle section, the third pitch of the Grundgestalt, g^1, previously missing, comes into its own. Altered to g sharp^1 to reflect the tonality, it appears as the leading note of a V of V harmony over the tonic pedal in the last bar of each variation.

A reduction of the remainder of the middle section is found in example 55. The scalic ascent is the basis of the last variation: the A-major scale, which has the closing gesture of each variation becomes the subject of the final variation. The scale has also been associated with the reestablishment of the *Urlinie* ($\hat{5}$): in the last variation, it guides the completion of the subsidiary *Urlinie*.

Example 56 is a reduction of the foreshortened return of the opening material. The second phrase of the melody is extended by two bars creating a brief coda. A plagal cadence after the structural close helps to balance the tonality of the middle section. Example 57 shows the way in which motive x (the third-component of the Grundgestalt) is used as both the harmony and the melody of the last two bars:

Example 57
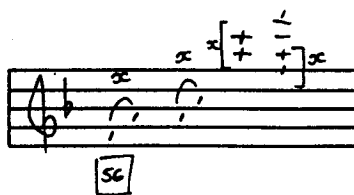
APPLICATION OF THE METHODOLOGY

The motivic structure of the *Intermezzo* in E-flat minor is, once again, based upon transformations of a three-note figure comprising the intervallic pattern of a step and a leap of a third. The Motive is presented in the context of a number of its variants in the single-voice of the opening. The Motive dominates the foreground, demonstrating the motivic equivalence of the opening material and the music of the contrasting section.

Interversion of the Motive will also account for the Schenkerian middleground structure. This consists of a *Urlinie* descent from $\hat{3}$, interrupted by a secondary descent from $\hat{3}$ in G-flat major.

The Grundgestalt is deemed to be the same as the motive of the opening. This construct accounts not only for the motivic structure, but also for a number of the bass-line progression at the middleground.

ANALYSIS

The Grundgestalt of the *Intermezzo* in E-flat minor is shown in example 58:

Example 58

This three-note figure consists of a stepwise ascending semitone, followed by a descending minor third. The solo line at the opening of the piece immediately introduces not only the Grundgestalt, but also the importance of three related fragments. A taxonomy of this section is found in example 59:

Example 59

KEY:

Gg is the Grundgestalt;

Gg^1 is a retrograde of Gg;

Gg^2 is a reordering of Gg, producing an ascending three-note scalic outline;

Gg$^{2'}$ is a descending three-note scalic outline, the retrograde of Gg^2;

Gg^3 is a lower-neighbour-note related to the first two notes of Gg.

It might be argued that in a Grundgestalt analysis of this piece, rather than referring back to a single formative Grundgestalt, one should instead speak of a constellation of three-note Grundgestalt forms.[16] However, each form of the Grundgestalt plays a different rôle in explaining the structure of the piece and it is helpful to refer back to an original construct as we examine these.[17]

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[16] Following Rufer's practice, a case might be made for the opening phrase to be considered to be the Grundgestalt. It contains the motivic basis of the piece, as well as a rhythmic structure (♩♪♪♪) which is developed in the contrasting section (from bar 41: ♪♪♪♪). The current analysis does not take this path because it is believed that a three-note Grundgestalt may be shown to have a greater influence on its middleground structure (in particular on the harmonic relationships explored in the contrasting section).

[17] The Grundgestalt chosen is also linked with the Grundgestalten of the previous pieces in the set, a continuity which in important for our later consideration of the set in its guise as a Multi-Piece (see chapter 6).

EXAMPLE 60

A reduction of the first 41 bars of the piece is found in example 60. The upper pair of staves represent the first 21 bars; the changes made to create the revised repeat from bar 21 to bar 41 are shown in the lower two staves of the example.

The solo voice which begins introduces the Grundgestalt stands alone, for the first four bars accompanied by ascending and descending diminished seventh arpeggiation. The diminished sevenths, separate in tessitura from the melodic voice, do not intrude on the primacy of the Grundgestalt-theme.[18] The accompaniment is itself built from the Grundgestalt: the diminished-seventh harmony is derived from the prominent minor third in the Grundgestalt; its disposition and spelling outline the pitches A natural^1, g flat^1 (g flat), and E flat^1, a cousin of the Grundgestalt. This is shown in example 61 (Motive x is the third-components of the Grundgestalt):

Example 61
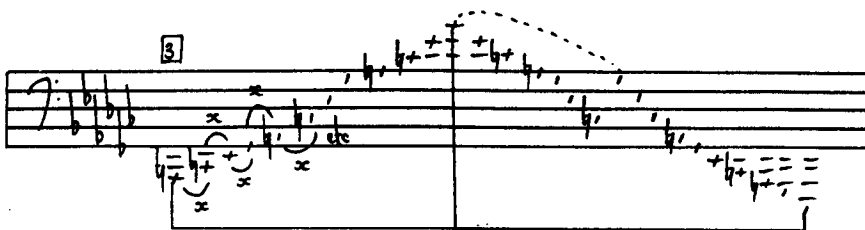
The opening melody is repeated a octave lower from bar 5. A new accompaniment leads the bass to VI, beginning the process which establishes V in bar 13. The Grundgestalt-derivations which bring this about are explored in example 62:

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[18] Musgrave describes the piece as a 'highly-original tone picture - a gypsy improvisation ... with solo instrument and cimbalon accompaniment' (1994:261); Denis Matthews suggests that the opening should be orchestrated for clarinet and harp (1978)

Example 62

KEY:
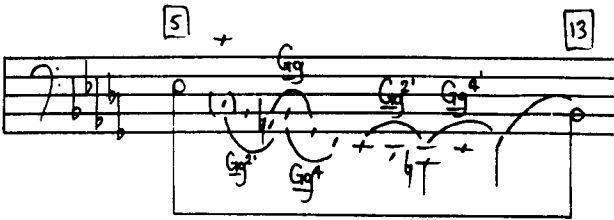
Gg is the <u>Grundgestalt</u>;

Gg$^{2'}$ is a descending three-note scalic outline, the retrograde of Gg^2;

Gg^4 contains the intervals of Gg$^{'}$, but within a monodirectional descending contour;

Gg$^{4'}$ is the same as Gg^4 but with an ascending contour.

This progression supports a multi-voiced melodic section further exploring the motivic potentialities of the <u>Grundgestalt</u>: at first, the imitation makes use of a version of the four bars of the opening melody; from bar 13, with the first appearance of the *Urlinie* $\overset{\wedge}{2}$, the imitation uses just the first bar. In bar 17, the appearance of the *Urlinie* $\overset{\wedge}{2}$, the entire opening melody is sounded on the dominant chord.

The section from bar 21 to bar 40 is a revised repeat of the opening. As may be seen in the lower staves of example 60, the revisions stress the importance of the the <u>Grundgestalt</u>. Example 63 explores the use of <u>Grundgestalt</u>-derived <u>Motives</u> in the counter-melody in bars 23 and 24:

Example 63

EXAMPLE 64

The section from 33, the repeat of bars 17 to 20, makes the transition to the middle section. The dominant seventh chord on 20^2 becomes an implied diminished seventh which resolves onto G-flat major. Typically, the key is prepared no more than this, the most important feature of the transition being the $\underline{Gg}^{2'}$ scalic descent.

Example 64 is a reduction of the middle section of the piece.

As well as being a passage of dashing pianistic display, the middle section makes full use of the potentialities of the <u>Grundgestalt</u>. It is particularly concerned with the possibilities of $\underline{Gg}^{2'}$, the scalic descent which was used to make the transition into the new section, and its ascending counterpart, $\underline{Gg}^{2}$. The interval of a third (embodied by the range of $\underline{Gg}^{2}$ and $\underline{Gg}^{2'}$, and previously identified as Motive x of the <u>Grundgestalt</u>) is an important structural element. This is a good example of where an analysis based on a motivic <u>Grundgestalt</u> has a clear advantage over one which takes the opening <u>Phrase</u> as its fundamental. One is able to accredit the distinct character of the section to the different <u>Grundgestalt</u>-derivatives employed: the outer sections make most numerous use of the original <u>Grundgestalt</u> derivatives, and $\underline{Gg}^{3}$, the associated neighbour-note <u>Motive</u>; the middle section employs the scalic <u>Motives</u>. The motivic content of the opening of the middle section is explored in Example 65:

Example 65
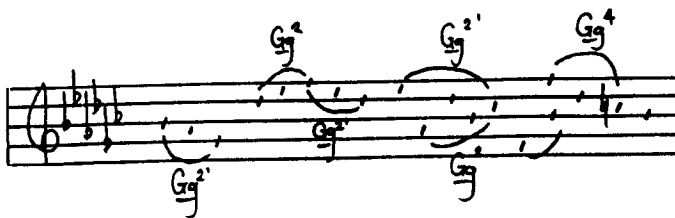
The third is an important harmonic determinant of the harmonic structure of the middle section: Its key, the relative major, is a third distant from the main key of the movement; the middle section is primarily articulated by a $\hat{3}$ - $\hat{2}$ - $\hat{1}$ *Urlinie* (that is, the structural use of $\underline{Gg}^{2\prime}$); and it contains within it a secondary harmonic structure based on the dominant (III of G-flat major). This secondary structure is notated in example 64 using lower-level beamed structure, joining filled noteheads. The $\hat{3}$ of the main structure is each time anticipated by a small-scale $\hat{3}$ - $\hat{2}$ - $\hat{1}$ in B-flat minor: this occurs in before the $\hat{3}$ in bars 45 and 49.

The purpose of the secondary *Ursatz* progression is to enable the recapitulation, and the return of E-flat minor in bar 59. Such a device is necessary because the harmonic structure of the middle section is much more demonstrative than that of the outer sections, creating a real possibility that the listeners' perception G-flat major will be stronger than that of E-flat minor. Chord III of G-flat also enables a sumptuous quality in the harmony of the outer sections, removed from the mystery of the outer sections.

The secondary *Ursatz* comes to completion with a foreground $\hat{3}$ - $\hat{2}$ - $\hat{1}$, ending on 55[1]. This retrospectively reinterprets the music on III of G-flat as dominant prolongations.

The agitation of the middle section threatens to spill-over into the return of the opening music in bar 59. The single line of the opening is replaced with a texture of very full harmony, initially resolving onto I, but soon moving towards IV.

Example 66

The sudden decrease of dynamic in bar 63 brings the recapitulation of the opening texture. Example 66 is a reduction of the remainder of the piece. The dominance of Grundgestalt-figures is as before. As is common in these pieces, the repetition of the opening paragraph (bars 21 to 40) is omitted: equally familiar is the use of a dominant pedal in facilitating movement towards closure (from bar 71). Completion of the *Urlinie* is reserved for the final moments of the piece, with $\hat{3}$ in bar 81, $\hat{2}$ in bar 83 and $\hat{1}$, finally confirmed with harmonic support on in the last bar of the piece. The fundamental line is final confirmation of the influence of the Grundgestalt: the *Urlinie* is the same as Grundgestalt-derivative $Gg^{2'}$.

CHAPTER 5:

GRUNDGESTALT ANALYSIS OF THE *VIER KLAVIERSTUCKE* Op.119

INTRODUCTION

The analyses of the *Vier Klavierstücke* demonstrate some further ways in which the Grundgestalt may be used to explore and explain musical structures. In keeping with the practice of the previous work, the Grundgestalt is arrived at by correlating the motivic structure with the middleground voice leading; as before, its identity is an ordered pitch-class set. Where the middleground and the motivic structure are not closely related, a low-middleground level is adopted - a level at which the pitch resources of the motivic foreground achieve interpenetration of structural significance.

In the consideration of three of the pieces, the Grundgestalten, upon which the analyses are predicated, are longer than in some of the previous work. This enables the exploration of the ways in which salient components of a more-extensive Grundgestalt may be extracted and given low-order structural significance; others still are closely associated with the middleground *Ursatz* progressions.

Intermezzo **in B minor (Op.119 no.1)**

APPLICATION OF THE METHODOLOGY

The Grundgestalt analysis of the *Intermezzo* in B minor is predicated upon the close links between foreground and lower middleground reaches of the musical structure. The Grundgestalt chosen is linked to both the foreground motivic working and the *Urlinie* descent, but is located at a level between them in the musical structure.

As previous commentators have demonstrated, the motivic structure of the piece is dominated by chains of descending thirds, the motivic structures taking as their fundamental the unit of a third.[1] The middleground contains an *Urlinie* descent from $\hat{5}$; the middle section alternates $\hat{5}$ and $\hat{6}$ in the *Urlinie*.

The Grundgestalt determined in this method conditions both of these parameters: in the nature of its first presentation and its intervallic content, it instigates and becomes closely associated with the foreground motivic structure; the linear component of the Grundgestalt is linked with the *Urlinie* descent, and the neighbour-note inherent to the Grundgestalt derives the prolongation of $\hat{5}$ - $\hat{6}$ - $\hat{5}$ in the middle section. However, what might be described as the preferred perceptual level of the Grundgestalt is located somewhere between foreground motivic structure and middleground voice leading. The low middleground Grundgestalt is able to intercede between foreground and middleground structures, and is the level at which this interpretation of the Grundgestalt may be most fruitfully deployed to interrogate the nature of the musical object.

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[1] See Newbould (1977), Dunsby (1981), and Cadwallader (1983).

At the opening, the selected four-note <u>Grundgestalt</u> appears prominently in the aurally-impacting foreground; as well as this melodic rôle, the <u>Grundgestalt</u> assists in the deployment of the accompanying figures. This particular <u>Grundgestalt</u> deployment operates at the intersection of the foreground and the middleground levels. At the middle section of the piece, the <u>Grundgestalt</u> appears at a slightly-higher structural level, its function explaining more the middleground structure of the music than the most immediate levels.

ANALYSIS

The Grundgestalt is first heard as the melody above the bars 1 and 2. It is shown in example 1:

Example 1

Allen Cadwallader identifies this shape as an "initial foreground motive" (1983:5). He attempts to demonstrate the way in which it "integrates the structural levels as well as the successive formal units of the piece" (7). Drawing upon Schenkerian analyses by Felix Salzer (1952:vol.II 248-251) and Forte and Gilbert (1982:215-278), Cadwallader presents an impressive and extremely thorough analysis. His use of Schenkerian techniques allows the well-informed reader immediate access to his ideas, but it restricts his consideration to large-scale relationships. Because of this, he ignores the possibility that a Grundgestalt is also fundamental to the foreground prolongations. Example 2 is an adapted Schenkerian analysis of the first 16 bars of the piece which responds to some of the differences between Cadwallader's work and my perceptions of the music:2

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2 Conventional Schenkerian analysis obliterates most of the motivic structure of the music. He was, however, aware of the possibility that motivic structure could penetrate the Middleground, stating that, "concealed [motivic] repetitions are not merely imagined by the ear, nor are they only the result of fantasy. They could, in fact, even be grasped visually, if in music the eye were able to see without being guided by the ear" (1979:99-100). Burkhart (1978), Kamien, and Rothgeb (both in Beach 1983) have considered this subject in some depth.
Schenker's awareness of "motivic parallelism" justifies the approach taken here, in which our understanding of Middleground structures is conditioned by an awareness of a generative Grundgestalt. The graph is altered to show both Foreground and Middleground motivic structure. Grundgestalt occurrences are notated with quaver noteheads, and are joined by dotted brackets.

Example 2

In this example, the _Grundgestalt_ occurs four times in its initial form and eight times in a first-generation form. The original and first-generation figures are closely related, the latter characterised by expansion of the initial leap.

The _Grundgestalt_ generations identified above are only the most instantaneous _Gundgestalt_ appearances audible in the music. It is likely that others are more deeply embedded in the structure. Example 3 shows the Schenkerian graph of example 2 altered to demonstrate the exchange of first and second generation _Gundgestalt_ pitch-collections between upper and lower staves in the first eight bars:

Example 3

Example 4 reveals four occurrences of the shape in retrograde, symmetrical about bar 5. Bar 4 works both forwards and backwards, linking the new phrase with the old:

Example 5 is a relational layout of the forms of the <u>Grundgestalt</u> employed in the first sixteen bars:

Example 5
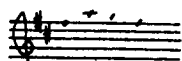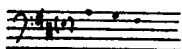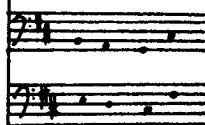
Example 6 demonstrates the interaction of different forms of the <u>Grundgestalt</u>:
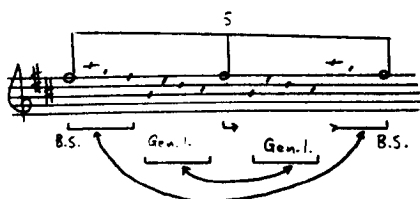
Example 6

As may be seen, the simultaneous employment different forms of the <u>Grundgestalt</u> leads to a symmetrical partition of the first eight bars about bar 5.

Example 7 shows how the twofold iteration of one of the motifs leads to the scalic descent in the second eight bars of the first section:

Example 7
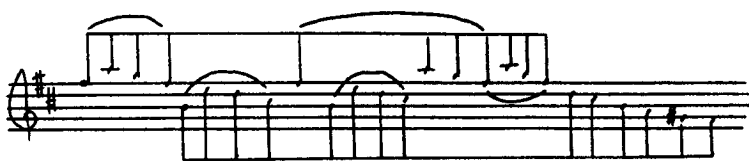
Further, a canon at the fourteenth between staves begins in bar 4 (example 8):

Example 8

As Cadwallader reveals, the <u>Grundgestalt</u> consists of an elaborated neighbour-note figure (example 9):

EXAMPLE 11

Example 9

The neighbour-note figure plays its most important structural role in the middle section. In the current section, the neighbour-note figures found in bars 7 and 8, and bars 14 and 15 are derived from the Grundgestalt. The neighbour-note figure in bar 8 uses the pitches F sharp and G, anticipating the return of the original Grundgestalt in bar 9.

Dunsby has commented upon the importance of chains of falling thirds to the structure of this piece (1981:94-95). In terms of this Gundgestalt interpretation, I hold that the chains of thirds are a surface detail, anticipating the ascending third of the Grundgestalt (example 10):

Example 10
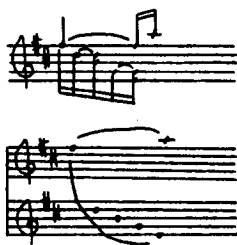
A reduction of the middle section is found in example 11. The Gundgestalt forms at the beginning of both phrases (bars 17 and 31) are embedded within a new motif form, from which is derived much of the scalic motion in the middle section (example 12):

Example 12
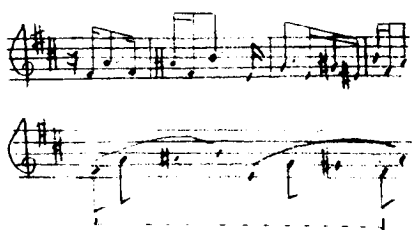
The new motif rhymes strongly with the bass-line pitches in bars 5 and 6. This is especially clear in bar 17 (example 13):

Example 13

At this point (bar 17), <u>Grundgestalt</u> is used as a submerged structure, while the immediately-impacting aural foreground consists of the new motif - an elaboration of the <u>Grundgestalt</u>. As well as the new scalic motif, the neighbour-note component of the <u>Grundgestalt</u> is most important in the middle section, forming the $\hat{5}$ - $\hat{6}$ - $\hat{5}$ progression in the *Urlinie* as well as the neighbour-note figures represented on the lower stave of example 11.

As in the first section, there is canonic structure; here, the middleground consists of a canon at the octave based on a chromatic extension of the <u>Grundgestalt</u> (example 14):

EXAMPLE 16

Within this canonic framework, the expanded form of the Grundgestalt enables octave transfer between the F sharp and the G (example 15):

Example 15
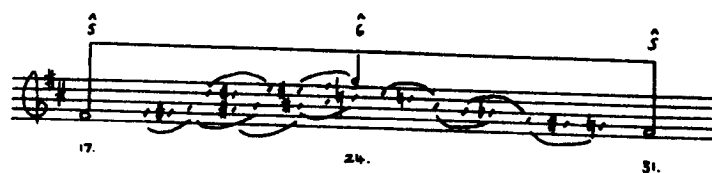
The middle section's structure consists of an alternation of two blocks of material (example 16). The A in bar 36 finally fulfils the expectation created by the G sharp in bar 23, and is the eventual destination of the canon (see example 14).

The interval of a fourth becomes important in the foreground prolongation structure of the middle section. This contrasts with the importance of the third in the outer sections. Introduced by the range of the altered form of the Grundgestalt in bars 17 and 31, the fourth becomes most important in the retransition to the reprise of the opening (bars 43 and 44) where Newbould suggests that Brahms integrates a chain of thirds with simultaneous chains of fifths (from the harmonic outline of the opening) and fourths (1977:40).

The music of the reprise is a decorated version of the opening (example 17):

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Example 17
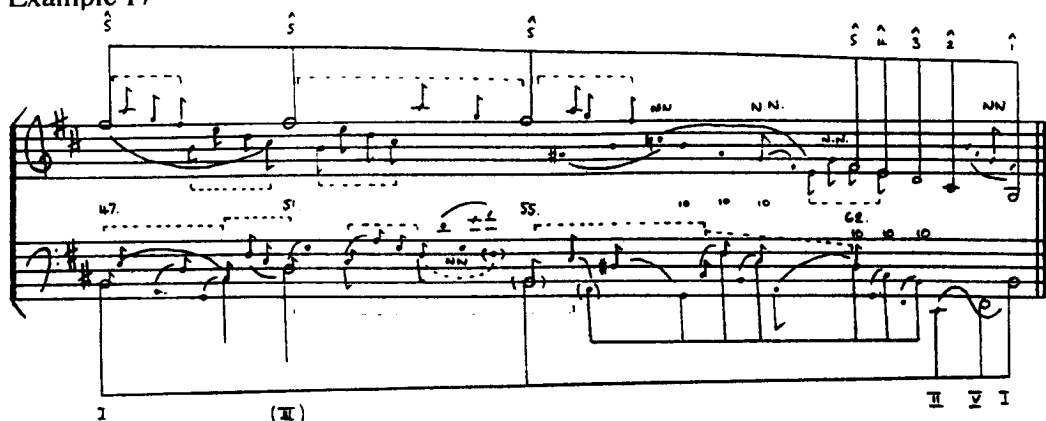
The closing section contains a concatenation of ideas from the rest of the piece. The a#[1] and the b[1] - c natural[1] - b[1] figure relate back to the middle section; the neighbour-note figure is related to the neighbour-note figure in bars 36-38, and the a#[1] is an echo of the melody in bar 17. The closure of the <u>Grundgestalt's</u> G - F sharp note-pair is indicated by its constant iteration (example 18):

Example 18
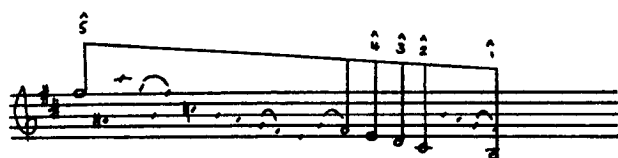
The fifths found in the bass line in bar 58 relate to this writer's interpretation of the harmony of the opening,[3] and leads inexorably to closure.

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[3] for discussions of this question see Cadwallader (1983:8), Dunsby (1981:89-90), and Newbould (1977:33).

Intermezzo in E minor (Op.119 no.2)

APPLICATION OF THE METHODOLOGY

The use of an ordered-pitch Grundgestalt in an exploration of musical structure is particularly fruitful in its application in the *Intermezzo* in E minor. The Grundgestalt, a three-pitch neighbour-note cell, appears throughout the musical structure, linking foreground levels with the middleground prolongations.

The motivic structure of the piece may be accounted for by neighbour-note structures, and overlapping neighbour-note structures. The original upper-neighbour construction is supplemented with its inversion. Because of its strong initial identity, the neighbour-note remains intact throughout the musical structure, its influence not being extensively expanded with significant derivations and fragments.

The middleground structure reveals an *Urlinie* descent from $\hat{5}$ interrupted by a secondary complete descent from $\hat{5}$ in the middle section. In the outer sections, the *Urlinie* contains a $\hat{5}$ - $\hat{6}$ - $\hat{5}$ prolongation. This prolongation is shown to be derived from the neighbour-note Grundgestalt.

The significant neighbour-note component in both motivic and middleground structure determines its use as the analytic Grundgestalt. What might be questioned is the analytic appropriation of such a fundamental, commonly-occurring structure. If the neighbour-note is taken to be a Grundgestalt, it is considered to be capable of exploring and explaining much of the musical structure. The answer acknowledges something about the nature of the music, the way the composer builds complex edifices from the simplest of means: the intention of this analysis is not to state that the composer used the neighbour-note as his principal constructional unit or even that it was a significant point of reference in the generation of the work, merely that, adopted in the manner suggested herein, it may provide useful insight into the perception of unity

experienced when listening to this piece.

ANALYSIS

Like the *Intermezzo* in B minor, the *Intermezzo* in E minor (Op.119 no.2) effortlessly combines a ternary outline with a more intricate thematic process: the central major-key section (bars 36 to 72) and the almost-exact return of the opening give definition to the ternary interpretation; continuity over the central divide is ensured by a structure which resembles a set of continuous variations on a six-note motif. As in the *Rhapsodie* in B minor (Op.79 no.1), the movement ends with a coda which takes a retrospective glance back to the B section (Musgrave 1985:264), effecting a *picardie* third as well as the completion of the *Ursatz*.

The subsequent analysis will highlight the importance of a single <u>Grundgestalt</u> as a motivic construct which permeates all levels of the structure. It is my contention that the <u>Grundgestalt</u> performs an important superordinate function in this piece (controlling the contrapuntal movement of deep levels of structure), as well as taking part in the musical surface (as principal motivic construct). In this, it has equal significance in sections divided at the surface by the ternary outline, or by the variation structure identified earlier.

EXAMPLE 19

This work is derived from and explores the possibilities latent in an analysis by Allen Cadwallader (1988). He examines "Foreground Motivic Ambiguity [and] its clarification at Middleground levels" (1988:59), specifically revealing the importance of an upper-neighbour-note figure in the middleground, and its role as $\hat{5}$ - $\hat{6}$ - $\hat{5}$ in the *Urlinie*.

The present work will suggest that this neighbour-note figure acts as a Grundgestalt in the music - as evidenced by its constant penetration of all levels of the musical structure.[4] The nature of the Grundgestalt here allows for some particularly subtle insights into the structure of the music. In particular, the Grundgestalt may be said to form a bridge between the parameters of voice-leading and melody, demonstrating how the six-note melody which forms the basis of the variation form is derived from separate 'layers' of the voice-leading structure. The boundary between voice-leading and melody is, of course, an artificial one: the use of the concept of the Grundgestalt allows us to show how Brahms plays on the imposed divide between them in order to derive the elusive melodic character at the opening of the piece, and the impression that the melody 'emerges' in the variation beginning in bar 28.

A reduction of the opening section (A in the Ternary outline) is presented in example 19. The $\hat{5}$ - $\hat{6}$ - $\hat{5}$ prolongation in the *Urlinie* is the most important manifestation of the Grundgestalt in the first nine bars, acting as a controlling force not only for the contrapuntal structure of the music, but also for Grundgestalt occurrences of less importance to the hierarchy. Between the opening appearance of $\hat{5}$, and the $\#\hat{6}$ (first heard in bar 6), the upper line revealed on the reduction consists almost entirely of b^1 - c^2 - b^1 neighbour-note configurations; between the $\#\hat{6}$ (bar 6) and the reestablishment of $\hat{5}$ in bar 9, the upper line gives more prominence to $\hat{6}$, containing two descents to $\hat{6}$ (an Echappé d^2 - c natural^2 and e^2 - d^2 - c natural^2). Despite this slight change in

4 "It is not, as some writers maintain, a flaw in Schenker's system that ... analysts can arrive at different interpretations. Analysis in this sense is an art which calls upon one to make decisions at times between plausible alternatives; such decisions often occur, because it is a fundamental feature of the tonal system that its pitches may function in different ways." (Cadwallader 1988: note 18)

emphasis, once more, the principal structure here is the familiar b^1 - c^2 - b^1 neighbour-note figure. This reflects the relative brevity of $\hat{\#6}$.

The importance of the neighbour-note <u>Grundgestalt</u> is shown on the reduction, and clarified on the additional staves presented above the main reduction (see example 19). As may be seen, the motivic structure of this section consists of <u>Grundgestalt</u> occurrences in four different registers: starting on b^1, g^1, e^1 (initiating an upper-neighbour figure), and e^1 (initiating a lower-neighbour figure). The lowest of these four levels contains a scalic descent over a third (e^1 - d^1 - c^1 in bar 1). Initially, this reappears in bars 3, 9, and 11, forming a motivic "antidote" to the power of the neighbour-note figures. The scalic descent becomes motivically significant in bar 19 (as an ascent), in the descent from b^1 to e^1 in bars 23 and 24, in the descent from b^1 to $f\#^1$ in bar 27 (as it were, answering the ascent in bar 19 and anticipating the movement of the *Urlinie* at the end of the A section), and in the descent from $d\#^2$ to $f\#^1$ (bar 31 onwards). A second important variation of the <u>Grundgestalt</u> is also instigated at this lowest level: in bars 2 and 3, this consists of the conflation of an upper- and a lower-neighbour-note figure starting on the same note, producing the procedure which Schenker identified as Reaching-Over (R.O.).[5] The additional staves show this feature bracketed together, whereas the main analysis shows Reaching-Over as single neighbour-note configurations.[6] Reaching-Over has significance throughout the A section, but is most important in the passage from bar 29 to bar 35. The technique plays an important part in the ascent from 5 (28, last quaver) to the $\hat{4}$ - $\hat{3}$ (bars 31 and 32). The octave displacement is explained by the application of Reaching-Over as two contrapuntal lines.

Bars 9 - 17 begin as if they were a repeat of the opening section; this is especially clear in the cadential configurations employed in the bass line. From

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5 Reaching-Over is explained in Schenker 1979 volume 1 pp.47–49 and volume 2, figure 41.

6 the subsequent analysis (of bar 9 onwards) uses the concept of Reaching-Over as a single figure, and does not show the alternative interpretation of two conflated neighbour-note figures.

bar 11 onwards, the upper line ascends, initially to the neighbour-note figure e^2 - f^2 - e^2 (bars 12, 13, and 14). The leap to a^2 in bar 15 is an important new departure. On a small scale, this initiates the descent to $\hat{5}$ in bar 17; its higher-level significance is found in bar 31, where the pitches a^2 and g^2 anticipate (and, by means of octave displacement, highlight) the $\hat{4}$ - $\hat{3}$ at the end of the section. The a^2 in bar 31 is reached by scalic ascent from $\hat{5}$ (bar 29 to bar 31).

Bars 18 to 23 continue to employ the material exposed in the previous section and further to develop its potential. Given structure by two pedal notes (c in bar 18 and B in bar 20 and 21) and the descending figures which link them, the upper line continues to explore the possibilities of neighbour-note figures. In bars 18 and 19, the upper line of neighbour notes prolong $\hat{6}$ (c^2 - d flat^2 - c^2); in bars 20, 21, and 22, the upper line anticipates the reestablishment of 5 by basing the Grundgestalt occurrence in them on the notes b^1 - c^2 - b^1. The leap to e^2 in bar 19 is explained by the Grundgestalt as the first note of the neighbour-note figure e^2 - $f\#^2$ - e^2 (actually appearing as e^2 - $f\#^2$ (bar 22)- $f\#^2$ - e^2 (both bar 26)).

The music from bar 23 to the end of the section moves strongly towards closure. There are a series of anticipations of the *Ursatz* progression: the B to E cadential figures in the bass line between bars 23 and 26 anticipate the structurally-important move to I in bar 29; the two *Urlinie* anticipations have already been discussed (the $\hat{5}$ - $\hat{4}$ - $\hat{3}$ - $\hat{2}$ in bars 27 and 28; and the $\hat{4}$ - $\hat{3}$ anticipation in bars 31 and 32); the three scalic movements on the lower stave appear at the same time as important changes in the *Ursatz*. The first of these scalic movements consists of the notes b - a# - g# - G - F# (doubled at the lower octave) in bar 21; the second is extended and contains chromatic infill (c^1 - b - a# - a in bars 27 and 28); and the third is further extended and rises rather than falls (b - c^1 - $c\#^1$ - d^1 - $d\#^1$ in bar 32). These instances of scalic motion

EXAMPLE 20
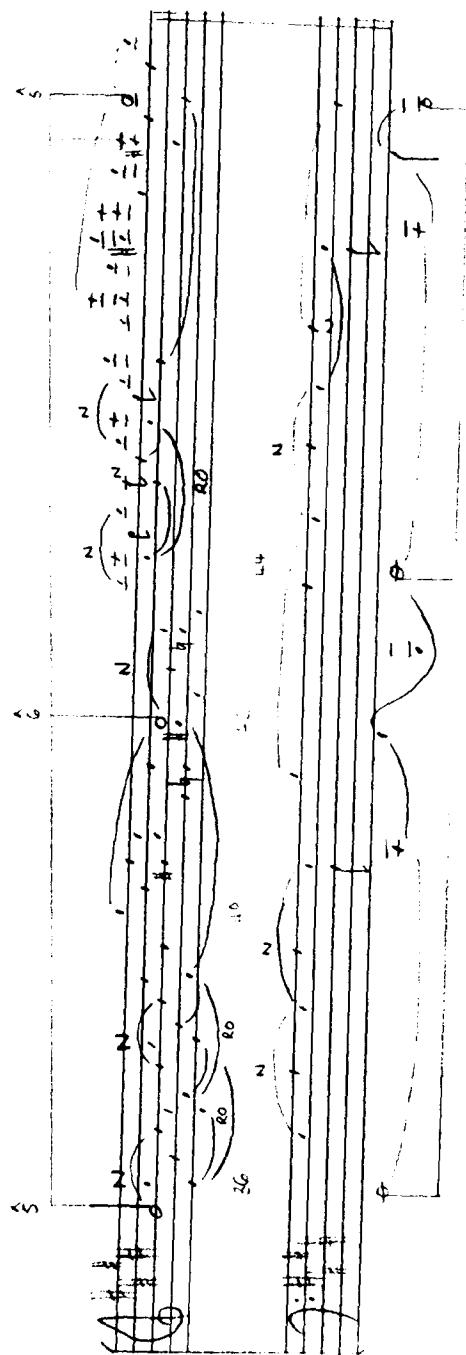
not only anticipate changes in the *Ursatz*,[7] but are also associated with the

scalic descent identified earlier as an important motivic element within the piece

(e^1 - d^1 - c^1 in bar 1). Although not directly related to neighbour-note figures

(the Grundgestalt), these motives are derived in a way that complements the

Grundgestalt, and which allows them to become endowed with a motivic

importance of their own.[8]

Example 20 is a reduction of the middle section (bars 36 - 73). Once more, the

Grundgestalt performs a role at the highest levels of the structure - as $\hat{5}$ - $\hat{6}$ - $\hat{5}$ in

the *Urlinie*. In the first part of this section (bars 36 - 52), the last note of the $\hat{5}$ -

$\hat{6}$ - $\hat{5}$ is an octave higher than the first. This displacement, foreshadowed in bars

31 and 32, is most significant to the structure of the second part of the middle

section. This consists of a completed *Ursatz* descent from $\hat{5}$ to $\hat{1}$, but an octave

higher than the *Urlinie* found in the opening section.[9] Within the structure of the

piece as a whole, the completion of the *Ursatz* in the middle section has the

character of a carrying-over of the *Ursatz* form to a lower structural level; this is

made especially clear by rapid return to b^1 ($\hat{5}$) in bar 68, and by the sudden

reversion to the original (minor) mode (bar 72).

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[7] The first anticipates the reestablishment of $\hat{5}$; the second introduces the reiteration of $\hat{5}$; and the third occurs at the same time as the descent of the *Urlinie* at the end of the section

[8] This is fundamental to my conception of Grundgestalt analysis - that such an interpretation involves the identification of a central motif (the Grundgestalt), and the naming of a series of more distantly-related motifs (Grundgestalt derivatives). These derivative motifs may helpfully be thought of as taking the form of satellites in increasingly distant orbits around the home Grundgestalt. In this piece, the scalic motion is derived as a secondary motif, an accompaniment to material consisting of direct iterations of the Grundgestalt; the accompanying material (the scale) is only distantly related to the neighbour-note Grundgestalt, but is endowed with motivic importance because it came into being because of the Grundgestalt, and contemporaneously with the first appearances of the Grundgestalt.

[9] The technique whereby the middle section of a ternary form is characterised by octave displacement is also seen in the B minor *Intermezzo* (Op.119 no.1); for a full discussion of this, see Dunsby (1981:102-3).

EXAMPLE 21

The $\hat{6}$ - $\hat{7}$ - $\hat{6}$ portion linked to the *Urlinie* is unusual, but is, once more, justified by the <u>Grundgestalt</u>. The d^3 is linked to the c^3 ($\hat{6}$), and is only of local significance. Rather like the instances of Reaching-Over in the opening section, this structure consists of a neighbour-note configuration interpolated into another such figure ($\hat{6}$ - ($\hat{7}$) - $\hat{6}$ within $\hat{5}$ - $\hat{6}$ - $\hat{5}$).

Bar 36 opens with the superimposition of two neighbour-note figures with two overlapping examples of Reaching-Over (closely resembling similar figures in bar 29 onwards). This construction is followed by two scalic lines converging in contrary motion on 6 ($f\#^1$ to $a\#^1$ and g^2 to $c\#^2$). Again emphasising the importance of scalic material, this movement (bar 40 and following) is similar in motivic construction to the convergence achieved using scalic means in bar 31.

The remainder of the upper stave (bars 42 to 52) effects the change in octave, by the simple expedient of doubling the melody an octave above. As before, a complex of neighbour-note figures (with attendant examples of Reaching-Over) are juxtaposed with two descending scales ($g\#^3$ to b^2 and $d\#^2$ to b^1).

For the first time, the lower stave from bar 36 to bar 52 shows instances of the <u>Grundgestalt</u>; it is significant that the neighbour-note configurations (characteristically overlapping) are each time followed by a scalic descent (b - a - g# in bars 41 to 44, and a - g#- f# in bars 47 to 50).

The second portion of the middle section is given structure by the *Ursatz* described earlier (example 21 shows a reduction of bars 52 to 73). The cadential figure (II - V - I) is clearly shown on the lower stave from bar 59. II is established by a lower neighbour-note figure; the absence of <u>Gundgestalt</u> material on the lower stave after this returns to the custom established by the opening section. In bars 52 to 59, there are a number of <u>Gundgestalt</u> formations on the lower stave, acting as a canonic anticipation of the upper stave (bars 52 to 56). This voice also contains motivic constructs which have become

associated with the Grundgestalt. The upper stave combines Gundgestalt material with scalic motion. One of the most interesting instances of this scalic motion begins in bar 53. The right-hand figuration at this point emphases the notes f#^{3} and e^3; these may be linked (as the musical surface consists of a sequence) with the e^3 and d^3 in bar 55. The descent set in motion by these pitches finds completion in the *Urlinie* descent (from bar 63).[10] A second consequence of the f#^{3} in bar 53 is the g#^{3} in bar 64 (forming a neighbour-note figure f#^{3} (bar 53) - g#^{3} (bar 64) - f#^{3} (bar 64)). The descent from $\hat{3}$ in bar 64 in also related to the descent from g#^{3} in bar 48. All of the scalic motion may be related to the scalic descent (associated with the Grundgestalt) first seen in bar 1.

The return of the A section is shown in example 19.[11] The surface detail in the left hand of bars 76 and 77 is altered although the middleground structure remains the same. The return to the middle section at the end (as coda) completes the *Ursatz*.

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[10] A smaller-scale example of this construction (a descent anticipated by fragmentary versions of that descent) is found from bar 57. At this point, the a^2 - g^2 anticipates the descent from g^2 to c^1.

[11] Bar numbers beneath the stave refer to the return - the Coda section (from bar 100) is represented at the end of previous reduction.

Intermezzo in C major (Op.119 no.3)

APPLICATION OF THE METHODOLOGY

The analysis of the *Intermezzo* in C major makes use of a longer ordered-pitch-class-set <u>Grundgestalt</u>, consisting of a five-note palindromic ordered pitch-class set. As with the *Intermezzo* in B minor, the analytic <u>Grundgestalt</u> is generated at the intersection of a low-middleground analysis and the motivic structure.

The motivic structure is dominated by the identified <u>Grundgestalt</u> and its variants. The cell is slightly longer than has been the case elsewhere in this study, and this enables a large number of derivations which are fragments of the original (twenty-six variants of the <u>Grundgestalt</u> are identified in the course of this analysis). The interval of a third, prominent in the original, is extracted and given motivic significance in the closing stages of the piece.

The middleground structure consists of an *Urlinie* descent from $\hat{3}$, interrupted on $\hat{3}$ by a middle section on the submediant major key.

The chosen <u>Grundgestalt</u> does not play a part in the voice-leading structure of the piece. The analysis is, therefore, predicated on the intersection of the motivic content of the piece and its interpenetration into the lower reaches of the middleground, facilitating the explanation of structural units at the lower reaches of the hierarchy. This interpenetration makes for a convincing explanation of the structure, as well as linking it with the motivic processes.

The Grundgestalt chosen for this analysis is longer than several of those used previously. This fact conditions a number of the details of the analysis. The Grundgestalt, as well as being used regularly in the aurally-impacting foreground of the music, provides the set from which other motivic parameters (and elements of the low-level voice-leading structure) may by extracted. Its prominent features, the interval of a third, and an upper neighbour-note may be used to explain certain structural elements of the piece.

ANALYSIS

The melodic content of the C major *Intermezzo* (Op.119 no.3) is built from derivatives of a single palindromic fragment (x); this fragment constitutes the Grundgestalt of this piece:[12]

Example 22

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12 In *Fondements d'une sémiologie de la musique* (1975), Jean-Jacques Nattiez considers the melodic structure of this piece. He proposes several possible strategies for its segmentation (1975: 300-320). The most successful of these is the, unfortunately-incomplete second analysis (*Analyse II*), which places only a secondary importance on the rhythmic structure (311-315). Nattiez, however, restricts himself by concentrating on the melody line alone, and by the size of the fragments he deals with. It is the aim of this analysis to build upon Nattiez's work by demonstrating the interpenetration of x and its derivatives throughout the musical structure.

EXAMPLE 23
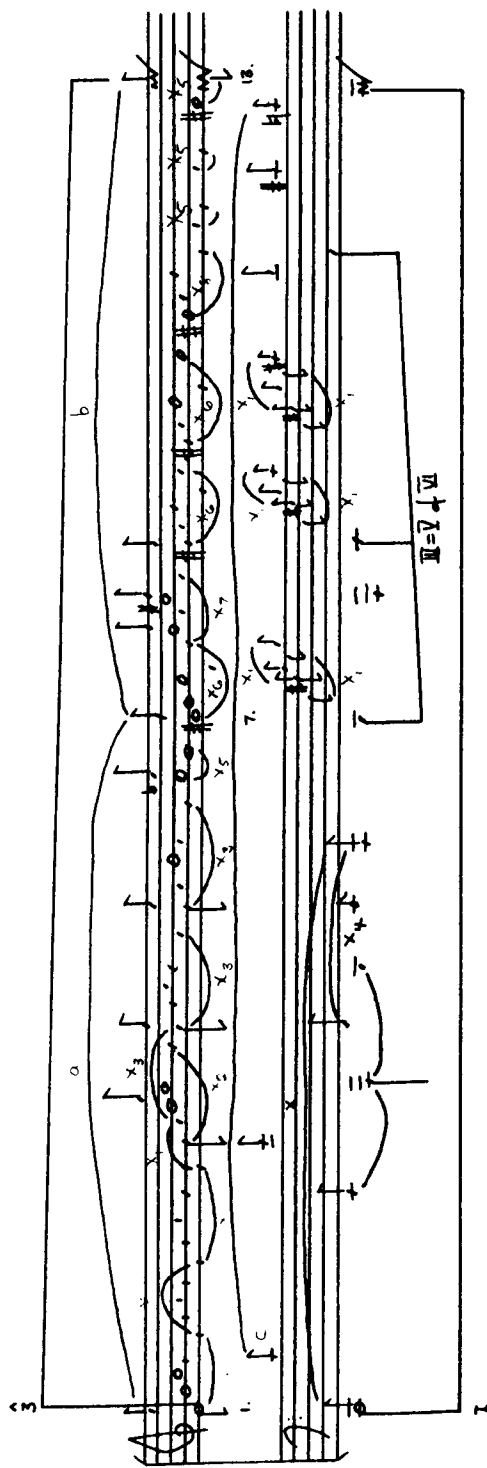
Example 23 is a Schenkerian reduction of the first 12 bars of the piece, altered to demonstrate the use of x. The void notes without stems are a non-Schenkerian notation representing the contour of each phrase.

KEY TO EXAMPLE 23

x = <u>Grundgestalt</u>

x^1 = first three notes of x

x^2 = transposed infill of x. The last pitch (g^1) is delayed until 6^6, from whence it propels the music toward its melodic goal, $f\#^1$ in bar 7.

x^3 = see example 24

Example 24

x^4 = retrograde of x^1

x^5 = related to the last two pitches of x^3 and to the beginning:

Example 25

x^6 = see example 26

Example 26

x^7 = see example 27

Example 27
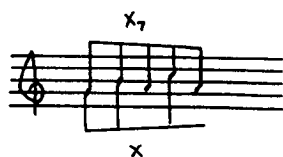
x^8 = shortened x^6

The <u>Grundgestalt</u> (x) also controls larger segments of the structure. Example 28 shows how x underlies the melody of the first six bars:

Example 28
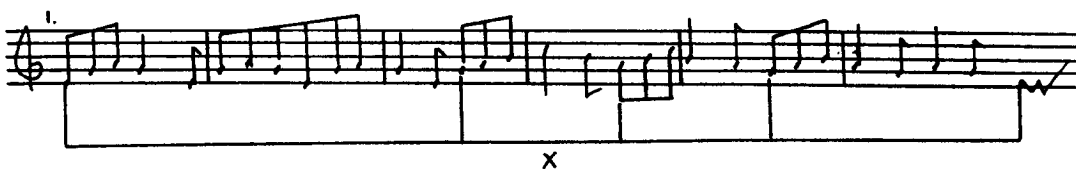
The rest at 3^5 draws our attention to a further consequence of x: prominent ascending thirds set in motion three lines important to the middleground structure (a, b, and c in example 23). The contour of the two phrases is also associated with a prominent ascending third. In this, the ascending third at the beginning is eventually filled by the f#^{1} in bar 7 (the line associated with this represented by void noteheads in example 23). This construction has important consequences at the end of the piece.

The first 12 bars are varied in bars 13 to 24. At 19^1, the dotted crotchet dyad of 7^1 is iterated; the alterations to bars 23 and 24 are illustrated in example 29:

EXAMPLE 30
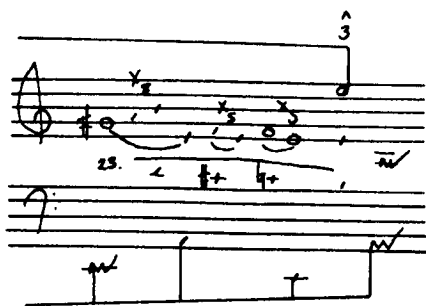
Example 29

Example 30 is a reduction of the middle section of the piece.

KEY TO EXAMPLE 30

x^9 = extension of x^2

x^{10} = see example 31

Example 31
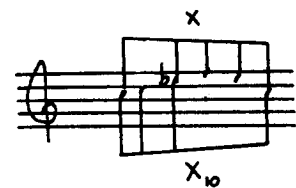
x^{11} = descent of a third derived from the end of x^{10}

x^{12} = descent of a fourth derived from range of x; related to x^{11}

x^{13} = inversion of x^1

Example 30 shows the continued importance of x and x derivatives in the middle section.

Chains of thirds become the dominant structural feature here; these are derived from the leaps of a third in x, and are notated as beamed quavers in example 30. Example 32 shows the derivation of d from the neighbour-note component of x:

EXAMPLE 34

Example 32

The chains of thirds marked e and f link cadence notes, preparing the return of C in 37:

Example 33
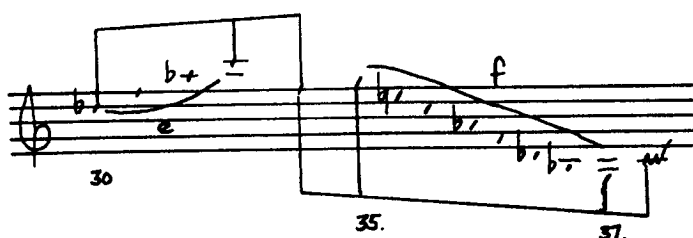
The outline of the first part of this section (d flat^2 - c^3 - f^2) is anticipated in bar 26 (t in example 30).

Chains g, h, i, and k are linked by x derivatives, preparing the thematic recapitulation found at bar 41.

Example 34 is a reduction of the final section of the piece.

KEY TO EXAMPLE 34

x^{14} = x with pitch omission
x^{15} = ascending third of x
x^{16} = x^7 with with altered first interval
x^{17} = new configuration of the intervals of x^4
x^{18} = x^6 with final two notes altered
x^{19} = x^8 with expanded final interval
x^{20} = retrograde of x^{13}
x^{21}, ^{22}, ^{25} = interversions of x^1
x^{23} = ascending third from x and descent
x^{24} = retrograde of x^{23}
x^{26} = x without final pitch

As at the beginning, the leap of a third in bar 41 initiates progressions on a larger scale. The first of these is notated with unfilled noteheads (in example 34). As in the opening section, the leap from e^1 to g^1 leads to a subsequent F - this time, however, it takes the form of an uninterrupted ascent from the leap to f^3 in bar 56. The second progression is notated with quaver stems. Initially built from x material, this eventually adds to the bar 56 climax.

The chains of thirds also appear in the final section of the piece; these are represented in example 34 by beamed quavers. The structural role of the two chains of thirds about 56 is illustrated in example 35:

Example 35
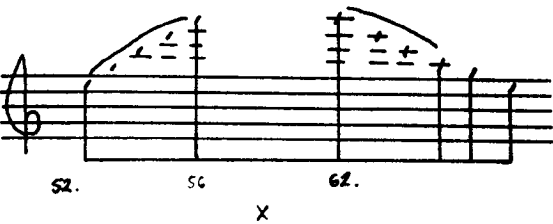
This has the nature of a valedictory appearance of x - at both the beginning and the end, the E - G at the beginning of x has led to an F (or F sharp); here, x is filled with an F.[13]

13 this construction is anticipated in x2.

Rhapsodie in E flat (Op.119 no.4)

APPLICATION OF THE METHODOLOGY

The *Rhapsodie* in E flat provides one of the most convincing examples of the application of the method for <u>Grundgestalt</u> analysis: virtually all the motivic structure of the piece is dominated by the constant interpenetration of a single motivic construct; the same cell dominates the voice leading.

As with the other analyses, the <u>Grundgestalt</u> is derived by comparing the motivic structure with a Schenkerian middleground. Here, a single construct provides both the characteristic turning figure used to derive the motivic structure of the piece and the *Ursatz* progression. The middleground consists of a *Urlinie* descent from $\hat{3}$ interrupted on $\hat{2}$. The middleground includes an upper-neighbour-note component, leading to an middleground $\hat{3}$ - $(\hat{4})$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$ *Urlinie*, the pitch-specific initial content of the <u>Grundgestalt</u>.

The five-note <u>Grundgestalt</u> acts as the source of much of virtually all the motivic structure of the piece: as is common with Grundgestalten slightly longer in extent, the neighbour-note, scalic, and interval-set components are separated and play demonstrable rôles in the course of the piece.

Example 36

ANALYSIS

The Grundgestalt which may be used to explain the structure of the *Rhapsodie* Op.119 no.4 is a simple melodic contour, in its initial form consisting of the notes g^2 - a flat^2 - g^2 - f^2 - e flat^2. This contour may be used to link the ternary structure of this piece with the impression of unity which it forms in the listener.

The *Rhapsodie* is organised as a ternary form with the following outline:

$$A_i - A_{ii} - A_i - B_i - C_i - C_{ii} - C_i - B_{ii} - A_{iii} - A_{iv} - A_i - \text{Coda}$$

Bar number	1	21	41	65	93	109	117	133	153	187	217	237

As may be seen, the large-scale ternary form (A - C - A) is supported by smaller-scale ternary constructions ($A_i - A_{ii} - A_i$, $C_i - C_{ii} - C_i$, and B - C - B). Further, once the equivalence of A_{ii} and A_{iv} is accepted, the entire structure may be said to be symmetrical about C_{ii}.

The Grundgestalt may be used to explain the impression of musical unity and coherence formed when listening to this piece, despite the length and complexity of this formal outline. Each new section within the form contains a clear reference to the Grundgestalt. Example 36 is a reduction of the first 64 bars of the piece. This section is given structure by a middleground *Ursatz* progression with interruption ($\hat{3}$ - $\hat{4}$ - $\hat{3}$ - $\hat{2}$: $\hat{3}$ - $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$). This formation, appearing in the score as g^2 - a flat^2 - g^2 - f^2 - e flat^2, constitutes the most important manifestation of the Grundgestalt in the first 64 bars. The Grundgestalt first appears at lower levels of the structural hierarchy as the framework of the opening five bars (pitches g^2 - a flat^2 - g^2 - f^2 - e flat^2). This is shadowed by a double appearance of the Grundgestalt a sixth below the original, beginning simultaneously with the first appearance of the Grundgestalt. This lower transposition level of the Grundgestalt provides a

foundation for the repeated e flat^2 in bars 4 and 5 (pitches b flat^1 - c^2 - b flat ^{1} - a flat ^{1} - g^1).[14] The upper stave of the second six bars exploits a generally-lower tessitura using a transposed version of the Grundgestalt (starting on e flat^2) to instigate a descent to g^1 in bar 9.[15] The leap to g^2 in bar 7 anticipates the return of the Grundgestalt at its original level of transposition - which return occurs in bar 11 with the reprise of the opening material. The continuation of g^2 over 13 bars, and its consequent emphasis, explains the *Urlinie* $\hat{4}$ - $\hat{3}$ - $\hat{2}$ in bars 18 and 19 as the second, third, and fourth notes of the original Grundgestalt. The completion of this part of the *Ursatz* occurs in bar 54 with the full statement of the Grundgestalt.

The neighbour-note portion of the Grundgestalt (g^2 - a flat^2 - g^2) may be used to account for the lower-level neighbour-note figures which permeate the music's surface. Instances of these are found in the uppermost line of the first four bars, which consists of four overlapping neighbour-note figures.

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[14] The all-pervasive nature of the Grundgestalt may be seen in the following interpretation of the first five bars of the piece:
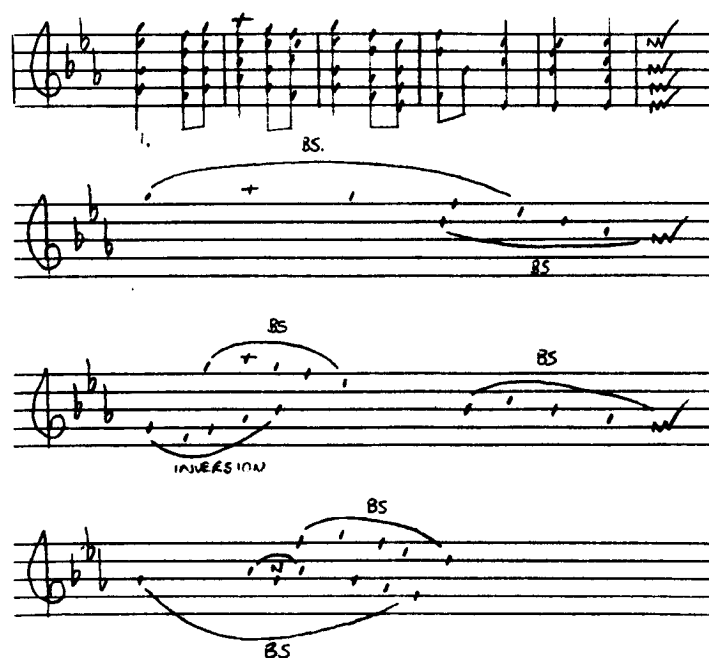
[15] this descent falls as far as f^1 in bar 10, but its goal is the g^1 achieved in bar 9.

A$_{ii}$ further explores the possibilities of <u>Grundgestalt</u> derivatives. Its first phrase

(bar 21 onwards) acts as a completion of the fourth phrase of A$_i$ - a completion

delayed by the semiquaver descent in bars 18 and 19. Thus, the first four notes

of the melody of A$_{ii}$ (the repeated b flat which forms A$_i$'s postponed ending in

bars 21 and 22) are related to the fourfold repetition of e flat^2 (bars 4, 5, and 6),

and the first significant new idea in the section is the three-note ascent (b flat -

c^1 - d^1) in bars 23 and 24. This figure is derived from the ascent in bar 1 (f^2 -

g^2 - a flat^2), which might be considered to be an inversion of the last three

notes of the <u>Grundgestalt</u>. The tumbling semiquavers, which delay the

completion of the fourth phrase of A$_i$, and which form the second portion of

A$_{ii}$, are prolongations of arpeggios. Example 37 shows how the surface

prolongations in bars 24 and 25 are based on a combination of neighbour-notes

and scalic descents:[16]

Example 37

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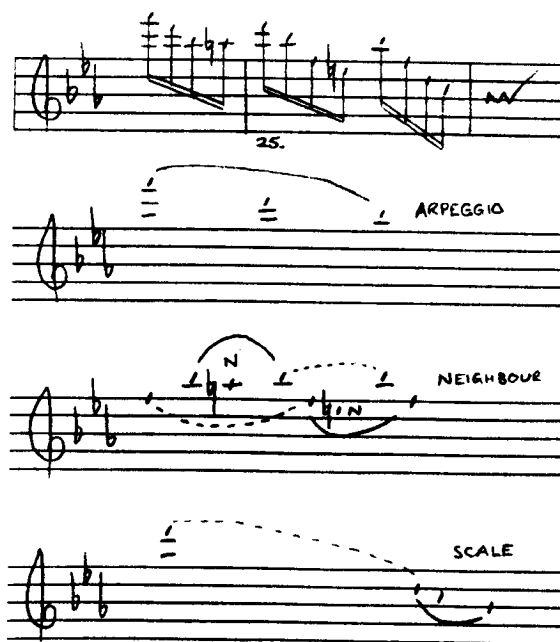
[16] this employs the same pitches (transposed an octave higher) as the semiquaver descent in bars
19 and 20 - the structure of bars 24 and 25 is examined on this diagram because it is the first
example of this figuration in the A$_{ii}$ section.

As well as being an inversion of the scalic ascent in bars 23 and 24, the scalic descent revealed on this example is derived from the upper line in bar 2 (a flat^2 - g^2 - f^2), itself part of a partial appearance of the Grundgestalt (see note 22). A$_{ii}$ also contains examples of the falling thirds ubiquitous in the Op.119 set. The most dramatic instance of this is the chain descending from f^3 in bar 24. The scalic motion contained in the bass line of bars 21 to 24 (with D omitted) effects a prolongation of B flat. This structure is used as the basis of the scalic descent in bar 31 (g^1 - f^1 - e flat^1 - d^1 - c^1 - b flat). The goal of this descent, b flat, is repeated in bar 41, where it is approached from c flat. This C flat (bars 39 and 40) reestablishes tonal equilibrium by balancing the several appearances of the pitch A natural in A$_{ii}$ (especially the a^1 in bar 33).

The return of A$_i$ is very similar at the surface, but altered in terms of its fundamental structure by the fleeting completion of the *Ursatz* in bar 55. The interruption in the first appearance of A$_i$ occurred in the fourth phrase (of the four-phrase group). Here, the completion is reached at the end of the third phrase, thus liberating the fourth phrase to prepare for a shift to C minor (bar 65). The relationship between the motivic resources of this fourth phrase and the Grundgestalt are explored in example 38:
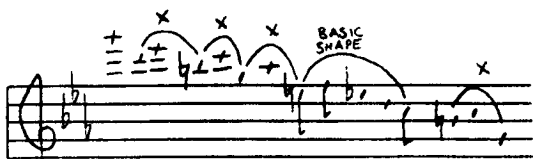
Example 38

Example 39

As may be seen, the phrase is based on one complete appearance of the Grundgestalt surrounded by four figures comprising an abridgement of the Grundgestalt.

B$_i$ does not immediately present the Grundgestalt (example 39). Its structure is defined by an ascent to 3. Like the B section of the B-minor *Intermezzo*, the Grundgestalt is concealed beneath the surface of the melody. It appears with its original pitches as an alto line in bars 69 and 70 (g^1 - a flat^1 - g^1 - f^1 - e flat^1). The upper line at this point is a Grundgestalt derivative (b flat^1 - c^2 - b flat^1 - a flat^1 - g^1). The derivation of the opening of B$_i$ from A$_i$ is shown in example 40:

Thus, the opening of B$_i$ may be explained by the material originally derived from the Grundgestalt. However, it should also be noted that i may be considered to be a retrograde of the first four notes of the Grundgestalt.

Further, the accented notes in bars 65 to 68 also lead us to a relationship between the pitches c^1 - d^1 - e flat^1 of B$_i$ and the c^1 - d^1 - e flat^2 in bars 61 to 64;[17] bars 65 and 66 are a filling-in of the outline provided by bars 61 to 64. There is also a relationship between the upper voice in bars 67 and 68 and the melody in bars 56 to 58; this shown in example 41:

Example 41

The motivic structure of the remainder of B$_i$ is based on a combination of neighbour-note figures and scalic devices (both derived from the Grundgestalt). The interlocking thirds of bar 69 are continued as a sequence in bar 70. This leads to a cadence on G (V in C major) in bars 71 and 72. Such is the thematic ingenuity of this music that the two bars (71 and 72) previously identified as forming a cadence (that is, the end of a phrase), consist of a reinterpretation of bars 65 and 66 (the beginning of the phrase). Thus, the passage from bar 65 consists of an eight-bar phrase, but with a 'restart' in bar 71. The dual identity of bars 71 and 72 is similar to the relationship created by the overlap between the end of A$_i$ and the beginning of A$_{ii}$.

C$_i$ is the principal contrasting section in the piece; its more lyrical character strongly differs from the piece's strident opening. The contrast between the two sections makes the linking role of the Grundgestalt especially important. The Grundgestalt appears in bars 93 and 94 as the ascent to a flat^2 (4 in the *Ursatz*

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17 these accents perform both a musical and an analytic role (a notational device that Schumann also uses). The rest in bar 3 of the C major Intermezzo (Op.119 no.3) is a similar example.

progression), immediately followed by a scalic descent from a flat^2 to e flat^2: in exactly the same way, the initial form of the Grundgestalt rose to a flat^2 and effected a scalic descent to e flat^2 (bars 1 to 4). Transposed versions of the Grundgestalt are used in bars 96 and 97 (c^2 - d flat^2 - c^2 - b flat^1 - a flat^1) and bars 98 to 100 (f^1 - g^1 - f^1 - e flat^1 - d^1). These even-out the rhythm associated with the Grundgestalt in the first bars of the piece, assimilating the closely-related pitch formation into the new section's atmosphere. The remainder of the motivic resources of the section are derived from the Grundgestalt, or from material previously used which was, itself, built from the Grundgestalt: the scalic ascent which forms the melody at the beginning of C$_i$ is an inversion (with chromatic infill) of the third, fourth, and fifth notes of the Grundgestalt; the "convex" melodic fragment in bars 95 and 96 (e flat^2 - d flat^2 - c^2 - b flat^1 - c^2) could be thought of as a transposed retrograde inversion of the Grundgestalt, as well as being related to the melody in bars 3 and 4 (g^2 - f^2 - e flat^2 - f^2);[18] the four-note descending figure (found, for instance, in bar 97, and in bars 99 and 100) is derived from the second, third, fourth, and fifth notes of the Grundgestalt (a flat^2 - g^2 - f^2 - e flat^2).

C$_{ii}$ is a diminished version of the linking material found in bars 61 to 64 and bars 85 to 92. The scalic ascent is related to the third, fourth, and fifth notes of the Grundgestalt. The consequences of this speeding-up are found in bars 129 to 132, where the motif is reversed. The extension of the motif from bar 113 to bar 117 is related to the Coda (bar 237). This relationship is explored in example 42:

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[18] the audibility of this relationship is compromised by its taking place over a phrase boundary, and also by the more obvious Gundgestalt derivation in bar 96.

Example 42

The significant role of the scalic material in the coda reflects its increasing importance throughout the piece - especially its role in the 'plane of symmetry' (C_{ii}).

On its return C_i employs the same motivic resources as before; the differences are found in the distribution of the material, and its layout on the keyboard. The ending is altered, effecting a swift return to C minor.

Apart from its last chord, and a few registral changes, B_{ii} employs exactly the same structure as B_i.

Example 43

The beginning of A_{iii} (from bar 153 to bar 168, example 43) has a structure closely related to that of the opening A_i section. Taking for its basis the Grundgestalt, this time transposed to begin on e^1 (pitches e^1 - f^1 - e^1 - d^1 - c^1), the surface structure is, again, dominated by neighbour-note figures. As at the beginning, second phrase of A_{iii} (bars 158 to 163) is based on a Grundgestalt figure a third lower than that used in the first phrase (the Grundgestalt begins on e^1 in bar 153; on c^2 in bar 158). In A_i, g^2 anticipated the return of the original Gundgestalt formulation in bar 7; here, e^3 makes a similar preparation.

The second part of A_{iii} is harder to define (bars 168 to 187). Its function is similar to that of the fourth phrase in the A section. Here, however, it consists of three phrases rather than one. The consequences of this expansion are threefold: (1) it eliminates the pitch E natural, preparing for the eventual return to the key of E flat; (2) it makes space for C minor, balancing the use of this key in B_i and B_{ii}, and, especially, in the fourth phrase of A_i (bars 56 to 60); (3) it performs the function of a Development in the 'Recapitulation'. Like its predecessors, A_{iii} dispenses with the direct use of the Grundgestalt, preferring to exercise motivic resources derived from the Grundgestalt - in this case using the neighbour-note. Like the fourth phrase of A_i, it ends with the falling semiquaver pattern. This anticipates the importance of this material in A_{ii} (here A_{iv}). Unlike the fourth phrase of A_i, A_{iii} is based on a pedal G.

A_{iv} is equivalent to A_{ii} in structure and surface figuration. Its most important structural role is in the establishment of V (preparing for the return of I in bar 217). V is approached by a descending scale in bars 187 to 189 (G to B flat); the notes C flat, D flat, and C flat (derived from the neighbour-note portion of the Grundgestalt) form the structural basis which leads to the establishment of V in bar 205. The c flat^2 in bar 204 sets in motion a descending scale which culminates on $\hat{5}$ in bar 217.

EXAMPLE 44

The return of A$_i$ at bar 217 has a structure similar to its first appearance: the major difference is the alteration of the fourth phrase in order to complete the *Ursatz* (itself a Gundgestalt derivative), and to facilitate the change in mode from major to minor.

The relationship between the coda and the music at bar 113 has already been discussed. The middleground structure of the coda is based upon the Grundgestalt's employment in bars 254 to 258 (altered, in accordance with the change of mode to consist of the notes g flat^2 - a flat^2 - g flat^2 - f^2 - e flat^2). This Grundgestalt is approached by an ascending scale from e flat^1 in bar 237 and e flat^2 in bar 239. Both of these reach the pitch B flat (b flat^1 and b flat^2 in bar 241) which echoes $\hat{5}$, and which links with the a flat^2 of the Grundgestalt (bar 254) to form $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$. The coda's surface consists of the by-now-familiar combination of neighbour-notes and scalic motion (both derived from the Grundgestalt).

Example 44 shows how the Grundgestalt forms the basis of the *Ursatz* structure of the entire piece. Thus, by examining the piece in terms of the Grundgestalt, we can confidently suggest that the key of C major/minor is implicit in the main theme of the *Rhapsodie*.

ANALYTIC CONCLUSIONS

The foregoing analyses have explored the utility of a particular deployment of the Grundgestalt as a tool in the analysis of Brahms's late piano music. The aim of the deployment has been to explore the perception of unity, coherence, and completeness which is commonly held about this music. The methodology employed sought a single ordered pitch-class set that not only dominates the foreground motivic working but also achieves significant interpenetration at the middleground levels of structure.

The most striking thing about the analyses is the way they are all able to demonstrate the structural rôle of a single ordered pitch-class set or Grundgestalt. Whether as a rich interpenetration of the Grundgestalt throughout all levels of the musical hierarchy and in all parts of the form, or as a Phrase-level entity which conditions the pitch-deployment of the Motive (an eventuality which may influence the voice-leading structure), the use of the Grundgestalt has proved to be rewarding and illuminating.

These findings are based on an attempt to take one stage of Schoenbergian thought, and to develop from it an analytic method capable of the interrogation of a particular body of music. It is not an attempt once-and-for-all to define the Grundgestalt, or, indeed, to produce a final method by which it may be applied in analysis - given Schoenberg's constantly-changing views and his own reluctance to commit himself to the project of Grundgestalt-analysis, such an attempt would unwise. What the forgoing interpretation and analysis seeks to do is twofold: first, to put forward a definition of the Grundgestalt which is in accordance with what we know of Schoenberg's own views; and, secondly, to create models of the structure of the music which go some way to bridging the distance between previous interpretations and the analytic perceptions of the author.

There might be scope for further investigation using this method - particularly in exploring the relationship between music of the late nineteenth-century and the early twentieth century.[1] Indeed, this method might be able to bring to the battlefield that was late Romanticism a way of seeking for similarities rather than difference - an evolutionary rather than a revolutionary interpretation. However, the assertion must stand that the particular Grundgestalt-method evolved here is designed specifically to be used in the late piano music of Brahms.

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[1] Repertoire suitable for this type of interpretation might include the piano works of Scriabin and Fauré (and the Grundgestalt might even prove profitable in current attempts to apply Schenkerian methods to the piano works of Debussy). It is, however, hoped that the method might find a more general application in music of the common-practice period, particularly the Piano Sonatas of Mozart, Haydn, Beethoven, and Schubert.

CHAPTER 6: Op. 118: ANOTHER MULTI-PIECE?

Introduction

This chapter seeks to explore a particular aspect of form which became evident in the Grundgestalt analysis of Brahms's Op.118 - that the analysis of each piece was based upon a single, slightly varied Grundgestalt. This chapter is based upon Schoenberg's interest in the relationships between movements, and the several previous writers who have used Grundgestalt to explore multi-partite works as single organic wholes.[1] The chapter initially provides a new definition of the multi-piece, evaluating its position as a generic category, compares multi-piece with its close relative, the collection, and then offers an interpretation of Brahms's Op.118.

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[1] See his comments on Brahms's Fourth Symphony in 'Brahms the Progressive' (SI 405-7); Réti (see pages 75-82) and Keller (88-90), are but two of the many writers that firmly believe that multi-movement works may be indentified as single organic wholes.

The Multi-Piece

The term 'multi-piece' was coined by Jonathan Dunsby in 1983 as a new and powerful way to account for relationships within 'music in sections which do not make a whole in every sense but which are not entirely unconnected' (1983:167). He remarks upon the 'poverty of the proposition that music either does or does not make a whole' (168), claiming that music of the type he describes may 'constitute a genre in the nineteenth-century repertoire' (167).

Dunsby's initial definitions of the sphere of influence inhabited by multi-piece are typically challenging and insightful and indeed, one instinctively recognises their veracity. However, like many attempts to re-shape our conventional understanding of genre, it is open to challenge. In the same way as Dahlhaus's attempt to categorise Brahms's late piano music as 'lyrisches Klavierstücke' or 'Charackterstück' (Kallberg 1988:242), Dunsby's 'umbrella definition' is, *a priori*, excessively wide. 'Music in sections which do not make a whole in every sense but which are not entirely unconnected' fails to make a distinction between multi-piece, variation set, song-cycle, and collection, or even between a multi-piece and the totality of a composer's output in a single given genre.

Dunsby's describes the emergence of this 'new form of musical connection, the connection of small, heterogeneous pieces to make a large homogeneous work' (168). He cites Schumann's *Frauenliebe und -leben* and his piano works *Carnaval* and *Kreisleriana* as examples of the type, stating that the earliest model for the form is probably Beethoven's *Bagatelles*.[2] These novel compositions, defined by the 'connection of small, heterogeneous pieces to make a large homogeneous work', are distinct from 'collections', the latter exemplified by the difference between *Carnaval* and Chopin's Op.17 Mazurkas (169). The old distinctions between 'piece, including multi-movement piece, and collections which are not wholes' are cast aside for a new triumvirate of piece, multi-piece, and collection (169). What is lacking, however, is a thorough definition of the

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2 presumably the Op.119 and Op.126 sets, and not the early Op.33 collection.

multi-piece, and especially the exact differences between piece, multi-piece, and collection. Dunsby's 'connection of small, heterogeneous pieces to make a large homogeneous work' is admirably eloquent, but cannot exclude variations or make a clear distinction between multi-piece and song-cycle. Neither does it exclude collection, especially in cases where the individual movements are linked in the cause of what Jeffrey Kallberg describes as 'compatibility' (Kallberg 1983).

Many of the difficulties in defining multi-piece can be traced to Dunsby's claim that it 'may constitute a genre in the nineteenth-century repertoire' (167). In order fully to define multi-piece, and clearly to distinguish it from piece and collection, it is necessary to determine whether, indeed, it is a genre in the conventional sense. Robert Pascall has put forward four 'fundamental and unalienable' categories of 'generic difference and development' (1989:233). He suggests that these categories 'provide [a] necessary and sufficient framework for the practical task ... of identifying and characterising specific musical genres.' The four categories suggested are: (1) that 'a musical genre has a single privileged performance-site'; (2) that 'a musical genre has a distinct set of performing forces'; (3) that 'a musical genre has a definable expressive code'; and that (4) 'a musical genre has a diachronic structure, with continuity and development' (234-5). The following is an attempt to determine how far multi-piece measures up to these exacting standards:

1.   'A musical genre has a single privileged performance-site'

The multi-piece does not have a single privileged performance-site. It could be argued that in the nineteenth-century, multi-piece was exclusively a domestic form of music making, the 'private' forms associated with multi-piece being song-cycle and piano miniature. But the 'private' function is only part of the influence of the multi-piece. Dunsby's suggestion that Schoenberg's Orchestral Pieces Op.16 are, in fact, a single multi-piece, illustrates that a 'public' dimension is also possible.

2.   'A musical genre has a distinct set of performing forces, its instrumentarium'

The multi-piece is not associated with a distinct set of performing forces. Although there is an affinity between multi-piece and the piano, the more established genres of *lieder* and piano music are overwhelming. Dvorak's *Bagatelles* excel as an example of the widely differing instrumental combinations possible in what might easily be multi-piece. Scored for two violins, cello, and harmonium, the transformation of the folk-song 'Hrály dudy u Pobudy' (Bagpipes Played at Pobuda) in the first, third, and fifth movements is a 'compelling reason for regarding the *Bagatelles* as a multi-movement work' (Pascall in Abraham 1990:651).

3.   'A musical genre has a definable expressive code' (Pascall 1989:235)

Multi-piece does have a definable expressive code, an 'expectation horizon'. Whilst not as entrenched in our collective musical consciousness as it would for venerable forms such as the symphony or the piano sonata, multi-piece is associated with expectations of a multi-movement work, endowed with continuity, compatibility, and with discernible inter-movement links in the musical fabric.

4.   'A musical genre has a diachronic structure, with continuity and development' (Pascall 1989:235)

Multi-piece does not yet have a strong diachronic structure. Although composers have long written music which expresses their own personal views of interlinked multimovement structures, it was only with Dunsby that an attempt was made to determine what might constitute the boundaries of the multi-piece, and, until further work is done, we do not know the extent of its use by composers in whatever century.

In view of these findings, it is not possible to agree with Dunsby's hypothesis the multi-piece is a genre. As Kallberg reveals (1988), a genre constitutes a type of contract between composer and listener, a rhetorical instruction set capable of being accessed by composer, performer, and listener alike, and a significant engine for the creation, recreation, and comprehension of meaning in music. Multi-piece does not have the capability to perform all of these functions. It simply draws upon too many conflicting generic sources and lacks too many of the basic characteristics of traditional genres to be called upon in these ways.

However, as we have seen before, multi-piece does have strong affinities with genre. Therefore, it is hypothesised that multi-piece is a structuring concept which is endowed with generic characteristics. It is a super- or sub-generic structural notion which has the capability significantly to enrich our understanding of music and our understanding of our own perceptions of music.

One way to illustrate this is to attempt to describe the differences between multi-piece and its cousin 'collection' in terms of Molino's tripartite division of the function of the music (1975): the Poietic level, representing how the analyst perceives the viewpoint of the composer; the Esthesic level representing how the analyst represents the viewpoint of the audience; and the Neutral level, representing what is contained in the score for the analyst to find.

Poietic level

<u>multi-piece</u>

Although the composer could not have been aware of the existence of the details of the multi-piece theory, she might have considered the possibility of creating an extensive unitary composition by means of assembling coherent and related constituent parts, that the process elevates each opus into 'an intentional, organic, compositional whole' (Cai 1986:266). It is likely that she would build into the overarching structure consistent and easily perceptible links between the parts, and extend elements of unity throughout the structural hierarchy.

It is equally possible that the composer intends the creation of such a structure to be a private matter. She wishes the outward impression of the piece to one of unity and coherence, but does not want the technical means which have achieved that impression to be visible or audible. It is equally believable that the most subtle elements of unity are the result of unconscious processes in the composer's mind. These two hypothetical cases give us explanations for the problems with the titles of several multi-piece prototypes. Whereas the titles of many types of often-unified multimovement works, such as the sonata or the symphony, are almost invariably singular, the titles of a number of the currently-identified multi-pieces is plural. *Carnaval* and *Kreisleriana* are both singular, but *Fantasien* (Brahms's Op.116), Orchestral Pieces (Schoenberg's Op.16), *Bagatellen* (Beethoven's Op.119 and Dvorak's Op.47), and *Klavierstücke* (Brahms's Op.118) are all plural, the intent of the titles seemingly the same as the *collections* of *Etüden* and Preludes. It is possible that this is misleading: in the case of Brahms's Op.117-9, the set and the piece titles were almost invariably added to the engraver's proofs at a very late stage in composition, and only occasionally do the individual piece titles perform any function other than to give a general impression of the music's speed and character (Cai 1986:261-66).

It is very likely that, however unified the intent, the composer would sanction excerpted performance of the works' constituent parts. Of Brahms's Opp.118 and 119 the composer himself admitted:

Die Leute finden doch ihre Lieblinge heraus.

(The people will certainly be able to ferret out their favourites) (translated by Cai 1986:270)

Early performances of Brahms's late piano pieces were almost exclusively of pleasingly-assembled extracts, often selected from several different sets. In this regard, it is telling that Cai finds only two complete performances of any of the later sets in the *Gesellschaft* programmes between 1893 and 1900 (1986:272).

Collection

A collection is intended to satisfy primarily the needs of the publisher and, only secondarily, the audience. It is a convenient way to gather together similar, already-extant compositions (similar in musical style or intent, or of a single generic type). If there exists any ordering, patterning, or inter-movement links, they are the result of chance, or of a need for what Kallberg described as 'compatibility' between constituent parts (1983).

In the nineteenth-century the composer did not expect such works to be performed together and in sequence. It is only the advent of gramophone recording and late twentieth-century performing traditions that complete collections are presented to the public as a matter of course.

Neutral level

multi-piece

At the Neutral level, the score of a multi-piece contains demonstrable inter-movement links.

Collection

Any relationships between pieces in collections at the neutral level are likely to be the result of stylistic commonalities, the result of their having been being written at a single stage of a composer's development, or the result of chance.

Esthesic level

multi-piece

At the esthesic level, the audience becomes aware of the links between the constituent movements of the multi-piece. Unlike a conventional generic designation, the structural relationships inherent to the multi-piece are revealed only by the action of the listener's cognitive processes during the course of a performance. A conventional title such as 'symphony' will access a certain pre-performance expectation-horizon based on the listener's knowledge, experience, and, possibly, training; multi-piece, partly because of its novelty, and partly because its influence is confined mainly to structural parameters, exercises a more stealthy influence, only emerging as a consequence of the musical substance.

The ideal audience for a multi-piece needs to exhibit a certain degree of naïveté, to possess an openness of mind that allows generic expectation to become clear from the course of a musical structure, not to be a predetermined factor at the outset of her aural interaction with the music.

If, with Kallberg (1988), one accepts that the conventional sphere of influence for generic classification is inadequate, and that, rather than being a mere taxonomy of musical types, generic classification is a rhetorical instruction-set capable of being accessed by composer, performer, and listener alike, then the super- or sub-generic multi-piece type has a singular power to communicate meaning to the listener. With a more conventional generic outline, the title leads to certain expectations about instrumental forces, movement format, form, character, and so on, but these expectations are of only secondary importance during the course of a performance as the listener is caught up in the ebb and flow of the musical discourse. The expectations only surface as rather general impressions of the character of 'second-subjectness' for example, or possibly at moments of change or recapitulation. With the emergence of multi-piece being the result of the musical structure, the generic component of multi-piece is not as easily relegated to the fringes of the conscious mind, and the associative links between movements become all the stronger for the mind's conscious awareness of them. One might hypothesise that awareness of the multi-piece engages a different set of cognitive processing skills, and almost certainly longer-term forms of musical memory.

Collection

No contract exists between composer and listener, and any perceived links between items are dismissed as stylistic commonalities or the vicissitudes of composing pieces of a similar genre within a single stage of a composer's development.

Having established the way in which multi-piece may be considered to be a generic structuring concept, it is now necessary to determine what are the precise musical characteristics of the multi-piece. Dunsby speculates about the nature of the musical relationships in the multi-piece, and the difference between these relationships and those found in collections:

a.	each number in a 'collection' is contained within a closed structure; a multi-piece may contain incomplete numbers which only achieve closure in subsequent music. Dunsby speculates that 'this may be one of the best signs we could hope to find of a multi-piece as opposed to a collection' (176);

b.	there are likely to be 'consistent and continuous elements' (179) in both multi-pieces and 'collections' (and variations); these 'elements of unity', restricted to the surface levels of the structural hierarchy in 'collections', interact between surface and deeper levels of structure in the multi-piece.

Dunsby's investigation of Brahms's Op.116 reveals four separate types of inter-movement relationship, which, in common with Marston's work on Beethoven's *Bagatelles* Op.119, we here appropriate as the model for future investigations of the multi-piece. Thus, music abiding by the prototypical structuring devices of the multi-piece will exhibit: (1) a strong sense of musical closure, both within the individual numbers in the set and between the constituent items of the set (that less-strongly-closural numbers may find completion in subsequent pieces); (2) thematic and motivic links between the pieces, expressed in and between several levels of the hierarchy; (3) a tonal patterning or structure between the pieces, and; (4) a sense of 'aesthetic balance'.

It is unlikely that many pieces abide closely to these principles, and, indeed, the subsequent work on Brahms's Op.118 indicate that further aspects may be equally central to the concept.[3]

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[3] More recent work has revealed that the tempo relationships in Op.116 have ratios predetermined by the composer (Rink 1995). This represents a further vindication of the multi-piece, and a significant further avenue of enquiry.

The multi-piece in Brahms's Klavierstücke Op.118

Examined below are four ways in which Op.118 may be considered to be a multi-piece: (1) the tightly controlled tonal patterning and structure; (2) the closely related thematic and motivic links, the pattern of thematic anticipation, and the links between the motivic structure and the tonal pattern; (3) the formal balance and control; and (4) the possibility that the *Intermezzos* in A minor and E-flat minor are linked in such a way as to constitute a framing pair for the set.

1. Tonal Patterning and structure

Example 1 shows the succession of keys in Op.118:

Example 1

The keys are ordered by a scalic descent from A minor/major to E-flat minor. The noteheads are beamed to indicate the way in which the pieces seem to be divided into two parallel groups. This grouping is shown on table 1:

Table 1

Group 1	Piece:	1	2	3
	Mode:	minor	major	minor
Group 2	Piece:	4	5	6
	Mode:	minor	major	minor

Dunsby points to the existence of 'paired items' in the set (1983:188). He states that numbers 1 and 2 are linked on 'various levels', the most immediate of which is the way in which number 2 'begins with the melodic C sharp which was the last note of No.1'. Dunsby also highlights the tonal link between numbers 4 and 5.

With exception of the first piece, all pieces exhibit a ternary outline (see below). Each piece makes use of a contrasting tonality for the middle section a third distant from the main tonality:

Example 2
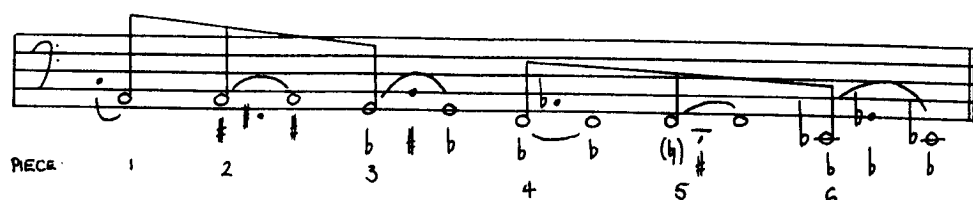
Pieces 1, 3, 4, and 6 employ contrasting keys a third above the main tonality (piece 1 is an exception to this rule, although the secondary key (C major) is a third above the primary tonality of A minor);[4] pieces 2 and 5 use contrasting keys which lie a third below the presiding tonality. This strengthens the perceived division of Op.118 into two groups each containing three pieces:

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[4] The structural cadence of the Intermezzo Op.118 no.1 is in A minor; the major-mode ending is a foreground picardie third required to forge a link between the first and second pieces (for examination of this link see Dunsby 1983:188) A detailed examination of tonality in the A minor *Intermezzo* is found in Cone 1977.

Example 3

2. Thematic and motivic links

Each piece draws its motivic resources from its main theme. Example 4 shows the way in which the main themes of Op.118 make use of a very restricted collection of <u>Grundgestalten</u>:

The motives are either monodirectional three-note scalic outlines, or are derived from the interversion of three-note scalic outlines. Musgrave points to the role of this 'short scalic outline' and describes the way in which it becomes a 'recurrent feature' throughout the set (1994:261ff).

The exceptions to this rule enrich the motivic resources of the second three pieces, an enrichment which strengthens the sense that the set is divided into two groups of three pieces: the first enrichment consists of a neighbour-note figure which makes motivically identical the openings of the fifth and the sixth pieces (no.5: a^1 - g^1 - a^1; no.6: g flat^2 - f^2 - g flat^2); the second enrichment is found in piece 4 which begins with a flat^1 - f^1 - a flat^1.

Musgrave speculates that the 'overall tonal progression' is in some way related to the derivation of all the motivic material from a three-note scale (1994:261). As he points out, both the pattern of keys and motivic resources employed in the pieces make use of a combination of scalic material and material derived from the interversion of scalic material (emphasising the leap of a third). As may be seen on example 2, the sequence of the pieces is defined by the scalic ordering of the keys; the contrasting tonality within each piece is a third removed from the main tonality.

This thematic key relationship is made even more significant by Brahms's characteristic method of modulation in Op.118: in pieces 2, 3, 4, and 6 the contrasting key is not prepared at the surface in any conventional sense, it is either introduced by a single note common to both new and old tonalities, or by a linking pitch - it is almost as if the new key is established retrospectively by repetition and cadence on the new key after the section has begun.

There is also a pattern of thematic anticipation running throughout the set: the middle section of each of the pieces contains a significant anticipation of the opening of the subsequent number. The clearest example of this is found in example 5:

Example 5

Op. 118/2 (middle section)

Op. 118/3

The upper stave of example 5 shows the melody employed at beginning of the middle section (bar 49ff) of piece number 2, the *Intermezzo* in A major; the lower stave shows the melody of the opening of the third piece. Dotted lines show the close correspondence between the these two extracts.

Example 6 shows the relationship between the middle section (bar 41ff) of the third piece (upper stave), the *Ballade* in G minor, and the opening of the fourth piece, the *Intermezzo* in A minor (lower stave).

Example 6

Op. 118/3 (middle section)

Op. 118/4

The relationship this time is predicated on motivic similarities, but the three motivic links are very clear.

Example 7 comprises the middle section of the penultimate piece, the *Romanze*, superimposed onto the opening of the *Intermezzo* which concludes the set:

Example 7

Op.118/5 (middle section)

Op.118/6

Note that the first three notes of motive d are pitch-specific.

Example 8 demonstrates the scalic outline which forms the background of the middle section of the fourth piece (the contour illustrated on the upper stave is what might be considered to be the upper line in the right-hand part), and the way in which the same structure appears at the opening of number 5 (lower stave):

Example 8

Op.118/4 (middle section)

Op.118/5

In addition to the pitch relationship, the simple rhythmic structure of the two sections seems to relate them closely.

Example 9 shows the motivic links between the middle section of the first piece (upper stave) and the opening of the second piece:

Example 9

Op. 118/1 (middle section)

Op. 118/2

3. Formal balance and control

With the exception of the *Intermezzo* in A minor, all the pieces make use of ternary form; these formal outlines allow one to divide the pieces into two groups. Table 2 is a summary of the formal outlines of the pieces of Op. 118:

Table 2 - Formal Summary

Piece	Title	Form
1.	*Intermezzo*	Rounded Binary with Coda (strong Sonata inflection)
2.	*Intermezzo*	Ternary A - B - A
3.	*Ballade*	Ternary A - B - A
4.	*Intermezzo*	Ternary A - B - A'
5.	*Romanze*	Ternary A - B - A'
6.	*Intermezzo*	Ternary A - B - A'

In general, the reprise in the second trio of pieces encompasses more development than those in the first trio.

Example 10

12

Op.118 1

Example 11

3.

Op.118 6

Example 13

Op.118/1

Op.118 6

Example 12

1.

Op.118/1

Op.118 6

3.

etc.

4. The relationship between the *Intermezzos* in A minor and E-flat minor.

The *Intermezzos* in A minor and E-flat minor are linked in a number of ways:

1. both make use of chains of thirds: no.1 in its 'development' section (example 10); no.6 in the use of diminished harmony in the outer sections (example 11);

2. both make use of the tritone; no.1 notably in its opening theme (between b flat^1 and e^1) no.6 as a consequence of the the diminished harmony. (It is interesting to note that the pattern of keys used in Op.118 descends from A to E flat, a tritone). This is shown in example 12

3. the A-minor *Intermezzo* begins with the notes c^2 and a^1 in the melody: these notes become the primary tonalities in the piece. The E-flat-minor *Intermezzo* begins with g flat^2 and emphasises e flat^2: these are the two primary tonalities in the piece. This is demonstrated on example 13.

4. in different ways, both are very unconventional pieces, removed from the ideas encompassed by the other pieces in the set. Despite differences in style and genre, both are entitled *Intermezzo*.

Conclusion

The analytic findings strongly indicate that Brahms's Op.118 must be considered as a further example of the multi-piece type. From the musical evidence presented above, the interrelationship of the pieces corresponds with the previously-recognised attributes of the type. The recognition and coinage of the multi-piece model are significant for two reasons: first, they provide a method for the confirmation of the widely-held view that Brahms's control of inter-movement relationships was as strong as his control of relationships within movements; and secondly, they further bolster the multi-piece type, adding to the growing weight of evidence that Dunsby's coinage is a significant step forward in our understanding of the various types of intra-movement coherence that musical works may display.[5]

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[5] It is hoped that other authors will adopt the multi-piece concept in their investigation of multi-movement works. Fruitful lines of enquiry might include the relationship of 'Sphinxes' in Schumann's *Carnival* to and within the whole, Beethoven's Opp.33 and 133 Bagatelles, Chopin's Preludes and Etudes, and multi-movement works of the early twentieth century.

CONSPECTUS:
STRUCTURE AND IDENTITY
IN BRAHMS'S LATE PIANO MUSIC

This thesis has addressed questions of structure and identity in Brahms's late piano music, particularly attempting to explain the impression of unity which is experienced when listening to, playing, or analysing these piece. A new interpretation of Schoenberg's concept of the <u>Grundgestalt</u> provided the impetus for an in-depth analytical re-examination of the pieces. The striking conclusion of this was that the structure of each movement was, in differing ways and to differing extents, derived from its own single pitch contour; a factor common to all was that the individual contours were demonstrated to be contained within and to mediate between the pieces' foreground and middleground structures. This might be considered to be an enrichment both of our previous understanding of Schoenberg's <u>Grundgestalt</u>, and of our insight into the identity of the Brahms works.

The analytic findings yielded the observation that variants of a single <u>Grundgestalt</u> could be used in the explanation of all the pieces in the *Klavierstücke* Op.118. This led to an exploration of Dunsby's concept of the multi-piece, a generic structural notion, and its analytic deployment in Op.118. It was discovered that there is an impressive degree of <u>Grundgestalt</u>-inspired patterning and control in the Op.118 multi-piece, and that this revealed coherence and continuity is essential to a full understanding of both the individual pieces and the set which together they form.

The findings of these two investigations, and the concomitant development of pre-extant analytic techniques and concepts, constitute a significant enrichment of our understanding of the structure and identity of Brahms's late piano music, and suggest several avenues of enquiry for future work. However, they are not,

in themselves, sufficient completely to explain the impression of unity which was the starting-point of this enquiry.

The multi-piece concept and the analysis of Op.118 raise questions about the epistemological identity of the contour which comprises the Grundgestalt in this method. Whilst it is clear that an analyst may employ the Grundgestalt as a significant tool in an investigation of the hierarchical structure of the individual pieces, how and in what ways might a Grundgestalt be carried between pieces, thence to embody and inform, chameleon-like, different structures in subsequent 'divisions' of the multi-piece? How is our perception of the Grundgestalt itself then affected by this re-cycling; do we, in retrospect, re-interpret the former structure or structures as being more open-ended, less complete, as a result? These questions direct the impetus of the enquiry towards regions of cognition and perception, more directly connected with the performance (either literally, or in a more Structuralist sense) and reception of the pieces.

Furthermore, the practical Grundgestalt method cannot answer more general questions about the identity and meaning of, nor about the listener's response to Brahms's late pieces, and the possible relationship of these pieces with their musical context (chiefly other works by Brahms and those of his contemporaries). An essential part of the strong identity exhibited by these works is the way they refer, or seem to refer to other works (often, though not exclusively, works by Brahms himself in the same genre). It is widely understood (but seldom expressed) that a web of interrelationships with other works is essential to the identity and characteristic strength of Brahms's late piano works as a whole: the most obvious such interrelationships are sometimes discussed (modelling and quotation are clear examples of these),[1] but the more subtle of them are elusive to the point of intangibility - whether they underpin

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[1] Rosen (1981) explores issues of modelling; Pascall (1983) unfolds the relationship between Brahms's music and that of Schubert; and Musgrave (1987) considers Brahms's technique of self-quotation, particularly of songs in the instrumental music.

the listener's impression of musical coherence at a subliminal level, rather in the manner of middleground voice-leading, or whether they are motivic in a more conventional, if remote, sense.[2]

Possible examples of such Grundgestalten, those endowed with both motivic significance at the aurally-impacting foreground, but which also exert power over local-level harmony and larger-scale tonal progressions at the middleground, might be sought, for instance in the 'Sphinxes' from Schumann's *Carnival*, and perhaps in Deryck Cooke's identification of subthematic ideas in the late quartets of Beethoven.[3] However, the value of such examples would clearly depend on the musical sensitivity displayed by those choosing to adopt this proposed methodology.

For the present, other avenues will be opened up for the exploration of ways in which the scope of musical signification might usefully be extended. The thesis therefore, ends with a corollary, outlining a possible method for the investigation of relationships outside and beyond the conventional musical limits of self-contained of movements and works. This 'postlude', a necessarily open-ended proposal for a new line of enquiry, seeks further to enrich our understanding of the identity of Brahms's late piano music by introducing additional means and modalities, new to musicology, to their investigation. It seeks to suggest a pluralist route towards a fuller understanding of the perception of unity in the pieces than would be possible with the more technically-circumscribed methods previously employed.

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[2] Of these, every Brahmsian has their favourites: I am indebted to Jonathan Dunsby for pointing out to me that the first bar of Brahms A-major Violin Sonata is anticipated (at pitch and register) in the second half of bar 49 of Chopin's Etude Op.10 no.6.

[3] see pages 86 -8 for a discussion of Cooke's work.

POSTLUDE:
INTERTEXTUALITY, MUSICOLOGY,
AND THE MUSIC OF BRAHMS

Introduction

There is a strange dichotomy in the project of introducing structuralist thinking into the consideration of music: at the same time it is both rewarding and potentially fatal. Despite its lack of a coherent aesthetic standpoint, and its employment of traditional and often ambiguous terminology (Street 1989), a conventional analysis, in whatever guise, is able to point out perceptible and often audible relationships within the music. An analysis concerned with structuralist modes of argument often relegates the discovery of facts or the realities of musical structure into a role peripheral to the explanatory strategy. Another common problem with such work is its focus on the assumed antecedents of the music rather than upon the score as we have it. At the same time, however, the inflexibility of the structuralist manifesto is able to challenge our analytical conventions, and to provide the impetus for a re-examination of individual pieces and of relationships between pieces, between genres, and between composers. It is the demonstration of the change in our perceptions enabled by the theory of Intertextuality that is the purpose of this chapter; and specifically the employment of Intertextuality not as a system or a technical discipline, but as a tool capable of informing and enriching music analysis.

The chapter will begin with an attempt to provide a definition of Intertextuality, followed by an exploration of the origins of the theory. The main body of work is a twofold appropriation of the theory in the exploration of music: first, a general discussion of its efficacy and examples of its use; and secondly, a musical deployment of Genette's theories of *Transtextuality*.

Definitions

The term Intertextuality was coined in 1966 by Julia Kristeva: it denotes the 'interdependence of literary texts, and the interdependence of any one literary text with all those that have gone before it' (Cuddon 1982:454); this is brought about by what Kristeva described as the 'transposition of one (or several) sign-systems(s) into another' (1986:111). Intertextuality holds that the single text is not an isolated or closed phenomenon, but is built on a web of quotations, allusions, and appropriated fragments:

> If one grants that every signifying practice is a field of transpositions of various signifying systems (an intertextuality), one then understands that its 'place' of enunciation and its denoted object are never single, complete and identical to themselves, but always plural, shattered, capable of being tabulated. (Kristeva 1986:111)

This profoundly alters the mechanism by which meaning is generated in a given text, implying that the identity of the text stems primarily from its relationships with other works:

> We should now know that the text is not a line of words releasing a single 'theological' meaning (the 'message' of an Author-God) but a multi-dimensional space in which a variety of writings, none of them original, blend and clash. The text is a tissue of quotations drawn from the innumerable centres of culture. (Barthes 1977:146)

The implications of this for our conventional understanding of knowledge are tremendous. No longer are books taken to be organic wholes, complete and sufficient in themselves, gifts from the master to the pupil. Barthes describes this as the way of the *lisable* ('readerly') text, in which the reader is required to be a passive supplicant (Barthes 1986). They are instead *scriptible* ('writerly'), requiring collusion between author and recipient to generate meaning. The text is seen as a contract (some would say that the text has no real existence until it is read), which requires and is realised as a performance between author and writer: it is a single point of intersection within the knowledge field created by

all texts and modes of understanding; meaning is produced by the always-new collision of old texts and future texts:

> there is one place where this multiplicity is focussed and that place is the reader, not, as was hitherto said, the author. The reader is the space on which all the quotations that make up a writing are inscribed ... A text's unity lies not in its origin, but in its destination. (Barthes 1977:148)[1]

The reader is not only the most important figure in the process, but is also the repository of the knowledge required to realise the text.

The justification of Intertextuality is twofold: firstly, that the artist engaged in the act of creation is almost invariably an avid consumer of pre-extant texts - behind everything that he produces is the unspoken awareness of those other texts; secondly, that the individual text is accessed using the knowledge resources of the human intellect - this facilitates the perception both of the Intertextual references and quotations made at the time of creation, and of those allusions which have developed subsequently (the sign-system which T.S. Eliot, for example, derives from Shakespeare, but also the sign-system which Shakespeare derives from T.S. Eliot!) (summary of Still and Worton 1990: 1-2). Roland Barthes acknowledges this duality in *Writing Degree Zero*:

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[1] For a writer who has done as much as any to encourage the celebration of heterogeneity, the presence of the word 'unity' in the last sentence is disturbing. Moreover, it seems to be being used as a way of expressing an inherent quality and worth. It seems that the impulse to unity is not only fundamental to the process of interpretation, but also that it in no way contradicts the findings of structuralism - in an overtly 'writerly' text the reader, empowered by the findings of structuralism, is compelled to seek the property of unity, just as in his hands is the power to bestow the epithet 'literary' on the most abstruse and self-avowedly 'difficult' texts.

Paul de Man calls the search for organic unity 'the intent at totality of the interpretative process' (in *Blindness and Insight: Essays in the Rhetoric of Contemporary Criticism* (Oxford 1971) 31). Jonathan Culler, a formidable figure in the dissemination of Structuralist principles discusses this:

> However, the critical writings that most vigorously proclaim their celebration of heterogeneity are likely to reveal, under exegetical scrutiny, their reliance on notions of organic unity which are not easy to banish. Deconstruction leads not to a brave new world in which unity never figures but to the identification of unity as a problematical figure.' (Culler 1983:200)

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at the very moment when general History proposes - or imposes - new problematics of the literary language, writing still remains full of the recollection of previous usage, for language is never innocent: words have a second-order memory which mysteriously persists in the midst of new meanings ... A stubborn after-image, which comes from all the previous modes of writing and even from the past of my own, drowns the sound of my present words (Barthes 1993: 36-7)

An Intertextual reference is clearly not at all the same thing as an influence; indeed, Kristeva notes that, 'this term [Intertextuality] has often been understood in the banal sense of "study of sources"'(1986:111). Although an influence upon a writer may be included as an Intertextual source for a text, and may be recognised by the reader of that text, Intertextuality transcends the creation history of a work and allows for an understanding of the way in which the work is received. The strength found in this is that Intertextuality may be used as a powerful tool for the interpretation of both the creation and the reception of an artifact; the weakness that, unlike the hypothesis of influence, it cannot be proved incorrect by historical investigation. As Barthes implied in the earlier quotation, it may be used as a way of ensuring that historical enquiry is more concerned with the nature of individual works of art than with what are seen to be broader historical "progressions" or "communities" - the history of the text is contained within the text, and within the mental resources of the receiver. Of course, it is possible to adduce historical fact in order to buttress the Intertextual argument, but history is not a prerequisite.

Origins of the Theory

Since the Ancient Greeks, thinkers have attempted to account for relationships between text and reader, and for the way in which newly-created texts make use of previously extant or disseminated material. However, the theoretical roots of Intertextuality are to be found in the work of the Russian formalists, especially that of Mikhail Bakhtin. Bakhtin's theory of language posits two forms of literary discourse: the monologic and the dialogic. In what Bakhtin describes as a heterogeneous language, writers may select from diverse coexisting strands of meaning, and may chose to privilege one or several of these 'voices' according to their needs. Bakhtin describes two antithetical forms of literature: the monologic text, in which a single position is articulated; and the dialogic, in which the author releases conflicting 'voices' into the containment of his text, prejudicing neither for nor against in a polyphonic carnival. He admires the work of dialogic authors for the linguistic freedom and multifarious opinion expressed as part of the discourse. Bakhtin identifies Dostoevsky as a clear example of a dialogic author, praising him for:

> a plurality of independent and un-merged voices and consciousness, a genuine polyphony of fully valid voices (Bakhtin 1975, tr. in Cuddon (1982:239))

Tolstoy is placed at the opposite pole, the language used and the view of the characters a thinly-disguised expression of the author's own.

Bakhtin's later work must be seen against the harsh realities of the Soviet system. In *The Dialogic Imagination* (1981) he puts forward three possible views of language: (1) a 'monoglot' view in which a single language and a corresponding-straightforward set of values pertains; (2) a polyglot view in which many different languages coexist; and (3) a heteroglot interpretation that posits many different collections of meaning within a single language. This latter was Bakhtin's favoured view, and should be understood within the context of tending the intellectual life of a totalitarian nation - multiple meanings and ironic intention would have been the everyday currency for the author.

The early exponents of Intertextuality drew heavily on Bakhtin's work, the structuralist reorientation merely requiring them to bring their own techniques to bear on it:

> polysemy can also be seen as the result of a semiotic polyvalence - an adherence to different sign-systems (Kristeva 1986:111)

Gérard Genette, writing in 1964, expresses his respect for the formalists in the way that they inspired a re-vivification of his discipline:

> Literature had long enough been regarded as a message without a code for it become necessary to regard it for a time as a code without a message (in Lodge 1992:62)

In particular, the structuralists applauded the way in which Bakhtin's theories undermine the power and value of the author. Bakhtin singles out for particular praise those authors whose novels are allowed to become vessels for a polyphonic multiplicity of ideas, language-sets, and values.

What makes Bakhtin so interesting in the musical appropriation of structuralist thought is the way he explicitly makes use of musical terminology. His appropriation of the notion of polyphony (as dialogism) celebrates the possibility of a multivalent 'carnival', undermining the single, unquestioned identity of a text with burlesque, satire, and unlikely juxtaposition. For Bakhtin, the polyphonic text is a liberating influence, at once supporting and undermining the author's command, and single unopposed authorities of all kinds. Although very different from the musical meaning of polyphony, the technique leads to a metaphorical approach of great power and significance. Of particular interest are the links between Bakhtin's approach, and the music of Shostakovich. Michael Green describes the link clearly:

> In both, ambiguous and qualified presentations of official thinking are cut across by huge, almost uncontrolled variety of other voices, often sardonic and ironic, in a 'victory' over .... dogmatism. (in Payne 1997:43)

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Mahler's symphonic juxtaposition of the everyday and the sublime would make a convincing case for Bakhtinian analysis - elements of literal as well as structuralist carnival are rather obvious in this music. But Brahms and Bruckner, in the different was they manipulate meaning and allusion in their symphonies, might equally benefit from such an investigation.2

Previous Musical Appropriations of Intertextuality

The current literature on the use of Intertextuality in music has been seriously weakened by an inability to distinguish between Intertextuality and influence. In an ambitious and thought-provoking article, Kevin Korsyn attempted to build what he described as a new theory of Intertextuality in music, and to introduce the possibility of viewing pieces as "'relational events' rather than as 'closed and static entities'". Korsyn rather loses sight of this ambitious project in his analysis of Chopin's *Berceuse* Op.57 and Brahms's *Romanze* Op.118 no.5 since he fails to make a clear distinction between Bloomian aesthetic theory and Intertextuality.

Harold Bloom first posited this theory of influence in his book, *The Anxiety of Influence*. Bloom considers the emergence of each new generation of what he calls "strong poets", to be as the result of a kind of epic battle with their precursors. In an adaptation of Freud's Oedipus complex, he describes the relationship between a poet and his predecessors as being analogous with that between father and son - he suggests that the act of escaping from the clutches of his influence is the decisive point in the development of a poet, where he achieves his "rebirth into poetic incarnation". Bloomian aesthetic theory has itself been a strong precursor to scholars working in several disciplines; in music, writers as diverse and as eminent as Richard Taruskin and George Bozarth have spilt considerable ink on the subject.

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2 Bruckner's 'Wagner' symphony (no.3), for example, makes explicit reference to the waltz (originally a highly-vulgar form) and the Ländler, as well as music and conventions closely linked with the church.

Although there are clear similarities between Bloom's work and the theory of Intertextuality, the differences are of far greater significance: (1) Bloom's "Anxiety" functions in time, whereas Intertextuality is not constrained by temporal considerations; (2) Bloom's theory suggests that influence functions between individuals - Intertextuality proposes interchange not only between Individuals, but also between aspects of their work and the work of others; (3) Bloom is concerned with the development of poets where Intertextuality describes the interrelationships which may be said to exist within and without their works; (4) Bloom considers influence to be an unconscious psychological phenomenon - Intertextual relationships may be considered by the critic to have been created by either conscious or unconscious processes in the composer, depending upon the nature of the relationship, and the historical evidence which may or may not link the sign systems. The listeners' perception of an Intertextual association would seem to be either conscious or unconscious, but its embracing always involves a conscious appraisal of the related textual constructs.

The Musical Application of the Theory of Intertextuality

As I have suggested, the theory of Intertextuality has potential as a tool both in the analytical and in the historical consideration of music: it forces history to take on a more specifically analytical insight; and it suggests ways of enriching analysis with historical (contextual) discrimination. As with any tool, from Schenker onwards, its application must derive from the musical substance, and not be taken on as a dogmatic system which illuminates little but the imaginative deficiencies of its user. The following are brief, and by no means exhaustive, suggestions for the application of Intertextuality in music, based on an adaptation of the tripartite division of linguistic experience suggested by Molino (1975:47):

POIETIC LEVEL INTERTEXTUALITY

This is the aspect of Intertextuality with the soundest basis in history: it consists of what music the composer was aware of, and how it is possible that the structural, motivic, or gestural processes of one composition may be indebted to the piece or part of a piece which it has 'absorbed' (a Genetic Intertextuality). In practice it is quite difficult to differentiate between reception (the listener's perception or detection of an influence) and creation (the composer's use of a precursor). Taruskin suggests that the denial of a manifest influence (in Bloomian terms) represents the strongest evidence for its existence, adducing Stravinsky's use of folk-melodies in *The Rite of Spring* as an example[3]; perhaps this might be used as a test of Intertextual integrity at the Poietic level - Brahms's statement that all he learnt from Schumann was Chess might be a further example.

Despite its problems, this might be the most fruitful area of enquiry, because it allows the description of relationships which may be sensed by the listener to be in the music, but hard to demonstrate using orthodox analytical methods. At the end of this postlude, the relationship between Brahms's early and late piano music will be examined using this level of Intertextuality.

A second study of the Poietic level of Intertextuality might function on a somewhat smaller scale. Rosen suggests that:

> the final appearance of the tonic chord in many works of Strauss, Reger and others sounded like a polite bow in the direction of academic theory; the rest of music has often proceeded as if it made no difference with what triad it ended. (1976:)

If one accepts this view, then the relationship between between the sign-systems employed on the last chord of the piece and those invoked by the preceding musical structure is suitable one for an Intertextual consideration. An

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3 See Taruskin : "Russian Folk Melodies in the Rite of Spring" (*J.A.M.S.* 33, 1980) pp.501-544. It is possible that the composer renounces the relationships identified in this article because they do not exist! The relationship between source and final result in this article is certainly very tenuous.

example of a final chord whose spacing is intrinsic to the motivic structure of the piece, and thus not subject to Intertextual relationships in itself, is found in Brahms's *Intermezzo* Op.119 no.1;[4] a closing section possibly extrinsic to the musical structure, because of the change of mode, is comprised by the final chords of the *Rhapsody* Op.119 no.4 - this expands upon the sign-system of the piece, and thus, might be a possible subject for an Intertextual investigation. Such a study would have to consider references both to the preceding musical structure, and to other compositions. A similar principle might apply to movements and pieces which begin and end in different keys, such as Brahms's *Intermezzo* from the F minor Sonata (Op.5), and the Piano Trio Op.8.

There are two subdivisions of this Poietic level: the subconscious, and the conscious. When an Intertextual commonality is detected, it is necessary to ask whether the composer was aware of the relationship he has created, or whether the similarity between two compositions is a product of a subconscious memory of the earlier music. An example of conscious Poietic Intertextuality might be the incorporation of traditional or folk melodies into a larger musical structure (as in Brahms's *Academic Festival Overture*, and the slow movements of the three early sonatas, or the "Dresden Amen" in *Parsifal*).

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[4] By its spacing, the chord emphasises both the primary motivic concern of the piece (the third), and the pitches F sharp and D which are found in the melody at the beginning of each structural section in the piece, down to the phrase level.

Although necessarily subjective in orientation and perspective, the Esthesic level of Intertextuality is as fulfilling as the Poietic: a relationship grasped by the receiver may reveal the subconscious motivation of a composer, but, more importantly, may act as a spur to rewarding analytical enquiry. Perceived similarities may be revealing as to the style or Ideolect[5] of a composer; Roland Barthes suggests that "The 'style' of a writer, ... is always pervaded by certain verbal patterns coming from tradition, that is, from the community" (Barthes 1979: 21); the relationship between the Ideolects belonging to different composers, and the "community" from which they draw is another possible investigation (this has been described as *Rhetorical* Intertextuality).

The relationship between Brahms's Violin Concerto and his First Violin Sonata is an example of this: as listeners, we perceive a similarity between motives and contours employed in both; Intertextuality gives us a tool for their investigation.

Other possible relationships which might be illuminated by Intertextuality are those surrounding cross-genre works, where our perception of the form of one piece might be informed by our knowledge of another: examples include the relationship between the symphony and the oratorio (exemplified by Mendelssohn's Second Symphony ("Hymn of Praise")), and the relationship between the song-cycle and the symphony (exemplified by Mahler's song-cycle/symphony *Das Lied von der Erde*).

A final possibility is the consideration of the reception history of a seminal work (such as *Tristan* or Beethoven's Ninth Symphony): this could examine the changing Intertextual "field" in which it exists - the way each generation reinterprets the work in relationship to its own music (for example, *Tristan* and *Hänsel und Gretel*, and *Tristan* and *Licht*).

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5 "The language inasmuch as it is spoken by a single individual" (A. Martinet: *A functional view of language* (Oxford 1962)

NEUTRAL LEVEL INTERTEXTUALITY

Although neutral-level music analysis is a notoriously difficult problem - how can you interpret music as experienced without allowing your emotions or your knowledge to interfere? - Neutral Level Intertextuality has potential, especially in the consideration of musical models. Rosen identifies the finale of Beethoven's C minor concerto as a model for the finale of Brahms's D minor concerto (1981): again this form of Intertextual enquiry should be supported by history.[6] Other possible instances of modelling include the Grieg Piano concerto (modelled on the Schumann), and the "pastoral" strain shared by Berlioz's *Symphonie Fantastique* and Beethoven's sixth symphony. Modelling is a vast field, especially when one considers the models which are based on genre (the orchestral song) or perceived emotional content (*Tristan* and Expressionism).

Two further instances of Intertextuality serve to amplify this type of relationship. The first is Brahms's use of the Chorale-Prelude genre at the end of his life (in Op.122): this association between Brahms and Bach exists at the neutral level - Brahms took on the genre, the form, and some of the musical procedures employed by Bach, but the musical substance of Op.122 is entirely that of Brahms's late compositional mode. Bach was a profound influence upon him, but by the end of his life, Brahms had completely integrated Bachian traits into his own musical style. The second example is the relationship between Bach's D minor Chaconne for solo violin (which Brahms arranged for piano left-hand) and last movement of Brahms's Fourth Symphony. On the neutral level, Brahms derives the grouping of the variations, the central major-key section which relaxes the tension, and the return to the opening from the Bach - again the inheritance consists of concepts and ideas for musical organisation,

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6 "Among other things, it was in order to help me acquire a reliable sense of the unified character of the modulation that Brahms had me imitate in my own compositions the modulations from Adagio movements of Mozart and Beethoven. 'If Beethoven goes from C major to E major, you do the same; that is how I used to do it myself'" (Gustav Jenner (tr. Susan Gillespie) "Brahms as Man Teacher, and Artist" in Walter Frisch: *Brahms and His World* (Princeton 1990))

not of actual musical substance[7] .

Musical Implementation of Genette's Theories of Intertextuality

The final section of this paper will test the utility of Intertextuality in the study of music. It takes one of the most generally-accepted techniques of Intertextual literary analysis[8] and sees how far they may be applied in the study of music (what Lévi-Strauss would probably call a *bricolage*[9]).

Gérard Genette first contributions on Intertextuality come in his *Introduction à l'architexte* (1979).[10] In this, he proposes that the study of literature should reject conventional study of the text itself, and concentrates the text's relationship with the *architext*. He defines this as the accepted truths of previous literature, including such attributes as theme, genre, and narrative

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[7] The derivation of the passacaglia theme of Brahms's fourth movement from Bach's Cantata BWV150 is an example of both Poietic level and Esthesic level Intertextuality: The Poietic level may be used to demonstrate Brahms's incorporation of the theme; the Esthesic level can demonstrate the changes in our perception of the later piece which knowledge of this relationship brings about.

[8] As well as the detailed work by Genette, Michael Riffaterre has written extensively on *Intertextuality*. He describes the *Intertext* as:

> one or more texts which the reader must know in order to understand a work of literature in terms of its overall significance (as opposed to the discrete meanings of its successive words, phrases, and sentences) (Riffaterre in Still and Worton 1982:56).

His interest has most recently been in exploring what he describes as 'Compulsory Reader Response' (Riffaterre in Still and Worton 1982:56-79). The 'Compulsory' element is the way,

> 'when it activates or mobilises the Intertext, the text leaves little leeway to readers and controls closely their response' (57)'

His definitions of Intertextual transposition acknowledge and run in parallel with those of Genette. He defines two types of Intertextuality, the *Aleatory* and the *Obligatory*. The *Obligatory* trope consists of the texts which the author assumes that the reader will know; these texts are necessary to the understanding of the text, and lack of them will lead to an unsatisfactory 'performance' of the text. Riffaterre refers to this body of knowledge as the 'hypogram', which forms a background against which the work should be understood. The *Aleatory Intertext* is the group of texts which the reader brings to his understanding of the text - it is beyond the control of the author.

[9] Claude Lévi-Strauss: *The Elementary Structures of Kinship* (London 1969) 2-4

[10] A concise and more detailed commentary on Genette's theories is found in Still and Worton (1993) pp. 22-3; other aspects of his work, and particularly his contributions to Narratology are explored by Paul Innes in Payne (1997) p.220

conventions.11 Genette's understanding of the *architext* is clearly based upon his work in Narratology, both in its reliance upon narrative conventions and its interest in polyphonic identities within any one text. He discusses Kristeva, and finds her Intertextuality a limited and limiting term: his reading of Kristeva's work suggests that her method only satisfactorily accounts for literal transposition between works, not the co-presence of more abstract relationships. Genette proposes *Transtextuality* (or textural transcendence) as an alternative. In this he includes both implicit and explicit links between texts. This is unfortunate, as most commentators endow Kristeva's Intertextuality with exactly the same values as Genette's *Transtextuality*.

Genette's other innovations are of much more significance. To his straightforward interpretation of the Kristevan Intertextuality, and under the umbrella definition of *Transtextuality*, he adds three new theoretic constructs: *architextuality*, *metatextuality*, and *paratextuality*: *Architextuality*, refers to transposition of aspects of the *architext*; *metatextuality* to the relationship between the text and subsequent objects, such as commentaries and analyses, which add to meaning-system surrounding the text; *paratextuality* is a way of accounting for the transposition between the original text and subsequent parodies and pastiches. *Paratextuality* is here given only a provisional definition; its meaning changes in response to Genette's later theory of *hypertextuality*.

Genette's second significant contribution to Intertextuality is found in his *Palimpsestes* (1982). This, his self-avowed 'last word' in the field, comments

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11 In this way Intertextuality is related to the Structuralist method of Naturalisation (or *vraisemblance*). Culler defines this as the way a text is related to and may interact with society (1997:131-60). He gives five forms of Naturalisation: (1) the Naturalisation of the everyday, by which certain attributes are accepted without question (men may think and love without the novel defining or justifying those emotions); (2) Naturalisation of cultural stereotypes (the specifically-accepted attributes of, say, accountants as opposed to musicologists); (3) Naturalisation of genre (what is expected of a 'hero' in a novel by Saul Bellow as opposed to a hero in a book by Dick Francis); (4) the conventionally natural (what is commonly acceptable in a novel whether or not it has a societal analogue); and (5) 'the complex *vraisemblance* of specific intertextualties, where one work takes another as its basis or point of departure and must be assimilated in relation to it' (1997:140). This last category includes parodies and pastiches, texts whose meaning must be understood in relation with their precursors.

upon his earlier definitions of *Transtextuality*, and makes significant new claims. Before we unpack these new definitions, it is important to make two points about Genette's method: first, that he does not take his coinages too seriously. Apart from creating an engaging narrative style, his aim is to undermine some of the more pretentious and self-regarding contributions to structuralist and post-structuralist debate. Secondly, he acknowledges the importance of the reader-figure in the discourse. Although he believes that his categories may have a wider significance, he believes that his work only has true worth only if it is defined afresh by each 'reader' who appropriates it (Genette 1982:7,11).

Genette's five categories are introduced below, and assessed for their utility in the understanding of musical inter-relationship:

(1) Kristevan *Intertextuality*

As before, this misprision of Kristeva's work encompasses only the direct appearance of one work in another, either by direct quotation, allusion, or pure chance.[12] This is the most direct of Genette's categories, implying a singular transposition of an element or elements from one work to another.

The adoption of this principle in music is, at first sight, straightforward. Numerous works, particular those of a modernist bent, contain direct quotations or allusion: one of the most moving is the quotation of the Funeral March from *Eroica* at the end of Richard Strauss' *Metamorphosen*. In Brahms, the process is rarely as blatant - although the student song Gaudeamus Igitur finds its way into the *Academic Festival* Overture.[13] More common is the trope of allusion, by which the main theme of the last movement of Brahms's First Symphony was seized upon by early critics as an allusion to the last-movement theme of Beethoven's Ninth. The Passacaglia movement of Brahms's Fourth Symphony is based upon a quotation from Bach's Cantata number 150.

These might seem to be somewhat simplistic observations, more-than-adequately explained by conventional notions of influence. However, Genette's model allows us to go much further in our exploration of the relationship

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[12] One of the most interesting studies of this could be the Jeeves and Wooster novels by P.G. Wodehouse - the Wodehousian carnival is something which has not yet been fully appreciated. There are two main Intertextual methods employed: direct Kristevan Intertextuality is used to denote Jeeves' all-encompassing intellect:

> 'What Indian?'
> 'The base one my governess used to make me read about, the poor simp, whose hand ... How does it go, Jeeves?'
> 'Threw a pearl away richer than all his tribe, miss.'
> (*Stiff Upper Lip, Jeeves* 1978:145)

Jeeves' answer is a quotation from *Othello* (Act Vii). The second Intertextuality is used to build Wooster's character (a buffoon with an expensive education):

> I'm not absolutely certain of my facts, but I rather fancy it's Shakespeare - or, if not, it's some equally brainy bird - who say that it's always just when a fellow is feeling particularly braced with things in general that Fate sneaks up behind him with the bit of lead piping. (*Carry On Jeeves* 1980:51)

[13] Brahms himself remarked that the overture is a 'merry potpourri of student songs à la Suppé' (Musgrave 1994:230). Musgrave suggests that the work take on the form of Suppé's overture *Flotte Bursche*.

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between the works. They, not only, allow us to explore the way in which our knowledge of the later work conditions our understanding of the former (the experienced 'reader' the site of intersection between modes of understanding and not at all governed by chronology), but also to allow the web of allusion to spread widely. The results of such an enquiry might take the relationship posited between Beethoven's last Symphony and Brahms's first, and expand it to include Beethoven's *Choral Fantasy* (which contains an earlier version of the theme). The *Choral Fantasy*, a four-movements-in-one structure, leads us to the consideration of the interrelationships between the movements in Brahms's Symphonies, and to the extraordinary culmination of motivic resources which drives the Third Symphony to its close (Frisch 1996:113-4).

The second type of relationship explored by Genette's first category is that within groups of work. It is relatively more unusual for novels (the preferred study of the structuralists) to be collected in groups, let alone groups that become unities beyond the properties of their constituent parts. Ann Jefferson states that:

> so far as I know, there doesn't exist a term to describe the relationship between one text and another within a corpus (and more particularly between those texts which fall within the same generic category). (in Still and Worton 1993:110)

To rectify this perceived absence in terminology, Jefferson posits '*sister-text*' to describe the relationship between novel and novel' (111). Apart from being ugly and dated, 'sister-text' is based on a misunderstanding of the structuralist basics: for an appropriation any form of Intertextuality, every text is equal before it is energised by the attention of a reader. This is irrespective of genre, chronology, authorship, or quality - Intertextuality is a vital and exciting tool for explaining the reader's perception of similarities between and within groups of novels or pieces.

Chart 1

Example 1 - Op.5ii
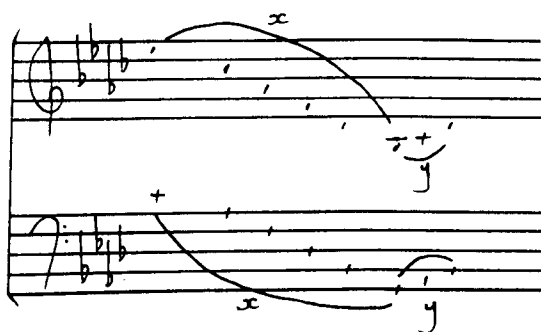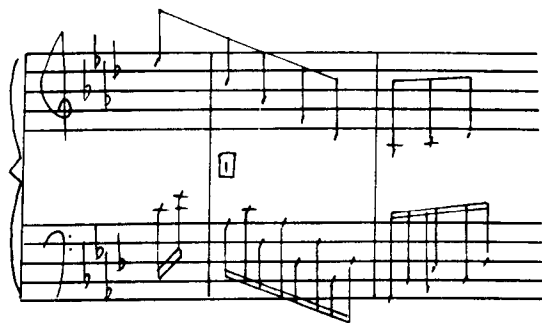
Example 2 - Op.119 no.1
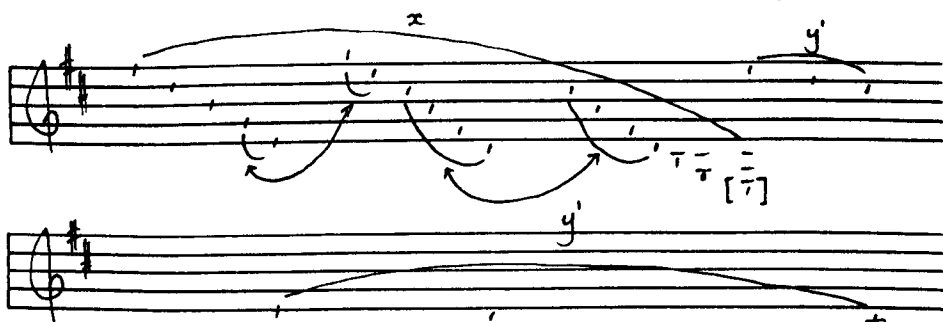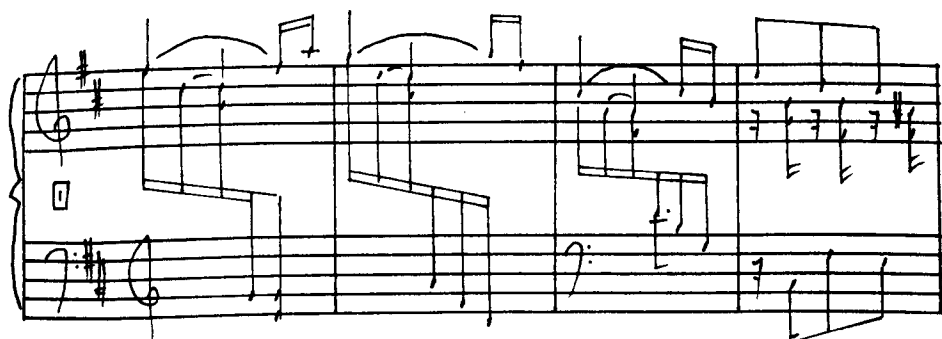
Genette's Kristevan Intertextuality is ideal for the exploration of an ideolect, and it is here briefly explored in some of Brahms's piano pieces. The starting point of this investigation is the similarity between the second movement of the early Sonata in F major (Op.5) and the Intermezzo in B minor (Op.119 no.1). Chart 1 explores this relationship.

Chart 1 illustrates the most obvious point of similarity between the pieces' musical structures, the Sign which consists of a prominent descending chain of thirds. This is found at the openings of both Op.5ii and Op.119i. The types of difference which have been found between the pieces are immediately obvious on examples 1 and 2: on both the chains of thirds are bracketed as x (repeated portions of the chain are linked with arrows). In Op.5ii, the chain lasts for a single bar, and is decorated by arpeggiation in the left hand; in Op.119i, the chain of thirds is without decoration, lasts for three bars, is extended by repetition at the beginning of the second and third bars, and contains the agglomeration of certain of its constituent parts into chords. In both pieces, the descending chains are followed by scalic motion derived from the chain of thirds. The scalic motion ascends in Op.5ii, and descends in Op.119i (on examples 1 and 2, y = ascending filled third (derived from x); y' = descending filled third).

Although it provides a remarkable and characterful opening for the Op.5ii Andante, the chain of thirds only returns in melodic form, and does not penetrate the structure to any appreciable degree. In Op.119i, however, the chains of thirds is present (either directly or by strong allusion) throughout the A and A' sections of the ternary structure. It also performs an important melodic function in the B section. In Op.119i, the thirds are probably not the fragment of music which is expanded and developed to provide the structural impetus (although the thirds are derived from this Basic-Shape), but it is a highly significant part of the music's figuration at foreground levels.

Two subsequent appearances of the chain of thirds are illustrated on examples 3 and 4:

Example 3 - Op. 5ii
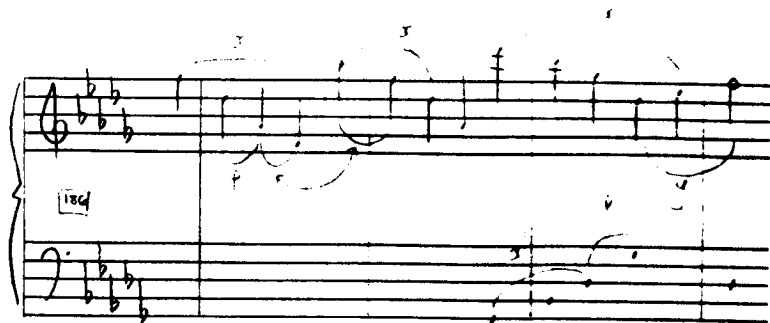
Example 4 - Op.119i

Although the functions of the two passages are different (the former is a coda, the latter a retransition), they exemplify the different ways in which the sign is used in each piece. Example 3 is taken from the D-flat coda of the Op.5 movement. It illustrates the way in which this passage relies upon the transformation of shapes found at the opening (including the use of rising chains of thirds, labelled x', and the enlargement of one of the intervals of the

chain, labelled p), and the repetition of elements within the chain (in the first pair of examples this was restricted to Op.119i). As before, the chain of the thirds is juxtaposed with y material. Example 4 presents the score and an analysis of the retransition of Op.119i. As may be seen, a single chain of descending thirds gives structure to the ascent through two octaves from F sharp to F sharp. In the same way that the musical structure of example 3 represents a more complex construction than that of example 1, so example 4 illustrates a passage of considerable complexity, developing upon the repeated portions of the chain and octave displacement of example 2. The difference between the music illustrated in examples 3 and 4 is characteristic of the differences between the two pieces: example 3 illustrates music which concedes the chain of thirds to the more important harmonic structure of the passage (using p); there are no such compromises between musical structure and the vicissitudes of the musical teleology in example 4.

Example 5 - Op.5ii

Example 6 - Op.119 no.4

Examples 5 and 6 demonstrate two passages employing techniques similar in gesture to those used in the movements currently under consideration. These, however, are taken from other movements of Op.5 and Op.119 respectively. Example 5 is taken from the opening of the "Rückblick" *Intermezzo* of Op.5. The "retrospective view" is, of course, of the second movement of the sonata whose structure of a descending chain of thirds (x) followed by scalic motion (y) is both partially obscured (by the thicker texture), and slightly altered (one intervallic link in the chain is extended from a third to a fourth in order to make the structure an arpeggio of B-flat minor - this is labelled p). A similar pitch-alteration results in the music of example 6. Although the relationship between this passage and the music of the first movement of the *Klavierstücke* remains somewhat dubious when examined by the conventional means of a music analyst, by using the ideas propagated by the theory of Intertextuality, one may relate to the score the perception of similarity between the movements which occurs when listening to the music. Thus, as Intertextuality suggests that the musical material consists of a mosaic of quotations and allusions, then the Sign predicated on descending motion (with significant use of the interval of a third), the Sign defined by scalic motion (either descending or ascending), and the Sign-System formed by their close combination, are all contained in both the first and the last movements of Op.119, and form a link between them.

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A further example of the power of this technique to link passages which exhibit such a "family resemblance", is found on examples 7 and 8. They illustrate music from the first and last movements of Brahms's Fourth Symphony, both of which employ Signs x and y from the aforementioned system. Thus, in an Intertextual interpretation, these passages are linked to the music of Op.5ii and Op.119i already considered, a relationship stronger than the one allowed by conventional analysis.

EXAMPLE 7 (Op.98i)[14]

EXAMPLE 8 (Op.98iv)

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[14] See also SI 405-6

The sign may be used to explore further Brahms's use of the chain of thirds, and the way an awareness of this sign-system conditions our response to certain of Brahms's works. Example 9 explores the use of a chain of thirds in the *Intermezzo* Op.118 no.1.

Example 9i
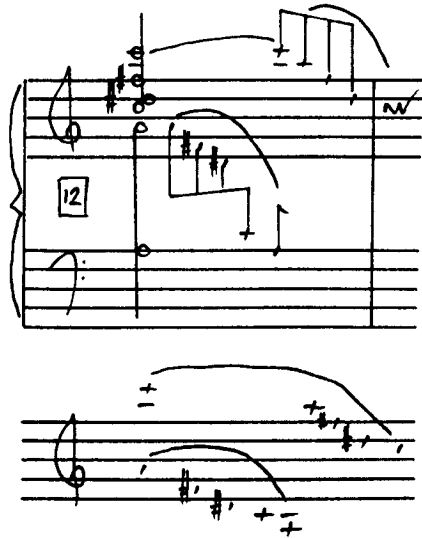
Example 9ii
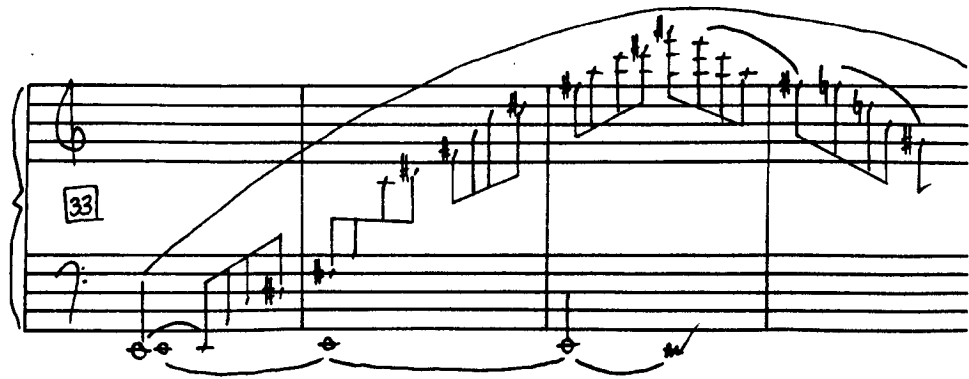
Example 9i explores the use of the sign at the beginning of the development section of the Intermezzo; example 9ii demonstrates the dramatic use of the sign at the establishment of V at bar 33.

Example 10 illustrates the use of a chain of descending thirds at the transition to the recapitulation in the Intermezzo Op.117 no.3:

Example 10
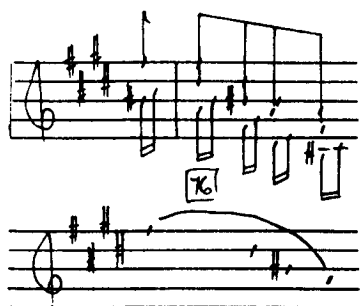
Example 11 demonstrates the way in which the chain of thirds is exploited as a highly-colouristic diminished harmony at the opening of the Intermezzo Op.118 no.6:

Example 11
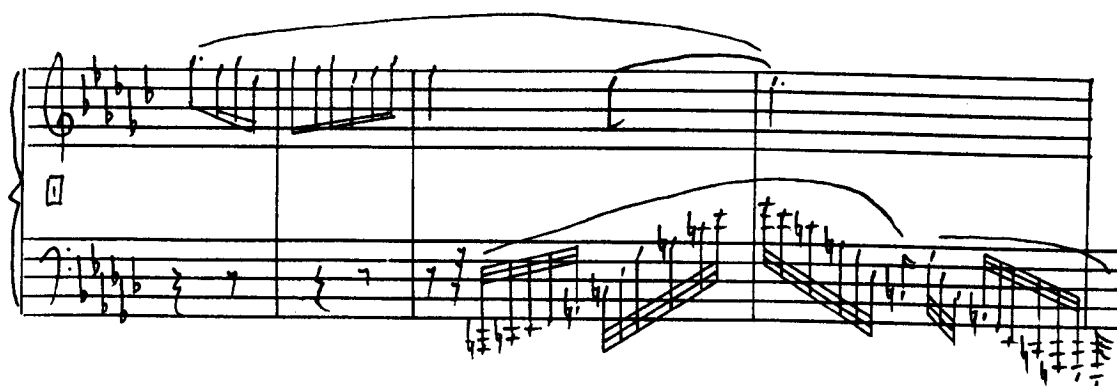
(2) *Paratextuality*

The definition of *Paratextuality* is extensively revised in *Palimpsestes*. In *Introduction à l'architexte*, *Paratextuality* was defined as the common semiotic systems which link the original text to parodies and pastiches. In *Palimpsestes*, Genette locates the *Paratextual* relationship at the intersection of the main text and material extraneous but clearly identified with it. This category explores the interrelationship of a text with its titles, dedications, epigraphs, illustrations, bibliographies, and notes - it also explores the relationship between preceding material and its final destination (and thus can include drafts an sketches). This is a valuable addition to the critical armoury, forcing the commentator to explore elements of a work which are commonly held to be of secondary importance, but which are, in fact, intrinsic to the way the work is performed by the reader.

In music, the rôle of sketches and drafts in enhancing our understanding of a work is widely-accepted. Genette's *Paratextuality* posits that the arduous historical investigation which often accompanies such studies is unnecessary - that meaning may be generated by awareness of their existence.

Other works may be shown to exist in different versions. Brahms often gave his music trial performances, and the relationship between, for instance, the two-piano arrangement of the Fourth Symphony[15] and the completed score may condition and alter our perception of the finished work. The slow movement of Brahms's First Symphony was radically revised between October 1876 and May 1877 - altering the movement from a rondo to a ternary form. This knowledge, along with a modern reconstruction adds a further level of understanding to our appreciation of the work (Pascall 1992).

The late piano music are a particularly rich source of examples of *Paratextual* interrelationship. The Intermezzo Op.117 no.1 is preceded by an epigraph:

> Schlaf sanft mein Kind, schlaf sanft und schön!
> Mich dauert's sehr, dich weinen sehn.

The association of this text with the music has inspired the large number of interpretations of the *Drei Intermezzi* as lullabies, sometimes to the detriment of understanding the more passionate moments in the works. George Bozarth has suggested that the Intermezzi may be interpreted as songs without words, and that the epigraph is Brahms's way of alerting the listener to the possibility.[16]

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[15] This was first performed at a private function in October 1885 by the composer and Ignaz Brüll - Hans Richter and Eduard Hanslick turned pages!

[16] George Bozarth: ''*Singet Wiegenlieder meinem Schmerze!*': Word and Tone in the Intermezzi, Op.117' (paper given at the International Brahms Conference, Nottingham 1997)

(3) *Metatextuality*

Metatextuality is the relationship formed at the intersection between the text and its commentaries, analyses, and histories. The Transtextual theory posits the generation of meaning through the co-operation of text and reader, and this category allows the exploration of the knowledge-store of the reader, and the way it impinges upon the text. Metatextuality prioritises the material which the reader brings to the text, rather than those levels of signification which constellate about the text.[17]

Metatextuality is a particularly valuable tool in the exploration of the way music generates meaning. There are a number of ways in which the understanding of a particular work is greatly influenced by awareness of a particular commentary. Schoenberg's essay 'Brahms the Progressive' (SI 398-442) might be said to have profoundly altered the general understanding of Brahms's music. Before the general dissemination of Schoenberg's piece, Brahms's music was stereotyped as the final flowering of the German tradition; Schoenberg's epithet 'the progressive' has profoundly altered our understanding of the ways in which Brahms expanded and developed the tradition, and the way which music of the twentieth century has drawn upon and been inspired by Brahms's achievement. Schoenberg's coinage Developing Variation might provide a focus for such a study, exploring the way Brahms's music and our understanding of it provides a filter though which we have been encouraged to view earlier musics.[18] A further appropriation of *Metatextuality* might explore the way in which the emergence of a tradition of Schoenbergian analysis (of which this thesis is a part) has altered our perceptions of Brahms's music.

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[17] In this way, Metatextuality resembles Riffaterre's *aleatory* Intertextuality (see note 8 on page 309)

[18] 'Homophonic music can be called the style of "developing variation."' (FMC 8)

Commentaries which alter our perceptions need not be so extensive. Two of the most striking descriptions of Brahms's work are very brief: the first is Clara Schumann's description of the Intermezzo Op.119 no.1:

> a grey pearl. Do you know them? They look as if they were veiled, and are very precious.[19]

The second is from Schoenberg's essay 'National Music':

> From Brahms [*I learned*]: ... 4. Economy, yet richness. (SI 174)

Once we are aware of these extracts, they condition our responses, and alter the way we respond to the music.

A final example of *Metatextuality* is Hans Keller's method for Functional Analysis. The previous examples have involved the intersection of music and language: with Keller's analyses, there exists no need for translation as both text and commentary exist in the same form. This is also closest to Genette's original intention for *Metatextuality* - linguistic commentaries altering the reader's perceptions of literary texts become musical commentaries altering the listener's (or reader's) perceptions of music texts.

(4) *Architextuality*

In *Introduction à l'architexte*, Genette defines the *Architext* as those conventions and accepted tropes which a text may be shown to draw upon to generate meaning. In this category he includes genre, themes, and conventions of structure and narrative, which combine to form an expectation horizon upon which author and reader alike may draw. In *Palimpsestes*, he refines the definition of *Architextuality* to encompass those signifying nodes which define genre, and the gestures by which genre is defined. In this later definition, Genette states that *Architextuality* is an unconscious process for the author; tacit references to genre conventions may well only be consciously realised in the

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[19] Clara Schumann's letter to Brahms of 24 June 1893 (in Berthold Litzmann (ed): *Clara Schumann - Johannes Brahms: Briefe aus den Jahren 1853-1896* (Leipzig 1927) II 516)

mind of the reader.

The classical genres in literature - epic, tragedy, lyric, comedy, and satire, to which were later added novel and short story - have their equivalents in music. Sonata, Symphony, String Quartet, and Opera, are all recognised genres in music, equally capable of meaning-generating signification as their literary counterparts. There are two problems in the musical appropriation of Genette's category: first, that musical genres are not as well-grounded in history as their literary counterparts; secondly, that one has to make a slightly-unwieldy equation between narrative conventions in literatures and diachronic structure in music.[20] However, genre is recognised and useful in the consideration of music,[21] and the appropriation of *Architextuality* can be revealing.

Of particular significance is the use of *Architextuality* in establishing a matrix of normative values against which a particular generic implementation may be measured. In her consideration of Brahms's *Intermezzo* Op.116 no.4, Camilla Cai suggests six different formal possibilities against which the piece may be measured: a Rondo defined by the textural disposition of the piece; a Rondo defined by the melodic component; a Ritornello form; two 'Abbreviated-Sonata Possibilities'; and a 'Three-Part form with Sonata Suggestions' (Cai 1986:323-42). Although these analyses are not specifically predicated upon genre, they make extensive use of generic and sub-generic classifications: Ritornello, with its Baroque connotations, Rondo, associated with the Classical Sonata form, and Sonata itself, each have their own expectation-horizons, and each would lead the listener to look for differing attributes in the music.

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[20] In literature, narrative conventions may be used to generate, and to explain what happens
[21] See Pascall (1989) for a fuller consideration of this, and also the preceding chapter on the Multi-Piece.

(5) *Hypertextuality*

Genette considers this to be his most important coinage, and devotes much of *Palimpsestes* to its exploration. *Hypertextuality* denotes the active transposition of a precursor text or texts into a subsequent text.[22] It is:

> any relationship that links a text B to a prior text A to which it is connected in a manner that is not that of commentary (Genette 1982:11-2)

The succeeding text he defines as the *Hypertext*, and the preceding the *Hypotext*. *Hypertextuality* is a conscious activity which reproduces the vital and characteristic elements of one text (or several) in another, the classic example being the relationship between *Hypotext Odyssey* and *Hypertext Ulysses*.

Reproduction and deliberate rewriting are relatively common in literature, but less so in music. The recycling of literary themes, narrative strategies, and forms may be done in a way that both recalls and exceeds the parent text, adding significantly to the value of the original; in music, because of strict formal categories, the relationship is much harder to define. However, *Hypertextuality* is a useful way of establishing the meaning of re-used materials, derived patterns, and overt models.

Perhaps the useful musical implementations of Hypertextuality are in recent Post modern collage works such as Schnittke's Third String Quartet (which remodels Beethoven's Op.130, Lassus' *Stabatmater*, and Shostakovitch's D-S-C-H motto).[23]

Brahms was acutely aware of his sources, and *Hypertextuality* may fruitfully be deployed in the understanding of his works. Brahms's appropriation of the 'Hungarian' idiom in his works could be said to be an example of this. In

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[22] Hypertextuality takes over the former attributes of *Paratextuality* (in *Introduction*), relating parodies and pastiches to their models.

[23] Although earlier composers was not beyond remodelling and recontextualising in this ironic fashion. An example of this might be the quotations in the feast in the final act of Mozart's *Don Giovanni*, in which Mozart satirises the popularity of *Figaro*.

Brahms's Op.25 Finale or the two sets of Hungarian Dances, meaning is not generated at the intersection of one work with its strong precursor, but between a work (or group of works), and a 'type' of previous music. The 'type' is generated from the combination of real folk-music, what Brahms learnt from Remenyi's pastiche folk-style, and from what was commonly held to be Hungarian music of the day.[24] But what is more interesting is the way the Brahms takes these elements and builds them into a classical rondo framework. Brahms's Op.25 is interesting for two further *Hypertextual* relationships: first, Musgrave suggests that Mozart's G minor Piano Quartet provides a 'spiritual background' for the work (1985:97); secondly, Schoenberg's re-working of Brahms's work is a clear example of a *Hypotextual* relationship, forcing many commentators to explore the symphonic aspirations of the the *Hypotext*. In Genette's terms, the relationship is 'revolutionary' (as opposed to 'imitative' (Genette 1982:448-51)) as it is 'energetically projecting pre-texts into new and different circuits of meaning and meaningfulness' (Still and Worton 1990:23).

A second example of *Hypertextuality* is the relationship between Schubert's *Impromptu* in E flat (D.899), and Brahms's *Intermezzo* in E flat (Op.119 no.4). Conventional musicology states that the Brahms movement is modelled on the Schubert: our appropriation of *Hypertextuality* holds the Brahms is the *Hypotext*, and the Schubert is the *Hypertext*.

The most striking feature of both movements is that they begin on E-flat major and end on E-flat minor. Possibly unique to these two movements, it constitutes a complete sign-system in itself. The only possible outside signifying links are to works such as Brahms Piano Trio in B, which comprises a first movement in B major and a last movement in B minor, or Mendelssohn's 'Italian' symphony.

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24 Camilla Cai: 'The Origins and Language of the Hungarian Dances' (paper given at the International Brahms Conference, Nottingham 1997)

A second signifying link is that both pieces are contained in the outline A B A with coda. The Brahms is more complex with the reprise of A so patterned as to hint at an element of symmetry.

The final signifying link is between their thematic resources. Example 12 shows the links between first themes of both pieces:

Example 12

Schubert:

Brahms:

Both fall from an initial $\hat{3}$ to $\hat{1}$.

A second signifying link is found between the B material in the Schubert and bar 21 of the Brahms; this is shown on example 13:

Example 13

Schubert:

Brahms:

This consists of a repeated tone followed by a scalic ascent.

Conclusions

The application of the theory of Intertextuality is an area with great potential for expanding the horizons of our understanding of music. Used carefully, and with sufficient regard for the achievements of previous commentators, it is part of the experiment by which musicology is bolstered by the findings of other disciplines - notably the Structuralist and Post-Structuralist movements, and music cognition. Certain aspects of Intertextuality need to be treated with some care, notably the relationship between influence and Intertextuality, but the endeavour may pay rich rewards.

Its particular strength is in relating the musicological discourse to the experience of listening - allowing the writer to explore and explain his own perceptions of music. Influence previously required historical evidence of contact between two works: Intertextuality allows that the identity of a text and its meaning is constantly changing as new relationships and nodes of meaning constellate around it.

Intertextuality also privileges performance - in literature the act of reading performance between text/author and reader. There is an additional stage in the performance of music, and here Intertextuality must combine with the findings of Cognitive Science to discover the way we attend to texts.

GENERAL CONCLUSIONS

This thesis has appropriated Schoenberg's <u>Grundgestalt</u>, Dunsby's Multi-Piece, and Kristeva's Intertextuality in an attempt to attain an enriched understanding of the structure and identity of Brahms's Opp.117, 118, and 119. The conclusions of these investigations have led from detailed findings about the integrated structure of the pieces embracing both the expressive elaborative surface and the internal construction over a longer span, through the exploration of the collective identity of groups of pieces, to the broader possibilities offered by structuralist thinking in the exploration of Brahms's ideolect, and the way we perceive and understand it.

This appropriation of the <u>Grundgestalt</u> has attempted to revivify one of Schoenberg's most extraordinary coinages. By bringing <u>Grundgestalt</u> into the constellation of both Schenkerian voice-leading progressions and Schoenbergian motivic analysis, the term has allowed powerful new insights into the intellectual and expressive structure of Brahms's late piano pieces.

Equally valuable are the possibilities offered by the Multi-Piece. The relationship between movements in a multi-movement work is something that analysis has hitherto been reluctant to explore. Dunsby's coinage has provided the impetus for new explorations of these ties, and this thesis posits Brahms's Op.118 as a new example of the type.

Finally, the musical implementation of intertextual criticism is a potentially vast field. Allowing for the first time the structuralist notion of the 'strong reader', a musical Intertextuality gives the listener a primary rôle in the interpretative process: including and enriching previous musicological insights about influence and modelling, Intertextuality reveals itself as a significant and flexible tool for the investigation of musical identity, semantics, and reception.

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ABBREVIATIONS:

FMC   *Fundamentals of Musical Composition* (London 1967) ed. Gerard Strang and Leonard Stein

LETTERS   *Arnold Schoenberg Letters* (New York 1965) ed. Erwin Stein, tr. Eithne Wilkins and Ernst Kaiser

MBC   *Models for Beginners in Composition* (London 1972) ed. Leonard Stein

MI   *The musical idea and the logic, technique, and art of its presentation* (Columbia 1995) ed. & tr. Patricia Carpenter and Severine Neff

PEC   *Preliminary Exercises in Counterpoint* (London 1964) ed. Leonard Stein

SFH   *Structural Functions of Harmony* (London 1954) ed. Gerard Strang and Leonard Stein

SI   *Style and Idea* (London 1975) tr. Leonard Stein

TH   *Theory of Harmony* (California 1978) tr. Roy Carter

ZKIF   *Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre* [*Coherence, Counterpoint, Instrumentation, Instruction in Form*] (Nebraska 1994) ed. Severine Neff, tr. Charlotte Cross and Severine Neff

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