The "Musical Idea" and Global Coherence in Schoenberg's Atonal and Serial Music*

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One topic that needs further exploration within the analysis of the atonal and serial music of Arnold Schoenberg is determining whether and in what way the details of a given piece develop organically from a basic musical element according to a coherent principle. Because he was a late nineteenth- and early twentieth-century German composer, we can expect Schoenberg to compose in a way that follows the prevailing aesthetic of his culture, according to which compositions are understood and explained as organisms. Not surprisingly, one analytic method coming out of that same culture has been used frequently for Schoenberg's atonal and serial music—I am speaking of the modified Schenkerian approach applied (with different, individual "twists") by Roy Travis, Joel Lester, Steve Larson, Fred Lerdahl and James Baker, among others.[1]

Throughout his career, Schoenberg struggled to formulate and describe his own precepts according to which a tonal composition could grow organically, and continually asserted that these

* The author thanks Jeanne Collins for her assistance with preparing this article's examples and tables.

[1] See Roy Travis, "Directed Motion in Schoenberg and Webern," *Perspectives of New Music* 4/2 (1966): 85-89; Joel Lester, "A Theory of Atonal Prolongations as Used in the Analysis of the Serenade Op. 24 by Arnold Schoenberg" (Ph.D. dissertation, Princeton University, 1970); Steve Larson, "A Tonal Model of an 'Atonal' Piece: Schoenberg's Op. 15, Number 2," *Perspectives of New Music* 25/1-2 (1987): 418-433; Fred Lerdahl, "Atonal Prolongational Structure," *Contemporary Music Review* 4 (1989): 65-88; and James Baker, "Voice-leading in Post-Tonal Music: Suggestions for Extending Schenker's Theory," *Music Analysis* 9/2 (1990): 177-200. The elements taken as backgrounds and middlegrounds in these analyses range from more conventional tonal ones (Travis, Larson) to pitch and intervallic patterns motivically or harmonically characteristic of the individual Schoenberg piece (Lester, Lerdahl, Baker).

principles should also be applicable to his atonal and serial music. He referred to his notion as the *musikalische Gedanke*, which is usually translated as "musical idea." The main purposes of my article are to survey Schoenberg's comments about and present-day music scholars' descriptions of "musical idea" as a framework for a tonal composition, and then to determine how this concept may be adapted to serve as a framework in Schoenberg's atonal and serial music (here, too, to a lesser degree, I will be building on the work of others).

We will begin with five quotations from Schoenberg pertaining to different aspects of "musical idea."

In its most common meaning, the term idea is used as a synonym for theme, melody, phrase, or motive. I myself consider the totality of a piece as the *idea*: the idea which its creator wanted to present. But because of the lack of better terms I am forced to define the term idea in the following manner: 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, and is enforced further by similar functions of the rhythm. The method by which balance is restored seems to me the real *idea* of the composition.[2]

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.

If only a single tone is struck, it awakens the belief that it represents a tonic. Every subsequent tone undermines this tonal feeling, and this is one kind of unrest. a) tonal, b) harmonic.

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[2] Arnold Schoenberg, "New Music, Outmoded Music, Style and Idea" (1946), *Style and Idea: Selected Writings of Arnold Schoenberg*, rev. paperback ed., ed. Leonard Stein with translations by Leo Black (Berkeley and Los Angeles: University of California Press, 1984): 122-123.

Such is also the case with duration and stress. A single attack or several attacks equidistant from one another and of the same intensity would be perceived as a state of rest or as monotony.

But by changing (?) the time span between (??) tones and the intensities of their attacks unrest arises again. The unrest can be increased still further through the dynamics (and through other means of performance). . . .

This unrest is expressed almost always already in the motive, but certainly in the gestalt.

In the theme, however, the problem of unrest that is present in the motive or the fundamental gestalt achieves formulation. This means that as the theme presents a number of transformations (variations) of the motive, in each of which the problem is present but always in a different manner, the tonic is continually contradicted anew—and yet, through rounding off and through unification an "apparent state of rest" is established, beneath which the unrest continues.[3]

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 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.[4]

[Each composition] raises a question, puts up a problem, which in the course of the piece has to be answered, resolved, carried through. It has to be carried through many contradictory situations; it has to be developed by drawing consequences from what it postulates. . .and all this might lead to a conclusion, a *pronunciamento*.[5]

I say that we are obviously as nature around us is, as the cosmos is. So that is also how our music is. But then our music must also be as we are (if two magnitudes both equal a third...). But then from our nature alone I can deduce how our music is (bolder men than I would say, "how the cosmos is!"). Here, however, it is always possible for me to keep humanity as near or as far off as my perceptual

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[3] Schoenberg, *The Musical Idea and the Logic, Technique, and Art of its Presentation* (1934-36), edited, translated and with a commentary by Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995): 103-107. Parenthetical question marks and underlines are Schoenberg's own.

[4] Schoenberg, *Fundamentals of Musical Composition*, 2nd ed., ed. Gerald Strang and Leonard Stein (London: Faber and Faber, 1970): 101.

[5] Schoenberg, "My Subject: Beauty and Logic in Music" (MS dating to the late 1940s), cited in the commentary to *The Musical Idea*: 63.

needs demand—I can inspect it from in front, and from behind, from right or left, above or below, without or within; if I find there is no other way of getting to know it from within, I can even dissect it. In the case of the cosmos all this would really be very hard to manage, if not impossible, and no success in cosmic dissection will ever earn it any particular respect![6]

These quotations depict a multi-leveled concept, working back from the piece of music itself to something more metaphysical that the piece "represents," having to do with the true nature of the human being and ultimately with the nature of the cosmos. As a (tonal) musical entity, the "idea" is, essentially, a compositional dialectic. Its three principal characteristics are: 1) a specific succession of pitches and intervals associated with a specific rhythm, which Schoenberg often called a *Grundgestalt* (thesis); 2) problems regarding the uncertainty of appropriate tonal or metrical contexts for features of the *Grundgestalt* such as pitch, harmonic or duration successions (antithesis); and 3) a design that considers alternative solutions for these problems and poses new problems, and ultimately decides on one solution to each problem posed, while reinforcing the piece's "home" key and meter (synthesis). The problems produce unrest and imbalance and the ultimate solutions restore balance within the overall design, which is the whole piece. This musical design is something substantially different from Schenker's *Ursatz*, and more recent adaptations of Schenker for Schoenberg's music, in that it constitutes a diachronic process from beginning to end of the piece (more accurately, a master process incorporating numerous subprocesses), instead of a synchronic structure that guarantees coherence from back to front.

Most attempts of modern scholars to come to terms with "musical idea" have, in a way similar to the Schoenberg quotations given above, illuminated different aspects of it separately. Carl Dahlhaus's references to *Grundgestalt*, *Gedanke* and developing variation in a variety of articles (many of which are reprinted in *Schoenberg and the New Music*), when taken together, present a multi-leveled concept similar to that suggested above. Dahlhaus's

[6] Schoenberg, "Hauer's Theories" (1923), *Style and Idea*, rev. paperback ed., 1984: 209-210.

definitions of "idea" range from the retainable or changeable features of a motive or theme such as interval succession, durations, or contour ("Schoenberg's Musical Poetics"), to the web of relationships between variations of motives, phrases and themes underlying a whole piece ("Schoenberg's Aesthetic Theology" and "Musical Prose"), to something intangible that cannot be adequately described in words, but only represented by means of music. The latter characterization of idea owes a great deal to Schopenhauer's notion of music as "apprehending the essence of the world directly in sounds" ("Schoenberg's Aesthetic Theology" and "Schoenberg and Programme Music").[7] Charlotte Cross's "Three Levels of Idea in Schoenberg's Thought and Writings" is perhaps the clearest portrayal of "idea's" multi-leveled character yet published; essentially an elaboration on the fifth of the Schoenberg quotations listed above. She describes, more completely, the three levels referred to in my definition above—idea as piece of music, as description of the composer's nature, and as revelation of the nature of the cosmos and its Creator—while at the same time discussing the philosophical antecedents for the more metaphysical levels.[8]

Other approaches to "musical idea" focus more narrowly on one of the levels. John Covach's "The Sources of Schoenberg's 'Aesthetic Theology'" (a response to Dahlhaus's similarly-named article) and "Schoenberg and the Occult" characterize the *Gedanke* as an object in a world beyond reality, which can be perceived and contemplated through the piece of music that represents it. Covach bases his interpretation on the work of philosophers such as

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[7] See Carl Dahlhaus, "Schoenberg's Musical Poetics" (1976), "Schoenberg's Aesthetic Theology" (1984), "Schoenberg and Programme Music" (1974), "Musical Prose" (1964), "Emancipation of the Dissonance" (1968), "What Is Developing Variation?" (1984), "The Obbligato Recitative" (1975), "Expressive Principle and Orchestral Polyphony in Schoenberg's *Erwartung*" (1974), "Schoenberg's Late Works" (1983), and "The Fugue as Prelude: Schoenberg's *Genesis* Composition, Op. 44" (1983), all reprinted and translated into English in *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987).

[8] Charlotte M. Cross, "Three Levels of 'Idea' in Schoenberg's Thought and Writings," *Current Musicology* 30 (1980): 24-36.

Kant, Goethe and Schopenhauer who played crucial roles in shaping thought in Schoenberg's culture, but also on occult figures like Emanuel Swedenborg and Rudolf Steiner that Schoenberg was familiar with. In a more recent article, Covach extends his reach to the idea as piece of music, using the term "poetics of music" to represent the level closest to the surface. He goes on to demonstrate how the poetics work in Schoenberg's *Variations* Op. 31, and explains the relation of a piece's poetics to its musical idea.[9]

A number of authors focus primarily on the idea as musical entity, and apply their understandings of it to the analysis of a tonal piece. Graham Phipps and David Epstein tend to deal mainly with the power of the *Grundgestalt* and/or its elements to unify a piece through their repetition in different contexts and at various structural levels (though Phipps at times will refer to opposition(s) and their resolution, as in his discussion of mm. 28-36 and 72 of Chopin's "Revolutionary" Etude).[10] Finally, Schoenberg's student Patricia Carpenter and her student Severine Neff have produced a series of analyses of tonal pieces that have been most useful as models for the kind of analysis I do in this article, because they go beyond demonstrating how a piece is unified through references to its *Grundgestalt*, to trace the dialectical process of problem, elaborations, and solution that organizes the repetition and variation of *Grundgestalt* elements through the piece. Both authors are also concerned with illuminating the philosophical underpinnings of idea—Carpenter discusses its antecedents in

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[9] John Covach, "The Sources of Schoenberg's 'Aesthetic Theology'," *Nineteenth-Century Music* 19/3 (1996): 252-262; *idem*, "Schoenberg and the Occult: Some Reflections on the Musical Idea," *Theory and Practice* 17 (1992): 103-118; *idem*, "Schoenberg's 'Poetics of Music,' the Twelve-Tone Method, and the Musical Idea," in *Schoenberg and Words: The Modernist Years*, ed. Charlotte M. Cross and Russell A. Berman (New York: Garland, 2000): 309-346.

[10] Graham Phipps, "A Response to Schenker's Analysis of Chopin's Etude, Op. 10, No. 12, Using Schoenberg's *Grundgestalt* Concept," *Musical Quarterly* 69 (1983): 543-569; *idem*, "The Logic of Tonality in Strauss's *Don Quixote*: A Schoenbergian Evaluation," *Nineteenth-Century Music* 9/3 (1986): 189-205; David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Cambridge, MA: MIT Press, 1979).

Kant's philosophy, while Neff highlights the influences of Goethe, Fichte and Hegel among others.[11]

Patricia Carpenter's analysis of Beethoven's "Appassionata" Sonata, Op. 57, first movement, provides a good example of how Schoenberg's "musical idea" accounts for the organic growth of a tonal piece out of its initial material.[12] According to Carpenter, the essential feature of Beethoven's *Grundgestalt* is an interval and pitch-class repertory, spanning the entire first theme, comprising the major third A♭-C and C's half-step upper neighbor D♭. The first problem the piece takes up concerning this repertory has to do with which tonal contexts it can belong to, and which is most significant (see Example 1). Two solutions are proposed initially: {A♭, D♭, C} may function as scale degrees $\hat{3}$, $\hat{6}$, and $\hat{5}$ in F minor or scale degrees $\hat{1}$, $\hat{4}$, and $\hat{3}$ in A♭ major. In the former case, the D♭ defines the key of F minor by serving as a minor ninth of its dominant chord; in the latter, D♭ defines A♭ major by serving as part of the inward resolving diminished fifth in its V^7 chord. F minor is used in the first theme of the exposition and A♭ major in the second theme. The next problem the piece puts forward about the *Grundgestalt*'s pitch-class repertory is the converse of the first: What other tonal contexts may be attained by transposing that repertory and allowing it to retain one of its functions? The first solution transposes scale degrees $\hat{6}$ and $\hat{5}$ to F♭ and E♭, resulting in

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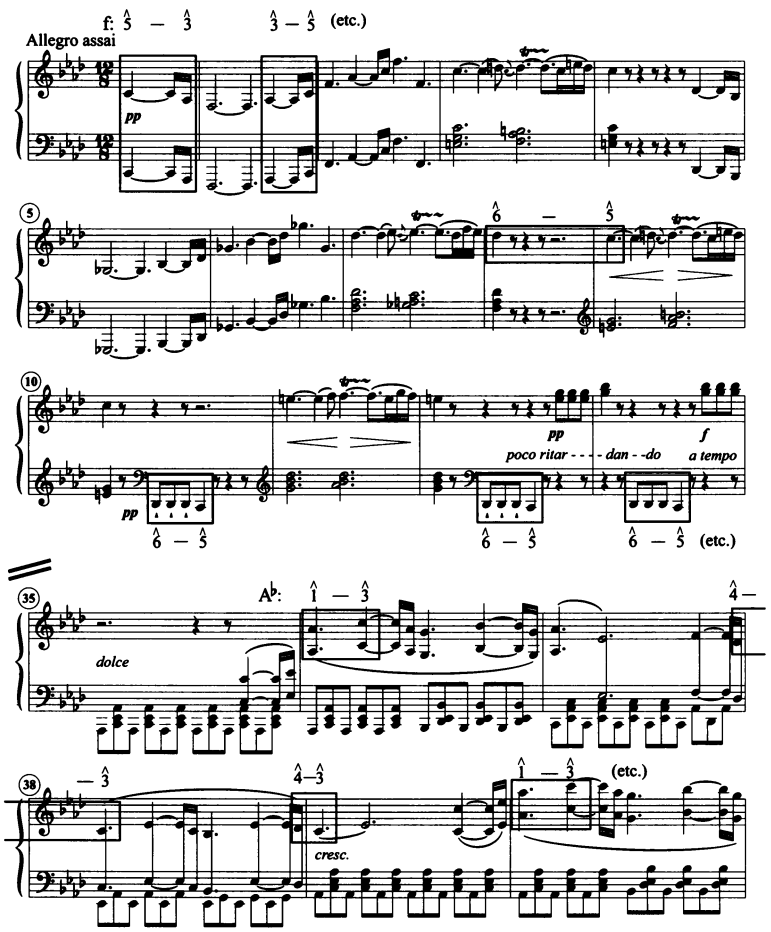
[11] Some representative examples: Patricia Carpenter, "*Grundgestalt* as Tonal Function," *Music Theory Spectrum* 5 (1983): 15-38; *idem*, "Musical Form and Musical Idea: Reflections on a Theme of Schoenberg, Hanslick, and Kant," in *Music and Civilization: Essays in Honor of Paul Henry Lang*, ed. Edmond Strainchamps and Maria Rika Maniates in collaboration with Christopher Hatch (New York: Norton, 1984): 394-427; *idem*, "A Problem in Organic Form: Schoenberg's Tonal Body," *Theory and Practice* 13 (1988): 31-63; Severine Neff, "Aspects of *Grundgestalt* in Schoenberg's First String Quartet, Op. 7," *Theory and Practice* 9 (1984): 7-56; *idem*, "Schoenberg and Goethe: Organicism and Analysis," in *Music Theory and the Exploration of the Past*, ed. David Bernstein and Christopher Hatch (Chicago: University of Chicago Press, 1993): 409-433; *idem*, "Reinventing the Organic Artwork: Schoenberg's Changing Images of Tonal Form," in *Schoenberg and Words: The Modernist Years*: 275-308.

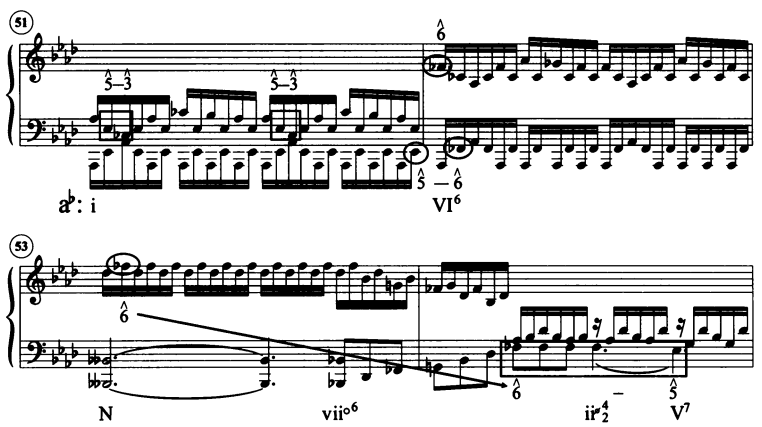
[12] Carpenter, "*Grundgestalt* as Tonal Function."

Example 1. Beethoven, Piano Sonata, Op. 57/I, exposition. Beginning of first theme (mm. 1-13) and second theme (35-40).



A♭ minor, reversing the function-key pairs established in his first solutions (the reversal consists of associating $\hat{6}$-$\hat{5}$ with the tonic A♭ rather than F). A♭ minor is the key of the exposition's closing theme (see Example 2).

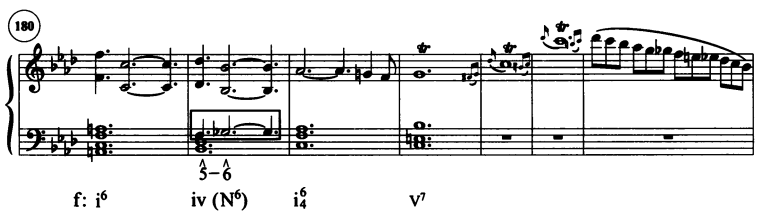
Example 2. Beethoven, Piano Sonata, Op. 57/I, exposition. Beginning of closing theme.



A transposition of part of the basic repertory, the <C, D♭> upper neighbor, together with a change in its tonal context to $\hat{1}$- ♭$\hat{2}$, results in the <F, G♭> succession harmonized by I - ♭II in F minor that begins the first theme (refer again to Example 1, mm. 1-2 and 5-6). In this case, alternative solutions that the piece gives for its original problem about tonal context give rise to another problem: In what way can the sonority {G♭, B♭, D♭} be used to point back to F minor? The solution to this problem is not made explicit until the recapitulation (see Example 3), though it is hinted at in the development (also during which other harmonic implications of the *Grundgestalt* are explored that touch on other foreign keys such as F♭ minor). In the transition between second and closing themes in the recap, <F, G♭> becomes scale degrees $\hat{5}$ and $\hat{6}$ over B♭ minor, the subdominant of F minor, and this leads to dominant and eventually to tonic. This answers the question about the role of G♭, and also contributes to the resolution of the initial problem—F minor "wins out" over A♭ major. Similar solutions concerning the

role of G♭, including one where it is shown to function as $\hat{4}$ over the dominant of the submediant chord D♭ (thus acquiring the same two functions as D♭ had had in the exposition of the movement), are provided in the coda.

Example 3. Beethoven, Piano Sonata, Op. 57/I, recapitulation. Transition between second and closing themes.



This summary of Carpenter's article is far from complete—the reader needs to consult her article to trace all the workings-out of harmonic implications of components of the *Grundgestalt*—but my few paragraphs begin to suggest how she elucidates the musical idea in Op. 57, mvt. I. One feature of a *Grundgestalt*, its pitch-class repertory, gives rise to problems about possible tonal context which the piece solves in different ways. These solutions, as they are combined with one another, give rise to new problems (creating tension and imbalance), and at the end definitive solutions are chosen from among the alternatives (restoring balance).[13]

[13] Another analysis of the "Appassionata's" first movement intersects in some interesting ways with Carpenter's, though it is inspired by Russian structuralist literary theory rather than by Schoenberg's writings about idea. This is Gregory Karl, "Structuralism and Musical Plot," *Music Theory Spectrum* 19/1 (1997): 13-34. Karl identifies the D♭-C motive which first appears in m. 10, part of Carpenter's *Grundgestalt*, as an "antagonist" which disrupts and "encloses" the continually-weakening restatements of the first theme (which he calls "protagonist") and interrupts the brief peace that the second theme provides (which he identifies as a "goal state"). The most obvious difference between Karl's "musical plot" for this piece and Carpenter's view is the lack in Karl's account of any sort of solution or synthesis of opposing elements.

Because of their very nature, atonal and serial music make it impossible for the composer to pose and solve problems concerning the tonal context of a *Grundgestalt*'s pitch classes. The essence of "twelve tones related only to one another" is that the composer avoids measuring how close or remote certain pitches or pitch classes are from a central pitch: every tone is as close or remote as every other. As a corollary, a twelve-tone composer is not concerned about whether subsequent pitches confirm or call into question the tonal context suggested by the initial pitch. Schoenberg himself makes the same point in a passage from one of his early "musical idea" manuscripts, written in 1925:

> Compositions executed tonally in every sense proceed so as to bring every occurring tone into a direct or indirect relationship to the fundamental tone, and their technique tries to express this relationship so that doubt about what the tone relates to can never last for an extended period.
>
> This is not only the case for the individual tone, but also all tone-progressions are designed in this way, as well as all chords and chord-progressions.
>
> Composition with twelve tones related only to one another (incorrectly called atonal composition) *presupposes the knowledge of these relationships*, does not perceive in them a problem still to be solved and worked out, and in this sense works with entire complexes, similar to the way in which language works with comprehensive concepts whose range and meaning are assumed generally to be known.[14]

From this quotation, one could doubt whether a serial piece represents a dialectical idea at all, in the sense of posing, elaborating and solving a problem. But it is important to notice that Schoenberg only mentions the *pitches* (or pitch classes) of a twelve-tone series here, claiming that none of *them* are more foreign than any other. There are other planes on which musical elements can be opposed to one another within a twelve-tone row, and Schoenberg's serial music itself indicates that he was aware of such locations for the representation of an idea. A recent article by

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[14] Schoenberg, MS number 3 in the series on "musical idea" (1925b), p. 1, cited in *The Musical Idea*, trans. and ed. Carpenter and Neff: 395-396 and 416. Italics are Schoenberg's.

Stephen Peles asserts that the various presentations of a row through a twelve-tone piece can indeed create foreign elements:

> Sets as uninterpreted structures have a *de facto* background status relative to surfaces which instantiate them solely by dint of the fact that they are uninterpreted. Interpretation in pitch, time, or anything else, will inevitably generate new adjacencies between pitch-classes—adjacencies which are not present in the underlying ordering. Thus, while the composing-out of a set, aggregate, or array will not—at least in Schoenberg's practice—generate any new pitch-classes, as in traditional diminution technique, it will almost always generate new *relationships*.[15]

The approach to analyzing Schoenberg's serial music I adopt here focuses on a specific aspect of such new (and also old) relationships; specifically, the intervals created between non-adjacent as well as adjacent pitches and pitch-classes of the row. I identify certain intervals within the series as salient and obviously derivable from the row and others as latent, then show how Schoenberg, by means of a compositional dialectic, reveals gradually how the less-salient intervals are derived from the row and also reveals their relation within the row to the more salient intervals.[16] A number of Schoenberg's serial pieces can be explained according to this

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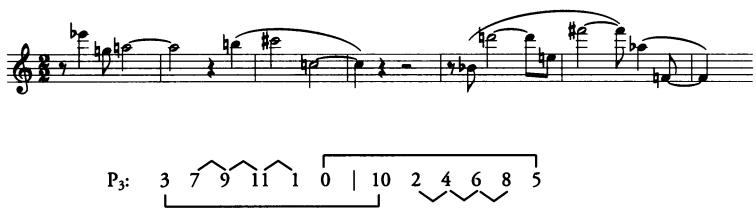
[15] Stephen Peles, "Continuity, Reference and Implication: Remarks on Schoenberg's Proverbial 'Difficulty'," *Theory and Practice* 17 (1992): 54. These remarks come near the end of a discussion of the opening measures of Schoenberg's *Menuett* Op. 25, in which Peles demonstrates how three partitions or "compositional interpretations" of the initial row (P_4), according to different temporal and registral criteria, suggest the other three row forms that Schoenberg will use together with P_4 in the remainder of the movement—P_{10}, I_4 and I_{10}.

[16] A recent article by Richard Kurth ("Mosaic Polyphony: Formal Balance, Imbalance, and Phrase Formation in the Prelude of Schoenberg's Suite, Op. 25," *Music Theory Spectrum* 14/2 (1992): 188-208) suggests another way in which imbalance and balance are formed within pairs of twelve-tone rows in a Schoenberg piece. According to Kurth, the registral, rhythmic and metrical deployment of elements of the order-number and pitch-class mosaics articulated upon the row pairs create (within the same phrase) balance and imbalance. Later in the article (p. 204-205) he begins to describe realizations of mosaics that create imbalance and call for balance at a future point in the composition. But he stops short of suggesting a framework that would organize the progression from imbalance to balance through the whole piece.

scenario; one well-known example is the opening movement, in sonata form, of the Wind Quintet Op. 26. The *Grundgestalt* for this piece and the pitch-class succession underlying it are given as Example 4.[17]

Example 4. Schoenberg, Wind Quintet, Op. 26/I.
Grundgestalt *and underlying twelve-tone row.*



W (mosaic of order numbers):

{0,6} {5,11} {1,2,3,4} {7,8,9,10}

$\mathbf{WP_3}$ (pitch-class collections yielded by applying **W** to row form P_3):

{3,10} {0,5} {7,9,11,1} {2,4,6,8}

If we divide Example 4's row into partitions to create a "mosaic" as Donald Martino and Andrew Mead call it (illustrated on the example both as order position collections and with square and angle brackets),[18] the inner four pitch classes of each hexachord

[17] This article will follow the convention, presumably initiated by Schoenberg and documented by Josef Rufer, of labeling the initial presentation in pitches and rhythms of the tone row as the *Grundgestalt,* rather than the more abstract pc succession. See Rufer, *Composition with Twelve Notes Related only to One Another,* trans. Humphrey Searle (London: Rockliff, 1954): vii-viii and 92-94. Also, the article labels pitch-class successions (i.e., tone rows) using the pitch class number of the first pc for primes and inversions, the last pc for retrogrades and retrograde inversions, with C always equal to 0. Thus the original row form is designated P_3 and its retrograde R_3. Order positions will be numbered 0 through 11, and will be distinguished from pitch-class numbers by putting them in boldface.

[18] Donald Martino, "The Source Set and Its Aggregate Formations," *Journal of Music Theory* 5 (1961): 224-273; Andrew Mead, "Some Implications of the Pitch-Class/Order Number Isomorphism Inherent in the Twelve-Tone System: Part One," *Perspectives of New Music* 26/2 (1988): 96-159.

(7 9 11 1 and 2 4 6 8) create segments of the whole-tone scale that have boundary (ordered pitch-class) intervals of 6. Given a presentation of the row in order, the even ordered pc intervals 2 and 6 will usually be heard as more salient, 2 because it occurs multiply between adjacent pitch classes and 6 because it serves as a boundary for a recognizable scale segment. But at the same time, ordered pitch-class intervals that can be thought of as oppositions or antitheses to the whole-tone fragments and their tritone boundaries (because they cannot be contained within the whole-tone environment) appear between the framing pitch classes of the two hexachords. Order numbers **0** and **6** produce interval 7 and numbers **5** and **11** yield interval 5. (This opposition between the even, adjacent intervals and the odd, framing intervals in the Quintet's source row has been recognized already in the literature, in Andrew Mead's 1987 *Music Theory Spectrum* article.)[19] The "opposing" members of interval class 5 will not be as salient as the whole-tone segments in an order-preserving presentation of the row—for example, the flute's *Grundgestalt*—though they can receive less convincing emphasis in ways other than pitch-class adjacency, like being placed at phrase beginnings and endings in the *Grundgestalt.*

In addition to the members of ic 5 formed by the hexachords' framing pitch classes, intervals in that class appear between other non-adjacent pitch classes as well. In fact, the ordered pitch class intervals between corresponding order positions in the two

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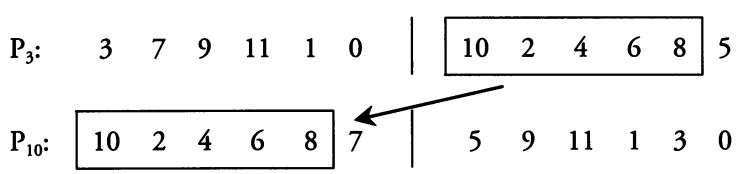
[19] Andrew Mead, "'Tonal' Forms in Arnold Schoenberg's Twelve-Tone Music," *Music Theory Spectrum* 9 (1987): 78. Mead's account of how Schoenberg elaborates this opposition intersects with mine at several points. For example, Mead traces the influence of the unordered pitch class set formed by the two framing ic 5s ({0, 3, 5, 10}) through the movement. He shows how {0, 3, 5, 10} is emphasized within and between P_3, P_8, I_0, and I_7 at the end of the exposition through register, contour and accent (p. 76); how the same set is made adjacent in the development section through instrumental partitioning of P_3 (p. 79); and how {0, 3, 5, 10} finally functions as an invariant tetrachord at order positions **0**, **5**, **6**, and **11** unifying P_3 and I_0, the two principal rows of the recapitulation (p. 81). This tetrachord contributes significantly to a dialectic of compositional strategies that Mead suggests gives coherence to the piece, which will be described in more detail below.

hexachords are *all* members of interval class 5. The pcs in order positions **0-4** are separated by the same interval, ordered pc interval 7, and the pcs in position **5** are separated by interval 5. Because of this, a transposition by ordered pc interval 7 of any prime form will result in an invariant ordered segment of five pitch classes from the second hexachord of the original row to the first hexachord of the new form. This is illustrated by the original form P_3 and its transposition P_{10} in Table 1. This invariance is one of several that provides coherence throughout the movement: Schoenberg may have thought of it as an analogy to the major scale adding a sharp (or natural) when transposed up a perfect fifth and a flat (or natural) when transposed down a fifth.[20] This same invariance also represents the first movement's dialectic, in a way which will be discussed below.

Table 1. Ordered invariant pentachord between prime forms related by ordered pc interval 7



Given the opposition in the *Grundgestalt* and row between even intervals formed by adjacent pcs and members of ic 5 formed by non-adjacent ones, the first movement as a compositional dialectic must occupy itself with two tasks. First, to make the members of interval class 5 more salient, and then make their relationship as frames to the whole-tone segments in the row more clear. It carries these tasks out *twice*: once in the exposition and development and again in the recapitulation and coda. A series of excerpts from the quintet movement will illustrate.

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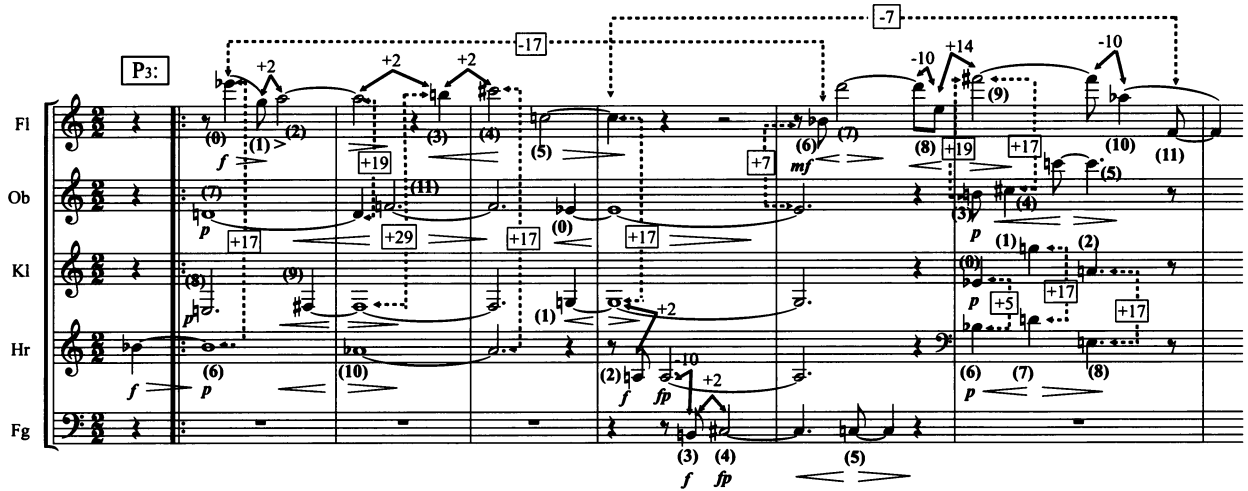
[20] Andrew Mead gives examples of this invariance's use and contribution to large-scale coherence in his 1987 article on the Quintet. See Mead, "'Tonal' Forms in Arnold Schoenberg's Twelve-Tone Music": 74-76.

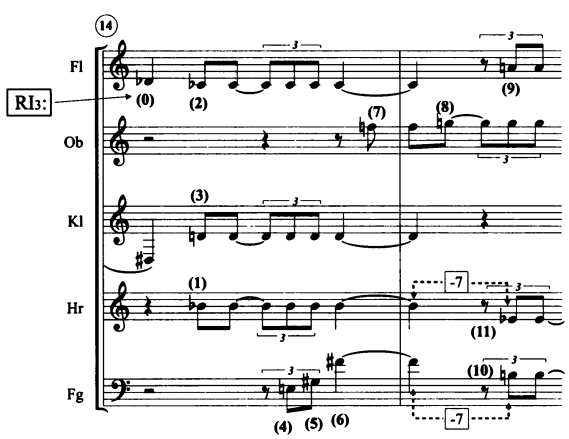
Example 5. Schoenberg, Wind Quintet, Op. 26/I, mm. 1-6.



All intervals are represented as ordered pitch intervals. Members of interval class 2 are marked with solid angle brackets, and members of interval class 5 are marked with dashed brackets. Order numbers are given in parentheses.

In the opening measures, as noted above, the order-preserving presentation of the row in the flute makes the whole-tone segments seem more salient, while the members of ic 5 are less obvious to the listener, at least up until measure 6 (see Example 5). In mm. 1-5, intervals in ic 5 connect phrase beginnings and occur vertically between the flute and accompaniment. But many of these verticals are not emphasized contextually; only half of the six bracketed dyads that belong to ic 5 in mm. 1-5 are made salient through sharing a dynamic of ***f*** (m. 1) or through presentation in the outer voices (last beat of m. 2 and downbeat of m. 4). The other ic 5 dyads in the first five measures seem to blend in to the texture. Then, at m. 6, ic 5 gains a bit more emphasis when the clarinet and horn move together in parallel perfect fourths and elevenths, which are nevertheless marked ***p*** to keep the interval class from becoming too prominent.

Example 6. Schoenberg, Wind Quintet, Op. 26/I.

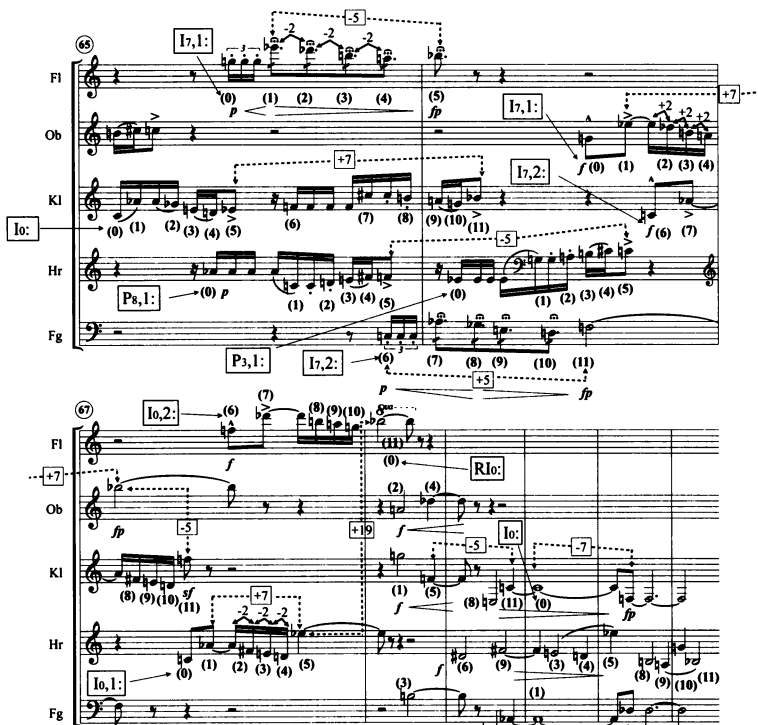


As the exposition progresses, a gradual emphasis on partitions other than contiguous segments of the row continues to bring members of ic 5 to the fore. At mm. 14-15 (see Example 6), order numbers **6** and **10** within the RI_3 become more salient as consecutive pitches in the bassoon, and order numbers **1** and **11**

stand out as consecutive pitches in the horn.[21] Isolated drawings-out of interval class 5 persist through the first theme and transition, but the interval class is not emphasized in the second theme (though it does occur repeatedly as a vertical). Then, in the closing section, appearances of it come in rapid succession, a stretto-like effect. Measures 65-71, near the end of the closing theme, will illustrate—they contain part or all of two points of imitation within the stretto (the second begins in the oboe at m. 66), and are reproduced as Example 7. Note that the ic 5s are drawn out in different ways in the different instruments: in the flute in mm. 65-66 through accent and metrical placement (third and first quarter notes), in the clarinet and horn in mm. 65-66 through accent, in the bassoon in mm. 65-66 through meter, accent, and serving as beginning of the phrase, in the oboe in 66-67 and the horn in 67 through a combination of accent, meter, and serving as high points in the contour, in the clarinet in mm. 68-71 through metric parallelism (successive fourth beats) and proximity. Also note that the pitch classes forming the ic 5s in Example 7 for the most part are those same pcs that form them as framing intervals in the original P_3: 3, 10, 5, and 0. As the bottom of Example 7 shows, I_7 reproduces these pcs at different order positions, **1**, **5**, **6**, and **11** (see mosaic $\mathbf{W_2}$ applied to I_7 at the extreme bottom of the example). I_0 brings 3, 10, 5 and 0 back at the same four positions as P_3, **0**, **5**, **6**, and **11** (each pc taking a different position). Regardless of what order positions create pitch-class invariance between the row forms of Example 7 and P_3, the musical surface, through contour and accent, emphasizes just those positions necessary to bring out the ic 5s created by the invariant pitch classes. (The relationship between P_3 and I_0 has been called by Mead "collectional invariance," meaning that the same order-position mosaic (called $\mathbf{W_1}$ at the bottom of Example 7) applied to

[21] It should be noted that these two descending perfect fifths in bassoon and horn are part of a larger complex in m. 15 (also including the flute), where inversionally-related forms of set class 3-8 [026] are presented in sequence. Since 3-8 is a subset of the whole-tone scale, the perfect fifths are being highlighted within a context that can also be heard as featuring the opposing element.

Example 7. Schoenberg, Op. 26/I, mm. 65-72.



W1: {0,6} {5,11} {1,2,3,4} {7,8,9,10}

P3: 3 7 9 11 1 0 | 10 2 4 6 8 5
W1P3: {3,10} {0,5} {7,9,11,1} {2,4,6,8}

I0: 0 8 6 4 2 3 | 5 1 11 9 7 10
W1I0: {0,5} {3,10} {8,6,4,2} {1,11,9,7} W1RI0: {10,3} {5,0} {7,9,11,1} {2,4,6,8}

I7: 7 3 1 11 9 10 | 0 8 6 4 2 5
W1I7: {7,0} {10,5} {3,1,11,9} {8,6,4,2}

W2: {1,5} {6,11} {0,2,3,4} {7,8,9,10}
W2I7: {3,10} {0,5} {7,1,11,9} {8,6,4,2}

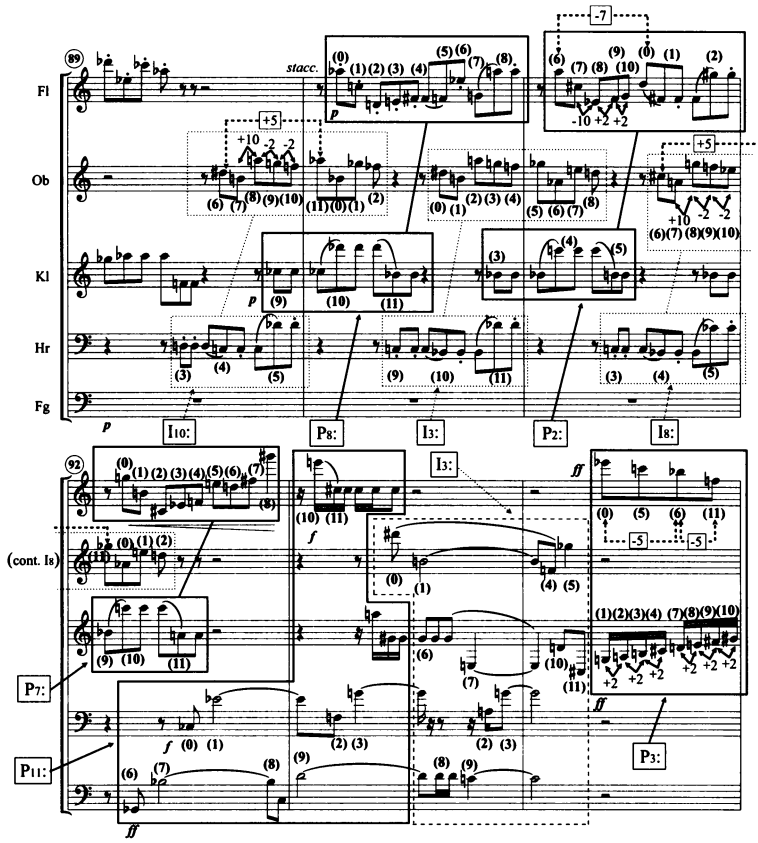
both rows (P_3 and I_0) yields identical pitch-class mosaics. P_3 and I_7 do not exhibit collectional invariance under W_1, though they do hold pitch classes {8, 6, 4, 2} invariant. Hence, the piece needs to group different order positions together, as illustrated by order-position mosaic W_2—{1, 5} and {6, 11} as opposed to {0, 6} and {5, 11}—to bring out the ic 5s that had been hinted at in P_3.)[22]

One final comment on Example 7: the reader will note that many of the salient ic 5s discussed in the previous paragraph appear with whole-tone segments embedded within them. The second part of the synthesis described above, explaining the role of ic 5 as framing interval, is now in effect. The flute and bassoon in mm. 65-66 provide an example, as does the oboe in 66-67 and the horn in 67. The development section continues and reinforces this trend, at times separating the framing interval from the whole-tone segment by instrumentation, at times letting the two opponents subsist in the same instrument but emphasizing the framing interval in the ways catalogued in the previous paragraph. Example 8 shows both kinds of interaction between even and odd intervals. In the oboe, measures 89-90 illustrate the opposing elements presented together in a single instrument; here, the framing ic 5 between order positions 6-11 is highlighted through the D♯ coming at the phrase beginning and the A♭ being accented metrically. Measures 91 and 92 present similar configurations in flute and oboe. A change in dynamics and beat division at 92 leads before long to the other method of juxtaposing the opponents in m. 94: the flute presents the frames while the clarinet takes the whole-tone segments. The latter passage (m. 94) highlights the opposition, the former (mm. 89-92) shows how the two kinds of interval relate within the row.

Notice also that, in Example 8, the piece continues to place rows together that are collectionally invariant, and along with highlighting instances of ic 5, this feature explains Schoenberg's tendency to rotate the rows in this passage. Under the order-number mosaic W_3: {0, 1} {2, 3} {4, 5} {6, 7} {8, 9} {10, 11},

[22] Mead, "The Pitch Class/Order Number Isomorphism: Part I": 106-112.

Example 8. Schoenberg, Op. 26/I, mm. 89-94.



W_3: {0,1} {2,3} {4,5} {6,7} {8,9} {10,11}

T_9I_3: 0 10 1 3 11 9 | 7 5 6 8 4 2
T_3P_2: 10 0 11 9 1 3 | 5 7 4 2 6 8

$W_3T_9I_3 = W_3T_3P_2$: {0,10} {1,3} {9,11} {5,7} {6,8} {2,4}

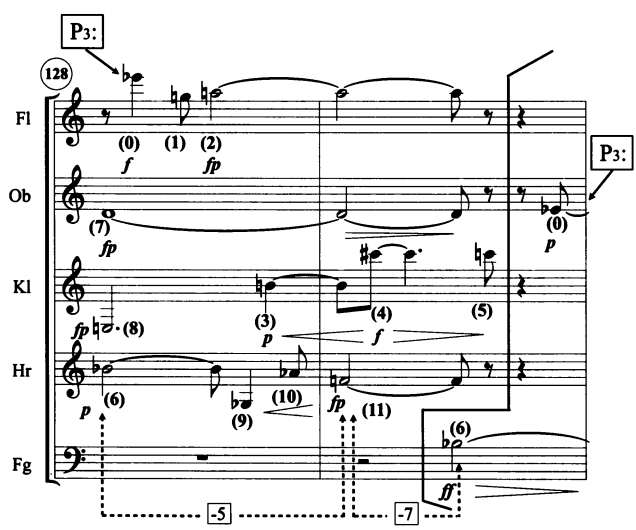
T_3I_8: 0 10 11 1 9 7 | 5 3 6 8 4 2
T_9P_7: 10 0 9 7 11 1 | 3 5 4 2 6 8

$W_3T_3I_8 = W_3T_9P_7$: {0,10} {1,11} {7,9} {3,5} {6,8} {2,4}

consisting of contiguous dyad segments, the rotation of I_3 starting at what was originally the ninth order position and the rotation of P_2 starting at the former order position 3 produce identical pitch-class mosaics. Collectional invariance also holds between the rotation of I_8 beginning on order position 3 and the rotation of P_7 beginning on order position 9. See the listings of these rows underneath Example 8 for an illustration.

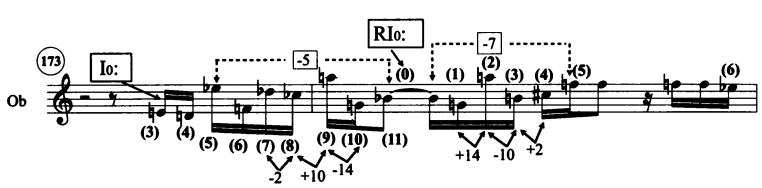
The presentation of "solutions" and "problems" side-by-side in the development section, illustrated by mm. 89-92 and 94 in Example 8, makes it essential, for clarity's sake, for the listener to experience the dialectic involving the whole-tone fragments and ic 5 a second time, which happens in the recapitulation and coda. During the second time around, however, ic 5 is more salient from the beginning. Example 9 shows the onset of the recapitulation; notice the ordered pitch interval -5 between pcs 10 and 5 in the horn, made conspicuous by metrical position and dynamics, and the -7 between horn and bassoon, treated in the same ways.

Example 9. Schoenberg, Wind Quintet, Op. 26/I.



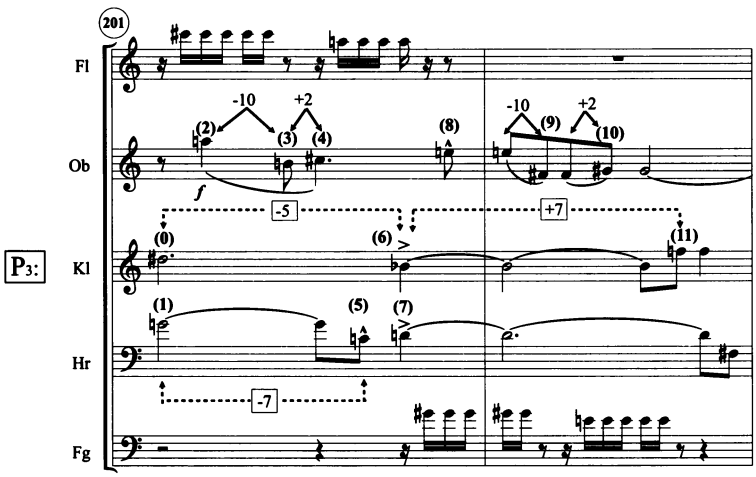
As was the case in the exposition, the first theme in the recapitulation offers only an occasional salient ic 5. The transition and second theme give the framing intervals hardly more emphasis, though there is a passage in the oboe six measures into the latter section where ic 5 is highlighted through contour and duration (see Example 10). This oboe excerpt is reminiscent of the figures at mm. 89-92 that explained the relationship between ic 5 as frame and the embedded whole-tone fragment (see Example 8 again). Unlike those figures, however, the oboe "solutions" here use row form I_0, which, as mentioned above, holds pitch classes 0, 3, 5 and 10 invariant at order positions **0, 5, 6** and **11**. The recapitulation thus features a pc-specific return to the framing ic 5s of the original P_3, through using a row form (I_0) that is collectionally invariant with P_3. Since I_0 had been used already in the exposition's closing section, this accomplishment of specific pitch class reprise through invariance is not *unique* to the recapitulation (see Example 7 for earlier manifestations, especially the clarinet at mm. 65-66 and the horn and flute at mm. 67-68). But the pitch class invariance at mm. 173-74 does contribute to the recapitulation's fulfillment of its function, by bringing back an important row subset at its original pitch class level.

Example 10. Schoenberg, Wind Quintet, Op. 26/I.

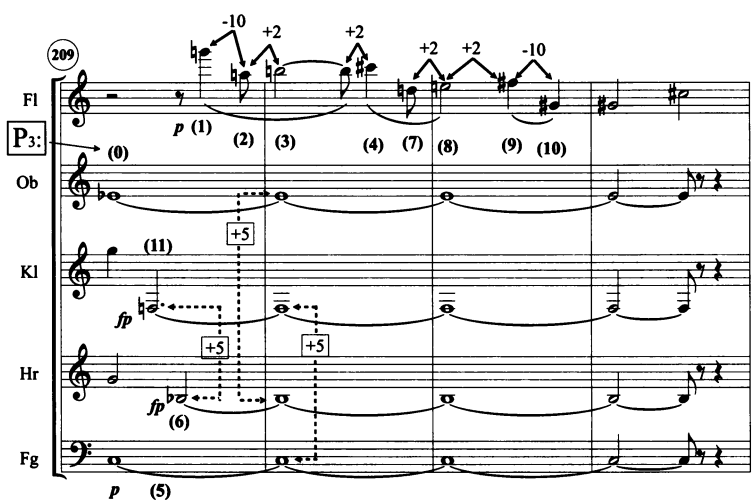


The closing theme and coda sections bring back the two ways of combining opposing elements that were prominent in the development. Appropriately enough, near the end passages that present whole tone fragments and ic 5s in different instruments, highlighting their opposition, are followed by an "explanatory" passage that embeds the whole-tone fragments within the framing intervals in a single instrument. All this is illustrated by Examples 11a-c. In Examples 11a and b, one instrument takes the fragments

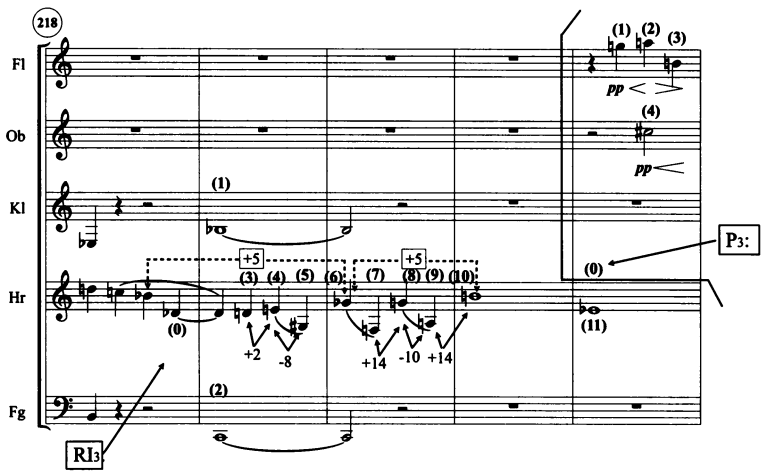
Example 11a. Schoenberg, Op. 26/I, mm. 201-202.



Example 11b. Schoenberg, Op.26/I, mm. 209-212.



Example 11c. Schoenberg, Op. 26/I, mm. 218-222.



W_4: {0,1,2,3} {4,5,6,7} {8,9,10,11}

P_3:	3	7	9	11	1	0	10	2	4	6	8	5
RI_3:	1	10	0	2	2	8	6	5	7	9	11	3

$W_4P_3 = W_4RI_3$: {3,7,9,11} {0,1,2,10} {4,5,6,8}

from the whole-tone scale while the others highlight ic 5 in various ways. The clarinet brings out the ordered pitch intervals -5 and +7 through duration, accent, and proximity of their pitch classes in Example 11a. In 11b, the framing intervals are represented by the sustained chord, and two pitches of this receive an ***fp*** marking, drawing out an ordered pitch interval +5. Though their instrumentation promotes the opposition of whole-tone fragment and ic 5, both Examples 11a and 11b do suggest the kind of resolution that will be made more explicit in Example 11c. They do this rhythmically, by making the framing pcs come before and after the whole-tone fragments (for an example see m. 201 of Example 11a where the clarinet's order positions **0** and **6** constitute the frame; the clarinet gives order position **0**, then the oboe **2**, **3**, and **4**, then the clarinet **6**).

Since the row form in use is RI_3, the framing intervals in Example 11c, the "explanatory" passage, are represented by pitch classes 1, 6, and 11; different from the 3, 0, 10 and 5 that we find

in P_3 and that are featured in Examples 11a and 11b. This is a mild surprise for the listener hearing this movement as a dialectic: one might have expected a final conclusion to represent the framing ic 5s with their original pitch classes, in support of the passage's rounding-off function. Still, the +5 between consecutive downbeats in the horn is clearly shown to be a frame for the ascending whole-tone fragments in order positions **3-5** and **7-10**, and the explanatory function of this passage contributes to the restoration of balance. RI_3 has another property that may have caused Schoenberg to prefer it to P_3 or I_0 here: it displays collectional invariance with P_3 under an order-number mosaic (W_4 at the bottom of Example 11c) consisting of contiguous tetrachords: {**0, 1, 2, 3**} {**4, 5, 6, 7**} {**8, 9, 10, 11**}.

The process we have just described involving the even and odd intervals of Op. 26's *Grundgestalt* is not the only one that gives shape to the piece. Rather, it seems that the overarching dialectic is played out in a number of different ways, analogous perhaps to the multiplicity of foreign elements in Carpenter's (and Schoenberg's) tonal analyses. Andrew Mead in "'Tonal' Forms in Arnold Schoenberg's Twelve-Tone Music" seems to characterize the first movement as a dialectic of "compositional strategies." In his words:

> The recapitulation reveals a higher strategy within which the differing strategies of the exposition and the development are subsumed. This is done both in detail and in the large. The strategy of the exposition is to present primarily segmental materials related by different degrees of collectional invariance. The strategy of the development is to draw a variety of non-segmental materials from the rows used, with certain transpositional references to the exposition's secondary material. In the recapitulation and coda, the primary invariance link between principal and transpositional areas is based on instances of collectional invariance whose order number mosaics do not represent row segments. Thus the strategy of invariance in the exposition is meshed with the strategy of drawing out non-segmental materials in the development section to produce the recapitulation.[23]

One of Mead's principal examples of a "collectional invariance whose order number mosaic does not represent a row segment" is

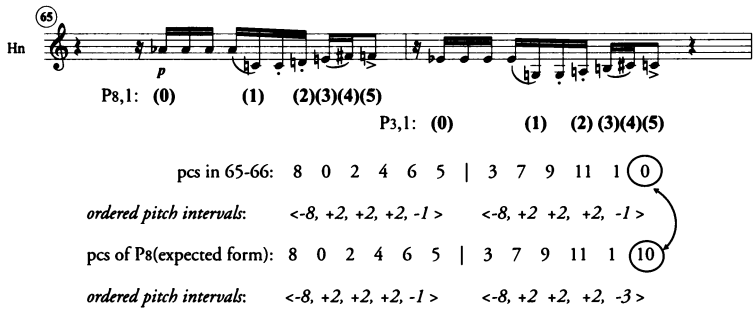
[23] Mead, "'Tonal' Forms in Arnold Schoenberg's Twelve-Tone Music": 80.

the invariant tetrachord {0, 3, 5, 10} between P_3 and I_0, which does play an important role in the second theme of the recapitulation, as mentioned above. We could add that, using the tools provided by Martino and Mead, we are able to identify invariances of different kinds than those Mead alludes to as "primary" in the above quotation. Example 7 demonstrates a collectional invariance involving a non-segmental order number mosaic between P_3 and I_0 during the closing theme of the exposition. Example 8 helps to explain Schoenberg's row rotations in the middle of the development through a collectional invariance involving contiguous dyad segments. And Example 11c justifies the use of RI_3 in the coda by showing how that transformation creates a collectional invariance involving contiguous tetrachord segments. In Mead's characterization of the movement in "'Tonal' Forms," these contradictory relationships are heard as "secondary." Still, Mead's approach does provide a sensible explanation for the use of I_0 at the recapitulation's second theme, one that fits within a dialectical framework.[24]

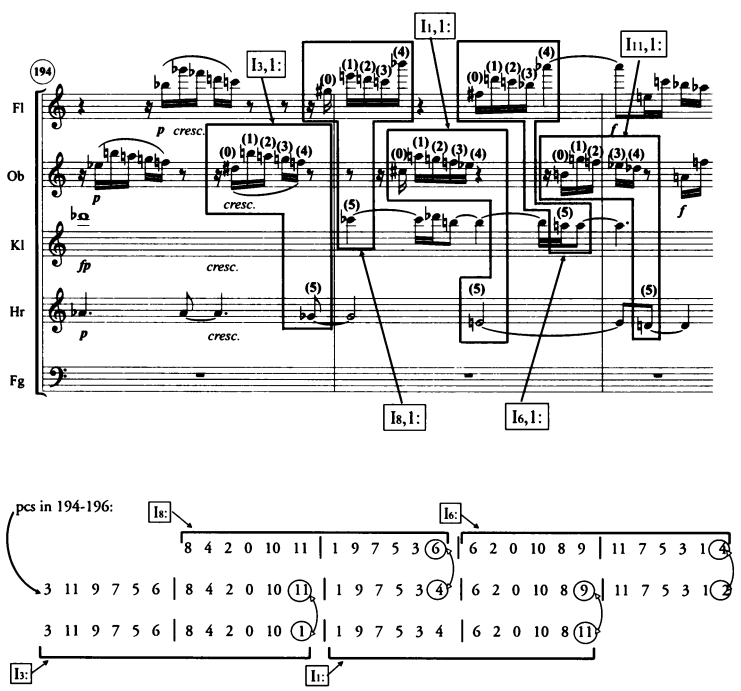
A third expression of dialectic in the movement stems from the invariance involving contiguous subsets that was mentioned above in the commentary on Table 1. That is, any two prime forms related by transposition at ordered pc interval 7 or inversions related by transposition at interval 5 will have an invariant ordered pentachord between the second hexachord of the first prime form and the first hexachord of the second. The piece plays with the listener's expectations at several points during its course, using this invariance to create "row forms" that seem to go astray on their last pitch class. Example 12a quotes the horn part in mm. 65-66,

[24] Another article by Mead, "Large-Scale Strategy in Arnold Schoenberg's Twelve-Tone Music," *Perspectives of New Music* 24/1 (1985): 120-157, discusses strategies involving invariance between pairs and groups of rows which provide coherence in the third movement of the Quintet, Op. 26, and the opening movement of the Violin Concerto, Op. 36. According to Mead, what both pieces have in common is a "nexus point," near the piece's end, at which the transformations, partitions and invariance relationships expressed in earlier passages are combined and shown to be parts of a "global strategy." The parallel with the solution in a musical idea seems significant.

Example 12a. Schoenberg, Op. 26/I, mm. 65-66, horn.



Example 12b. Schoenberg, Op. 26/I, mm. 194-196.



which consists of initial hexachords from P_8 and P_3. This imitates, an octave lower, the oboe's music at mm. 63-65. Still earlier, the flute at mm. 59-60 and the horn and bassoon at m. 60 had presented complete forms of P_8, which are rotated to begin with order position 3. The listener has been set up by hearing the pitch-class succession <E♭, G, A, B, C♯, B♭> twice in mm. 59-60—not to mention having heard the "expected" ordered pitch interval succession for the second half of P_8 (<-8, +2, +2, +2, -3>), associated with other rows, several times earlier in the movement (see the oboe in mm. 16-17 for an example). Most significantly, the bassoon in mm. 63-64 and the clarinet in mm. 65-66 play (as I_0) an inversion of the expected interval succession for the whole row: <+8, -2, -2, -2, +1, (+2), +8, -2, -2, -2, +3>. Therefore, when the oboe in mm. 64-65 and the horn in m. 66 play <E♭, G, A, B, C♯, C♮> and <-8, +2, +2, +2, -1> in the place of the last six notes of P_8, I claim that the listener is, at some level of consciousness, startled. There is at least a small amount of confusion about whether we are hearing complete statements of P_8 with a wrong last note or juxtaposed first hexachords of P_8 and P_3. (An alternate reading of mm. 59-66 that is not dependent on grasping entire row forms could also account for confusion and imbalance in this passage in terms of an uncertainty about how the hexachord's interval succession should complete itself—should <-8, +2, +2, +2> be completed with <-1> or <-3>? The answer to that question would be "both, first <-1>, then <-3>," which becomes clear as soon as we hear the two hexachords of the row presented linearly in the correct order, as in the flute and clarinet at mm. 206-209.)

In Example 12b, the closing theme of the recapitulation uses the pentachord invariance we have been describing to create a succession of first hexachords (I_3, I_8, I_1, I_6, I_{11}) that could also be heard as row forms with wrong last notes overlapping one another. The pitch-class map below the example gives the actual sequence of pitch classes in the passage, and on either side of the sequence are the prospective row-forms that seem to be thwarted at their last pitch class. Note how the last pc of each hexachord is separated from the other five through instrumentation, which in many cases intensifies the surprise caused by the unexpected pc.

Creating a dialectic based on uncertainty about the row form's identity is a strategy Schoenberg returned to later in his career, for example in the first part of the violin *Fantasy* Op. 47. Schoenberg's student Josef Rufer discusses this piece at some length in *Composition with Twelve Notes Related Only to One Another,* and the description given of it here incorporates his observations. At the beginning of the *Fantasy,* the first hexachord of the original prime form appears together with the first hexachord of I_3 (see Table 2). This hexachord pair underlies the violin part in mm. 1-2 as well as both instruments in m. 1. It is easy for the listener to assume that Table 2 is the *Grundgestalt*'s pitch-class succession, the basic row. But the piece challenges this assumption almost immediately. In mm. 9-11 in the violin, the first hexachord of P_{10} appears together with another ordering of the remaining six pitch-classes in the aggregate (see Table 3). Which ordering is basic, that of Table 3 or that of Table 2? The imbalance caused by this turn of events is compounded by the introduction of the second hexachord of I_3 in the piano at mm. 10-11, suggesting a third candidate for basic row status (see Table 4). The piece's attempt to foster uncertainty about the basic row's identity motivates the choices of hexachord forms in the first part of the *Fantasy.* A dramatic example occurs in measures 17-18 of the piano part (Example 13). At the beginning of m. 17, we have the pitch-class succession of Table 3 in retrograde, but this overlaps with the succession of Table 2, with the first hexachord taken backwards, in the middle of the measure. As if he were trying to convince the listener that the row in table 2 is basic, Schoenberg insistently repeats its second hexachord (though it must be admitted that he repeats it as simultaneities, which could just as easily represent the second hexachord of P_{10} or first hexachord of R_{10}).

The *Fantasy* solves its problem about the basic row's identity and restores balance in two steps. First, it gives the row in Table 3 and its variations precedence, while continuing to divide it into hexachords rhythmically. This process begins around the *Più mosso* at m. 25. Then, after m. 27, the basic row begins to appear without being divided into hexachords, erasing almost all doubt about its preeminence. When the row appears at the original

Table 2. Initial hexachord pair in Schoenberg Fantasy, Op. 47

10	9	1	11	5	7		3	4	0	2	8	6
P_{10}, 1							I_3, 1					

Table 3. Hexachord pair in Schoenberg Fantasy, Op. 47, mm. 9-10

10	9	1	11	5	7		4	0	8	3	6	2
P_{10}, 1							P_{10}, 2					

Table 4. Hexachord pair in Schoenberg Fantasy, Op. 47, mm. 10-11

4	0	8	3	6	2		9	1	5	10	7	11
P_{10}, 2							I_3, 2					

transposition level, P_{10}, in m. 32, order positions **5** and **6** are attacked simultaneously.[25]

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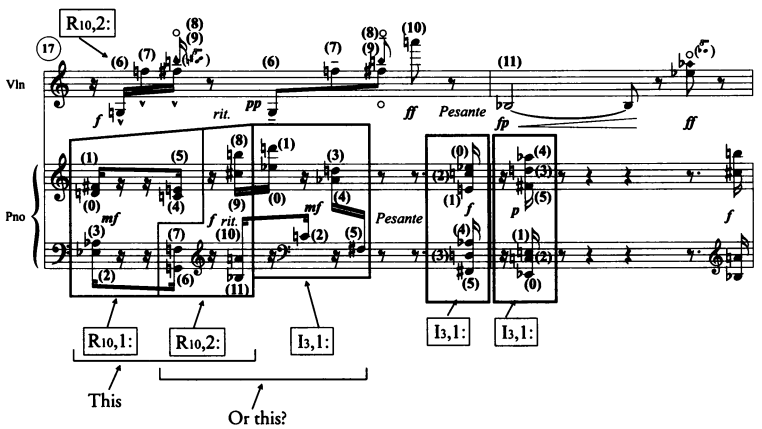
[25] Rufer, *Composition with Twelve Notes*: 98-100. A more detailed analysis of the *Fantasy* can be found on pp. 173-75 of Rufer's book. Also, a more recent analysis of the *Fantasy* that incorporates Rufer's and my observations into a more comprehensive account of structure based on harmonic areas, invariance between row forms and inversional symmetry is David Lewin, "A Study of Hexachord Levels in Schoenberg's Violin Fantasy," *Perspectives on Schoenberg and Stravinsky*, ed. Benjamin Boretz and Edward T. Cone (Princeton: Princeton University Press, 1968): 78-92. At times, some of Lewin's assertions about how Schoenberg "withholds the full savor" of a particular invariance (p. 84) or "sets up expectations for a specific harmonic area" (p. 88) seem to owe something to Schoenberg's notion of idea.

A still more recent analysis of the *Fantasy* that interacts with and also contradicts some of my observations is Christopher Hasty, "Form and Idea in

Example 13. Schoenberg, Fantasy, *Op. 47, mm. 17-18.*



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Manifestation of *Gedanke* in non-serial atonal music has much in common with the procedure illustrated above by the first movement of Op. 26. Following Josef Rufer, I would claim that in Schoenberg's atonal music, the *Grundgestalt* is the representation in specific pitches and durations of the overlapping or chain of motives that constitutes the first phrase.[26] The problems an atonal

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Schoenberg's *Phantasy*," *Music Theory in Concept and Practice* (Rochester: University of Rochester Press, 1997): 459-480. Hasty focuses on the first nine measures of the piece, describing in meticulous detail the characteristics that link and separate motives, "constituents" (i.e. subphrases), and phrases, forming a logical process of developing variation. He hears the introduction of second hexachords of P_{10} and I_3 in m. 10 not as a source of confusion about row identity, but a source of contrast.

[26] The notion of atonal *Grundgestalt* presented here conforms to a definition that Rufer claimed to have learned in Schoenberg's composition class between 1919 and 1922:

> The next sized form [after motive] 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

piece poses concern the new ordered pitch intervals and combinations that may be created as opposing elements by varying the motivic overlapping underlying the *Grundgestalt* (which will be called the basic overlapping), varying the motivic overlappings and motive-forms that are linked together within it, overlapping its constituent motives and/or their varied forms in other ways, or varying these other kinds of overlappings. The new forms generated by variation that are remote from the original motive produce imbalance. Restoring balance demands that the piece show how new intervals in remote forms also appear (though less saliently) in the basic overlapping, its constituent overlappings, or other overlappings of its motives and their varied forms. In other words, balance occurs when the piece demonstrates that the set class of a remote form also contains either the basic overlapping or one of those other kinds of forms that are closely related to it.

The opening phrase of "Seraphita," the first song in Schoenberg's *Four Songs*, Op. 22, illustrates a few of the terms and concepts just introduced (see Example 14). The *Grundgestalt* of "Seraphita" comprises all the features of the initial clarinet phrase, including pitch and duration successions as well as the ordered pitch interval succession <+1, -9, +1, +3, -1, -3, -1, +3>, which is the basic overlapping. This is a "basic overlapping" in the following sense: the basic motive of "Seraphita" is a group of eight successions, different combinations of pitch interval 1 with pitch interval 3, which I call Category A in this article and elsewhere[27] (see Table 5, which lists the motive-forms in Category A and illustrates several variations that they can undergo). The basic

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more motifs and their more or less varied repetitions." (Preface to *Composition with Twelve Notes*: vii.)

This article defines motivic overlappings in atonal music as well as motives and motive variations in terms of ordered pitch interval successions, so that, from the perspective I am adopting here, pitch and duration successions can represent motives, but are not motives themselves.

[27] Jack Boss, "Schoenberg's Op. 22 Radio Talk and Developing Variation in Atonal Music," *Music Theory Spectrum* 14/2 (1992): 125-149; *idem*, "Schoenberg on Ornamentation and Structural Levels," *Journal of Music Theory* 38/2 (1994): 187-216.

Table 5. The basic motvie in "Seraphita" (Category A) and its variations.

Category A:

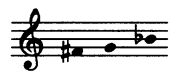
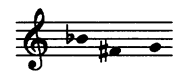
<+1, +3>	<+3, +1>	<-1, -3>	<-3, -1>
<-1, +3>	<-3, +1>	<+1, -3>	<+3, -1>

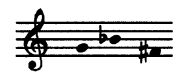
Variations on Category A forms:

1. Octave complementation (produces Category B forms)

<+1, +3> → <-11, +3>
→ <+1, -9>
→ <-11, -9>

2. Pitch reordering (produces Category C forms)

<+1, +3> →  →  → <-4, +1>

→  → <+3, -4>

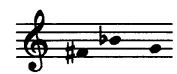
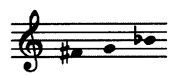
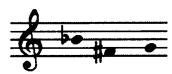
→  → <+4, -3>

Table 5 (continued). The basic motive in "Seraphita" (Category A) and its variations.

3. Interval expansion (produces Category D forms)

<+1, +3> → <+1, +4>
→ <+2, +3>
→ <+2, +4>

4. Pitch reordering plus octave complementation (produces Category C2 forms)

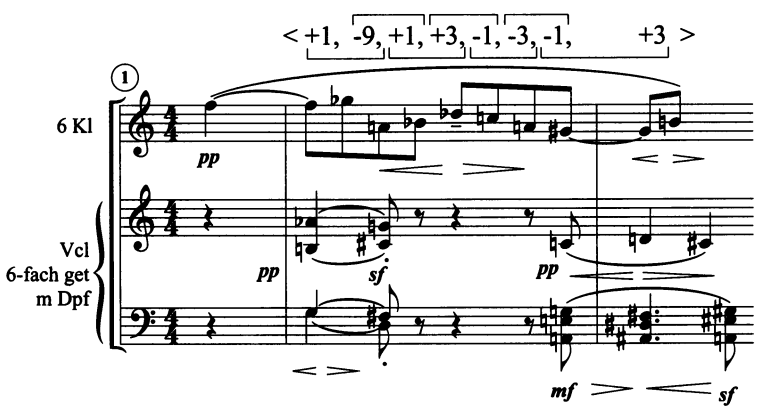
<+1, +3> →  →  → <-4, +1> → <+8, +1>
→ <-4, -11>
→ <+8, -11>

5. Interval expansion plus octave complementation (produces Category D2 forms)

<+1, +3> → <+2, +4> → <-10, +4>
<+2, -8>
<-10, -8>

overlapping in "Seraphita" is a chain of motive-forms, created by overlapping five forms from Category A and two forms, <+1, -9> and <-9, +1>, which result from octave-complementing one interval in a Category A form. Thus the clarinet phrase introduces the basic motive as well as a variation of it. The octave-complemented forms are called Category B.

Example 14. Schoenberg, "Seraphita," Op. 22, mm. 1-2.



Now, this article will not focus on how variations of the basic overlapping or segments of it produce imbalance in "Seraphita." In this particular song, variations of another overlapping, closely related to the basic motive, play a more obvious role in creating imbalance, and hence balance is restored by the appearance of the related overlapping in its original form. If we take the Category A form <-3, -1> and overlap it with a variation of another A form which expands the second interval by semitone <-1, -4>, we get <-3, -1, -4>, an overlapping which is prominent in "Seraphita" as an ordered pitch interval succession and whose set class, 4-19 (0148), is even more pervasive in the song. Forms produced by expanding one or both intervals of the basic motive are called Category D. Similar overlappings of Category A and D forms such as <+3, +1, +4>, <+4, +1, +3>, and <-4, -1, -3> also belong to the same set class, 4-19. Example 15 illustrates some variations and presentations of this overlapping in "Seraphita," and indicates how each is derived. Please note that the derivations include some

variation processes we have not yet discussed: for example, octave-complementing one or both intervals of an interval-expanded, Category D form (this is called Category D2), and several variations on *overlappings* of motive-forms such as reordering their pitches, octave-complementing their intervals or octave-compounding their intervals. In addition, some of the varied and unvaried overlappings are presented vertically, as ordered pitch interval successions up from the bass note.

Some comments on Example 15: The verticals in the 'cello accompaniment to the end of the *Grundgestalt* and beginning of the following phrase, Forms 1-3 in Example 15, create problems very much like those caused by the repetition of the opening phrase in G♭ in the "Appassionata." The listener might ask: what are the motivic overlappings from which these sonorities are derived? How closely are they related to the basic overlapping? And what roles do the non-motivic ordered pitch intervals in these sonorities (that is, intervals not in classes 1 or 3) play in such motivic overlappings? A passage at m. 10 in the violins (Form 4 in Example 15) provides what could be interpreted as a solution, had it been more sharply defined as a segment. A member of interval class 5 (-5) arises between the second and fourth pitches in a pitch representation of <-3, -1, -4>, the original overlapping of Category A and D forms. Foreign intervals such as +5 and +7 in forms 1-3 of Example 15 are other representatives of the ic 5 which must occur once in this overlapping, regardless of whether it is subsequently varied by octave complementation or reordering. Form 4 would have provided similar explanations for the other foreign intervals in Forms 1-3.

The solution provided by measure 10 is not marked clearly enough to restore balance, however, so the piece continues to present variations of the same overlapping throughout the first 41 measures. Forms 5-10, which come about by interval expansion and octave complementation of Category A forms and by reordering pitches and compounding intervals in motivic overlappings, present new intervals and many new combinations of old and new intervals.

The song conclusively asserts the origins of all the new intervals and combinations and restores balance in mm. 42-45 (constituting a synthesis in the compositional dialectic of "Seraphita" by uniting the basic motive, Category A, with the various members of set class 4-19 that seemed unrelated to it.) In these measures, <-3, -1, -4> appears prominently twice, as well as <-4, -1, -3> and <+4, +1, +3>. Balance in the motivic realm and a sense of repose in the text occur together only with the last of these, Form 14 in m. 51. The <+4, +1, +3> in the unison clarinets, recalling the *Grundgestalt*'s instrumentation at the beginning of the song, lines up almost exactly with the words "neige einmal" ("stoop down but once") in the third line of the third stanza.[28] This is a plea to the poet's beloved who is resting in a serene "abiding-place," while he struggles "tempest-tost" in a stormy sea.[29]

However, these presentations of the three-interval overlapping in original forms in mm. 42-51 do not conclude the piece's dealings with this motive. The last four pitches of the voice part (Form 15), constitute a varied recurrence of the motive, on the words "letzten leeren Streit" ("last vain fight"). A return to imbalance at the end of the song suggests that other incentives besides the requirement for chronological sequences of imbalance and balance influence the unfolding of the musical idea and the choice of variations.

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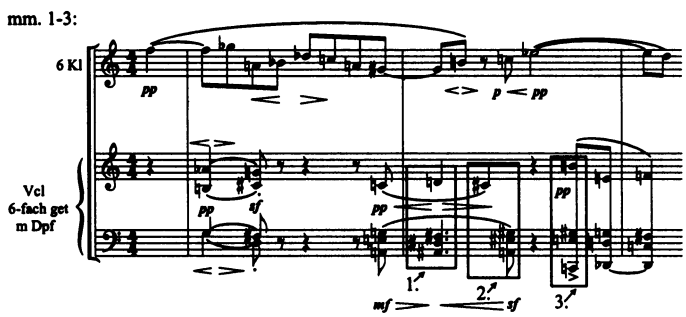
[28] Though this <+4, +1, +3> motive is not so clearly marked as the forms in the brass instruments that precede it, its association with the words "neige einmal" do mark it for segmentation, as does the relatively long (dotted quarter) B♮ that introduces it.

[29] Many commentators on Dowson's poetry and prose have suggested that many of his female characters are idealizations of Adelaide Foltinowicz, whom Dowson met when she was 12, and with whom he carried on a love affair for six years before she was married to someone else in 1897 (and before Dowson succumbed to the tuberculosis that had been plaguing him for years in 1900). The collection in which "Seraphita" was first published, *Verses* (1896), bears a dedication to Adelaide. I believe the poem ought to be interpreted as autobiographical, a supplication to Adelaide from a physically-deteriorating Dowson, not an allegorical plea to the moon or heavens. See Mark Longaker, *Ernest Dowson* (Philadelphia: University of Pennsylvania Press, 1945); also Thomas Burnett Swann, *Ernest Dowson* (New York: Twayne, 1964).

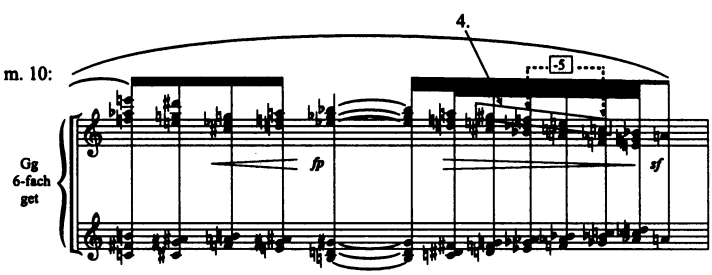
Example 15. Fifteen variations of an overlapping of Category A and D forms that manifest the Gedanke *in "Seraphita."*



1. <+5, +3, +8 > SC 4-19
Overlapping of A and D forms <+4, +1, +3 > followed by pitch reordering and interval octave complementation.

2. <+8, +3, +5 > SC 4-19
Overlapping of A and D forms <+3, +1, +4 > with reordering and interval octave complementation.

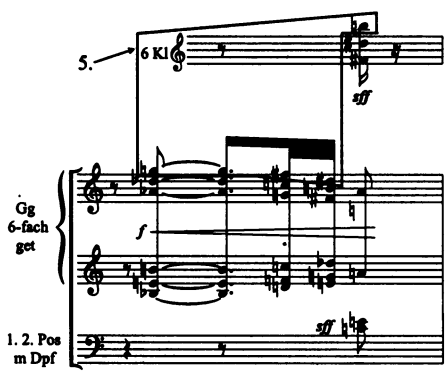
3. <+16, +4, +15 > SC 4-19
Overlapping of A and D forms <+3, +1, +4 > with reordering, octave complementation, and interval compounding.



4. <-3, -1, -4 > SC 4-19
Overlapping of A and D forms.

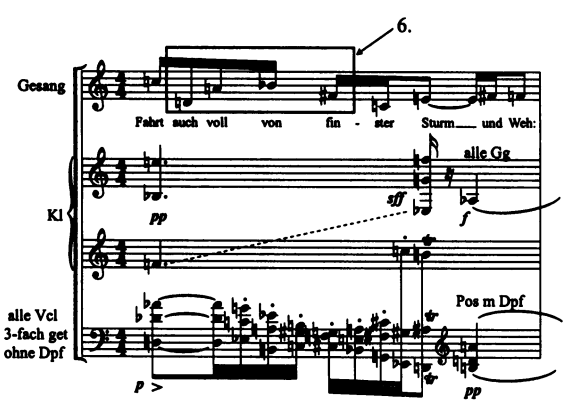
Example 15 (continued). Fifteen variations of an overlapping of Category A and D forms that manifest the Gedanke *in "Seraphita."*

m. 11:



5. <-1, -3, +8 > SC 4-19
Overlapping of A and D forms <-4, -1, -3 > with reordering.

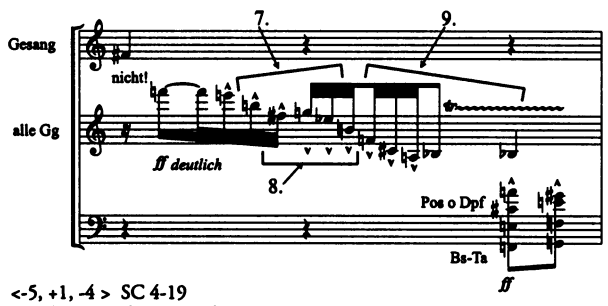
m. 23:



6. <+7, +1, -4 > SC 4-19
Overlapping of A and D2 forms <+3, +1, -8 > with reordering.

Example 15 (continued). Fifteen variations of an overlapping of Category A and D forms that manifest the Gedanke *in "Seraphita."*

m. 26:

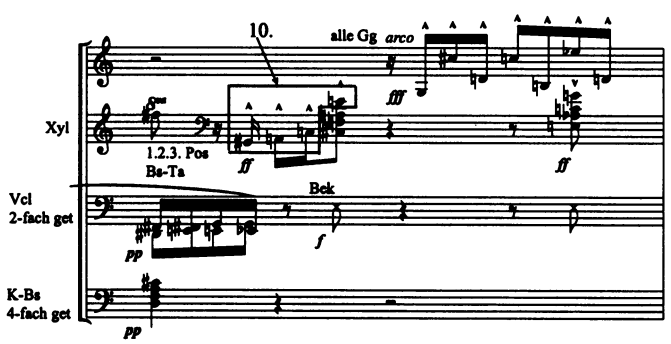


7. <-5, +1, -4 > SC 4-19
Overlapping of A and D forms <-4, -1, -3 > with reordering.

8. <+1, -4, -4 > SC 4-19
Overlapping of A and D2 forms <+8, -1, -3 > with reordering.

9. <-4, -4, +1 > SC 4-19
Overlapping of A and D2 forms <-8, +1, +3 > with reordering.

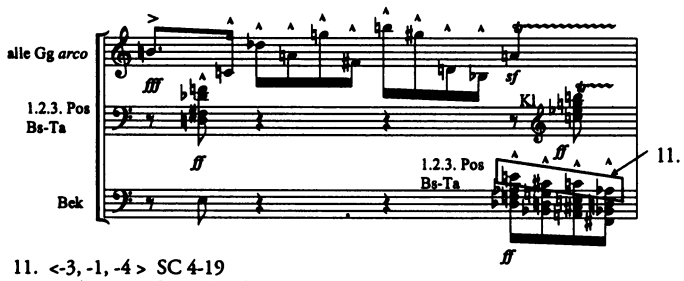
m. 41:



10. <+1, +3, +16 > SC 4-19
Overlapping of A and D2 forms <-8, +1, +3 > with reordering and interval compounding.

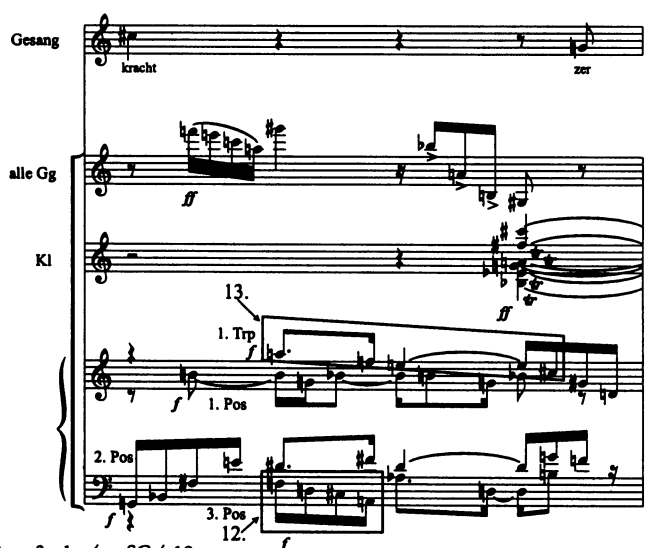
Example 15 (continued). Fifteen variations of an overlapping of Category A and D forms that manifest the Gedanke *in "Seraphita."*

m. 42:



11. <-3, -1, -4 > SC 4-19
Overlapping of A and D forms.

m. 46:

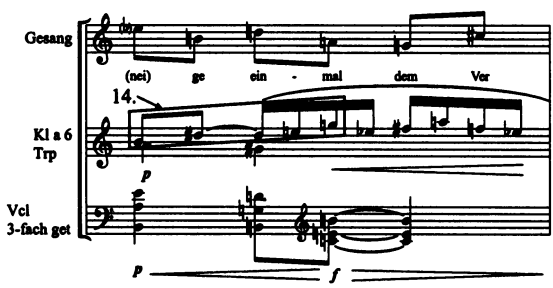


12. <-3, -1, -4 > SC 4-19
Overlapping of A and D forms.

13. <-4, -1, -3 > SC 4-19
Overlapping of A and D forms.

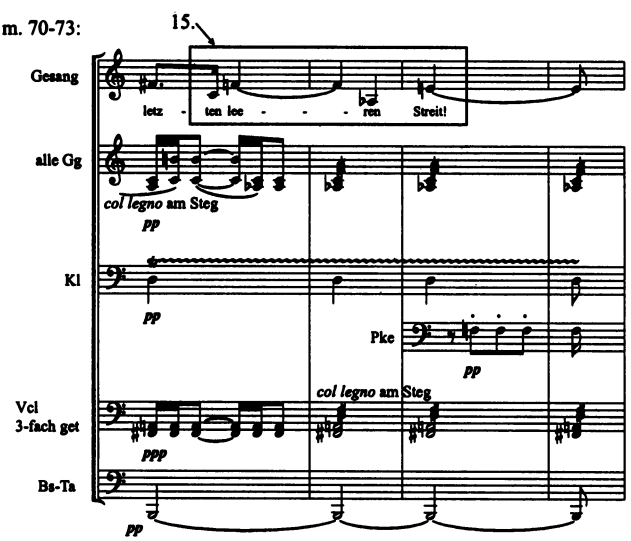
Example 15 (continued). Fifteen variations of an overlapping of Category A and D forms that manifest the Gedanke *in "Seraphita."*

m. 51:



14. <+4,+1, +3 > SC 4-19
Overlapping of A and D forms.

m. 70-73:



15. <+5, -9, +8 > SC 4-19
Overlapping of B and D forms <+4, +1, -9 > with reordering.

❖ ❖ ❖

This article will finish with a few observations on how musical form and text-painting interact with and influence the manifestation of "Seraphita's" idea. Schoenberg maintains in several of his writings that the purpose of form in music is to make the idea comprehensible.

> Form in the arts, and especially in music, aims primarily at comprehensibility. The relaxation which a satisfied listener experiences when he can follow an idea, its development, and the reasons for such development is closely related, psychologically speaking, to a feeling of beauty. Thus, artistic value demands comprehensibility, not only for intellectual, but also for emotional satisfaction. However, the creator's *idea* has to be presented, whatever the *mood* he is impelled to evoke.[30]

I will first discuss three ways in which form assists the composer in making his or her idea comprehensible as a *tonal* piece. First, sections of all sizes may align themselves with stages of the idea's ongoing process, or with each of the different problems or elaborations that promote imbalance in the second stage of the idea (I count the *Grundgestalt* itself as the first stage). In the first movement of Beethoven's "Appassionata," the piece's alternative solutions to the problem concerning proper tonal context for the *Grundgestalt* {A♭, D♭, C} provide the tonalities for the first and second themes of the exposition. Also, the initial contrast between I and ♭II in F minor, which gives rise to the problem about G♭'s role in the tonality, is made clearer by setting the "dominant form" or repetition of the piece's initial sentence structure in G♭ major (refer again to Example 1, mm. 5-8).

Another attribute of form that aids idea comprehension is identified by Schoenberg in the following quotation: "Repetition is one of the means (in presenting an idea) to promote the comprehensibility of the idea presented."[31] The tonal composer can use repetition to heighten imbalance or make a solution more

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[30] Schoenberg, "Composition with Twelve Tones," *Style and Idea*, rev. paperback ed., 1984: 215.

[31] Schoenberg, *The Musical Idea*, trans. Carpenter and Neff: 299.

conclusive. The "Appassionata" movement provides an excellent example of the latter use (refer to Example 3 again): Beethoven's reassimilation of G♭ into the F minor tonality as scale degree $\hat{6}$ of the subdominant occurs in the recapitulation at mm. 180-86, during the transition between second and closing themes. These measures recapitulate mm. 41-50 in the exposition, where the identification of B𝄫, $\flat\hat{2}$ in A♭, as $\hat{6}$ of A♭'s subdominant D♭ had already hinted at G♭'s role.

In addition to these two ways of aiding comprehensibility of the idea by making its outline clearer, let us consider how form makes a tonal idea easier to grasp by "fleshing it out": by filling in details of motivic variation within the outline emanating from the idea. Quite often, a specific succession of motive-forms within a formal unit cannot be explained merely through recourse to the idea, but instead is designed in such a way that it enables that formal segment to fulfill its function within the whole musical form (which in turn manifests the idea).[32] A good example is the opening of Beethoven's Piano Sonata Op. 2, No. 1 (Example 16). In this passage, since the second stage of the musical idea involves creating and elaborating problems, one strategy that would satisfy the demands of idea would be to make the succession of motive-forms increase continually in remoteness from the original motive,

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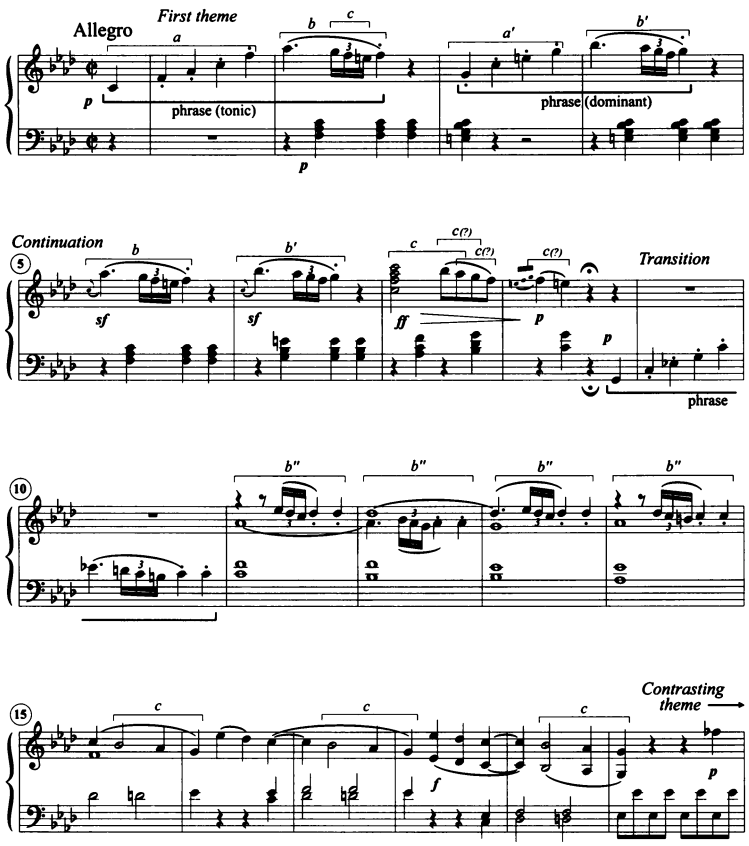
[32] Schoenberg in his writings throughout his career strongly emphasizes the notion that each section of a piece has a function that determines its characteristics (including motivic ones). The quotation from his "Musical Idea" MS given below is typical:

> Above all, a piece of music is (perhaps always) an *articulated organism* whose organs, members, carry out specific functions in regard to both their own external effect and their mutual relations. . . . Members are parts that are equipped, formed and used for a special function. It is clear that the legs of a table make it stand; hence they must be made from suitably stable, inflexible material; they will undoubtedly have to be the same length and, reasonably enough, less large and heavy than the top; third, they had better be situated not above but below the top. [Schoenberg, *The Musical Idea*, trans. Carpenter and Neff: 119]

This quotation does not complete the analogy by detailing the characteristics certain kinds of musical sections must have to fulfill their functions, but there is a substantial amount of material on "Elements of Form" elsewhere in the MS that does just that, as do many of the chapters in *Fundamentals of Musical Composition.*

Example 16. Beethoven, Piano Sonata, Op. 2, No. 1/I, mm. 1-20



creating and compounding problems as it went. Instead, Beethoven seems to create two such increases; at mm. 9-10 the piece goes back to a transposition of the original presentation or tonic phrase, and the process of creating ever more remote forms begins over again. We can begin to explain this by noting that mm. 1-8 are the sonata's opening sentence. The increase in remoteness within this sentence serves an important function: it enables the sentence to come to a cadence by halting the motivic variation. This remoteness increase is a "liquidation" (Schoenberg's term), which reduces the sentence's presentation (mm. 1-2) to

motive b (in m. 5) by omitting its initial arpeggio, then reduces motive b to motive c (mm. 7-8) through further omissions. By the time we get to motive c, the features which made the presentation and motive b able to retain their identity under variation (like their metrical contexts and melodic contours) have been reduced away. Hence motive c is less susceptible to further variation than its predecessors, and the cadence becomes necessary.[33] At the same time, the increase in remoteness enables the opening sentence to look forward to the rest of the movement as a continuation, since the initial sentence neither explains its later motivic transformations' relationship to its original motive nor does it repeat its original motive.

In mm. 9-10, a new formal unit begins, the transition to the contrasting theme, so a form close to the motivic source comes back, a transposition of the presentation. The piece follows that transposition with a second process of motivic reduction and liquidation, not preparing for a cadence this time, but breaking down the first theme to prepare for the introduction of a related second theme. Even though the functions within the overall form of mm. 1-8 and 9-20, opening sentence and transition, call for two increases in remoteness, the two increases still project the general direction of the idea's second stage toward more remote forms, so that they "flesh out" the idea rather than redirecting its course.

We have seen that in tonal music, the need to make idea comprehensible motivates form, while form in turn motivates some of the specific motive transformations. In Schoenberg's atonal and serial music, the role of form is similar. Reflecting what seems to be his teacher's *modus operandi*, Rufer begins his chapter of *Composition with Twelve Notes* on musical form with the following statement:

> In a work of art, form is never an end in itself, but always merely a means to the end of presenting the content of the work; thus the form depends on the content and the way in which the latter is represented.[34]

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[33] This view of the opening sentence of Beethoven's Op. 2, No.1 sonata is based on Schoenberg's analysis in *Fundamentals of Musical Composition*: 63.

[34] Rufer, *Composition with Twelve Notes*: 166.

Divisions of atonal forms line up with stages and substages of the idea; the repetition inherent in certain forms serves to heighten imbalance or predict or underline a conclusion; and form fills in the idea's outline by motivating specific transformations that were not called for by that outline itself. "Seraphita" and the two serial pieces discussed above will provide examples of some of the ways in which form makes the atonal idea comprehensible.

An example of a formal division lining up with a stage of the idea is provided by Stanza 3 of "Seraphita." "Seraphita's" idea has already been characterized, in the description of the forms belonging to set class 4-19 in Example 15, as having four stages. Schoenberg first presents the *Grundgestalt*, then promotes imbalance through variation that introduces new interval classes, then restores balance by demonstrating (by means of examples) how these foreign interval classes can be formed non-consecutively in overlappings of motive-forms, and finally returns to remote forms and imbalance. The three-interval form that makes the most conclusive assertion about the origins of foreign interval classes is <+4, +1, +3> in the *Hauptstimme* in m. 51 (Form 14 in Example 15). This form, the culmination of the third, balance-restoring stage in the *Gedanke*, appears just before the end of the third stanza, thus near a formal juncture. (In "Seraphita," all of the principal formal divisions are aligned with stanzas of the poem.)

As we have already seen, the opening movement of the Wind Quintet exemplifies a similar correspondence between formal divisions and stages of the idea: remember that the dialectic involving whole-tone fragments and ic 5 runs its course twice, first in the exposition and development, then again in the recapitulation and coda. And in Mead's apparent dialectic of compositional strategies in "'Tonal' Forms," the opposing strategies are aligned with exposition and development, while the synthesis becomes obvious when I_0 appears at the beginning of the recapitulation's second theme.

Since "Seraphita" is through-composed, it does not provide examples of large-scale repetition's contribution to making the idea comprehensible. (A small-scale illustration was provided by the *Fantasy* excerpt in Example 13.) But the song contains at least one

example of how a certain kind of formal unit justifies specific motive variations that would not be directly explainable as manifestations of idea. Example 17 analyzes the voice part and unison clarinet *Hauptstimme* in the second section of Stanza 3, mm. 48-53.

One way in which form influences motive variations in the voice in Stanza 3, section 2 is to call for an abrupt change in remoteness to mark the beginning of the section. The motive labeled A1 accomplishes this: it is a much more complex and remote transformation of the song's original motives than its predecessors, X and Y from section 1 (see Example 18). Motive A1 is derived from Category-A motives <+1, +3> and <-3, -1>, by reordering pitch representatives of the former to get <+4, -3> and interval-expanding the latter to produce <-3, -2> (interval successions resulting from pitch reordering are called Category C). The two variations are then overlapped to form <+4, -3, -2>, and *three* variations are applied to the overlapping to get <-4, -2, -11>. The motive labeled X, on the other hand, comes about by pitch-reordering and interval-expanding A forms, then octave-complementing the results, a much simpler process.[35]

We saw that the remoteness increases in the opening sentence and transition of Beethoven's Op. 2, No. 1 Piano Sonata had enabled those sections to fulfill their unique functions within sonata form while remaining compatible with the demands of the musical idea. There is a decrease in remoteness in the voice in Stanza 3, section 2 of "Seraphita" that has a similar role: it also fulfills demands of a framework other than idea, while at the same time manifesting the third stage of the idea. It manifests the idea by decreasing to Form A10, <-3, +1, -9>, an overlapping of Category-A and B forms that provides answers about foreign interval classes in earlier remote forms belonging to the same set class, 4-3 (0134).

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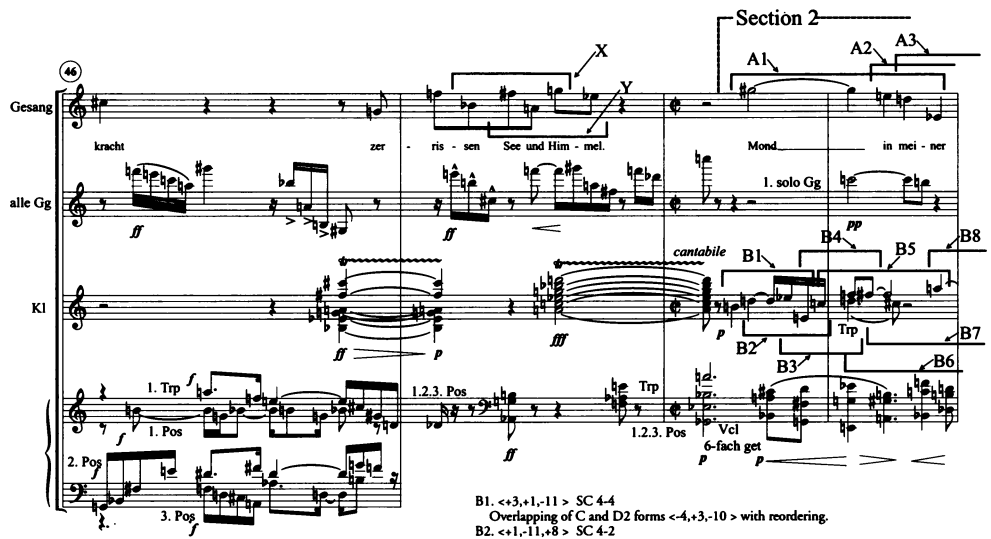
[35] Note that Schoenberg's interest in delimiting Stanza 3, section 2 musically also affects the orchestration: he returns to the combination of the opening measures at this point, clarinets with 'cello accompaniment.

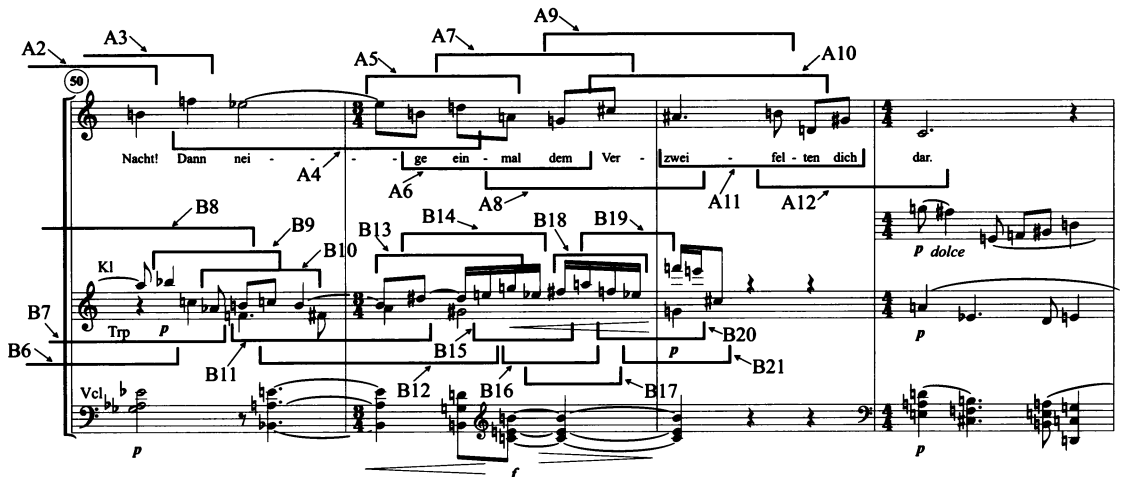
Example 17. Voice and Haupstimmen *in mm. 46-53 of "Seraphita," with derivations and set-classes.*



X. <+8,-9,+10 > SC 4-3 Overlapping of C2 and D2 forms.
Y. <-9,+10,-4 > SC 4-12 Overlapping of D2 forms.
A1. <-4,-2,-11 > SC 4-5
Overlapping of C and D forms <+4,-3,-2 > with expansion to <+5,-4,-2>, reordering, and octave complementation.
A2. <-2,-11,+8 > SC 4-4
Overlapping of C2 and D forms <+8,+3,+2 > with reordering.
A3. <-11,+8,+6 > SC 4-12
Overlapping of B and D2 forms <-3,-11,+8 > with reordering.

B1. <+3,+1,-11 > SC 4-4
Overlapping of C and D2 forms <-4,+3,-10 > with reordering.
B2. <+1,-11,+8 > SC 4-2
Overlapping of B and D forms <+11,-3,+2 > with reordering.
B3. <-11,+8,+5 > SC 4-4
Overlapping of C2 and D forms <+8,+3,+2 > with reordering.
B4. <+8,+5,+1 > SC 4-5
Overlapping of C and D forms <-3,+4,+1 > with expansion to <-4,+5,+1> and octave complementation.
B5. <+5,+1,+3 > SC 4-18
Overlapping of A and D forms <+4,+1,+3 > with expansion.
B6. <+1,+3,+1 > SC 4-7
Overlapping of A forms.
B7. <+3,+1,-14 > SC 4-2
Overlapping of A and D2 forms <-1,-3,-10 > with reordering.
B8. <+1,-14,+3 > SC 4-1
Overlapping of two A forms <+1,-3,+1 > with reordering and compounding.

Example 17 (continued). Voice and Haupstimmen *in mm. 46-53 of "Seraphita," with derivations and set-classes.*

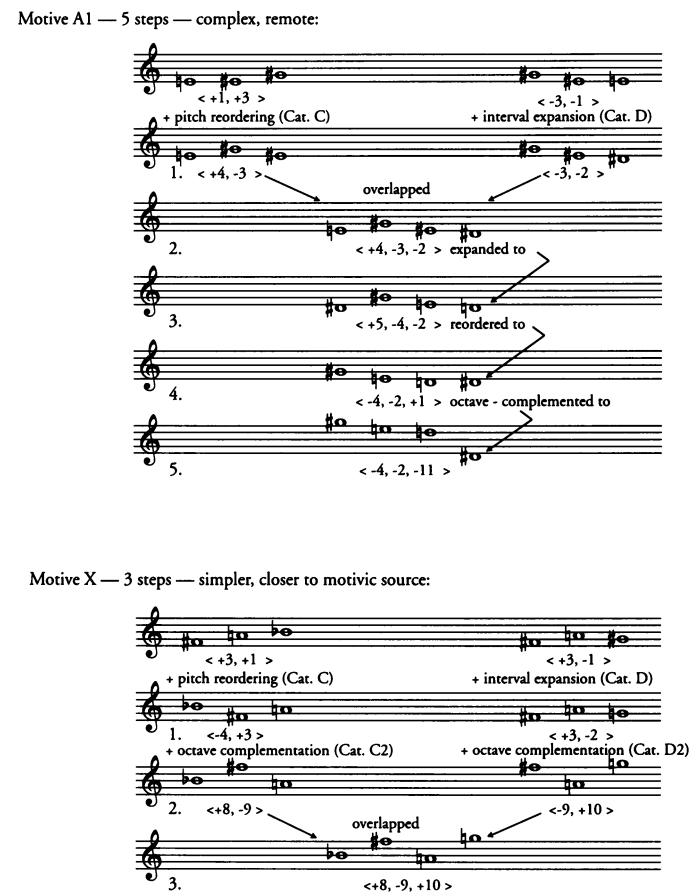


A4. <-2,-4,+3 > SC 4-12
Overlapping of C and D forms.
A5. <-4,+3,-5 > SC 4-Z15
Overlapping of A and D forms <-1,-3,-2 > with reordering.
A6. <+3,-5,-2 > SC 4-22
Overlapping of C and D forms <+3,-4,-2 > with expansion.
A7. <-5,-2,+6 > SC 4-16
Overlapping of D forms <-1,-4,-2 > with reordering.
A8. <-2,+6,-3 > SC 4-12
Overlapping of A and D forms <+3,-1,+4 > with reordering.
A9. <+6,-3,+1 > SC 4-12
Overlapping of A and D forms <-3,+1,-4 > with reordering.
A10. <-3,+1,-9 > SC 4-3
Overlapping of A and B forms.
A11. <+1,-9,+6 > SC 4-12
Overlapping of A and D2 forms <+3,-1,-8 > with reordering.
A12. <-9,+6,-8 > SC 4-12
Overlapping of B and D2 forms <+9,-11,+8 > with reordering.

B9. <-14,+3,+1 > SC 4-2
Overlapping of A and D forms <-2,+3,+1 > with compounding.
B10. <+3,+1,-1 > SC 3-3
Overlapping of C and D forms <-3,+4,-1 > with reordering.

B11. <+1,-1,+4 > SC 3-3
Overlapping of A and C forms <+1,+3,-4 > with reordering.
B12. <-1,+4,+1 > SC 4-7
Overlapping of D forms.
B13. <+4,+1,+3 > SC 4-19
Overlapping of A and D forms.
B14. <+1,+3,-4 > SC 3-3
Overlapping of A and C forms.
B15. <+3,-4,+3 > SC 4-3
Overlapping of C forms.
B16. <-4,+3,+3 > SC 4-12
Overlapping of A and D forms <-3,+1,-4 > with reordering.
B17. <+3,+3,-4 > SC 4-12
Overlapping of A and D forms <-4,+1,-3 > with reordering.
B18. <+3,-4,-2 > SC 4-12
Overlapping of C and D forms.
B19. <-4,-2,+14 > SC 3-8
Overlapping of C and D forms <+3,-4,-2 > with expansion to <+4,-4,-2 >, reordering, and compounding.
B20. <-2,+14,-1 > SC 3-1
Overlapping of B and D2 forms <-2,-9,-1 > with expansion to <-2,-10,-1 >, octave complementation, and compounding.
B21. <+14,-1,-15 > SC 4-2
Overlapping of A and D forms <-1,-3,+2 > with reordering and compounding.

Example 18. Derivations for Motives A1 and X in Example 17.



The framework other than idea, within which a remoteness decrease in the voice in section 2 enables the section to fulfill its unique function, and which motivates the division of Stanza 3 into two sections in the first place, is the text. Schoenberg made some general remarks near the beginning of his radio lecture on Op. 22, which suggest that, in atonal songs, text can take over the role (from tonal forms) of organizing local variation:

Unwittingly, and therefore rightly, I found help where music always finds it when it has reached a crucial point in its development. *This, and this alone,* is the origin of what is called Expressionism: a piece of music does not create its formal appearance out of the logic of its *own* material, but, guided by the feeling for internal and external processes, and in *bringing these to expression,* it supports itself on their logic and builds upon that. No new procedure in the history of music!—at each renewal or increase of musical materials, it is assisted by feelings, insights, occurrences, impressions and the like, mainly in the form of poetry—whether it be in the period of the first operas, of the *Lied,* or of program music.[36]

(In Schoenberg's practice, however, it seems more common for text and form to work together to organize the motivic variation, under the guidance of the musical idea.)

Now, we must recognize that Schoenberg does not advocate composing an atonal song by making the motive variations represent every word of the text from beginning to end. His remarks in "The Relationship to the Text" make this clear:

. . .inspired by the sound of the first words of the text, I had composed many of my songs straight through to the end without troubling myself in the slightest about the continuation of the poetic events, without even grasping them in the ecstasy of composing, and. . .only days later I thought of looking back to see just what was the real poetic content of my song. It then turned out, to my greatest astonishment, that I had never done greater justice to the poet than when, guided by my first direct contact with the sound of the beginning, I divined everything that obviously had to follow this first sound with inevitability.[37]

What Schoenberg calls for here is a text-music correspondence which goes below the surface—not an attempt to depict every individual word, but instead to portray "feelings, insights, occurrences or impressions" that underlie whole sections or subsections. He seems to have had in mind a kind of

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[36] Schoenberg, "Analysis of the Four Orchestral Songs Op. 22," trans. Claudio Spies, *Perspectives on Schoenberg and Stravinsky,* 2nd ed.: 27.

[37] "The Relationship to the Text," *Style and Idea,* rev. paperback ed., 1984: 144.

"middleground" text painting, portraying the mood and/or message of relatively large spans of the text.

Let us consider how variation in Stanza 3, section 2 enables the section to fulfill the unique function of its block of text within the whole poem. The original version of "Seraphita," in English and written by Ernest Dowson, is followed by Stefan George's translation into German in Example 19.[38] Note that George split each of Dowson's stanzas in half. The block of text corresponding to Section 2 of Stanza 3 is the last 1 1/2 lines of that stanza. It has a function different from the first half of the stanza: while the first half describes the terrors of the storm, the last 1 1/2 lines are a plea from the suffering poet to a beloved—calling on that person to "stoop down but once in pity of my great despair." The different functions of text in the first and second halves of Stanza 3 motivate Schoenberg's division of the stanza into two sections (which, in

Example 19. Texts of "Seraphita" in English (Ernest Dowson) and German (trans. Stefan George).

Seraphita

Come not before me now, O visionary face!
Me tempest- tost, and borne along life's passionate sea;
Troublous and dark and stormy though my passage be;
Not here and now may we commingle or embrace,
Lest the loud anguish of the waters should efface
The bright illumination of thy memory,
Which dominates the night: rest, far away from me,
In the serenity of thine abiding-place!

But when the storm is highest, and the thunders blare,
And sea and sky are riven, O moon of all my night!
Stoop down but once in pity of my great despair,
And let thine hand, though over late to help, alight
But once upon my pale eyes and my drowning hair,
Before the great waves conquer in the last vain fight.

Seraphita

Erscheine jetzt nicht, traumverlorenes Angesicht,
Mir windverschlagen auf des Lebens wilder See—
Sei meine Fahrt auch voll von finster Sturm und Weh
Hier—jetzt— vereinen oder küssen wir uns nicht!

Sonst löscht die laute Angst der Wasser vor der Zeit
Das helle Leuchten, deines Angedenkens Stern
Der durch die Nächte herrscht—bleib von mir fern
In deines Ruheortes Heiterkeit!

Doch wenn der Sturm am höchsten geht und kracht
Zerrissen See und Himmel, Mond in meiner Nacht!
Dann neige einmal dem Verzweifelten dich dar,

Lass deine Hand (wenn auch zu spät nun) hilfbereit
Noch gleiten auf mein fahles Aug und sinkend Haar,
Eh grosse Woge siegt im letzten leeren Streit!

[38] Ernest Dowson, "Seraphita," in *The Poetry of Ernest Dowson*, 3rd ed., edited with an introduction by Despond Flower (Rutherford, NJ: Fairleigh Dickinson University Press, 1970): 86. Stefan Georg, "Seraphita," in *Werke: Ausgabe in zwei Banden*, Vol. 2, 4th ed. (Stuttgart: Klett-Cotta, 1984): 364.

turn, motivates the increased remoteness levels in the voice at m. 48: Motives A1, A2, etc.). But the function of the second half within the whole poem—a moment of imagined resolution for the poet as the beloved stoops down to touch him—is beautifully portrayed by the forms in the voice that decrease to "Verzweifelten" on Form A10, then increase again. (Refer again to the list of motive-forms in Example 17.) The forms in the *Hauptstimme* in section 2 also trace a stooping motion (particularly between Forms B8 and B15), which reaches its low point simultaneously with the words "neige einmal." One series of forms reveals the object of the beloved's stooping gesture ("Verzweifelten"), the other highlights the action-describing words in the line ("neige einmal"). Meanwhile, other features of the music besides motive transformation reinforce the "stooping" quality of the passage. The voice traces a downward contour through mm. 50-53, from F5 to C4, and the dynamics in the orchestra change abruptly from the ***fff*** of m. 47 to the ***p*** of m. 48. As already mentioned, the instrumentation in m. 48 circles back around to the beginning of the song (clarinets and cellos), a much gentler texture than the brass-dominated combination of mm. 46-47.

Thus, the text in "Seraphita" influences local motive variations in two ways, paralleling the influence of the sonata-form framework in Beethoven's Op. 2, No. 1 (and also the sonata-form framework in Schoenberg's Op. 26, I, though we will not discuss this in detail). The text determines points where sections should begin and end, which are then signaled by abrupt increases and decreases in remoteness. The text also controls variation within a section, compelling the motivic variation to represent the function of that section's text within the whole poem. Beyond the middleground text-music correspondences suggested by the above quotations from Schoenberg and exemplified by the analysis in Example 17, there is also a more global correspondence between the four stages of the idea behind "Seraphita" and the general outline of conditions in the poem (so that in this case, Schoenberg is able to *both* follow the text's outline *and* "create the formal appearance out of the logic of his initial material"). In the first two stanzas of George's translation, the poet describes his "tempest-tost" state and his

beloved's "serene" state, warning her to keep her distance. This corresponds to Schoenberg's second stage, which presents remote variations highlighting foreign interval classes. The poet's plea to "stoop down but once in pity of my great despair" is the first indication that poet and beloved may be united (if only in imagination), and comes at the end of the third stanza, which corresponds to Schoenberg's balance-restoring third stage. But the beloved's touch does not ultimately lead to a permanent union, as the "great waves conquer in the last vain fight," during the fourth stanza and fourth stage where Schoenberg returns to remote forms.

This article has attempted to show that an adaptation of Schoenberg's concept of "musical idea" provides an effective general framework for motivic variation in the opening movement of Op. 26 and in "Seraphita." It has also shown different ways in which this framework interacts with the musical form of the Quintet movement and with the song's musical form and text. Such a framework, if used by the analyst and listener, can help them organize Schoenberg's atonal and serial music in terms of its relation to a central process (or processes). Schoenberg's writings make it very apparent that he intended his music to project some coherent process from beginning to end. Discovering what this process, this musical idea, is in each of his atonal and serial works will help us to appreciate better his work and his place in the evolution of music.