

ENCOUNTERING MUSIC ANALYSIS: STRUCTURE, PERFORMANCE, TEXT AND BEYOND

Festschrift for Lauri Suurpää



*Edited by Markus Mantere,
Inkeri Jaakkola and
Cecilia Oinas*



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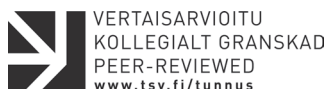
Encountering Music Analysis: Structure, Performance, Text and Beyond

ENCOUNTERING
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STRUCTURE,
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TEXT AND BEYOND

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Introduction

In May 2025 it has been 25 years since Lauri Suurpää was appointed Professor of Music Theory at the Sibelius Academy. This Festschrift honors the milestone and Suurpää's long and distinguished academic career. We also take the opportunity to look back on our professional journey together over the past years. For us such memories have been accumulated in different contexts and in different roles. Perhaps the most obvious is teaching. Lauri's research and teaching career at the Sibelius Academy has been long and fruitful. Among others, he has supervised the doctoral and master's theses of Cecilia Oinas and Inkeri Jaakkola, the editors of this anthology. The colloquial collaboration with Markus Mantere is more recent and focuses on doctoral education and scholarly publishing—for example in the editorial board of the DocMus Research Publications series. Lauri was kept in the dark about this book until the last few months before its release, and had no part in the selection of contributors, recruitment of reviewers, and so on.

Lauri's musical background is in the performing arts and he began his studies at the Sibelius Academy as a guitarist. This background, together with an appreciation of musical performance and artistry, is one of his professional assets as a music theorist and part of his research profile. After graduating with a degree in guitar (1989), he continued his studies at the Department of Composition and Music Theory, where he became acquainted with Anglo-American research literature, including Schenkerian analysis, which at the time was only available through short courses offered by visiting American scholars, and small, often informal studies of the subject taught by Risto Väisänen (1947–2018) and Eero Hämeenniemi.

The decision to go to New York in 1995 to study with Carl Schachter proved to be a crucial one for Lauri Suurpää's research career. The tutelage of a leading authority in Schenkerian studies and networking with the international research community provided

him with an almost unique set of skills in the Nordic context at that time. His Licentiate thesis *Schenker and Past Texts of Music* (1993) already demonstrated his mastery of the new theory, which was then further explored in his doctoral dissertation *Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Tonal Structure* (1997).

In Lauri's case, Anglo-American research networks have only deepened over the decades, as the list of contributors to this book attests. Lauri's scholarly publications have also reached out to the English-speaking music research community. Among others, the most prestigious publications in the field, such as *Music Theory Spectrum*, *Music Analysis*, *Journal of Music Theory*, *Music Theory and Analysis*, and *Journal of Schenkerian Studies*, have served as publication platforms for Lauri's work.

As a researcher, Lauri's meticulous, stylistically and culturally informed approach to music is sensitive to even the smallest details. Since his doctoral thesis, his work has shown an interest in the narrative and semiotics of music. This feature also brings his work into dialogue with contemporary musicological and music historical research, which is particularly welcome in our times of fragmentation and specialization in the academic research of music. The meaning, narrative, and dramaturgy of music are qualities that interest academic musicology across disciplinary boundaries, and music theory's empirical focus on the material and structure of music is often its epistemological asset. In Lauri's work, this is reflected in his historical interest in the rich cultural fabric and webs of meaning of his special field, the so-called long nineteenth-century cultural history of music (e.g. Goethe, Schiller, Hoffmann), which is nevertheless approached on the basis of empirical data and a solid music-theoretical methodology. For example, in the monograph *Death in Winterreise: Musico-Poetic Associations in Schubert's Song Cycle* (2014), a detailed musical and poetic analysis is linked to Greimas's semiotic narrative theory, but also, from a broader cultural perspective, to the early romantic history of ideas surrounding Schubert.

Although Suurpää has distinguished himself in Anglo-American and Nordic music theory communities as a representative of

Schenkerian analysis, it is easy to see that this method is almost always a tool for him in his search for meaning and new interpretations of music. From the structuralist background of his dissertation—represented in the work by the influence of Vladimir Propp, Roland Barthes and, of course, Schenker—Lauri has diversified and broadened his theoretical perspective towards semiotics and social history. An example of the latter approach is the forthcoming *Public and Private Modes of Musical Discourse: Haydn's London Symphonies and Late String Quartets*. In this work, which will be published by Indiana University Press in the next few months, Lauri examines a selection of Haydn's works from the perspective of the structural and expressive conventions of the genre, highlighted by the writings of contemporary theorists (Koch, Mattheson), on the one hand, and the expressions of signs and stylistic features of public and private in relation to eighteenth-century social concepts, on the other. Such a study is, by its very nature, a fundamental study of music theory, but at the same time it opens up new perspectives in the study of music history, where the empirical analysis of works often plays a lesser role.

Lauri Suurpää is a respected colleague within the Sibelius Academy, whose contributions to research training, scholarly publishing, and various administrative positions have been significant over the years. This activity reflects his general appreciation of the scientific community, his belief in the need for scholarly dialogue and the advancement of knowledge through research. This scholarly ethos is also reflected in his former membership in the Committee for Cultural and Social Research of the Academy of Finland, his position of a Docent at the University of Turku, and his numerous invited speeches and articles for the professional community, for example at the Science Days organized by the University of Helsinki or in the journal *Tieteessä tapahtuu*. He has also worked as an advisor, supervisor and reviewer of scientific publications in Finnish universities and international contexts.

* * *

The authors of this anthology are either Lauri's international colleagues or researchers whose dissertations Lauri has supervised.

When we invited them to contribute to this book, the response was invariably positive. All colleagues, young and old, responded with testimonies of Lauri's professional merits, together with testimonies of a warm friendship that has grown and deepened over the years. We, the editors, would like to thank all the authors: their contributions have made it possible to produce an interesting, thematically diverse and theoretically ambitious scholarly book that will undoubtedly find its readers throughout the Anglo-American and Finnish music theory communities. We would also like to thank the two reviewers of the anthology and the DocMus Research Publications series of the Sibelius Academy of the Arts for accepting the work for production.

The contents of this Festschrift reflect the cornerstones of Lauri Suurpää's research: the diversity of methods and the historically broad time span of the research topics. Just as Lauri's research covers a wide range of music from J.S. Bach to Jean Sibelius, the range of composers in this collection of articles extends from Domenico Scarlatti to Arvo Pärt.

In the first section of the book, "Analyzing Instrumental Music," the authors examine tonal music from the perspectives of voice leading and form. Poundie L. Burstein discusses chamber music works by Beethoven in which the musical motifs of the opening theme are interpreted comically or even parodically in the finale of the composition. Jonathan Dunsby discusses Domenico Scarlatti's well-known Sonata in B Minor (K. 87), raising questions of performance and analysis from historical, motivic, and tonal perspectives. According to Dunsby, the work combines a *stile antico* style, already considered old by Scarlatti's time, with a modern keyboard aesthetic, anticipating a harmonic idiom more associated with Romanticism. In his chapter, Robert Hatten shows how, in the first movement of Joseph Haydn's Piano Sonata in C Major (Hob. XVI/50), sonata form is in constant dialogue with a hierarchical and texturally transformative variation of textures, characters, and themes. In this way, the composition takes shape as a multidimensional whole within the limits and possibilities of the sonata form convention. In his interpretation of J.S. Bach's Invention in C major, Olli Väisälä combines Schenkerian voice-leading structure with an examination of contra-

puntal operations. Inkeri Jaakkola discusses Erik Tulindberg's String Quartets, whose structures reflect both the conventions of the period and the composer's personal strategies. Julian Horton examines the role and positioning of structural cadences in Anton Bruckner's symphonies in terms of form, thematic material, and symphonic cycle.

The articles in the second part of the anthology, "Text and Music", take an interdisciplinary approach to the works analyzed, thus combining the knowledge generated by music analysis, narratology and poetic analysis—without forgetting the historical context. Sakari Ylivuori presents his interpretation of the relationship between text and music in Jean Sibelius's choral composition *Sandels* (op. 28). Anna Pulkkis compares the harmony, the structure of the voice leading and the relationship between text and music in the songs composed by Robert Schumann and Ingeborg von Bronsart (1840–1913) to Heinrich Heine's poem "Ich hab im Traum geweinet". Thomas Kirkegaard-Larsen examines the song *Saphire sind die Augen dein* by the Danish composer Tekla Griebel Wandall (1866–1940), drawing on both Schenkerian and post-Riemannian chord function theory. He shows how the "tonal irony" of the work and the ambiguity of the B \flat major and B \flat minor chords can be more clearly crystallized by combining the insights generated by both methods.

The third section of the volume, "Performance, Analysis and Edition," focuses on the sonic realization of music, i.e., performance. Each article approaches this area with its own set of questions. In her chapter, Daphne Leong draws attention to the differences in the rhythmic notation of the second theme of the first movement of Sibelius's Violin Concerto. She discusses the implications of this in terms of both the performers' choices and the overall narrative of the concerto movement. Cecilia Oinas presents editions of Beethoven's Piano Sonata (op. 14 no. 2) that allow the performer to expand his or her understanding of the interpretive possibilities of the work. Juha Ojala brings an ecological perspective to his comparison of the temporality and dramaturgy of Izumi Tateno's, Marita Viitasalo's, and Eero Heinonen's interpretations of Sibelius's piano work *Kuusi* (op. 75). Mieko Kanno describes the reception of contemporary music and the establishment

of the work in the repertoire of modern music using the examples of Arvo Pärt's *Fratres* and Luigi Nono's *La lontananza*. Timo Virtanen discusses Heinrich Schenker's editing and particularly the principles that guided it, which Virtanen regards a combination of Schenker as theorist and performer.

In the closing section of the volume, Markus Mantere scrutinizes the history of Schenkerian analysis in Finnish musicology. Lauri Suurpää is one of the key figures who established the method in Finland. The book concludes with a colloquial essayistic portrait of Lauri by his close colleague Minna Holkkola.

Johdanto

Toukokuussa 2025 on kulunut 25 vuotta siitä, kun Lauri Suurpää valittiin Sibelius-Akatemian musiikinteorian professorin virkaan. Tätä virstanpylvästä ja Lauri Suurpään pitkää ja merkittävää tieteellistä uraa kunnioitamme tällä juhlakirjalla ja muistellemme myös yhteistä ammatillista taivaltamme menneiltä vuosilta. Meille juhlakirjan toimitajille tällaista muisteltavaa on kertynyt eri yhteyksissä ja eri rooleissa. Ehkä kaikkein ilmeisin on opetustyö. Laurin tutkimus- ja ohjaustyö Sibelius-Akatemiassa on ollut pitkäkestoista ja tuotteliasta. Hän on ohjannut toimittajista kahden – Cecilia Oinaan ja Inkeri Jaakkolan – pro gradu -tutkielman ja väitöskirjan. Yhteistyö Markus Mantereen kanssa on tuoreempaa ja painottuu tohtorikoulutukseen ja tieteelliseen julkaisemiseen.

Laurin musiikillinen tausta on esittävän säveltaiteen parissa, ja hän aloitti Sibelius-Akatemian opintonsa kitaristina. Voidaankin perustellusti sanoa, että luonteva muusikkous ja musiikin esittämisen ja taiteilijuuden arvostus on yksi hänen ammatillisista vahvuuksistaan ja osa hänen tutkimuksellista profiliaan. Kitaradiplomin (1989) jälkeen Laurin opinnot jatkuivat sävellyksen ja musiikinteorian osastolla, jossa hän sai tuntumaa angloamerikkalaiseen tutkimuskirjallisuuteen ja uudempiin musiikinteorian virtauksiin, mm. Schenker-analyysiin, josta tuossa vaiheessa oli tarjolla vain amerikkalaisten vierailijoiden tarjoamia lyhytkursseja ja Risto Väisäsen ja Eero Hämeenniemen pienimuotoista, usein epämuodollista aiheeseen perehtymistä.

Päätös hakeutua New Yorkiin Carl Schachterin yksityisoppilaaksi vuonna 1995 oli Lauri Suurpään tutkijan uran kannalta ratkaiseva päätös, ja alan huippuasiantuntijan ohjaus ja kansainväliseen tutkijayhteisöön verkostoituminen toivat hänelle pohjoismaisessa kontekstissa tarkasteltuna tuolloin miltei ainutlaatuisesta osaamisesta. Lisensiaatintutkielma *Schenker ja musiikin menneet tekstit* (1993) todisti jo uuden teorian hallinnasta, mikä sitten väitöskirjassa *Music and*

Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Tonal Structure (1997) kiteytyi tutkimuskysymysten kautta rajatun musiikillisen kokonaisuuden analyysiin.

Angloamerikkalaiset tutkijaverkostot ovat Laurin kohdalla vuosikymmenten mittaan vain syventyneet, mistä tämänkin kirjan kirjoittajakunta osaltaan kertoo. Myös Laurin julkaisutoiminta on painottunut englanninkieliseen musiikintutkimuksen yhteisöön. Muiden muassa alan arvostetuimmat julkaisut, kuten *Music Theory Spectrum*, *Music Analysis*, *Journal of Music Theory*, *Music Theory and Analysis* sekä *Journal of Schenkerian Studies* ovat toimineet Laurin työn julkaisukanavina.

Tutkijana Lauri on musiikin pienimmillekin yksityiskohdille herkkä, huolellinen ja tyyli- ja kulttuurihistoriallisesti asiantunteva. Väitöskirjasta lähtien hänen työssään on nähtävissä kiinnostus musiikin narratiivisuuteen ja semiotikkaan. Tämä piirre tuo Laurin työlle kosketuspintaa myös aikamme musiikkitieteen sekä musiikin historian tutkimuksen suuntaan, mikä on akateemisen tutkimuksen sirpaloitumisen ja erikoistumisen aikana erityisen tervetullutta. Musiikin merkitys, kerronnallisuus ja dramaturgia ovat ominaisuuksia, jotka kiinnostavat akateemista musiikintutkimusta laajasti yli tiederajojen, ja musiikinteorian empiirinen keskittyminen musiikin materiaan ja rakenteeseen on monesti sen epistemologinen etu. Laurin työssä tämä näkyy hänen kulttuurihistoriallisessa kiinnostuksessaan erityisalansa, ns. pitkän 1800-luvun musiikin aatehistorian (esim. Goethe, Schiller, Hoffmann) kulttuuriseen sidoksisuuteen, jota kuitenkin lähestytään empiirisen aineiston pohjalta, solidin musiikinteoreettisen metodologian avulla. Esimerkiksi monografiassa *Death in Winterreise: Musico-Poetic Associations in Schubert's Song Cycle* (2014) yksityiskohmainen musiikki- ja runoanalyysi yhdistyvät Greimasin semioottiseen narratiiviteoriaan mutta laajemmassa kulttuurisessa katsannossa myös Schubertia ympäröineeseen varhaisromantiikan aatehistoriaan.

Vaikka Suurpää onkin angloamerikkalaisen ja pohjoismaisen musiikinteorian piirissä profiloitunut nimenomaan Schenker-analyysin edustajana, on tuo metodi hänelle aina vain työväline musiikin merkitysten ja uusien tulkintojen etsimisessä. Väitöskirjansa strukturalistisesta pohjavireestä – mitä työssä edustaa mm. Vladimir Proppin, Roland

Barthesin ja tietysti osaltaan myös Schenkerin vaikutus – Lauri on monipuolistanut ja laajentanut teoreettista katsantoaan mm. semiotiikan ja sosiaalishistorian suuntaan. Jälkimmäisestä tutkimusotteesta esimerkkinä mainittakoon piakkoin julkaistava *Public and Private Modes of Musical Discourse: Haydn's London Symphonies and Late String Quartets*. Siinä Lauri tarkastelee esimerkkiteoksia genren rakenteellisten ja ilmaisullisten konventioiden näkökulmista yhtäältä aikalaisteoreetikoiden (Koch, Mattheson) kirjoitusten valossa ja toisaalta 1700-luvun yhteiskuntakäsityksiin liittyvien julkisuuden ja yksityisyyden merkien ja tyylipiirteiden ilmaisijana. Tällainen tutkimus on luonteeltaan musiikinteorian perustutkimusta, mutta samalla se avaa myös uusia näkökulmia musiikin historian tarkasteluun, jossa teosten empiirinen tarkastelu on usein vähemmässä roolissa.

Lauri Suurpää on Sibelius-Akatemian sisällä asiantunteva ja arvostusta nauttiva kollega, jonka panos tutkijakoulutukseen, tieteelliseen julkaisemiseen ja erinäisiin hallinnon luottamustehtäviin on ollut vuosien mittaan merkittävä. Näissä yhteyksissä on monesti käynyt ilmi hänen arvostuksensa tiedeyhteisöä, tieteellistä keskustelua ja tutkimuksen kautta saatua tietoa kohtaan. Tällaisesta asenteesta kumpuaava aktiivisuutta osoittavat Laurin aiempi jäsenyys Suomen Akatemian kulttuurin ja yhteiskunnan tutkimuksen lautakunnassa, dosenttuuri Turun yliopistossa sekä lukuisat kutsupuheenvuorot ja yleistajuiset kirjoitukset esimerkiksi Tieteen päivillä tai *Tieteessä tapahtuu* -lehdessä. Hän on myös toiminut vastaväittäjänä, ohjaajana ja tieteellisten julkaisujen vertaisarvioijana niin suomalaisissa yliopistoissa kuin kansainvälisissä yhteyksissä.

* * *

Tämän juhlakirjan kirjoittajat ovat joko Laurin kansainvälisiä kollegoita tai tutkijoita, joiden väitöskirjan Lauri on ohjannut. Kun kutsuimme heitä kirjoittajiksi käsillä olevaan juhlakirjaan, oli vastaanotto poikkeuksetta positiivinen. Kaikki kollegat, nuoremmat ja vanhemmat, korostivat vastauksissaan Laurin ammatillisia ansioita ja kertoivat lämpimästä, vuosien yhteistyössä syvenneestä ystävydestä. Me toi-

mittajat haluamme kiittää kaikkia kirjoittajia: teidän osallistumisenne on mahdollistanut kiinnostavan, monipuolisen juhlakirjan julkaisemisen. Kiitokset myös antologian kahdelle vertaisarvioijalle sekä Taideyliopiston Sibelius-Akatemian *DocMus Research Publications* -julkaisusarjalle teoksen hyväksymisestä tuotantoon.

Juhlakirjan sisältö heijastaa Lauri Suurpään tutkimustyön kulmakiviä: menetelmien monipuolisuutta ja analyysikohteiden laajaa ajakännettä. Samoin kuin Laurin tutkimus kattaa laajan otoksen musiikkia J.S. Bachista Jean Sibeliukseseen, tämän artikkelikokoelman säveltäjävalikoima ulottuu Domenico Scarlattista aina Arvo Pärtiin.

Kirjan ensimmäisessä osassa “Analyzing Instrumental Music” kirjoittajat tarkastelevat tonaalista musiikkia esimerkiksi äänenkuljetuksen ja muodon näkökulmista. Poundie L. Burstein esittelee Beethovenin kamarimusiikkiteoksia, joissa avausosan teeman musiikilliset motiivit saavat sävellyksen finaali-osassa koomisen tai jopa avausosaa parodisoivan tulkinnan. Jonathan Dunsby käsittelee Scarlattin tunnettua h-molli-sonaattia (K. 87) avaten sen esityksellisiä ja analyttisiä kysymyksiä niin historiallisesta, motiivisesta kuin myös äänenkuljetuksen näkökulmista. Dunsbyn mukaan teos yhdistää Scarlattin aikana jo vanhaksi katsottua, *stile antico* -tyyliä moderniin kosketinsoitinestetiikkaan ja ennakoi näin jopa romantiikassa esiintyviä sointukulkuja. Robert Hatten osoittaa, miten Joseph Haydnin C-duuri-pianosonaatin (Hob. XVI/50) avausosassa sonaattimuoto on jatkuvassa dialogissa tekstuuriin, karaktereihin ja teemaan kohdistuvan, hierarkkisen ja tekstuurillisesti muuntuvan variointiperiaatteen kanssa. Näillä keinoin sävellyksestä muotoutuu moniulotteinen kokonaisuus sonaattimuotokonvention rajoitusten ja mahdollisuuksien puitteissa. Tulkinnassaan J.S. Bachin Inventiosta C-duuri Olli Väisälä yhdistää Schenker-analyttisen äänenkuljetusrakenteen ja kontrapunktisten operaatioiden tarkastelun. Inkeri Jaakkola esittelee Erik Tulindbergin jousikvartettoja, joiden rakenteissa toteutuvat aikakauden konventiot, mutta myös säveltäjän persoonalliset ratkaisut. Julian Horton tarkastelee rakenteellisten kadenssien asemaa ja sijoittumista Anton Brucknerin sinfonioissa muodon, temaattisen materiaalin ja sinfoniasyklin näkökulmista.

Juhlakirjan toisen osan “Text and Music” artikkeleissa teoksia lähestytään monitieteisesti, yhdistämällä musiikkianalyysi, narratologia ja runoanalyysin tuottama tieto – historiallista kontekstia unohtamatta. Sakari Ylivuori esittelee tulkintansa tekstin ja musiikin suhteesta Jean Sibeliuksen kuorosävellyksessä *Sandels* (op. 28). Anna Pulkkis vertailee Robert Schumannin ja Ingeborg von Bronsartin Heinrich Heinen runoon “Ich hab im Traum geweinet” säveltämien laulujen harmoniaa, äänenkuljetusrakennetta sekä tekstin ja musiikin suhdetta. Thomas Kirkegaard-Larsen esittelee tanskalaisen Tekla Griebel Wandallin (1866–1940) laulun *Saphire sind die Augen dein*, jonka analyysissä hän hyödyntää sekä Schenker-analyyttistä että post-riemannilaiselle sointufunktioteorialle pohjautuvaa näkökulmaa. Hän osoittaa, miten teoksen “tonaalinen ironia” sekä B-duuri- ja b-mollisointujen monitulkintainen asema ovat selkeämmin kiteytettävissä molempien metodien tuottamaa tietoa yhdistäen.

Juhlakirjan kolmas osa, “Performance, Analysis and Edition”, nostaa keskiöön musiikin soivan lopputuloksen eli esityksen, jokainen artikkeli omasta kysymyksenasettelustaan käsin. Daphne Leong kiinnittää artikkelissaan huomion Sibeliuksen Viulukonsertton ensimmäisen osan sivuteeman rytmинуotinnuksen eroavuuksiin esittely- ja kertausjaksoissa. Hän pohtii tämän seikan vaikutusta sekä esittäjän valintojen että konsertton osan kokonaiskerronnan näkökulmista. Cecilia Oinas esittelee Beethovenin Pianosonaatin (op. 14 nro 2) editioita, joita tarkastelemalla esittäjä voi laajentaa käsitystään teoksen tulkintavaihtoehtoista. Juha Ojala tuo esiin ekologisen näkökulman vertaillessaan temporaalisuutta ja dramaturgian kaarta Izumi Tatenon, Marita Viitasalon ja Eero Heinosen esitystallenteissa Sibeliuksen pianoteoksesta *Kuusi* (op. 75). Mieko Kanno kuvailee nykymusiikin reseptiota ja teoksen vakiintumista ohjelmistoon käyttäen esimerkkeinään Arvo Pärtin teosta *Fratres* sekä Luigi Nonon teosta *La lontananza*. Timo Virtanen kertoo Heinrich Schenkerin editiotyöstä ja sen takana olevista periaatteista, jotka ovat yhdistelmä Schenkeriä teoreetikkona ja esittäjänä.

Antologian lopuksi Markus Mantere valottaa artikkelissaan Schenker-analyysin varhaisvaiheita Suomen musiikintutkimuksen

kentässä. Yksi keskeisistä menetelmää vakiinnuttaneista vaikuttajista on Lauri Suurpää. Kirja päättyy Lauri Suurpään läheisen kollegan ja esihenkilön Minna Holkkolan kuvaukseen Laurista työtoverina ja yliopistoyhteisön jäsenenä.

PART I: ANALYZING INSTRUMENTAL MUSIC

“But First, I’ll Have a Snack!”: Beethoven’s Inter-movement Finale Parodies

L. POUNDIE BURSTEIN

In several of Ludwig van Beethoven’s multi-movement compositions, the outer movements appear to interact in a type of dialog in which crucial elements of the first movement return within the finale. In many cases, features that create a sense of struggle within the first movement seem to be overcome in a heroic fashion or else are succumbed to in a tragic manner when they return in the last movement. The resulting musical narrative often aligns with a sense of heroism or the sublime that is frequently associated with Beethoven.

Another possibility, however, arises when an earnest movement that opens a multi-movement piece is counteracted by a concluding movement that is lighthearted, somewhat chaotic, or perhaps even a bit silly. At times, the expressive contrast between the outer movements that results is heightened by strong motivic connections that link them to one another. In such cases, the finale seems to relive vital aspects of the first movement, but now turning them on their heads in a satirical fashion. Although such inter-movement satire sometimes involves middle movements as well, it is particularly effective when the interaction occurs between the outer movements that serve as the pillars of a multi-movement composition. While not as common as pieces by Beethoven that end heroically, there nonetheless are some fascinating instances in his output where the finale of a multi-movement work by him seems to have fun at the expense of the opening movement.

String Quintet in C, op. 29

For example, consider Beethoven's Quintet for Strings in C, op. 29 (1802). In some ways, the outer movements of this quintet seem to reside in different worlds, since the opening movement is so staid, and the final movement is so carefree. In other aspects, however, these movements are far more similar to each other than is typical within a composition by Beethoven. In particular, their main themes unmistakably resemble one another, and each movement features a prominent and highly unusual modulation to A major (the key of the major submediant) followed by a prominent modulation to F.

Let's examine these movements in some detail. The opening movement begins with a sober main theme whose melody is largely stepwise and legato (Figure 1). Energy picks up during the transition that follows, leading initially to a brief tonicization of A minor (in mm. 25–27). This would appear to set the stage for a *fonte* followed by a half cadence in the key of V (Figure 2a). This standard modulatory gambit for a transition is averted, however. Instead, as though through a force of will, the harmonies sequence upward, thereby echoing the upward sequence of the main theme and preparing for modulation to the key of A major (Figure 2b). A gentle, contrapuntal passage subsequently enters in this key at the start of the secondary theme group (Figure 3).

Figure 1. Ludwig van Beethoven, Quintet for Strings in C, op. 29/I, mm. 1–9 (first violin and cello, only).

The tonal structure of the finale's opening phrase conspicuously resembles the opening phrase of the first movement. In contrast to the restraint of the first movement's main theme, however, the finale's main theme is frenetic. Far from being stepwise and legato, the finale's main theme consists of a choppy melody in which the first two subphrases

1 25 27 transition 2nd th.

(a) Sketch of start of exposition, with hypothetical continuation.

I (v) V/V V

1 25 27 29 31 32 33 41 transition 2nd th.

(b) Sketch of actual exposition mm. 1-41.

I (vi) V/VI VI#!

Figure 2. Op. 29/I, voice-leading sketches

Figure 3. Op. 29/I, beginning of secondary theme (mm. 41-48).

each end with a comically bombastic, mini cadenza played by the first violin (Figure 4).

The finale’s transition likewise is reminiscent of what was heard within the analogous section of the first movement, though now more condensed (Figure 5). The tonal structure of the finale’s transition begins to parallel that of the first movement as well, featuring a quick tonicization of A minor. However, in the finale, unlike in the first movement, the expected *fonte* and subsequent drive toward the dominant key of G does not follow this A minor tonicization (Figure 6). On the other hand, the harmonies are momentarily discombobulated at the start of

opens in home key...

fp pp

cresc. *sf >*

7

cadenza

9

sequences up to ii

fp pp

cresc. *sf >*

15

cadenza

Figure 4. Op. 29/IV, first theme (mm. 1–16); cf. Figure 1.

p

cresc.

f

p

cresc.

f

(a) First movement, start of transition (mm. 17–21); cf. Figure 5b.

p

f

(b) Finale, start of transition (mm. 1–39); cf. Figure 5a.

Figure 5. Op. 29, comparison of starts of transition in outer movements.

the finale's secondary theme, which enters surprisingly in $A\flat$ (the key of lowered-VI, starting in m. 55) before correcting itself to conclude the exposition in G major, the key of V.

The finale's hectic impression is momentarily set aside within the core of its development. At this point, the mood becomes quite serious, as the quintet engages in an extremely erudite—perhaps even somewhat pompous—five-voice, polymetric triple fugue (mm. 112–157).

Figure 6. Op. 29/IV, voice-leading sketch of transition through start of secondary theme, mm. 1–61.

When this fugue concludes, the expected return to the movement’s home key is sidestepped by a surprising motion to the key of A major. At this point, the bombastic cadenza first heard in mm. 7–8 reappears, now eventually played by all the members of the quintet (Figure 7, mm. 158–177). This is followed by the entrance of a rather silly A major *Scherzoso* theme in $\frac{3}{4}$ that briefly interrupts the movement’s forward momentum (mm. 178–196), as it seems to mock the pretensions of the preceding fugue as well those of the contrapuntal, A major secondary theme of the first movement (cf. Figure 3 above).

Figure 8 compares the tonal layouts of the Op. 29’s outer movements. A feature of these analyses that bears mentioning involves the interpretations of the home-key tonic that opens the development section in each. Typically, a tonic harmony that appears at the start of a development is interpreted as a relatively subordinate harmony in a sonata-form movement, and as a deep-level tonic return in a rondo-form movement. However, depending on the context, there are exceptions to this, as I feel is the case with the finale of op. 29.¹ To be sure, in the first movement, the development’s opening tonic (in m. 95) is best understood to function on a lower level, a notion that is supported by the relative brevity of this weakly prepared tonic harmony, along with the proximity of the cadentially confirmed A harmony in mm. 93 to the

¹ See discussion of the “ternary sonata form” in Adrian (1990), as well as my discussion in Burstein (2010) and (2020, 228–32).

Retransition, based on cadenza from mm. 7–8, leads to A major.

Scherzoso theme enters, in A major!

Figure 7. Op. 29/IV, mm. 158–182.

strongly stated tonic of the key of F that enters in m. 103 (Figure 8a).² In the finale, on the other hand, the C major harmony at the start of the development in m. 104 is sturdily prepared, and the music remains in the orbit of the key of C for around 50 measures (from mm. 104 through

² This reading corresponds to the one suggested in the celebrated footnote by Ernst Oster in Schenker ([1935]1979, 140), who interprets the exposition and development of this movement as framed by a large I-(VI)-IV-V.

152). As such, the tonic harmony here surely is more effectively analyzed as articulating a deep-level arrival of the tonic *Stufe*, rather than as embraced within a V that is prolonged from the end of the exposition through m. 202.

1	5	7	8	9–16	37	41–93	95	103	159–178	179	
Exposition								Development		Recap.	
1st th. (sober)				2nd th. (calm)		(pre-core)		core		retrans. 1st th.	

(a) First movement.

1	9	17	22	23	45	45	104	112	152	158	178	197	202	203
Exposition						Development						Recap.		
1st th. (frenzied)						2nd th. (playful)		(precore) fugue (frenzied) (erudite)		<i>scherzoso</i> (silly)		(1st th. in F) (frenzied) 1st th.		

cf. Fig. 8a

(b) Finale.

Figure 8. Voice-leading sketches of op. 29, outer movements.

As depicted in Figure 8b, in the middle of the tonic prolongation found at the outset of the finale’s development, D minor is prominently tonicized (beginning in m. 112, at the start of the fugue). Notice how resulting the tonal structure in mm. 104–152 echoes the tonal structure of the finale’s first theme (mm. 1–23, Figure 8b) as well as that of the opening movement’s first theme (mm. 1–16, Figure 8a). Note, too, how the large tonal framework of the finale’s development (mm. 104–202) parallels that of the

exposition-plus-development of the first movement (mm. 1–178). In the finale, however, this tonal structure is realized in a somewhat cockeyed manner: the expressive effects at the parts of the structure analogous to what was heard in the first movement are now turned on their heads (cf. annotations above the scores in Figures 8a and 8b); the return of the main theme initially jumps the gun by entering a bit “too early” in the key of F (in m. 197); and the dominant *Stufe* that immediately precedes the development (m. 202) rushes in at the last second.

Although one may find additional tonal and motivic connections between the other movements of this quintet, the ones cited above are so conspicuous that they can hardly be ignored. It should be remembered that a primary audience for this piece were the performers themselves, for whom the prominent motions to the key of A and F would be extremely obvious, even for those without perfect pitch (and much the same may be said regarding the other works discussed below). The strong, inter-movement motivic connections here do not simply enhance a sense of unity, however. Rather, because of such connections, the finale seems to warp salient features from the first movement by viewing them through a type of funhouse mirror, so to speak, thereby lampooning the first movement’s serious demeanor.

Piano Sonata in D, op. 10/3

Another work that exhibits such type of inter-movement parody is Beethoven’s Sonata for Piano in D, op. 10/3 (1798). Significantly, the main themes of this sonata’s outer movements are notably similar to each other, as are the tonal structures of their development sections. However, whereas in the first movement, these structures are expressed in a resolute manner, in the finale they unfold in an amusingly frenetic fashion.

Figure 9 compares the main themes of these movements. Note how they are both framed by gestures that convey a sense of hesitancy. In the first movement, the theme begins boldly before being interrupted by sudden pauses, as though regrouping before driving ahead (Figure 9a). In the finale, the sense of hesitancy is far more extreme, with many

abrupt starts and stops and sudden shifts in dynamics (Figure 9b). As a result, its theme seems not merely cautious, but indecisive and vacillating, almost to the point of being neurotic.

Main theme unfolds firmly but carefully, pausing/regrouping occasionally along the path.

The musical score for the first movement main theme (measures 1-23) is presented in a grand staff. The tempo is marked 'Presto'. The key signature is D major. The score shows a steady, firm unfolding of the theme with occasional pauses and regroupings. Dynamics include *p*, *sf*, and *p*. The piece concludes with a fermata over the final chord.

(a) First movement main theme, mm. 1-23.

Main theme unfolds in an erratic matter, with many pauses/interruptions and dynamic shifts.

The musical score for the fourth movement main theme (measures 1-9) is presented in a grand staff. The tempo is marked 'Presto'. The key signature is D major. The score shows an erratic unfolding of the theme with many pauses and interruptions, and significant dynamic shifts. Dynamics include *p*, *cresc.*, *f*, *p*, *ff*, and *p*. The piece concludes with a fermata over the final chord.

(b) Fourth movement main theme, mm. 1-9.

Figure 9. Sonata for Piano in D, op. 10/3: comparison of main themes of outer movements.

As soon as the transition section begins in each of these movements, any hints of hesitancy are quickly cast aside. From this point within the first movement, the music progresses confidently through the end of the exposition, confirming the secondary key of A major with a series of solid authentic cadences. In the finale, on the other hand, in great contrast to its over-cautious main theme, the transition pushes forward with abandon. As though caught up in the frenzied pace, the subsequent secondary theme overshoots its goal, as it were, by brushing past a potential perfect authentic cadence in V (the EEC) and instead leading directly to a V_5^6 of D that concludes the section (Figure 10).³ Thus, whereas in the exposition of the first movement there was a surfeit of authentic cadences in the secondary key, in the finale an authentic cadence in the key of V is averted altogether within its exposition's manic environment.

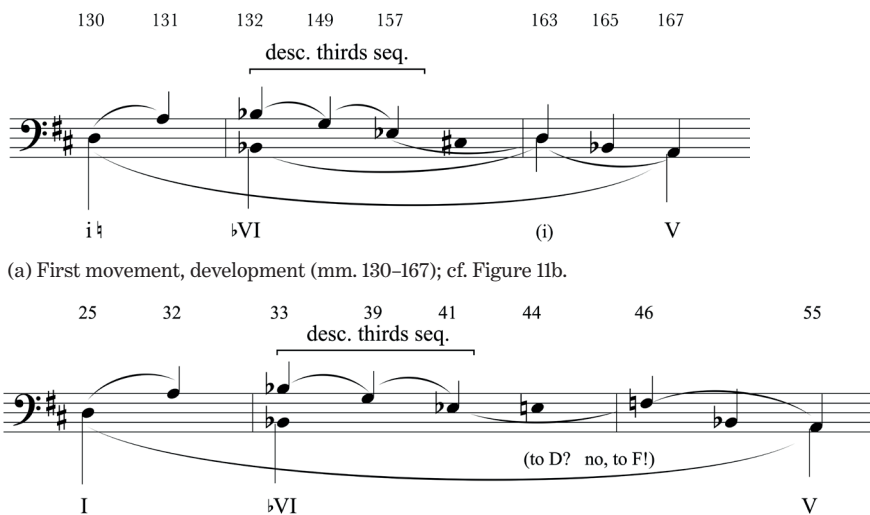
Theme ends abruptly (one bar too early) on V_5^6 of D, with no PAC in A!

Figure 10. Op. 10/3/IV, secondary theme (mm. 17-24).

The tonal layouts of these movements' middle sections (that is, the development of the sonata-form first movement and the A' and C section

³ This results in what Hepokoski & Darcy refer to as a "failed exposition" (2006, 177-78).

of the rondo-form finale) are remarkably like one another. Both begin in the home key of D, followed by a deceptive motion to B \flat , that initiates a sequence in descending thirds leading to E \flat , (Figure 11). Beethoven usually shuns having two movements within the same work share the same tonal structure, and in few, if any of his other works does the tonal layout of the finale’s middle section so closely echo that of the first movement. This suggests that the parallelism between the movements here was likely a result of a deliberate decision.⁴



(a) First movement, development (mm. 130–167); cf. Figure 11b.

(b) Finale, A' and C section of rondo form (mm. 25–55); cf. Figure 11a.

Figure 11. Op. 10/3, voice-leading sketches of middle sections of outer movements.

The striking similarity of the sections depicted in Figure 11 in turn calls attention to the strikingly different ways in which these tonal

4 Regarding the deep-level return to D at the start of these sections, see discussion regarding Figure 8b above. Granted, compared to the movements analyzed in Figure 8, in the movements analyzed in Figure 11 the status of the tonic harmonies at the start of the middle sections falls a bit more between the cracks of what can conveniently be depicted in voice-leading sketch. Depending on the performance choices of the pianist, these D harmonies in both movements could conceivably instead be analyzed as subordinated to a prolonged V, or even subordinated to the B \flat harmony that follows. In any event, neither of these alternate readings would disturb the larger point regarding the tonal/motivic parallelism between these movements.

layouts are realized within their respective movements. In the first movement, the descending-thirds sequence proceeds confidently to E \flat major, followed by a firm reestablishment of the home key of D major (Figure 11a). In the finale, on the other hand, this sequence unfolds in a rapid manner, progressing around three times as fast as the similar sequence from the first movement.

By analogy with the first movement, one would expect the arrival on E \flat in the finale (in m. 41) to be followed immediately by a turn back to D major. Instead, however—as though thrown off by the feverish pace—the music stumbles into the “wrong” key of F major, ushering in a return of the main theme (Figure 11b). After a few measures, as though recognizing its “error,” the music then quickly corrects matters by returning to the home key of D. The musical gestures reinforce the sense of tonal confusion here, with a loosening of the metric grid coinciding with the swerve toward F major (Figure 12). The wayward, spiraling spill back toward the V of D major (mm. 50–55) that begins after the “mistake” is discovered likewise underlines the tonal mix-up here, greatly contrasting with the self-assured retransition of the first movement.

As in Beethoven’s Quintet op. 29, op. 10/3’s finale revisits important features of its opening movement in a manner that seems to go far beyond mere coincidence. Also as in op. 29, these features are not merely reiterated during op. 10/3’s finale; rather, they are turned on their heads in ways that bear hermeneutic implications. The carefully cautious sentiments expressed by the first movement’s main theme are arguably caricatured by the waffling, over-cautious impression of the finale’s main theme, and the steady and confident way the opening movement progresses toward its goals at the end of the exposition and development appears to be lampooned by the harried, at times slapdash fashion in which similar elements are treated in the finale.

Trio Op. 11

I conclude by examining the inter-movement parody found in Beethoven’s Trio for Clarinet, Cello, and Piano, op. 11 (1798). This com-

Will arrival on E \flat be followed by motion to D (as in the analogous part of the first movement)?

No; music instead swerves toward F! Main theme returns in F, then realizes its “error,” and stumbles

back to D in a spiraling manner.

Figure 12. Op. 10/3/IV, end of development (mm. 41–55).

position has been nicknamed the “Gassenhauer Trio” (“Pop-Song Trio”), after the lighthearted melody that serves as the basis for its final movement. As I argue below, the jovial nature of this movement is set in relief by its strong motivic connections to the trio’s earnest, striving opening movement.

Op. 11’s finale consists of a charming set of variations on a tune based on the vocal trio “Pria ch’io l’impegno” from Joseph Weigl’s comic opera *L’amor marinaro* (1797). During this vocal trio, which is in E \flat major, a rather daft Kapellmeister named Cisolfaut tells his two companions that before he gets down to business, he first wants to have a snack. Mirroring the lighthearted dramatic situation, the main part of this vocal trio involves a jolly melody that uses entirely diatonic harmonies. In the middle section of Weigl’s vocal trio, matters do intensify somewhat, culminating with a feinted modulation toward the key of the mediant, G

minor. This modulation—along with its associated tension—is quickly pushed aside, however, with a swift motion back to the home key and the lighthearted opening melody. After all, as Herr Cisolfaut reminds us, serious work will need to wait until after snack time!

Weigl's good-humored tune proved wildly popular among audiences of the time. Shortly after the premiere of the opera in October 1797, variations based on it were published by several composers, including Josef Woelfl, Joseph Gelinek, Alessandro Rolla, and Adalbert Gyrowetz. These variation sets focus mostly on the diatonic part of Weigl's trio, ignoring its chromatic middle section. Likewise, most of the individual variations within these sets are either largely or entirely diatonic, and they avoid modulations or even short tonicizations.

However, an exception that briefly but prominently does employ extensive chromaticism and modulation may be found within Woelfl's variation set on this tune. Woelfl's work was published in January 1798—about three months after the opera premiered. Like Weigl's original theme, Woelfl's variations are in the key of E \flat , and most of its variations hew closely to this key. However, as with many variation sets from the time, the final variation in Woelfl's set is followed by a highly chromatic, improvisatory coda that modulates to and from a distant key (Figure 13a and b). This coda is preceded by a highly chromatic transition at the end of Woelfl's Variation IX that sequences toward an E \natural minor triad, followed by a series of descending diminished 7 chords that lead back to E \flat . This sequence in turn foreshadows the somewhat rapid modulation to the distant key of E \natural major in the coda that follows. After the appearance of a lighthearted variant of the main theme in this key, the music securely reestablishes the home key of E \flat major, confirming this key with a sturdy half cadence followed by a final, buoyant variant of the theme (Figure 13b).

It is instructive to compare Woelfl's variation set to the one in the finale of Beethoven's op. 11 that is based on the same theme. This trio by Beethoven was published in October 1798, around a year after the premiere of Weigl's opera and ten months after Woelfl's variations first appeared. Beethoven reportedly knew of Weigl's tune only indirectly,

End of Variation IX. Transition to coda opens with asc. fifths sequence leading to E \flat minor triad,

followed by descending diminished 7 chords leading to half cadence in home key of E \flat .

HC

(dominant lock)

Coda: quick shift to the key of E \flat (prepared by preceding passage) leads to lighthearted

ritardando (theme in E \flat)
a tempo

variant of theme in the key of E \flat .

Figure 13a. Joseph Woelfl, Variations on “Pria ch’io l’impegno,” WoO9: end of Variation IX through middle of coda.

through an arrangement by somebody else.⁵ It is not at all unlikely that before composing his set, Beethoven might have heard Woelfl’s variations.

⁵ See discussion in Thayer ([1921] 1967, 214).

Transition from the key of E \flat , slowly and

firmly reestablishes the home key of E \flat .

Sturdy drive to half cadence confirms final return to home key, leading to buoyant var. of theme.

Tempo 1^o Allegretto

(allusion to midsection of Weigl's trio)

p (theme in E \flat)

HC!

Figure 13b. Joseph Woelfl, Variations on “Pria ch’io l’impegno,” WoO9: continuation of passage begun in Figure 13a.

In any event, as with Woelfl’s work, most of the variations in Beethoven’s op. 11 stick largely to the pitches of the home key, and three of its variations include not a single chromatic note. Things change drastically in the coda following its Variation IX, however, where the music modulates suddenly, much like what is seen at a similar point in Woelfl’s variation set. In Beethoven’s movement, this modulation leads swiftly from the home key of B \flat to the relatively distant key of G major, the major submediant (Figure 14). After a couple of lighthearted phrases in G major, the music quickly shuffles back to the home key—without the benefit of a half cadence of any sort, much less a firm half cadence—to wrap up the movement with a buoyant, final variant of the theme.

Several of Beethoven’s other variation sets likewise finish with an improvisatory coda that modulates to and from a distant key. In most of these other works, however, the passage in the distant key tends to be relatively unstable and tense. Furthermore, the passages that modulate to and/or from the distant key usually are texturally fraught, with

End of Variation IX. Coda: flippant, unprepared modulation to G major (key of VI¹),

... leads to breezy variant of theme, in G.

168 *sf* *decresc.* *pp* *Allegretto*

Flippant modulation back

172 PAC in G *pp*

to home key (with no half cadence!), ... leads to bouyant, final variant of theme, in B^b.

179 *f*

Figure 14. Beethoven, Trio for Clarinet (or Violin), Cello, and Piano, op. 11/3, mm. 158–185 (end of Variation IX through middle of coda).

the motion leading from one key to the other nonetheless unfolding in a methodical, if somewhat daring fashion. As a result, the distant modulation within the codas of these variation sets seems to emerge through a type of struggle, one that requires an exertion of effort.⁶

6 See, for instance, the coda to Beethoven’s Variations on a Russian Dance, WoO 71 (1797), where an extensive, modulatory passage moves through various distant keys before strongly reasserting the home key with an 18-bar dominant lock; or the coda to his Variations on “Vieni amore,” WoO, 65 (1791), where a sudden but brief tonicization of the key of VI (Var. XXIV, mm. 42–45) sets the stage for a longer modulation to this key (entering in m. 50), followed by a lengthy chromatic motion (mm. 54–73) to a powerful half cadence (mm. 74–79) that sturdily reestablishes the home key.

But this is not what happens with the op. 11's coda. Here, the modulations to and from G are treated in a surprisingly nonchalant, almost frivolous manner, and the passage in the key of G is utterly blithe. One might have expected the modulation in Beethoven's coda to be more organically woven into the composition than the analogous modulations in the variation set by his lesser-known contemporary, Woelfl. But if anything, the opposite is the case, for in Beethoven's variation set, the flippant modulations to and from the key of G are far less well prepared than the modulations within Woelfl's coda. It is as though Beethoven tries to match the simple, happy-go-lucky nature of Weigl's theme with a simple, happy-go-lucky modulation structure within the coda of this variation set.

Motion to the key of G plays a vital, conspicuous role within op. 11's first movement as well, though realized in a much different manner—and evoking a much different sensibility—than what is seen in the finale. Throughout this opening movement, prominent motions towards G recur at numerous pivotal junctures, starting from the movement's very outset and continuing until its final phrase (Figure 15). However, in great contrast to what happens in the finale, the modulation to G within the first movement remains unrequited, for despite the many forceful drives toward G, this key is never confirmed with an authentic cadence.

The failure to confirm the key of G is most apparent with the large tonal gesture that spans the first movement's development section. As depicted in Figure 16, the development starts in the key of D \flat and sequences to lead to a half cadence in the key of G (mm. 123–137). However, as with the other motions toward G within this movement, this one is thwarted, for the grand half-cadential V of mm. 133–137 is followed by a motion directly back to B \flat , without first resolving to a G chord.

The unrelenting strivings toward G are momentarily countered by the appearance of an incongruously cheery passage that pops up during the codetta of both the exposition and recapitulation of this movement (Figure 17a). Significantly, the rhythmic profile of this codetta melody transparently foreshadows that of the finale's cheery theme (Figure 17b). In each case within the first movement, however, this merry co-

(a) mm. 1-2.

(b) mm. 5-6.

(c) mm. 13-19.

(d) mm. 41-49 (passage between end of transition and start of secondary theme).

(e) mm. 84-85.

(f) mm. 157-158 (start of recapitulation).

Figure 15. Op. 11/I, quotations of some of the many prominent striving motions toward G.

Figure 16. Op. 11/I, harmonic model of development (mm. 123–156).

(a) First movement, codetta theme (mm. 234–237).

(b) First movement, codetta theme (mm. 1–4).

Figure 17. Op. 11, comparison of cheerful themes from outer movements.

detta theme is immediately followed by a return of the forceful motions toward G (Figure 18).⁷

Unlike the codetta theme of the first movement, the cheerful theme of the finale is not surrounded by unsuccessful, striving motions toward G. On the contrary, as was discussed earlier, the modulation to the key G in the finale glibly moves to and from this key without much ado (see Figure 14 above), as though laughing at the earlier struggles and pretensions that attended the motions toward this key within the trio's opening movement. In all, it is as though the carefree finale says “So you want to move to the key of G? No need to fuss—just pick up and go!”

7 Figure 18 shows the end of the movement that follows the recapitulation's codetta theme. In the exposition, the codetta theme is immediately followed either by the main theme that enters in m. 1 (when the exposition is repeated; see Figure 15a above) or by the development (after the second time through of the exposition; see Figure 16 above).

The image displays a musical score for the piano part of the conclusion of Op. 11/I, measures 245-254. The score is written in two systems. The first system (measures 245-250) features a treble clef with a melodic line and a bass clef with a harmonic accompaniment. Dynamics include *ff* and *p*. The bass line has notes F, F#, and G. The second system (measures 251-254) starts at measure 251, marked *cresc.* and *ff*. The bass line continues with notes F, F#, and G. The score concludes with a double bar line.

Figure 18. Op. 11/I, conclusion, piano part (mm. 245–254): strivings toward G that follow passage cited in Figure 17a above.

Multi-movement parodies

According to his student Carl Czerny, Beethoven had considered composing an alternate finale for op. 11 and publishing his variations on “Pria ch’io l’impegno” as a separate work (Czerny 1846, 98). This suggests that Beethoven felt that his variation movement could establish a viable composition on its own, without needing to be understood within a larger multi-movement framework. Does this weaken the case for the inter-movement connections discussed immediately above?

To help put this in perspective, consider the situation of a diptych in the visual arts. In one sense, the two panels of a diptych each present a separate painting that may be considered on its own. Yet by labeling the two panels as part of a diptych, the painter essentially invites the viewer to consider their interactions. In contrast, if one notices relationships between two paintings that happen to be hanging next to each other in a gallery, such connections would not be part of the artwork as conceived by the painter.

Even if Czerny’s anecdote about op. 11 was mistaken, surely this work’s variation finale—much like any of its movements—has the in-

tegrity to be understood as a self-standing composition. Still, as with a diptych, the ontological artifice of the artwork imposes a unity upon otherwise separate units. By naming his variations on “*Pria ch’io l’impegno*” as part of a multi-movement composition, Beethoven invites audiences to reflect upon the interactions between the separate movements.

With op. 11, as well as the other works discussed above, audiences are thereby encouraged to consider the implications of the starkly contrasting moods of the outer movements. What are the expressive and narrative effects that result from having works that begin with movements that are so serious but conclude with movements that are so lighthearted? That the outer movements within each of these pieces are linked through conspicuous motivic connections helps further bring their contrasting moods to the forefront. And there are other works by Beethoven in which the final movement could be interpreted as parodying the opening movement by revisiting some of its core elements in a lighthearted, even mocking fashion. For instance, I would argue that among these are his Sonata for Violin and Piano in F, op. 24, and his Eighth Symphony, op. 93.

If Beethoven did decide to compose a new finale for his op. 11, what would it have been like? Might he have composed another jolly finale, perhaps one that—like the original finale—could be understood to parody the opening movement? Or might he instead have opted for a heroic narrative that concludes with a sense of victory in the final movement, perhaps with a triumphant, well-integrated modulation to G that offsets the unsuccessful motions toward this key in the first movement? In the latter case, the resulting composition’s multi-movement layout would likely conform to a heroic narrative. Again, such a heroic narrative is precisely the one that is prototypically associated with Beethoven. But as I have argued in the analyses of the three works discussed above, in at least some of his multi-movement compositions, Beethoven chose to tell a different type of story.

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To Be a Saint: Domenico Scarlatti's K. 87

JONATHAN DUNSBY

The Infanta is seated at the harpsichord [...] barely nine years of age [...] and Domenico Scarlatti being contracted to come all the way from London [...] corrects her fingering, fa la do, fa la do [...] and why must these foreigners complicate their names, when it takes so little to discover that his real name is Scarlet [...] a fine figure of a man, with a long face, a broad, firm mouth, and eyes set wide apart, I do not know what it is about the Italians, especially this one, who comes from Naples and is thirtyfive years old.

Thus Scarlatti in person enters José Saramago's novel *Baltasar and Blimunda* (Saramago 1987, 149–50),¹ in Lisbon in about 1716, where he will make a number of cameo appearances, not otherwise even loosely based on fact, in an uncanny story where peasant protagonists and high society mix unselfconsciously.² Eventually, having sought out his recently acquired peasant friends to tell them his grave, parting news, Scarlatti's final exchange with Blimunda is recorded in the minimal punctuation that Saramago liked: "What is it to be a saint, Signor Scarlet, You tell me, Blimunda (210)."³ How human our maestro be-

1 The essence of the novel is captured by Ilan Stavans (1996, 89): a "dense...narrative about a one-handed soldier in love with the slender daughter of a witch, whose romance plays to the ethereal music of Domenico Scarlatti."

2 I am grateful to Australian National, Florida State, Princeton, and Rio da Janeiro universities for the opportunity to present and discuss some of the ideas in this chapter. For special advice and encouragement at various stages of this research I offer my thanks to Steven Laitz, José Martins, W. Dean Sutcliffe, Arnold Whittall, and Christopher R. Wilson, all shortcomings being my own responsibility.

3 It may be tempting to draw a parallel between Scarlatti's twopart textures and

comes in that brief farewell.

There may be as much truth in Scarlatti's fictional persona in *Baltasar and Blimunda* as in the various supposedly factual personas, and the musical ones, to be found across some three centuries of reported Scarlatti history. What we do not know about Scarlatti would surely surprise the reasonably informed reader, who does have an idea of some of the things we think we know. Dean Sutcliffe poses a number of palate cleansing questions for that reasonably informed reader, such as the following:

- Did Scarlatti play his own works as a young virtuoso?
- Under what circumstances were the sonatas written?
- Why were so relatively few of the sonatas published in the composer's lifetime?
- Were the Scarlatti sonatas performed at the Spanish court? If so, where, when, by whom?
- Did Domenico Scarlatti become Fatty Scarlatti? (Sutcliffe 2003, 32)⁴

It will therefore be characteristic of this study to work in something of a historical vacuum, and this makes for an interesting test of the value of its music-analytical interpretations. The following interpretation of Scarlatti's Sonata in B minor, K. 87, will be in dialogue with a number of challenging historical issues and is to some extent a critique of Carl Schachter's claims, quoted more fully later, that music analysts are not looking for "underlying mental structures" or, say,

Saramago's typically spartan punctuation, except that the celebrated twopart textures in Scarlatti, through which taxonomists such as Pestelli (1967) have aimed to establish a link with the "galant" style of composition, are no more than a legend. Scarlatti's sonatas do often begin with some form of twopart imitation, yet they rarely continue that way, despite what generations of scholars have implied.

- 4 The final question here relates to Sutcliffe's perfectly serious point about the 1738 Velasco portrait of Scarlatti, which for Jane Clark (1987, 209) shows a tendency towards corpulence, although she comments on "the danger of taking anything at face value with Scarlatti." (In modern times, this famous image is sometimes reproduced commercially in reverse.) Anecdote is on the side of the Fatty Scarlatti story, since Charles Burney reported having been told in 1770 that in 1756 "Scarlatti was too fat to cross his hands as he used to do" (Scholes 1959, 87).

“patterns of repression in [...] imagery,” because a work of music is (in a perhaps strange formulation) “incomparably more important than its structure. (Schachter 1976, 310-311)” While that may be true as one aspect of music-theoretical value—in the assertion that, at least, it is not the goal of analysis to show how a piece of music confirms, or otherwise, anthropological or psychoanalytical theories—the reader will find nevertheless that the analytical observations about K. 87 which form the bulk of this essay are based on the belief that structure and pattern are essential components of our understanding of this music. We shall encounter strong interpretations of K. 87 from two scholars, Joel Sheveloff and W. Dean Sutcliffe. A Schenkerian interpretation—not a complete reading—will indicate what is probably the unusual historical position of this sonata.

In approaching K. 87, first we should consider the general lack of information about Scarlatti's keyboard works. Some of his sonatas can be characterized on internal evidence in some respects—sonatas that are obviously fast rather than very slow, for example, or vice versa; or sonatas that can be played effectively only on two manuals, which indicates that the clavichord or early piano was not the composer's intention; or sonatas with echo effects produced by registration changes—on the harpsichord, possibly organ in a few cases—for which an interpretation imposing one unvaried and indeed repeated dynamic level would make no sense. Those are relatively crude aspects of interpretation. By and large, the sonatas seem to reveal intersubjective meanings, if at all, only through intense individual study, from within the work itself, from what is often called internal evidence. The idea that each sonata can be understood in a chronological corpus, in what Sutcliffe calls the “panorama tradition,” has been as endemic as it is entirely speculative. This is the fictive tradition in which each sonata has become a “miniature [...] contributing to the complete canvas,” (Sutcliffe 2003, 36), as successive generations of Scarlatti experts have tried to write a conspectus of his creative career, on keyboard at least, especially to establish a sense of chronology (see Sutcliffe 2006 for comment on the chronology, further to Sutcliffe 2003). Thus K. 87 has often been referred to as an early work of Scarlatti, though its existence before

1749 is not demonstrable. Not only do we not know whether K. 87 is relatively juvenile or mature Scarlatti, and whether that would make any difference to how we understand it even if we did know, but we do not even know such a simple, contextually independent factor as whether it was thought by its composer to be slow piece, or moderate or fast.⁵ The second perspective is to bear in mind that K. 87 is conspicuous not only as an example of superb eighteenth-century keyboard composition but also stylistically within the corpus of Scarlatti sonatas: in the closing stages of this discussion we shall consider more fully what he might have intended by composing mostly, if probably ironically, in contrapuntal, improvised style. Even on the face of it, however, works of this kind are uncommon among his '555'⁶ sonatas; Sheveloff believes that K. 87 is so unusual that it could even be arranged from an ensemble work, as with K. 8, 52, 69, 86, and 92—that is, in this significant respect it would represent at most about 1% of Scarlatti's known sonatas.

Scarlatti's sonata is beautiful, so I think,⁷ and one way to conceive

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- 5 This is a potentially extensive topic. For example, audio performances of K. 87 by Igor Kipnis (SZ 37310 Angel, 1979) and Clara Haskil (RR 213 Discocorp, originally 1953) are at about 56bpm and 100bpm respectively. Kipnis performs K. 87 on a clavichord, the instrument on which a slower tempo tends to be more conducive to the full effects of its *Bebung* vibrato. Haskil, on piano, using the resources of the modern instrument, seems to regard this triple time composition as both melodious and also rhythmically animated. Despite the different instruments, and whatever the distinction may be between the artistic ideas for this piece of two major interpreters, factually a difference in the conception of the speed by a factor of nearly two seems extreme in principle, although any survey of many recordings of K. 87 will identify similar extremes.
- 6 Ralph Kirkpatrick came to this memorable total through some forgivable manipulation, with a few cases of alternate numbering, and works still thought to be of uncertain authorship (Kirkpatrick 1953).
- 7 It is worth noting that its aesthetic value survived transposition two centuries or so into a radically different culture. When Vladimir Horowitz (1903–1989) issued a vinyl record of twelve Scarlatti sonatas on Columbia in 1964, not including K. 87, Scarlatti's public reputation in the mid20th century was secured, and this set the scene for the burgeoning of historically informed interpretation in many modern recordings. Horowitz made commercial recordings of at least thirtyfour Scarlatti sonatas. He recorded K. 87 at least four times, starting in 1935. He played and recorded K. 87 repeatedly for half a century. He can be seen in modern media performing K. 87 on YouTube. A stable audio recording, on CD, would seem to be the last time Horowitz played K. 87 in public, 8 May 1986: Sony 760481. Reference to "historically informed" interpretation above is not meant to be disrespectful to Horowitz, who is after all believed to have closely studied Scarlatti's entire known output (see for example Schonberg 1992, 337).

of it is as a song, a song without words. Although K. 87 does not display compositionally any of the consistent qualities that theories of the later-eighteenth and early-nineteenth centuries tell us beautiful melodies typically should, nevertheless it sings all the same, if a player wants it to. Regarding only the opening, it is not difficult to hear an exquisite melody, which not only offers some semblance of the Classical phrase structure (Fig. 1a) representing what Arnold Schoenberg called the aesthetic of the 8-measure phrase; but also a nice symmetry closes off the opening melody (Figure 1a, brackets “x”). At the beginning of the last large phrase of the first half, there is some element of thematic repetition and “phrase extension”—as it would come to be called in respect of later, Viennese Classical composition (Figure 1b). However that may be, this piece does not do what later melodious compositions might lead us to expect, retrospectively. For a start, at that very point of phrase extension the voice-leading is irregular, as Scarlatti must intend it to be. The motive from the opening, m. 2, seems to be constructed out of two parts, or voices, at m. 24—compare “x” and “y” in Fig. 1b. Yet in m. 25 the music seems to fragment for a moment—as indicated by the arrows and Arabic numbers—into possibly five parts or voices, and this has already happened for a brief moment in the second beat of measure 11 (shown in Figure 1a, without annotation).⁸ It will be obvious from the score in general (reproduced in later figures here for various analytical purposes) that there are many instances of loose voice-leading which is clearly one of the signatures of this composition. This is an important aspect of how we evaluate K. 87 if we are claiming that the piece is not merely “highly contrapuntal,” but in fact pseudocontrapuntal. Sheveloff went so far as to assert some thirty years ago, as mentioned above, that K. 87 must be an arrangement of an ensemble work (Sheveloff 1985, 416). While it is not difficult to empathize with the perceptions leading to that supposition, evidence-based analysis of this music must tell us that Scarlatti is making a keyboard piece simulate an ensemble piece. In many sonatas Scarlatti enjoys creating an elusive boundary between

⁸ We should not set too much store by details of notation, as there is no holograph of this sonata, no *Stichvorlage*, nor any corrected edition from Scarlatti's lifetime.

antecedent 4 + 4 consequent

Figure 1a. K. 87, opening.

Figure 1b. K. 87, opening and later continuation.

the polyphonically strict and free, usually in compositions where elsewhere there is no question of them being arrangements of ensemble works (in truth there is no evidence of any single, decisive case). On the other hand, if and when Scarlatti does care to write impeccable

counterpoint, that is exactly what he produces. Scarlatti is using polyphonic inconsistency in this music deliberately.⁹ It is what theorists, reasonably, call a compositional “device,” though it may be something entirely intuitive in the act of creation.

Certainly K. 87 is contrapuntal in style, as Sheveloff rightly says, and it is also highly imitative in ways that have not, I believe, been discussed. It offers a persistent invariant feature, the motive of a descending line, B to F#, often in the tenor register, which, taken together with some transposed instances, covers pretty much every measure of the sonata. Figure 2 shows the first half the sonata analyzed in this way, as indicated by added slurs. It indicates not only the invariant progression, but obvious occurrences of transpositions as well—strictly in the musical foreground, and untransformed, so that inversions, for example, are not noted, though there are plenty of them, and with no middleground invariant or transposed versions, but merely as it were the overt bits of melody that we could have pointed out conversationally to Scarlatti himself, just as he surely could have pointed them out to us. Admittedly, the whole procedure becomes theoretically self-evident towards the cadence, where Scarlatti is fusing his melodic materials in scalic passages (see mm. 31–3 in Fig. 2). Still, the question is, can we now hear this music *without* noticing the descending tetrachord motive? More theoretically, we might ask what this kind of analysis can mean.

Notice, first, that the second half will not be analyzed here in the same way despite comments to follow on its motivic content. This may dramatize how, once perceived, the fact of motivic saturation is hardly at issue, and different analysts would probably trace it in detail differently, although with a significant intersection in all possible results. It is almost as if one does not need to analyze the second half, which is no credible research position in itself, yet it does reflect an important moral that I attempted to formulate elsewhere, concerning performance, but on the understanding that it applies equally to music analytical interpretation: “interpretation draws on potential in musical works,

9 Cf. note 18 and its associated discussion concerning this feature of eighteenth century Italian keyboard composition.

The image displays a musical score for the first half of K. 87, consisting of six systems of music. Each system is written for piano and features a treble and bass clef. The key signature is one sharp (F#) and the time signature is 3/4. The score is annotated with various musical notations and markings to highlight invariant motivic content:

- System 1 (Measures 1-5):** The treble clef begins with a fermata over the first measure. The bass clef has a fermata over the first two measures. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.
- System 2 (Measures 6-11):** The treble clef has a fermata over the first measure. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.
- System 3 (Measures 12-17):** The treble clef has a fermata over the first measure. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.
- System 4 (Measures 18-23):** The treble clef has a fermata over the first measure. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.
- System 5 (Measures 24-29):** The treble clef has a fermata over the first measure. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.
- System 6 (Measures 30-35):** The treble clef has a fermata over the first measure. Dashed lines connect the first measure of the treble to the first two of the bass, and the second measure of the treble to the second of the bass.

The score concludes with a double bar line and repeat signs in both staves.

Figure 2. Invariant motivic content in the first half of K. 87

a composed potential, largely unforeseen by the composer, that may never have been realized before in the substantive world, potential that is perhaps yet to be released in some future, revelatory interpretation" (Dunsby 2007, 195). That quotation bears repetition because of its strong implication that no reading, actual or scholarly, can represent all the potential in a piece of music; it even aspires to have us believe that probably the sum total of all known interpretations—itsself an abstraction—cannot necessarily exhaust the aesthetic value revealable in a piece of music.

Regarding the second half, though, another value is about to be introduced as we proceed to dress the descending tetrachord historically. Secondly, then, and regardless of interpretations that are not foreseen by the composer, we might want to ask out of curiosity whether Scarlatti did set out to compose a piece showing a high degree of motivic invariance. If so, he is not subscribing to any known compositional device. The invariance shown here in K. 87 is not an example of ground bass, of "divisions," of some kind of instrumental cantus firmus, or, in short, of any recognized, form-building device of eighteenth-century composers, whether they are being modernistic or writing in a traditional contrapuntal style. To the extent that there was specific intention or awareness when Scarlatti penned this score, or even if not, probably we are seeing here the effects of what Sutcliffe describes as "memorable contour" and the "color of particular notes" (Sutcliffe 2003, 343).¹⁰ Yet we have to ask: a contour memorable only in itself, or reminiscent of something else? An awareness of the stylistic context makes this question—what Scarlatti intended by the descending fourth motive in K. 87?—all the more intriguing, since there is an obvious intertextual reference. Any Baroque piece in minor beginning with a descending fourth in the bass is going to be thought of as a "lament." We may assume that comment holds good for the composers and lis-

10 Sutcliffe is discussing retained pitch structures in what we recognize, retrospectively, as sonata-like reprises. His characterization transfers well into a generalization about compositional manner in Scarlatti.

teners of the time.¹¹ If we want to see a double iteration of the lament motive as the explicit compositional premise of K. 87 (bass, mm. 1 and 5), there is no difficulty in hearing many subsequent strategic reflections: notice for instance the dominant and then tonic pair in the bass at the beginning of the second half, mm. 45–48 (for the entire score of K. 87, see Fig. 4 below); or the climactic tonic followed by dominant pair in mm. 59 (bass) and 62 (melody) that serves as the final phase of invention before the winding-down measures (63–70); notice also how the anti-*stile antico* hemiolas initiated in mm. 44³–46, later going to be referred to here—fancifully—as “pure Schumann,” rely on a rhythmically augmented version of the lament motive taking the bass round a cycle of fifths (B-E-A-D-G-C#-F#-B), which is matched by the same idea a fourth lower in mm. 48–51¹ and then a repetition of the tonic version at measures 56³–59. This kind of free treatment of a figure is hardly unfamiliar in early eighteenth-century Italian keyboard music, but such a specific concentration on what is often called the Baroque lament “topic” is hardly common outside of vocal music, and what is striking in the Scarlatti is the delicate balance between overt and veiled references to the tetrachord. One may be reminded of Laurence Dreyfus’s rich characterization of a claimed lament work by Mozart, the Adagio and Allegro in F minor, K. 594, reflecting a “pronounced impression” that:

Mozart’s inventive treatment of the lament is so multifarious that one cannot keep track of all the variants: instead, the recursive conceit of lament—the sign that spins out cycles of similitude—convinces us that one cannot easily escape from the expression of grief. As music, then, a lament figures as both mimesis and catharsis. A corresponding musical memory that grasps this experience is not therefore predicated on a precise recollection of events, but is rather inclined to random recall and even partial amnesia, since it is so overladen with similarities (Dreyfus 1991, 337).

¹¹ The authoritative lament study is Rosand 1979. For a more modern study of lament as a musical topic straddling Baroque to early Romantic compositions, see Caplin 2014.

However, tempting though it might be to speculate on the elements of “mimesis and catharsis” in Scarlatti here, and strong though the urge may be to want to assume that his piece is about some affective state, and to try to guess what that might be, it would run counter to what Richard Taruskin, for one, believes to be the essentially abstract nature of this repertoire: “the most remarkable aspect of Scarlatti’s sonatas [...] may be the absence in them (despite their frequent vivid ‘pictorialisms’) of anything symbolic at all” (Taruskin 2005, chapter 7). It may be, then, that Taruskin would have characterized the lament motive in K. 87 as anything but symbolic; rather, a specific intertextual reference to music of lament—not representative in some way, but the thing itself, the music of lament. Clearly, this feature of K. 87 is a strong agent of unity; presumably the spirit of “veiled reference” mentioned above—the fact that that lament topic is as much occluded as revealed by Scarlatti’s treatment¹²—is a sign of Beardsleyan aesthetic “complexity,” with regard to this feature; and as to Beardsleyan aesthetic “intensity,” one may at least point to the prevalence, the sheer insistence of the tetrachord as a sign of that quality.

In the absence of obvious symbolic values, however, it may be in more concrete issues of interpretation that we can pursue a deeper aesthetic picture through analysis. Modern scholarship does offer some grist for that mill. Sheveloff (2008) has provided a detailed history of the physical, written, and printed object in its various forms, and some degree of analytical interrogation of this music. He draws four conclusions.

First, he notes that the music has what he calls a “norm of four” voices (2008, 247), which is a sustainable point, though he also recognizes that the voice leading is not consistent, as mentioned earlier.¹⁸

12 The Baroque lament motive typically uses chromatic elaboration of the diatonic fourth descent, whereas in general Scarlatti seems to apply chromatic inflection in higher registers and ascending figures in this sonata.

13 One important confirmation, by inference, of Scarlatti’s intended contrapuntal freedom is that no source of K. 87 in the hands of generations of copyists and printers has provided any notation to conclusively identify which voice has dropped out in the various threepart passages; or where supposed fifth voices may originate, if at all, when the textures thicken. In other words, no copyist has ever tried to somehow correct the received

Secondly, Sheveloff confirms that the tempo of K. 87 is unknown. There is no authentic tempo or genre indication; and no copyist or editor seems to have speculated that such ever existed. What is more, contrary perhaps to the popular belief that Scarlatti rarely gave tempo or generic information, this mysterious aspect of K. 87 is true of only a handful of his sonatas (2008, 248). There is a strong performance tradition at work, based on the belief recycled again by Sheveloff that Scarlatti “just naturally gravitated away from writing truly slow movements” (2008, 250). The great majority of Scarlatti’s sonatas are designated as Allegro or quicker, but that does not mean that his slower sonatas, usually referred to as his “Andantes,” are somehow necessarily tainted with his supposed proclivity for speed. The problem is, however, that internal evidence can hardly argue for the difference between quite slow and very slow. For example, Sheveloff argues that the hemiolas in the second half of the piece (as I understand it, hemiolas appear at measures 45–46, 48–49, 57–58, and 63–64) are highlighted by a very slow tempo, yet it is difficult to reason how tempo is supposed to determine the perception of any hemiola: think only of the common sites of hemiola, in lively dance genres such as the French courante or the Viennese waltz. The reader will not need reminding that there is no evidence in the first place for supposing that K. 87 is a “truly slow movement,” and Haskil, among other highly regarded recorded performers, offered it fast.¹⁴

Sheveloff’s third observation is that performing the first measure of K. 87 presents an unusual task, and while this may seem relatively trivial, it sets off a chain of significant perceptions about this music. It is true that opening idea of this piece is difficult to play (see the first two

information about Scarlatti’s intended notation.

14 Personally, I feel there is a lot to be said for a “truly slow” performance, which can engender a memorably monumental, perhaps introspective impression. An example is Federico Coli’s 2020 recording in “Domenico Scarlatti: Piano Sonatas, Vol. 2,” CHAN 20134, streamable on YouTube at <https://www.youtube.com/watch?v=2FdKEnEefj4>. Coli’s average tempo at about 70bpm is not the slowest on record, but his extreme rubato is, in my experience, wholly exceptional in interpretations of K. 87 and, if I may say so, utterly convincing.

notes in the bass clef, Fig. 1).¹⁵ The notation instructs us to make the two initial middle Bs sound like different voices. Using two manuals offers no sensible way physiologically to make an aural distinction between the two middle Bs. The two Bs seem to indicate that one key under the finger be used in different ways dynamically. This alone makes sense of Kipnis's decision to perform the piece on the clavichord, where that is certainly possible. An early piano would also accommodate the double B feature. It is now known that Scarlatti was familiar with many different pianos throughout his professional career, as summarized for example in Latcham 2008.¹⁶ From a more theoretical point of view, on the other hand, we can see how this provocative initial performance conundrum opens up a contrapuntal agenda for the whole piece. First, versions of the opening idea are going to recur. Rohan H. Stewart-MacDonald observes that K. 87 offers a number of partial reprises of the first measure, which is a "highly generative opening formula" (Stewart-MacDonald 2008, 413). Each recurrence is playable with normal accuracy. Only the model in the first measure needs any kind of conceptual resolution. The inherent challenge for clarification of the opening formula—heard twice, bearing in mind the first half repeat—seems to be solved compositionally in various ways (see Fig. 3 for the varied reprises of m. 1). Although it might be an overstatement to speak of progressive clarification of the initial idea, nevertheless the simplicity of the three-part version at measure 51 can be felt to be conclusive.

15 It has been observed to me variously that this is indeed a trivial matter which often arises in piano music, but I simply do not accept that there is anything casual about the way in which Scarlatti launches a sonata and could call in evidence 554 (by Kirkpatrick's count) other cases. If the repeated Bs are some kind of misreading of whatever was the original, notated source of K. 87, again it may be weakly reassuring that this has never been corrected (cf. note 9).

16 Some three decades ago David Sutherland made the resounding claim that "the time has come to recognize...Domenico Scarlatti as the piano's first great advocate" (Sutherland 1995, 252), though one must bear in mind the significant differences between early forte-pianos and the piano as it developed in the Classical period. Information on what kind of damper pedals Scarlatti may have experienced is inadequate to explain various features of his compositions, simply because it is not known what specific instrument he may have been thinking of. As Frederick Hammond notes, "except in a few cases, it is impossible to assign Scarlatti sonatas to a specific instrument" (Hammond 2003, 167). For more information on Scarlatti's involvement with early pianos, see Badura-Skoda 2017, e.g. 48.

Measures 1-6 of the piece. The music is in 3/4 time with a key signature of one sharp (F#). The opening figure consists of a quarter rest followed by a quarter note G4, a quarter note A4, and a quarter note B4 in the right hand. The left hand plays a half note G3, a quarter note A3, and a quarter note B3.

7

Measures 7-11. Measure 7 is a varied reprise of the opening figure. The right hand plays a half note G4, a quarter note A4, and a quarter note B4. The left hand plays a half note G3, a quarter note A3, and a quarter note B3. Measures 8-11 continue with a similar rhythmic pattern.

22

Measures 22-26. Measure 22 is a varied reprise of the opening figure. The right hand plays a half note G4, a quarter note A4, and a quarter note B4. The left hand plays a half note G3, a quarter note A3, and a quarter note B3. Measures 23-26 continue with a similar rhythmic pattern.

37

Measures 37-41. Measure 37 is a varied reprise of the opening figure. The right hand plays a half note G4, a quarter note A4, and a quarter note B4. The left hand plays a half note G3, a quarter note A3, and a quarter note B3. Measures 38-41 continue with a similar rhythmic pattern.

51

Measures 51-55. Measure 51 is a varied reprise of the opening figure. The right hand plays a half note G4, a quarter note A4, and a quarter note B4. The left hand plays a half note G3, a quarter note A3, and a quarter note B3. Measures 52-55 continue with a similar rhythmic pattern.

Figure 3. Varied reprises of the opening figure.

The image displays a musical score for Domenico Scarlatti's K. 87, consisting of six systems of music. Each system is written in treble and bass clefs with a key signature of two sharps (F# and C#) and a 3/4 time signature. The score includes various musical notations such as notes, rests, and ornaments. Specific rests are highlighted with circles and arrows:

- System 1:** A circled eighth rest in the treble clef at the beginning of the first measure, with an arrow pointing to it from above.
- System 2:** A circled eighth rest in the treble clef at the beginning of the third measure, with an arrow pointing to it from above.
- System 3:** A circled eighth rest in the treble clef at the beginning of the second measure, with an arrow pointing to it from below.
- System 4:** A circled eighth rest in the treble clef at the beginning of the second measure, with an arrow pointing to it from below.
- System 5:** A circled eighth rest in the treble clef at the beginning of the second measure, with an arrow pointing to it from below.
- System 6:** A circled eighth rest in the treble clef at the beginning of the second measure, with an arrow pointing to it from below.

Figure 4. Rests in K. 87

The image displays a musical score for a piece in G major, K. 87, spanning measures 35 to 65. The score is presented in two systems, each with a grand staff (treble and bass clefs). The key signature consists of one sharp (F#). The time signature is not explicitly shown but is implied to be 4/4 based on the notation. The score includes several annotations: a black arrow points to a circled eighth note in the treble clef at measure 35; another black arrow points to a circled eighth note in the bass clef at measure 41; a third black arrow points to a circled eighth note in the bass clef at measure 59. The notation includes various rhythmic values such as eighth and sixteenth notes, as well as rests. The piece concludes with a double bar line at measure 65.

Figure 4. Rests in K. 87

The final point from Sheveloff is that “superlegato performances [...] from harpsichordists, fortepianists and modern pianists cause harm to the projection of the structure of the phrases and most especially to the ever-shifting balance of voices” (Sheveloff 2008, 266). Specifically, Sheveloff observes that there are important eighth-note rests in this piece. Figure 4 indicates these.¹⁷ In what Sheveloff calls “super-legato” performances, he feels that all these rests will “disappear into the mists of unending melody” (2008, 266). However, observe that all these rests introduce some kind of anacrusis: it means that conceptually there is nothing to fill the space they occupy in even the most finger-held and perhaps over-pedaled performance. In m. 35, for example, no mode of interpretation can confuse our hearing of the lucid three-part voice leading—the lines in this measure are unambiguous even if played on a modern piano with the sustaining pedal held right through it. Additionally, in some cases the voice leading may be in flux in a way that precludes the perception of a rest by any means: the eighth-note rest in the upper part in measure 25 is an example of one of the virtual, unhearable rests, in that the “voice” to which it belongs does not exist until the rest is replaced by a note (B in the upper part, assuming that aurally A falls to G in m. 25 in the same way that in the preceding measure E fell to D#). Today’s performers will endorse the ideal of as accurate a performance of the score as is feasible, yet it is hardly possible to ponder different ways of “playing” rests that are either hardwired and unavoidable, or notional and not hearable anyway. And the analytical point is that in interpreting “the structure of the phrases” we absolutely should distinguish between actual and notional rests. If a moment of accusatory tone may be excused, we surely should be analyzing the musical content of K. 87 rather than just notated similarities.

Whereas Sheveloff’s conclusions are interesting if partly questionable, Sutcliffe’s considerations are pivotal, at least in the puzzles they suggest. Memorably evoking the interplay between Enlightenment sen-

¹⁷ Given that this music is, so to speak, a “song without words” (see above), a distinction is made here between the rests in the melody (arrows) and rests in melodic inner parts (circled).

sibility and our modern hermeneutics, Sutcliffe, in *The Keyboard Sonatas* (2003, 93), sees K. 87 as in a state of balance: “there is a fundamental decision to be made by the performer, concerning [its] historical status.” What is undoubtedly perceptible within the medium, for him, is what he calls the “free polyphony.” This is exactly what a keyboard can achieve, belying Sheveloff’s speculation that K. 87 may be the transcription of an ensemble piece. Sutcliffe wants us to reflect on how and why Scarlatti is composing retro music in K. 87: “by definition there will be a gap in the perception of the piece, since the style it embodies is not compatible with the modern musical dialects of Scarlatti’s time.” What is retro about K. 87 is its reference to the sacred: “this gap was exploited as such by composers in the sacred genres which were the usual home of the *stile antico*, so as to suggest the historical and moral authority of a past style.” He maintains that we can repossess this reverse modernism: “its very inaccessibility to a modern sensibility (both then and now) is what guarantees its effect” (Sutcliffe 2003, 94). In other words, what was retro in the mid-eighteenth century is something we can still perceive as retro. Sutcliffe suggests here a layer of fundamental ambivalence, for it is probably the genres of sacred rather than secular music that spiral around our feeling for what this music is partly about, much as they probably did for Scarlatti’s contemporaneous audience (if any, in the case of this particular sonata). Sutcliffe finds the balance between incompatible readings of K. 87 to be reflected in the two typical ways in which the “voluminous reception” of this canonical piece tends to go: those ways wanting us to understand the piece as truly retro and so not self-consciously so (these are not Sutcliffe’s words); and those ways privileging the nostalgia of the anachronistic, shaping K. 87 into what Sutcliffe diagnoses as “the height of emotional poetry.” It is not difficult to conjecture how performance may incline to the one or the other. Partly this is the difference between the relatively strict (lack of rubato, terrace dynamics rather than swells and dyings down, continuity of voicing the voice leading) and the relatively free. Yet we also see this balance reflected in critical and perhaps even theoretical understanding. Sheveloff guessing that K. 87 might be an arrangement of an ensemble work is surely thinking of the “truly retro,” since

it is only by marginalizing the polyphonic inconsistency that he can shrug off its anteclassical, anachronistic, modernist status;¹⁸ whereas a Schenkerian approach to Scarlatti (on which more below) may well be thought to represent the other side of the balance, valuing a work like K. 87 for what it turned out to hold in common with the future rather than anything it was at the time. Performances of K. 87 nearly all seem to Sutcliffe to reflect what he calls “prevalent remoteness and self-regarding nostalgia,” and he concludes with a question: “are these a product of history or are they encouraged by a similar creative stance on the part of Scarlatti?” (2003, 95). The theoretical purist, taking a strict view of poietic intentionality, will likely counter that such a question is rhetorical, since what Scarlatti intended was simply what Scarlatti wrote. The purist will observe that, first, whether Scarlatti intended, say, “remoteness,” or “nostalgia,” is a question that he himself never posed, and secondly that concepts like remoteness and nostalgia are pale, static, monodimensional reflections of the aesthetic unity, complexity, and intensity of actual musical experience. In the end, despite my deep respect for Sutcliffe’s inspiring research, “remoteness” and “nostalgia” are just words.

Even the purist will urge, however, that this does not mean we cannot conceptualize anything about music, and this leads to a closing consideration of what is an appropriate music theoretical assimilation of Scarlatti’s K. 87. Sutcliffe probably provides the lead, by interrogating the music rather than telling his reader how to hear it. There may well be a further ambivalence in play with K. 87, beyond the old and the contemporaneous, beyond the secular and the sacred, and even beyond whatever is perceptible within the medium, that is, beyond polyphonic inconsistency working against expectations of imitation and partwriting integrity. It may well be credible to claim, as Heinrich Schenker did in 1925, that Scarlatti was, in Schenker’s crude chronological reck-

18 In a study with wider historical purview than the present one, it would be appropriate to make a comparison with Handel’s contemporaneous, mature keyboard music, where startling polyphonic inconsistency is also a significant compositional resource. Neapolitan theorists of both Durante and Fenaroli’s generation taught the importance of freedom from the constraints of strict composition.

oning, “the first to bring true counterpoint into play [...] who set free a fundamental structure, hitherto only half-glimpsed, and transformed its primal intervals into interval progressions” (Schenker 1986, 153; originally published in German in 1925). Not only did Schenker himself claim this, but his lead has been followed by modern theorists, for example David Smyth, who tells us that: “taking our cue from Schenker’s analyses, it is a simple matter to locate further examples of octave lines. Domenico Scarlatti’s keyboard sonatas, with their rhyming cadence phrases, include numerous examples” (Smyth 1999, 117). Can it really be true, as Smyth implies in pan-Schenkerian zeal, that it is no surprise at all to find a Schenkerian “Fundamental Structure” in a Scarlatti sonata? We need to make an important distinction here, in discussing authentic Schenkerian analysis: its concerns do not intersect precisely with the neo-Schenkerian, all purpose, pedagogical theory that is familiar to every American music theory graduate student whereby—to be polemical for a moment—any piece of tonal scribble or improvisation can be shown to exhibit a $\hat{3}$ -, $\hat{5}$ -, or $\hat{8}$ -line descent over a bass I-V-I arpeggiation, or some version of that, with all its everyday diminutions. The orthodox Schenkerian approach to music analysis identifies a different repertoire, the special world of tonal masterpieces, which are few and far between.

A voice-leading analysis of K. 87 can show its “masterpiece qualities” of which Figure 5 provides the background analysis, with a few middleground features. Despite the fact that this sonata appears to have no normal or conventional overall syntax of thematic relationships, the prolongation of, in Schenker’s jargon, an interrupted $\hat{5}$ -line, with standard bass arpeggiation, seems unmistakable in Scarlatti’s composition, and I would defend to the hilt the value of making an intense, Schenkerian exploration of its unified hierarchical structure. The thematicism in this piece may well reflect other layers of ambivalence. In his commentary Sutcliffe refers to what he nicely calls the “unprincipled variety of the surface” (2003, 326), yet it is equally plain, as shown earlier, that the musical foreground offers comprehensive motivic invariance, and the Schenkerian analysis indicates how this is anchored in background voice leading. The resonant structural background also

The image displays a musical score for Domenico Scarlatti's K. 87, consisting of six systems of music. Each system contains a grand staff with a treble and bass clef. The key signature is two sharps (F# and C#), and the time signature is 3/4. The score includes various musical notations such as slurs, ties, and dynamic markings. A 'V' marking is present at the bottom of the sixth system, with an arrow pointing to the left. Measure numbers 6, 12, 18, 24, and 30 are indicated at the beginning of their respective systems. Fingerings are indicated by numbers 2, 3, 4, and 5 above notes. The score concludes with a double bar line and repeat dots.

Figure 5. Background and some middleground features of K. 87.

The image displays a musical score for K. 87, consisting of six systems of music. Each system contains a grand staff with a treble clef on the upper staff and a bass clef on the lower staff. The key signature is two sharps (F# and C#), and the time signature is 3/4. The systems are numbered 35, 41, 47, 53, 59, and 65. The score includes various musical notations such as notes, rests, and accidentals. Several features are highlighted with circled numbers and dashed lines: a circled '5' above measure 35, a circled '4' above measure 41, a circled '3' above measure 53, a circled '2' above measure 59, and a circled '1' above measure 65. A solid line connects the circled '4' to the circled '3', and another solid line connects the circled '2' to the circled '1'. The score concludes with a double bar line and repeat dots at the end of the sixth system.

Figure 5 (cont.). Background and some middleground features of K. 87.

makes it difficult to accept Sheveloff's interpretation of K. 87 as fundamentally incoherent, or at least multiform, concentrating as he does on the notable contrast between its halves, the second half introducing chromatic inflections, short phrasing, and multiple sequences that in "Scarlatti's Duckbilled Platypus" provoke Sheveloff into considerable advocacy for his aesthetic perception of, one may guess, complexity: "wherever one looks within the second half Scarlatti constantly reworks everything and reorders the ideas from the way they appeared previously, in a manner halfway between a written-out improvisation and a classical development or free fantasy section." The chromaticism increases, he claims, "to the point of being quite disconcerting," and the phrasing becomes "almost breathless" (Sheveloff 2003, 260). Yet the point is, with such a strong control of the underlying voice-leading structure in this composition, Scarlatti can afford any amount of foreground "development" or "fantasy." It is hardly surprising that such an imaginative composer should want to intensify the interplay between background unity and foreground complexity. The unifying thread in K. 87, what the Romantics would have called its "*grande ligne*," long before the age of Schenker (see Rink 1999), endows meaning to any amount of "improvisation" or "development" in such a carefully crafted composition—carefully crafted as it obviously must be when there is so much intricate, contrapuntal interaction between the voices.

Figure 5 reveals structural balance, which complements the foreground, stylistic balance described in Sutcliffe's connoisseur summary of K. 87 in its eighteenth-century context. Anchoring that balance is a background structure typical of what would come to be called sonata form. Formally, the nineteenth-century sonata form model is not in evidence in K. 87. I recommend Hammond's wise words about the difference between the typical Scarlatti sonata and the typical Classical sonata from a formal point of view:

The re-establishment of the opening tonic is as important an event in a Scarlatti sonata as it is in a Classical work, but it occurs in the context of closing gestures, not of opening ones. The reader need merely imagine a Mozart piano concerto in which the recapitulation in the first

movement is accomplished only by the return of the closing material to feel the difference between Scarlattian and Classical concepts of musical structure (Hammond 2003, 162–163).

It has already been implied that if there is a “reprise” and a sense of simultaneous return¹⁹ in K. 87 it would perhaps be, as Figure 3 showed in principle, at measure 51 where opening material and tonicized harmony recur, whereas the tonic harmony at measure 37 is passing.²⁰ The background structural mechanism of a tonal masterpiece in sonata form is plain from our Schenkerian reading. The $\hat{5}$ -line is interrupted at about the double bar, and in the second phase the Fundamental Line descent is supported by a subdominant middleground arpeggiation (m. 48). Probably, the dividing dominant in the bass, the V of the I–V–I Fundamental Structure, is at the end of the first half, as shown in Figure 5.²¹ One notable feature of the analysis in Figure 5 is how dis-

19 On the simultaneous return as a hallmark of the sonata principle, see for example Webster 2001.

20 Various commentators on drafts of this essay objected to the idea of “reprise” in this sonata, and what they seem to have in common is a commitment, not shared by this author, to the cadence as a marker of formal articulation, in line with the prevailing value system best known from Hepokoski and Darcy 2006. In that study, incidental references to Scarlatti (2006, 122, 240) do indeed assume that cadence is the main agent of formbuilding.

21 American neo-Schenkerians are educated to believe that in Schenkerian sonata form the dividing dominant must occur at the end of the exposition (here, this would be approaching the double bar) or in the development (here, mm. 46–55 might be thought to prolong that structural dominant); but in orthodox Schenkerian readings of tonal masterpieces in sonata form there is no reason why the dividing dominant should not occur long after the middleground division (here, perhaps, from m. 60). The history of sonata forms in nineteenth-century music, with their second developments and essential dominants at the end of the recapitulation, suggests that American neo-Schenkerian sonataform consensus has failed to recognize—probably for pedagogical convenience—the full range of deployment of tonal backgrounds that Schenker’s canonical composers did in fact exploit. One might even extend this argument to Cadwallader and Gagné (2011), where it is argued that in the first movement of Brahms’s Symphony No. 3, because there is “no V of any significance *until the coda* where the *Urlinie* finally begins its descent,” then the movement cannot be based on an interruption (2011, 373): it is never explained why a potential or implied rather than explicit structural V cannot be interrupted. Among those who do seem to take Schenker at his word, by implication, about interruption being a variably situated process of delay, retardation, deferral, and postponement of the background dominant or tonic, is Robert Snarrenberg (1997, 32–37 in particular). Marvin (2012) provides a memorable account of where and how dividing dominants may articulate back-

tinct the first half on the sonata appears to be from the second half, and here Sheveloff's musical intuitions are supported. Any reader able to assimilate the graphics in Figure 5, perhaps on trust, can understand that they intend to show how Scarlatti's compositional muse is not interested in elaborating the musical space between $F\sharp$ and $C\sharp$ in the Fundamental Line in the first half. This is so even though bmm. 26–7 are for sure a turning point in the music—Schenker or no Schenker—in that this is where Scarlatti dips into the short but sweet flamenco passage²² where retro style is set aside (to be resumed from about m. 31, though the cadence measures are more instrumental or in fact, as we are going to observe, contravocal). That succession is anything but unique to K. 87 among Scarlatti's sonatas: Sutcliffe observes elsewhere that “one common scenario is to begin with a contrapuntal gambit and by degrees move toward the realm of the dancelike and popular, sometimes with suggestions of flamenco rhythm” (Sutcliffe 2014, 123). The specific composing out in the second half of K. 87 of the structural model indicated in the first half may be said to settle the piece down. In mm. 1–34, E and D in the curve of the melody have not been given the imaginative weight that the second half will reveal.

We also see in Figure 5 that Scarlatti is thinking—not in these terms at the time, but concretely—of (in Schenkerian jargon) an initial ascent, or space-opening motion, arriving at $F\sharp$ —in the octave above middle C in the upper line in measure 10, about a seventh of real time into the sonata. He does go above that register in the second half, at mm. 45 and 54–58, and those moments carry intense expressive weight, almost at the top of what is thought to be the kind of keyboard Scarlatti had in

ground structures. In K. 87, the question is how strong we feel the return to the tonic to be at around m. 37: should it be shown in the background bass, or not?

22 Only a leap of the imagination can take us from the score to the idea of a Spanish dance. However, the triple time, VI-V, hemiola-with-filled-6th-beat, and vamping characteristics of mm. 27–30 place them in the Spanish/Neapolitan frame, it might be said, and particularly in context, where this passage (and the parallel passage at mm. 63–64, to a lesser extent) lies in strong contrast to the surrounding music. See Sutcliffe (2003, 107–122) for a discussion of Iberian influence in Scarlatti. Donna Edwards regards these passages as examples of *siguiriya gitana*, flamenco gypsy song, on the grounds of their “incessant repetition [...] preceded by an *appoggiatura*” (Edwards 1980, 29–30).

mind, which extended to about c^3 . Still, $f\sharp^2$ is the controlling peak in the melodic landscape of K. 87, and its regularly calibrated descent to b^1 in the second half marks the musical logic of Scarlatti's compositional imagination (mm. 42, 55, 63, and 68, articulating the 39 mm. after the division at m. 32 into proportions of $10 + 13 + 8 + 5 + 3$ measures). Not every reader will necessarily agree—especially in light of the above comments on the pacing of the Fundamental Line descent in the second half—with the reading offered here of the first half. For the essential motion of the Fundamental Line, between the primary melodic tone $F\sharp$ and the goal tone at the point of interruption, $C\sharp$ to occur in the space of three eighths (mm. 26^3 – 27^1) is bound to send experienced Schenkerians looking elsewhere between mm. 10^2 and 27^2 for possibly deeper prolongations of the intervening tones E and D. There are alternatives, such as regarding E in measure 13 as connecting to D in measure 14, initially an inner part but then emerging and, conceivably, explicitly prolonged until measure 27. There is probably no guidance in typical Schenkerian preference rules as to why the reading shown in Figure 5 may be superior. For example, if we set great store by the tendency in a voice-leading analysis to prefer derivations when underlying patterns coincide with surface motivic shapes (see Brown 2005, 96), there is probably little to choose between a more evenly spaced descending fourth (mm. 10–27) and the other shown in Figure 5 that scampers on the surface to the background supertonic level from a long prolonged melodic background dominant. In either case, we have a correspondence between underlying vocal descent and the essential foreground motivic content of the music (cf. Fig. 2), which may seem either: (i) spectacular (what are the chances of a piece saturated with descending fourths in almost every measure also being controlled compositionally by a descending fourth Fundamental Line first section?); or, admittedly, (ii) inconsequential (i.e. the chances are pretty good—think of the innumerable pieces that use motivic descending scale fragments in imitative style while also reveal an interrupted $\hat{5}$ -line background).

More than any other feature, it is the extreme use of scalic melody that would indicate this thought process. Scarlatti emphasizes this effect at the cadences (Fig. 6a), where, in the first case, not only is the

32

15

Figure 6a: Scalic melody cadences of each half, with bass prototype.

Figure 6b: Registral transfer.

54

Figure 6c: Scalic proliferation with enforced registral transfer.

entire, conceivable pseudovocal range covered, two octaves plus neighbor notes; but in a burst of self-revelation Scarlatti continues to take the voice down to its extreme, covering four contravocal octaves in three measures (mm. 32–34) and, at the end of the piece, spills down to literally unsingable depths. Note how the two-octave songscale—what could be more “cadential” or more, as it were, falling?—is already in our ears, explicitly, if subliminally, from the “bass” line prototype in mm. 15–19. The urge for scales to proliferate beyond straight-forward running up and down is represented for example when they would otherwise exceed the registral limit of a “voice,” hence the registral transfer shown in Figure 6b; or when they would exceed the very range of the instrument, as shown in Figure 6c at the point which seems climactic in at least two respects—the enforced Mozartian 7th as a scalic voice bumps against its physical limit, and the direct chromatic apposition of G and G (compare this with mm. 4²–5³). Also, as we know from Fig. 5, the Fundamental Line finally settles onto a prolonged melodic mediant over a local tonic harmony ahead of the closing, background motions to the tonic of both melody and harmony. Whatever else Scarlatti’s thinking may have been when writing this piece—thinking in the sense of musical invention—stepwise motion figured large.

Those used to teaching Schenker will know that discriminating between a $\hat{3}$ -line and a $\hat{5}$ -line is often a matter of some subtlety. A tonal masterpiece will always tend to include a strong presence of the other. Here, there are places where the mediant is prominent in the musical middleground—mm. 5, 18–19, and 54ff. as enshrined in Fig. 5 in any case. One feature of Schenkerian “hearing” that can be problematic is a tendency to focus on first impressions, and this includes allowing the beginning of a piece to seem to dictate our interpretation of the rest of it. In K. 87, the most musical of minds can well fixate on the seeming establishment of the potential primary melodic tone D (= $\hat{3}$) in m. 5, losing aural awareness of a double chromatic tonicization of the low F \sharp in mm. 7–8 and the overall shape of the first half which repeatedly peaks at F \sharp (mm. 15, 19, and 26) and, in the foreground, reminds us of the tonicization of F \sharp (= $\hat{5}$) by its varied repeat of it in mm. 30–31, now prolonging the underlying supertonic of the fundamental

line (mm. 27–34). A further structural point in discriminating the potential $\hat{3}$ from the actual $\hat{5}$ is the obligatory register of the bass, which arrives only in m. 19, well clear of the primary melodic tone having been established, but confirmatory, during the phases of melodic reinforcement that the true bass supports. In the second half, any trace of mediant control after the structural interruption is firmly led to its proper grounding under the controlling dominant melodic prolongation by a strong, hypermetrically accented sequential ascent to E (cf. mm. 39–40 and 41–42) that initiates the second structural descent from F#, as shown in Fig. 5. There must always be a case for considering different possible backgrounds in the Schenkerian reading of a tonal masterpiece. In the end, however, it is not a matter of superior argument, but of what is and what is not confirmed by intense experience of the composition, which leads us back to a fuller version of comments already quoted from Schachter:

The “surface” of tonal music [...] is by no means always an opaque cover concealing an underlying structure of an altogether different nature. The underlying structure (in its several levels of elaboration) is, often to a large extent, present in the surface. But the relationships in a great work are so many and so complex that the ear cannot possibly sort them out at once. Analysis, in part, is the process of sorting out, the clarification of, the various levels. In the course of analysis, discoveries often occur. One becomes aware of connections that one had not previously perceived even in a confused or not fully conscious way. But once aware of them, one hears them; if not heard, the analysis is meaningless. Schenker’s approach begins and ends with direct musical experience, with hearing. If the analysis has been successful it leads to hearing that is incomparably clearer and more comprehensive than it had been before; it never leads to abstraction without sensory content [...] We are not, after all, anthropologists trying to reduce myths to underlying mental structures, or psychoanalysts uncovering patterns of repression in the imagery of dreams [...]. [T]he work is incomparably more important than its structure [...] (Schachter 1976, 310–311).

The richness of Scarlatti's thinking is not exhausted merely by technical observation. In closing the technical parts of this discussion, let us also finally reconsider Sutcliffe's fertile idea of "gap," of the challenges to our perception of a piece where the "style it embodies is not compatible with the modern musical dialects of Scarlatti's time." In his use of extravagant scalic materials—of a kind shown in Fig. 6a, but these are only selections from the scalic saturation of K. 87—Scarlatti is interrogating his own polyphonic manner. Normally, real voices cover a range of a tenth and more, but not the multiple octave ranges found in K. 87, especially at the cadences where the foreground line exceeds what any voice could sing. The opening four measures or so could well signal a charming, compact, vocal quartet piece. That scenario becomes subtly suspect in mm. 5–8 when all the "voices" move down together towards the minor dominant. There is something anti-contrapuntal about this communal registral slide, indicating that all is not what it appears to be. The instrumentality that is to unfold becomes a certainty in the next large phrase, especially in the two octave-scalic trajectory of the bass from m. 15 (see Fig. 6a), confirming, were it needed, the authentic instrumental nature of this composition, which the flamenco passage then places beyond doubt—in, as mentioned above by Sutcliffe, a normative first half procedure for Scarlatti, but one that is susceptible to many different kinds of treatment in the second half of a sonata. In this complex invention Scarlatti is not going to give up in the second half the rich resources that characterized the first. On the contrary, the beginning of the second half rekindles polyphony in a formally conspicuous passage, following the first half repeat, that not only could be sung nicely but even uses inversion explicitly (cf. the lower and the middle parts in mm. 35–6)—and explicit inversion is surely a signal of polyphonic vocality. Yet only some twelve measures later (mm. 48ff.) polyphony will give way to hemiolas with 3^{rds} and 6^{ths} against pianistic octaves in the left hand (even more briefly prominent in mm. 57–58) that, did Scarlatti but know it, three centuries later we could come to think of, non-absurdly, as pure Schumann: Scarlatti is opening up gaps between polyphony grounded in consummate vocality and instrumental writing so modernistic and innovative as to remind us of the

wrong century. The state of balance identified by Sutcliffe is inscribed so rigorously into K. 87 that it may also be reasonable to pursue it not only in the surface detail but right into the deep structure of the music. Is there any reason to resist interpreting the imbalance in the background progression in the first half of K. 87, compared with its orderly disposition in the second half, as anything other than a reflection in the *grande ligne* itself of the “half glimpsed” (to use Schenker’s phrase quoted above) generating its composed outversion?²³

If Scarlatti remains one of Western art music’s mysterious figures, at least that protects us, given that we know so little about the contextual origins of K. 87, from committing the intentional fallacy. Even the authoritative Sutcliffe, as we have seen, will not decide whether the characteristics of this sonata as we perceive them derive from history or from compositional intention. He rather implies that any answer to that question would somehow demean the interrogative nature of an exceptional musical composition, but we can justifiably seek to understand such music in a way that can at least be demonstrated, without being proved. Realistically, we know a great deal about K. 87 without ever having heard it (for example, its melody will have a certain tessitura within quite tight limits; if it begins in B minor, it will end in B minor; and so on). Hence also the necessity for a willing suspension of disbelief, or what Samuel Taylor Coleridge also called “poetic faith” (Shedd 1953, 365). Contemplate the idea of composing an instrumental sonata that is mostly in imitative style, with some sort of meandering melody, but a high degree of motivic redundancy in all parts, a lack of chromatic development that equates it with apprentice tonal harmony, no silences but something sounding on every eighth note except at the double bar; and, by the way, no agogics at all (no dynamic indications—is this last absence merely, to ask again Sutcliffe’s question, a “product of history”?). As a recipe for a compositional masterstroke such an idea may seem about as unimaginative as it would be to suggest set-

23 The idea of a composition being what might be called its own analysis, in other words, being structured by progressive clarification, is a theme I take up from my earlier analysis of a short Beethoven piece (Dunsby 1984).

ting the first eight lines of Schiller's "Ode to Joy" in diatonic quarters all within the range of one octave. Whether we know in advance that K. 87 possibly evinces an interrupted Fundamental Structure similar to those demonstrated by Schenker in some Viennese masterpieces is also a rather unprofitably teasing question—though its assertion in this analysis is considered by the author to be a rather bold reading in the case of K. 87, which bears so few signs of the kind of foreground formal articulation that became a signature of early Classical composition. With our willing suspension of disbelief, we can be content to observe Scarlatti creating what Schenker insisted that we can expect a genius composing a tonal masterpiece to create.

It would be regrettable, in drawing this discussion to a close, to leave the impression that a Schenkerian reading has been its goal. If that were the case, it would have been appropriate to start with that reading rather than referring to a modern Portuguese novel, and to show meticulously how details of the voice-leading picture of K. 87 are borne out by the historical facts. Schenker was obsessed with contextualizing any tiny detail of his analyses,²⁴ just as his composers were with perfecting every note in a particular context.²⁵ What this analysis has preferred to attempt is an exploration of K. 87, thinking about it laterally with as much scholarly diligence as possible. The residual research questions are many: from the apparently simplest, such as whether this is a slow or fast piece, and if the answer is "both" then on what grounds one may assert so; to complex issues such as the extent to which this music refers to the *passacaglia* conventions of early to mid eighteenth-century Southern European keyboard composition in general.

24 For the record, it should be noted here, as is mentioned in other sources, that Schenker never used the term analysis, so far as is known. He called his musical essays syntheses. Also, he was determined to produce wordfree analyses (see Schenker 1932), yet that does not mean that they require no interpretation, and anyway they are covered with either words or symbols representing verbal concepts.

25 This is not to imply that Schenker was uninterested in spontaneity and the compositional flight of musical imagination. For a thorough discussion, including pioneering work on Chopin's labors in devising the *Polonaise Fantasia*, see Rink 1993.

This study began by implying that Scarlatti history is mostly fantasy. In considering the essence of value judgement in a case such as K. 87—admittedly here from the point of view of one committed to the aims and objectives of music theory, rather than those of historical musicology if they are different—the lesson is to inform music-analytical interpretation with the nearest we can come to historical data, however thin it may be. Theory can thrive best in the oxygen of historical validity. With that appeal to the actual firmly in mind, it might be permissible to end after all in fantasy, thinking about Boulez's ideal of music analysis, where the geniuses of the past speak to us about ourselves (Boulez 1986, 123). “What is it to be the saint who wrote K. 87?” we might ask, with Blimunda. And Scarlatti might answer, quizzically: you tell me?

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Textural Developing Variation: Haydn's Innovative Premise for the First Movement of His Piano Sonata in C Major, Hob. XVI:50

ROBERT S. HATTEN

“Once I had seized upon an idea, my whole endeavor was to develop and sustain it in keeping with the rules of art.”¹ Franz Joseph Haydn

Introduction

Haydn's last completed piano sonata before he left London in 1795 was not, as previous editors had assumed, the Sonata in E \flat (Hob. XVI:52, Landon 62) but instead the less grandiose yet just as sophisticated sonata in C major (Hob. XVI:50, Landon 60, c. 1794–95).² In a monothematic first movement,³ Haydn premises what I will call *textural developing variation* that motivates both the generation and the ongoing evolution of a singular, central theme. As I will demonstrate, the devel-

1 Haydn's self-observation, as recounted near the end of his life to Griesinger 1954 [1810], 114.

2 “Hob. XVI:50 was probably the last work Haydn completed before returning to Vienna” (Brown 1986, 378). Brown also notes, however, that the slow movement was composed earlier, between his trips to London.

3 For an outline of Haydn's various strategies for so-called monothematic first movements, see László Somfai (1995, 235–6). The movement I examine here derives nearly all of its material from the first theme, and the variation of the “first” theme when it returns as the “second” theme is obvious.

oping variation of texture works hand-in-hand with motivic or thematic developing variation, while also drawing on familiar variational and developmental techniques, in order to achieve a more integrative and continuous expressive discourse. Along with the troping of learned and galant textures, a topical “inventioning” also appears to be at work, with a *buffa* opening that soon transcends low humor to achieve a multi-dimensional play of wit and even transcendence.

The Generation of a Theme

The main theme (Figure 1) appears to be conceived with a focus on its textural evolution. It opens like a Euclidean demonstration of spatial dimensions: beginning from a point (staccato C), proceeding to an implied line (as the ear connects the “points” C-G-E into a single descending vector), to a plane (the emergence of multiple lines against a pedal point), all within the fourth-dimensional unfolding of time. This opening generation from a single “voice” is hardly captured by our insufficiently nuanced textural labels (is it “monophonic”? then “homophonic”? or “polyphonic”?). “Melody” is simultaneously splaying into “harmony,” again blurring the boundary between traditional categories. An acceleration of the staccato outlining in the bass’s broken octave provides a pedal (shall we call the pedal an “accompaniment”?) that will playfully “hocket” against the upper part (shall we call the upper part a “melody”?). The complementary roles of so-called melody and accompaniment, however, appear to have arisen from a *singular* generative idea, leading to an integrative *melos*, which I have defined as a merger of lines or parts into a single focus of expressive attending (Hatten 2018, 99–100).

We might further nuance the role of the broken-octave pedal point by describing it as a *galant*-style accompaniment type (*Trommelbass*) that is also engaged in *dialogue* with the right hand (the hocketing may be heard as a kind of rhythmic imitation), hence, it is also *learned*, in a sense. But by m. 2, this rhythmic give-and-take between the hands



Figure 1: Haydn, Piano Sonata in C Major (Hob. XVI:50), first movement. Generation of the primary theme, with rhetorical pause at the end of m. 6. (This and succeeding examples are drawn from the Breitkopf und Härtel edition.)

creates two *textural strands*, a perceptual *stratification* by register.⁴ Meanwhile, the sequential broken fifths in the “melody” generate their own division into two lines with compound voice-leading (A-G and D-C), and the descending sequence ultimately resolves an inner $\hat{3}\text{-}\hat{2}\text{-}\hat{1}$ (E-D-C) descent in the alto voice (mm. 1–2). Measure 3 echoes this sequence, now expanded to sevenths, in order to create a more topically *learned* 7–6 contrapuntal pattern in the right hand. This interval expansion is expressively marked with slurs that connect the sevenths and support the coherent *melos* of a 7–6 suspension chain.⁵ This new, legato articulation is echoed by the now-slurred broken octaves, still hocketing in dialogue

4 For a rigorous account of the cognitive constraints on our perception of individual lines in a texture, see Huron (2016), which draws on the “auditory scene analysis” approach pioneered by Bregman (1990).

5 This is not unlike Bach’s *Sinfonia* in D major, in which a 7–6 chain implied in the subject’s compound line initiates a three-part invention. Indeed, considering the opening theme of the Haydn sonata as a kind of “invention” makes sense, considering the two-part invention topic for the opening theme of the first movement of his earlier Piano Sonata in F Major (Hob. XVI:47, Landon 57), which appeared in 1788. Compare Mozart’s own invention topic for the opening theme of his Piano Sonata in F Major, K. 533, also from 1788. Both sonatas open with a single-voice “subject”; the difference is that Mozart only places his subject in the bass when he treats the theme to varied repetition, whereas Haydn imitates his subject immediately. But clearly, learned-style “inventioning” is premised from the start of each first movement.

with the upper, more learned strand. Given the registral bifurcation of each compound strand, a spectral four-voice texture emerges, but this is hardly a prototypical “homophonic” texture.

With the move to a cadence at m. 4³, the right-hand’s now-continuous eighths break up the hocketing texture and *liquidate* into a tonic close on three Cs, offering a brief moment of what might be termed *textural closure*. But the lack of full harmonic closure undermines the cadence, and a sequential extension of the melodically closural B-D-C also promotes continuity across the boundary (an example of *linkage technique*), launching a cadenza-like cadential extension.⁶ As thickened with parallel thirds and then sixths, the motivic fragment ascends sequentially to a climactic appoggiatura, dramatized by a rhetorical pause (m. 6).

To summarize this first phrase, the progressively enhanced blend (or *troping*) of *galant* and learned textures in this opening theme begins with a near-pointillist interaction of pitches that, as they begin to imply voices, also undergo a kind of motivic evolution that is best characterized as *developing variation*.⁷ But note that the texture itself is undergoing its *own* developing variation (through an evolution that appears to be thematized in conjunction with the motivic evolution). And it is this multi-layered, motivic and textural “inventioning” that becomes the premise for the movement’s “working out.” In other words, the ongoing *textural* development interacts with an ongoing *motivic* developing variation to create an expressively dramatic discourse.

As we will see, textural evolution also justifies the monothematic design of the movement; when the opening theme recurs in the second key area, it is subjected to textural inversion (mm. 20ff.) and thickening in thirds (mm. 30ff.). And, as we will explore further, an ongoing textural evolution achieves expressive climaxes through reverberant

6 For the concepts of linkage technique and liquidation, see footnote 15 below and the associated discussion in that section.

7 For more on the creative blending of topics and styles that I term “troping” (e.g., a form of musical metaphor), see Hatten (1994, 2004, 2014). I will elaborate on Schoenberg’s concept of “developing variation” in a section below.

blurring at special moments in both the development (m. 73) and the recapitulation (m. 108), where we find the instruction to play with open pedal (i.e., without clearing the pedal for changes in harmony). These moments of “textural plenitude” may be interpreted as fulfillments of what might be considered an initial premise that thematizes textural developing variation as part of the movement’s underlying idea.⁸

Previous Analytical Perspectives on the Movement

The unusual features of this movement have not gone unnoticed. Brown (1986, 378-9) notes that the first movement exhibits “the fullest flowering of variation procedures in Haydn’s sonata form,” beginning “with a more common idea that gains in interest from a series of permutations and continuations that include a full gamut of textures—from unadorned monophony to invertible counterpoint.” His analysis actually labels ten micro-variations of the theme. Haydn is clearly incorporating all he had learned from writing variation sets as well as designing contrasting textures for themes in both monothematic and contrasting-theme sonatas.⁹ But there is something deeper going on.

Brown’s “more common idea” is actually a striking kind of invention.¹⁰ Learned treatment (including textural as well as melodic inversion) is presupposed by such a topical premise. And Brown’s “full gamut of textures” would indeed suggest the heritage of variation techniques, including diminutional and character variations, with the latter clothing the theme in a new, often topical wardrobe. But as we have seen, this

8 For the concept of plenitude as textural (and thematic) fulfillment, see Hatten (2004, 43-52).

9 Indeed, the Variations in F Minor (Hob. XVII/6) offer an impressive model. “In 1793, during the respite in Vienna between the two London journeys, Haydn composed the F-minor Variations (Hob. XVII/6), which presents a microcosmic but complete view of his late keyboard style” (Brown 1986, 7). Notably, the title page of the autograph indicates “Sonata,” perhaps suggesting Haydn’s initial intention to compose a sonata movement in variation form, although the final result was a free-standing set of variations on alternating (but related) themes in minor and parallel major. For an insightful analysis of these variations, see Sisman (1993, 192-4).

10 See note 5, above.

“invention” is actually *creating* textures as it first emerges, setting up *textural evolution* as an interactive premise.

Sisman (2003, 297) also notes that in this movement “the variation principle embodied in the opening theme comes to dominate the movement.” But she is reluctant to relate the process to developing variation, instead arguing that this sonata exemplifies a “paratactic” approach to sonata form—i.e., a more loosely additive, as opposed to the more hierarchically coherent, “hypotactic” approach (ibid. 100–101). However, she astutely notes the changing functional role of “variations” as mapped onto “different functional areas of the sonata form” (ibid. 297).¹¹ Although that is clearly one part of Haydn’s formal strategy, there is still more to be said about the unfolding process itself—an evolution (tied to texture) that exhibits the earmarks of developing variation, which in turn draws on the techniques of both variation and development.

Rosen (1995, 14–16) conceives of the movement’s premise in terms of the evolution of sonority—from dry staccato, to slurs, to (at the two remarkable moments noted above) a suffusion of pedal specifically marked as undamped, for two and later four full measures. As the first example in his book on the early generation of Romantic composers, Rosen’s agenda is clear: Haydn is seen to be anticipating a Romantic concern for piano sonority, although for Haydn, it is still an exotic effect: “dry sound without pedal is the normal one for Haydn [...]. The pedaled sonority, on the other hand, is the more exotic sound, a special effect.” (ibid. 16) However, while the process of “attenuating the dryness” (ibid. 14) is clearly part of Haydn’s strategy, that attenuation across the movement is not systematically progressive. A more comprehensive picture will emerge when we track Haydn’s working out of a richer, thematic-textural premise.

Still another interpretation, in this case rhetorically framed, is offered by Beghin (2005, 204–5), who imagines the persona of a contem-

11 This is a point that Ivanovitch (2010b, 157–8) further articulates with respect to Mozart’s use of variation technique in the sonata-form second movement of the String Quartet in F, K. 590, in which each phrase variant is adapted to a particular formal function (primary theme, transition, second theme, etc.); he argues that the “recursive” impulse of variations is nicely accommodated to the “discursive” impulse of sonata form in this movement.

poraneous composer-performer (e.g., Haydn) who is improvising the sonata's opening in the process of trying out a heavier English piano (e.g., a Broadwood) and comparing it to the Viennese piano (e.g., a Schanz) with which he is more accustomed. Haydn would have been impressed by the greater resonance of the London instrument (which fills the rests with sonic reverberation, even when he ventures a very dry opening) and its longer sustaining power (enabling him to hold the rhetorical pause at the fermata even longer, highlighting its suspense). And by following the fermata with a loud, thick-chordal enhancement of the theme (m. 7), he allows the full resonance of his London piano to respond with greater rhetorical force than his Viennese piano could achieve.¹² That Beghin's narrative fits aspects of the opening theme as analyzed above is due, I would argue, to the exploratory unfolding of texture.

Although such "trying out" is an improvisatory kind of "inventioning" in which a rhetorical shape inevitably emerges, the means by which Haydn coordinates a convincing *affective* trajectory is still not fully addressed in these three approaches. I alluded to playfulness earlier, and there is a clear *buffa* element being topically invoked by the opening staccato gesture, perhaps with a hint of march parody (based on the meter and the broken-octave "drumbeat"). The hocketing texture's continuous attack-point rhythm of eighths might even allude to what Hunter (2014, 79) describes as "patter," a distinguishing text-setting feature of *opera buffa* that may be topically imported into instrumental music.¹³ But perhaps even more telling is the "jostling variety of topics" that, for Hunter, distinguishes *opera buffa* from *opera seria* (ibid. 62). And the potential for more immediate topical variety is enhanced by an ongoing textural variation, as will be demonstrated below. Yet the expressive trajectory that emerges has more to do with sophisticated wit than lower-style humor, as noted above.

12 Sisman (1993) emphasizes the important *rhetorical* role of variation techniques, especially those related to figures and figuration (see her chapter 2).

13 Burnham (2005, 61) also suggests, in his analysis of the opening theme from the finale of Haydn's Symphony no. 102, that a "melodic triad" can be used as "throwaway patter." However, his example appears at the end of a phrase, not its opening.

Developing Variation and a Theoretical Genealogy of Terms

I have chosen to adapt Schoenberg's concept of developing variation in my analysis, such that it embraces not only motivic and thematic evolution, but also the complementary evolution of texture, as illustrated in my initial analysis of the opening theme's generation.¹⁴ But Haydn is also utilizing more traditional techniques of variation and development, as well as anticipating thematic transformation. In order to fully understand his integration of these strategies, it may be helpful to explain the contributions of each, and in this section I will construct a theoretical genealogy that both captures the distinctive features of each technique when considered prototypically, and places them in a hypothetical framework to illustrate their plausible historical emergence.

Following Frisch's (1984) conceptualization of developing variation, I will consider Schoenberg's *liquidation* (the breaking up of a theme into its motivic particles) and Schenker's *linkage technique* (beginning a new theme with a motive that appeared at the end of an immediately prior theme) as two of the strategies supporting an ongoing developing variation.¹⁵ But how does the concept of developing variation go beyond what we already know about Haydn's propensity for development and variation (as suggested by the quote in the epigraph, above)?

The key distinguishing feature of developing variation is the *progressive evolution of thematic material*, which may be observed at any of three levels: (1) as clearly emergent *within* a theme (e.g., Schoenberg's (1975 [1947], 430–31) example of the opening theme's generation in the Andante slow movement from Brahms's String Quartet in A Minor,

14 For his most comprehensive essay on the techniques of developing variation, see Schoenberg (1975 [1947]). Earlier definitions will be discussed below.

15 See Frisch (1984, 15–17) for discussion of Schenker's *Knüpftechnik*, or linkage technique, first mentioned in Schenker (1973 [1906], 9–10 and footnote 10, as cited by Frisch). For important insights into Schoenberg's richer conceptualization of *liquidation* (including aspects of transformation and dissolution) see Heneghan (2019, 71–102). See also Boss (forthcoming) for a rich account of developing variation as applied to tonal, atonal, and serial works.

op. 51, no. 2), (2) as traceable via *progressive motivic linkage between successive sections or themes*, or (3) as cross-referenced via the recognized *derivation of a later theme from an earlier one*. In this movement, all three of these levels are implicated.

To step back, developing variation draws upon two familiar strategies, those of development and variation. How might these two strategies be distinguished with respect to their contributions to a more *systematic evolutionary* process? Variation, entailing a shift in texture, tends to preserve the length of the given unit—or more precisely, it sustains an *isomorphic mapping* onto whatever structural features are chosen as primary—a melody, a bass line, a harmonic progression, or some combination of these—while respecting the entire trajectory of those components.¹⁶ Development is oppositional to variation in this respect, typically breaking up a given unit (through fragmentation, often paired with sequence or imitation), and often expanding or compressing an implied or previously established phrase length. Thus, variation suggests more static blocks, whereas development already suggests a more ongoing evolution.

Variation can also feature internal subdivisions (or *diminutions*), and the rhythmic units of a theme may thereby accelerate internally (but setting that new texture for the entire variation or unit) without changing its isomorphism. In Classical variation sets, for example, a theme primarily in quarter-note rhythms may be treated in successive variations to diminutions into eighths, triplet eighths, sixteenths, and perhaps even triplet sixteenths or thirty-seconds, while preserving the length of the theme.

Another type of variation, however, also preserves isomorphism with a given unit while clothing the theme in a new topic and/or texture.

16 For purposes of my argument, I will focus primarily on this aspect of variation as opposed to development, hence, variation as a technique utilized beyond the specific genre of theme and variations. A closer accounting of the relationships between theme and variation (both in the genre of a variation set and beyond) may be found in Ivanovitch (2010a). Ivanovitch demonstrates how a theme may have implications not only in its directly perceived musical relationships, but also in the way that variations can in turn reveal unrecognized aspects of the theme. Thus, for the listener, interpretation works in two directions, from theme to variation, and from variation back to theme.

This is the so-called *character* or “*characteristic*” variation.¹⁷ Obviously, these two types of variations can overlap, as when a new texture or topic also incorporates some form of diminution—or a fast, diminutional variation incorporates a topical figure (such as a fanfare). And a straightforward character variation may also introduce a new tempo, as befits a new topic and/or texture. For example, many Classical variation sets introduce a slower, aria-topic variation, just before a faster finale (which may even expand beyond isomorphism with the original length of the theme, incorporating techniques more associated with development or closural extension).

Thus, although we can oppose the prototypical techniques of variation and development, composers will generally mix and match these techniques to achieve their desired expressive effects. Nevertheless, it can be useful to establish a theoretical genealogy of these and their related strategies, noting their respective contributions to the working out of a musical discourse (see Figure 2).

I begin with the basic opposition between development and variation (as techniques). Under variations, diminutional- and character-variation approaches form a subsidiary opposition. A branching from the development side leads to Schoenberg’s concept of developing variation (e.g., the *progressive generation* of a theme from fragmentary motives, or more continuous motivic-thematic *evolution*). Branching from the character variation, we find *thematic transformation* (clothing a theme in a new texture, topic, and/or tempo).

Too much may be made of a simplistic (or ideological) opposition between the techniques of developing variation (as associated with Brahms) and thematic transformation, or the topical variation of a theme (as associated with Berlioz and Liszt, with precedent in

17 Sisman (1993, 67) notes that A. B. Marx first introduced the term “character variation,” “to refer to a variation that changes the form of the theme, sometimes into a character piece (that is, a march or dance) but also into a rondo, sonata form, or fugue.” He also argued for Beethoven’s further development of what he termed a “characteristic” variation. In my usage here, I emphasize a change not in the actual *phrase structure* (and its dimensions as preserved isomorphically, if not precisely) but rather in the *topic* and/or *texture* of a given unit.

Schubert's *Wanderer* Fantasy in its use of a cyclic theme). In fact, Brahms and Wagner freely used both strategies in their music.¹⁸ Furthermore, the defining characteristics of developing variation had not been fully theorized in Haydn's time, beyond the more generic ascription of "motivic-thematic working out" (*motivisch-thematische Arbeit*).¹⁹ However, I would argue that by addressing the mutually harnessed but distinct techniques of development and variation, as well as developing variation and thematic transformation, we can begin to unlock Haydn's quite sophisticated procedures in "working out" his central idea. When we further apply these techniques to the bridging concept of texture, we will discover a generative premise for Haydn's more comprehensive thematic evolution—one that in effect thematizes the process of textural evolution, as well.

Although Schoenberg's own use of the term variation is not limited to preserving the length (isomorphism) of a unit (in his usage any motive can be varied in any way), he does distinguish between developing variation and simple variation. In the section of his unpublished manuscripts known collectively as *The Musical Idea*, under the subtitle "Formal Procedures," he emphasizes the distinctly generative role of developing variation, in that it "aims at producing new gestalten that will then be used motivically and will generate further new gestalten." (Schoenberg 2006 [1934, 1936], 163). In an earlier formulation (1994 [1917], 38–39), he also distinguishes "ornamental" variations (ones that are relatively inconsequential) from "developing variation," in which "changes proceed more or less directly toward the goal of allowing new ideas to arise."²⁰ Thus, for Schoenberg the concept of developing variation implies a stronger teleological (goal-oriented) impulse, one that can support the trajectory of a larger compositional premise.

18 For Brahms's use of techniques associated with Wagner, see Brown (1983, 434–52), The Prelude to *Tristan* offers a clear example of Wagner's use of developmental alongside variational techniques.

19 Despite its much later theoretical formulation, I have found clear evidence of not only motivic developing variation but also textural developing variation in the keyboard partitas of Bach.

20 Also cited by Carpenter and Neff in Schoenberg (2006, 247).

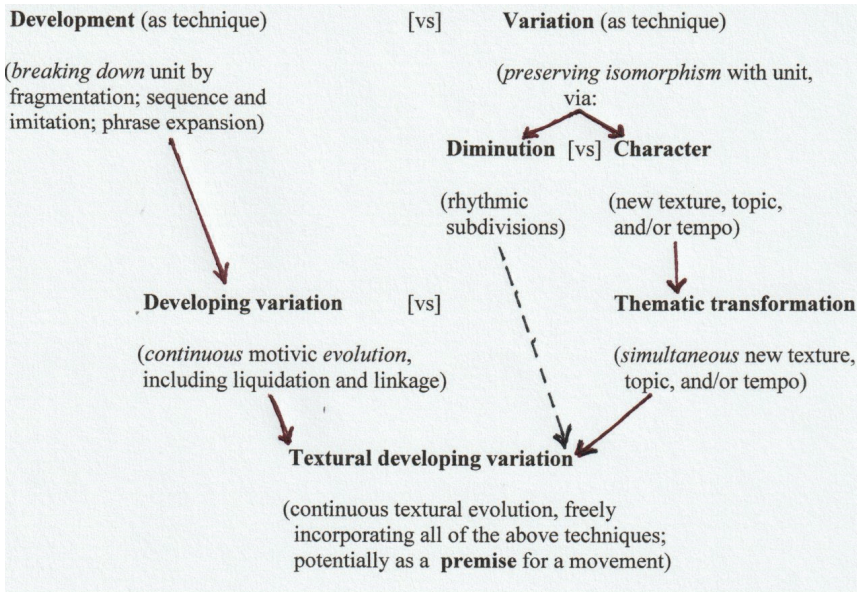


Figure 2: A theoretical genealogy of oppositional techniques as applied to the (coherent) working out of a musical discourse.

Haydn's Ongoing Textural Developing Variation

Returning to the sonata, we can see how Haydn exemplifies Schoenberg's concept. The main theme's "codetta" (mm. 4³–6) may be considered a motivic *liquidation* in that it reduces the theme to a motivic particle; however, as a kind of "cadenza"—with freshly-generated, rising expectations—it also sets up the listener to expect the entrance of a new *textural gestalt* at m. 7—one that is unpredictable at first (texturally surprising) but quickly interpretable in its form-functional role as a *dialogical counterstatement* (Figure 3).

The theme's reinitiation in m. 7 features a textural shock that includes *learned variation* (as mirror inversion of the theme in forte, rolled chords). In keeping with the premise of ongoing "textural developing variation" (and in line with the fast-changing styles of *opera buffa*), the counterstatement immediately shifts dialogically to yet another texture, leaving the trope of "heroic + learned" rolled chords behind and regaining the inner dialogue between hands via an "ornamental + *galant*"

texture in mm. 8ff. The descending fifths from m. 2 are now decorated with a turn figure in the right hand, and the hocketing response has become conventionally accompanimental (repeated block-intervals). With the third limb of the theme, the descending sevenths, the left hand enhances the texture with a new counter-line in sixteenths—first filling in a (truncated) descent as echo, but then inverting it to an ascending line. This further *acceleration of textural variation* to the half-bar is, in form-functional terms, an appropriate “unit acceleration” for the “continuation” portion of this miniature sentence structure.

A brief cadence in m. 10 lands on a new developing variation (of the texture from m. 8) for a more extended closural response over continuous diminutions in sixteenths, with reiterated pedal and Alberti-bass-like figuration. In keeping with the developing variation premise, this extended codetta “develops” by creating a new dialogue in the right hand alone. And unlike the previous codetta (which preserved the quasi-hocketing dialogue between the hands with a rising sequence in the right hand), this texture extends the turn-ornament over the fifth from m. 8 to a similar ornament over the slurred, descending-seventh motive (now compressed to a consonant sixth). And in the right hand (middle of mm. 11–12) there is a balanced, dialogical, motivic response via an ascent that inverts the opening arpeggiation of the tonic chord.

After a sentential repeat of this one-bar “basic idea,” the “continuation” phase (mm. 13–14) accelerates into one-beat iterations of the rhythmic-contoural motive, now developing through a quasi-voice-exchange with the left hand bass.²¹ The “closural” limb (from m. 15) of this “post-cadential sentence” exposes a single-line, upward tonic arpeggiation answered by a parallel third, scalar descent. This formal

21 As one of the anonymous reviewers of this article points out, this passage suggests a typical *galant* schema that Robert Gjerdingen (2007, 226) dubs the *Fenaroli*, in honor of Francesco Durante's student Fedele Fenaroli (1730–1818), who compiled one of the most comprehensive collections of pedagogically ordered *partimenti*. Although my analysis of Haydn's first movement focuses on the originality of his thematic generation, it should be acknowledged that he also relied on conventional patterns, especially where such conventionality could best serve formal function—as here, where the voice-exchange repetitions serve to enhance a cadential/closural function.

articulation of the texture nevertheless leads seamlessly (without a rhythmic break) to a new, now transitional texture above a dominant pedal (from m. 17). The subtle transformation thereby “develops” previous motives in new textural dispositions: the descending parallel thirds slow down in m. 16 as they receive an ascending scalar counterpoint in the left hand. And the hocketing exchange actually accelerates, with parallel thirds alternating with the broken octave (on G) in the left hand. Such a textural transformation, underlining the shift from clausal to transitional formal function, also accomplishes Schoenberg’s desideratum for developing variation, in that the passage prepares for a new “gestalt.”

But the new gestalt is none other than a variation (at least initially) of the main theme, repurposed as the presumed second theme in the dominant key, in order to continue the discursive exploration of not only the theme but the premise of textural developing variation (Figure 4). Textural inversion places the theme in the left hand (doubled in octaves to support the shift to a forte dynamic), and the theme is now complemented by a continuous-sixteenth counter-line, a flowering of the linear counterpoints first introduced in mm. 9 and 16.

Hocketing has here dissolved into continuous diminutions, and the slurred sevenths further suffuse, as the texture thickens, to three (or is it four?) voices in m. 23, with a legato counterpointing above a dominant pedal in G. The formal function of this theme now shifts from its presumed second-theme presentational role to supply what was missing in the transition, a clear establishment of the dominant of the new key for a full-fledged medial caesura. The transitional function (as variation gives way to development, and then developing variation) is enhanced by a progressive liquidation of texture, from the thick five-note down-beat of m. 24, to two voices in m. 25, to a hocketing in sixteenth-pairs in mm. 26–7, to a single line linear descent at the end of m. 27, and to the final liquidation into reiterated upward arpeggiations in m. 29. But even this progressive textural transition (all over a dominant pedal) has one last textural surprise—the anticipatory half-note thirds in m. 29 that offer a galant embellishing chromaticism ($\hat{2}$ along with $\hat{7}$), suggesting a coy anticipation of the next gestalt.

The image displays a musical score for the first movement of Haydn's Piano Sonata in C Major, Hob. XVI:5. The score is written for piano and is in 2/4 time. It begins with the tempo marking "Allegro." and the dynamic marking "p". The score is divided into six systems, each containing two staves (treble and bass clef). The first system (measures 1-3) shows the initial theme. The second system (measures 4-6) features a "cresc." marking and a "fz" dynamic. The third system (measures 7-9) includes a "p" dynamic. The fourth system (measures 10-12) has a "(mf)" dynamic. The fifth system (measures 13-14) is marked "cresc.". The sixth system (measures 15-17) starts with "fz (dim)" and "cresc." markings. The score includes various musical notations such as notes, rests, slurs, and dynamic markings.

Figure 3: Haydn, Piano Sonata in C Major (Hob. XVI:50). Exposition continues with initial variation of the primary theme (mm. 7-10) followed by closing material.

The image displays a musical score for Haydn's Piano Sonata in C Major (Hob. XVI:50), specifically measures 15 through 29. The score is written for piano and is in G major and 3/4 time. It consists of five systems of music, each with a treble and bass staff. The first system (measures 15-17) begins with a forte (*fz*) dynamic and a decrescendo (*dim.*) marking. The second system (measures 18-20) features a piano (*p*) dynamic. The third system (measures 21-23) continues the melodic development. The fourth system (measures 24-26) shows further textural inversion. The fifth system (measures 27-29) concludes with a decrescendo (*dim.*) marking. The score includes various musical notations such as slurs, ties, and dynamic markings.

Figure 4: Haydn, Piano Sonata in C Major (Hob. XVI:50). Exposition continues with textural inversion of primary theme (fragment) in G major and (derived) counterline at m. 20, hinting at second theme but instead launching a transition to prepare the dominant of G major for the medial caesura, mm. 24-29.

After this more extensive preparation for a more definitive arrival on the secondary key and theme, another variant of the main theme duly appears, rhyming with its earlier appearance in m. 20 through obvious textural inversion, but adding an extra variational element—

the left hand octaves are transformed in m. 30 to thirds and a fourth in the right hand, as a texturally thicker variant of the opening motto (Figure 5).

Textural developing variation continues throughout this theme variant: the hocketing alternation returns—the left hand breaks off its continuous sixteenthths to provide turn-figure responses to the single-line descending fifths (but now both hands are slurred), and the seventhths also return, doubled in thirds, and still slurred. To cap it all, there is a micro-variation in the left hand's responses—first, staccato thirds mirroring the contour of the right hand with complementary eighthths, and then, legato thirds in sixteenthths (m. 32). The kaleidoscopic play of textures within these few bars is not over, however, as the cadential measure (m. 33) is now transformed into a transition in three voices (diminution on top, two-voice give-and-take counterpoint below), leading to another extended codetta, this time above a continuous, broken-octave dominant pedal. The right hand accelerates the parallel third motive from the original codetta in m. 4, and this thematically motivated, brilliant-style closural passage might have led to the double bar, were it not still too early to achieve suitable balance among formal sections. Instead, Haydn transforms this texture with an interpolation of the bound style (perhaps motivated by the implied 7–6 suspension chain in the third bar of the opening theme). This two-voice, legato counterpoint in halves and quarters (mm. 37–42) is soon complemented by the left-hand, whose octave sixteenthths give way to a two-voice, Alberti-like figuration in mm. 38–42 that adds to the learned plenitude (and expressive interiority) of the passage. When its six bars conclude on a quiet G major triad in m. 42, Haydn reverts to his extreme, textural-shift strategy, as found in m. 7, transformed now into faster six-voice chords with a similar registral and mirroring expansion, but now functioning as part of a cadential gesture (m. 42), answered dialogically by a softer turning figure in two voices. The latter's micro-variant to triplet sixteenthths (end of m. 43) is then picked up by the forte chords (now fully arpeggiated) in order to surge into a cadenza-like expansion, moving from ii6 to cadential 6/4 and a concerto-like trill over V for the cadence (mm. 46–47).

The image displays a musical score for Haydn's Piano Sonata in C Major (Hob. XVI:50), specifically measures 30 through 46. The score is written for piano and consists of two staves: a treble clef staff and a bass clef staff. The key signature is one sharp (F#), and the time signature is common time (C). The score is divided into six systems. The first system (measures 30-33) begins with a forte (*f*) dynamic and includes a *dim.* marking. The second system (measures 34-36) features a dynamic pattern of *cresc.* followed by *dim.*, repeated three times. The third system (measures 37-39) starts with a piano (*p*) dynamic and includes a fortissimo (*fz*) dynamic. The fourth system (measures 40-42) continues with the *fz* dynamic. The fifth system (measures 43-45) features a forte (*f*) dynamic. The sixth system (measure 46) begins with a forte (*f*) dynamic. The notation includes various rhythmic values, accidentals, and articulation marks such as slurs and accents.

Figure 5: Haydn, Piano Sonata in C Major (Hob. XVI:50). Exposition continues with definitive version of derived second theme (m. 30) as textural inversion of its premature arrival at m. 20.

The closing section features two codettas (see the end of Figure 5 and the beginning of Figure 6, below). The first, in mm. 47–51, recalls the left-hand's Alberti-plus-pedal texture from m. 10; the right hand dialogically alternates the descending arpeggiated motto with its lin-

ear, ascending “countersubject” (first presented in the second-theme variants from mm. 20 and 29). Thus, even this functionally closural, topically brilliant-style passage is suffused with the theme. The second codetta is merely a final cadential gesturing in mm. 51–53 that returns to the dialogical play of textures, this time contrasting a piano dynamic in two voices with a melodic inversion, forte, in three voices.

To summarize the exposition, what is so striking is how Haydn continuously develops the theme and its texture(s) while still preserving the formal functions and tonal proprieties of sonata sections. Thus, simply labeling the sonata type as monothematic is not going far enough. Furthermore, merely tracing a series of motivic variants provides just part of the picture. Only when we recognize the ongoing dialogical play and transformation of textures as part of a higher-level premise do we fully engage with the remarkable unfolding of Haydn's dramatic discourse.

Expressive Aspects of Textural Developing Variation

Let us return now to the effect of texture on the expressive discourse. We have already observed that the movement begins with a *buffa* theme (staccato, expectant), but it receives *commedia dell'arte* transformations in its progressive textural costuming. The evolving theme is brimming with good humor and rhetorical shocks, but its playful use of learned elements and the continuity of its thematic-textural developing variation generates a coherent and even masterfully controlled discourse. We move from the low comedy (*Humor, Laune*) of a *buffa* motto to the sophisticated wit (*Witz*) of a thematic-textural discourse, in the space of a few bars, and this texturally–thematically motivated trajectory never falters, thanks to the subtle unfolding of developing variation in several dimensions. The “heroic” forte chords may be interpreted as “pompous” and the “learned” mirror inversion as parodistic, but there is also a passage of enhanced sentiment: the legato, bound-style passage that appears to be “laminated” above the busy left hand's closural figuration in mm. 37–42, interpolating a moment of intimate *sensibility*

amid the witty proceedings. Thus, the genre moves beyond that of a capriccio to encompass a more elevated discourse, as suited to the status of a sonata, even as the expressive discourse moves beyond an initial whimsy to encompass a wider range of emotional experience.²²

Developing Variation in a Development Section

One might well ask, given all the preceding variations and developments coordinated by an overarching developing-variational strategy, what remains for the development section to accomplish? Of course, there is the important function of tonal exploration, as the German term, *Durchführung*, implies (a “leading through” keys). But the ongoing premise of textural developing variation may also enhance a modulatory *Phantasierung*, leading us still further on a path of rhetorical, dialogical, and interpolative exploration.

Indeed, in m. 54 the development launches with a quiet variant of the initial second theme variant, now in G minor, with a piano dynamic, and with the left-hand propelling the motto both up an octave and in single pitches (Figure 6). This new variant, now with slurs over the fifths in the second bar, is then subject to textural inversion of its two-bar fragment—but only for one bar, at which point a fresh continuation, marked by another textural inversion and shift to a single-line, accelerates the unit rhythm with imitation at the half bar and sequencing at the full bar.

Thus, Haydn is conventionally developing by breaking up his thematic unit (via fragmentation, enhanced by imitation and sequence), as opposed to a variation approach that would preserve the length of a

22 Gretchen Wheelock (2008) offers an illuminating comparison of the genres of Capriccio and Fantasy in Haydn and Mozart. She also cites Haydn’s letter to his publisher, Artaria, offering and describing a capriccio that was later published by Artaria with the title, Fantasy: Fantasy in C (Capriccio, in Haydn’s own reference to it), offered to Artaria in 1789 with this note: “In a most humorous hour [*bey launigster Stunde*], I have composed an entirely new Capriccio for the fortepiano, which, on account of its taste, originality, and particularly its working out, will surely win favor with connoisseurs and non-connoisseurs. It is only a single piece, somewhat long, but not too difficult.” (ibid. 327). Thus, for Haydn, even the capriccio was trending toward a more serious thematic treatment, despite its origins here in a more humorous inspiration.

unit, as was more typical in the exposition's thematic statements (despite their numerous internal and ongoing textural variations). In this way, the formal functions of presentation vs development are replicated at a larger scale, through the functional opposition between exposition and development sections. The thematic continuation phase also ex-

The image displays a musical score for the development section of Haydn's Piano Sonata in C Major, Hob. XVI:50. The score is presented in six systems, each containing two staves (treble and bass clef). The first system starts at measure 49. The second system begins at measure 52, where the development section starts in G minor. The third system is marked with a crescendo (cresc.) and starts at measure 55. The fourth system starts at measure 58 and includes trills (tr) and a piano (p) marking. The fifth system starts at measure 61 and includes a piano (p) marking. The sixth system starts at measure 64 and includes a fortissimo (ff) marking. The music is characterized by fragmentation, modulation, learned imitation, and stretto, with metric displacement.

Figure 6: Haydn, Piano Sonata in C Major (Hob. XVI:50). Development section at m. 54 begins in G minor with derived second theme once more in textural inversion, subjected to extensive developmental procedures (e.g., fragmentation, modulation, learned imitation and stretto, metric displacement).

tends beyond the four-bar model, with an acceleration of the sequence to a quarter-bar in m. 59, before rounding off with a cadence offset to the third beat of the bar. Another feature of developmental material seen here is loosely-knit phrase structuring, as opposed to balanced or symmetrical phrase lengths.

The phrase's extension (by internal repetition) results in the final closural bar being offset by half a measure (m. 60). This phrase-structural "displacement dissonance" (Krebs 1999, 33) is highlighted by a phrase elision in the middle of the bar, marked by the launch of another (rhyming) version of the second theme variant, now in F major, with restored octaves and register. But the left hand's attempt at a full thematic statement is truncated in m. 63 after only three bars. What is also new is an emergent counter-theme in the right hand in mm. 60³ff., an ornamentally disguised, mirror inversion of the bass, still internally dialogical with its hint of hocket-like alternation between the hands. If the original, linear-sixteenth counterline was rather unmarked as an addition to the theme, then this mirror-inversional, dialogical, trill-ornamented complement is highly marked, and the two-voice "invention package" is a learned achievement within a *buffa/galant* texture.

The truncation in m. 63 is necessary to bring the displaced phrase back into downbeat alignment, and indeed, a closural passage in F starts on the downbeat in m. 64 and restores downbeat-aligned periodicity for two bars. Then, surprisingly, an inner expansion interpolates a glorious burst of freedom in m. 66 by leap of a sixth to high F, followed by a lyrical extension of the 7-6 motive from the third bar of the theme (see the end of Figure 6 and the beginning of Figure 7, below). A similarly interpolated, lyrical effusion may be found in the expositions of Haydn's Piano Sonata in E \flat Major, Hob. XVI:49, i (m. 33ff.) and Mozart's Piano Sonata in B \flat Major, K. 333, I (mm. 73ff.), which extend not only length but also expressive range, as the music appears to soar beyond all previous constraints. This is a cue for virtual subjective freedom (to be elaborated below). Here, the effusion appears to "float" as the bass shifts to a dominant pedal on E \flat , and it gently winds down (liquidates texturally) as preparation for a return of the theme (false recapitulation) in the distant key of A \flat major (Figure 7, m. 73).

This tonally false return begins with another textural surprise: the register is down an octave, and the theme has just the opening upper voice, doubled in octaves, pianissimo, and suffused in the special pedal effect mentioned earlier. For two bars the dampers remain raised, creating a spectral effect—a mystical texture that transforms melodic outlining into reverberant sonority.

This is the first of Rosen's two articulatory goals, as noted earlier. Its interiority (soft, low register, muffled outline) contrasts radically with the more extraverted (loud, high register, clear outline) expressive character of the previous interpolation—and this extreme textural contrast is just as important to the ongoing developing variation of texture: as a point of furthest *textural* extreme, it enhances a point of furthest *tonal* remove.

The textural drama then accelerates, first by literal motivic acceleration of the slurred sevenths from the third bar of the theme (the hocketing distance tightens in m. 76, then the right hand diminishes to sixteenth). But with a vii^{o7}/V to V in E minor (mm. 82³–83¹), the lyrically interpolative material returns in two voices over a *Trommelbass* (mm. 83³ ff.). The two-voice counterpoint is an echo of the bound style, featuring three implied suspensions in the soprano (see the end of Figure 7 and the beginning of Figure 8): 7-6 over pedal (m. 84), 4-3 (m. 87), and 9-8 (m. 88) all over a chromatic, modulatory bass (V/e moves first deceptively, bass B-C, in mm. 84–85, and next chromatically, $C\sharp$ -D in mm. 85–86 to V/G , then to V^7/C in m. 87, and with one more deceptive move through V_5^6/a to A minor in mm. 87–88, and finally down through an augmented sixth to V/a in mm. 88–89). Textural liquidation at this point (mm. 89ff.) dramatizes what we soon understand to be a false retransition, as Haydn extends his search for V/C with a wedge expansion to vii^{o7}/d (mm. 94–95), followed by a sequential wedge to vii^{o7}/C (m. 98), and a gradual enrichment of texture to its thickest chordal repetition: an 8-voice, emphatic V^7/C (mm. 100–101) that properly prepares the recapitulation at m. 102.

The greatest textural break thus far (three beats of rhetorically expectant silence) articulates the sectional return to the main theme (m. 102)—and its skeletal outlining is wittily anticlimactic after such

a wide-ranging development section. Tongue in cheek, the variation process begins sooner, now slurring the descending fifths, with a diminutional shake in each hand (m. 104) to reverberate the previously bare

The musical score consists of six systems of music, each with a grand staff (treble and bass clefs).
 - System 1 (measures 67-69): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A '(dim.)' marking is present in measure 68.
 - System 2 (measures 70-73): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A 'p' dynamic is in measure 70, and 'pp open Pedal.....' is in measure 73.
 - System 3 (measures 74-77): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A 'p' dynamic is in measure 74, and 'f' dynamics are in measures 75-77.
 - System 4 (measures 78-80): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A 'cresc.' marking is in measure 78, and 'f' dynamics are in measures 79-80.
 - System 5 (measures 81-83): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A 'p' dynamic is in measure 81.
 - System 6 (measures 84-86): Treble clef has a descending fifth slurred across both hands. Bass clef has a similar pattern. A 'dim.' marking is in measure 84, and a 'p' dynamic is in measure 86.

Figure 7: Haydn, Piano Sonata in C Major (Hob. XVI:50). Development continued, reaching point of furthest remove (Ab major) for return of theme in low register with two-bar blurred pedal effect (mm. 73-74).

intervals of the third bar. Similar textural intensifications occur in the counterstatement (Figure 9, mm. 108ff.). The second bar features an inverted response in the left hand (m. 109). However, the same cadential passages recur, leading this time to C minor and an augmented-sixth confirmation of V/C (mm. 116–117). A cadenza-like fill of this medial

The musical score for Figure 8 consists of six systems of music, each with a treble and bass clef. The first system (mm. 87-90) shows a melodic line in the right hand with grace notes and a rhythmic accompaniment in the left hand. The second system (mm. 90-93) features a crescendo in the right hand and a decrescendo in the left hand. The third system (mm. 93-96) includes a fortissimo section in the right hand and a decrescendo in the left hand. The fourth system (mm. 96-99) shows a decrescendo in the right hand and a fortissimo section in the left hand. The fifth system (mm. 99-104) features a fortissimo section in the right hand and a decrescendo in the left hand. The score ends with a double bar line at measure 104.

Figure 8: Haydn, Piano Sonata in C Major (Hob. XVI:50). Developmental retransition to (varied) recapitulation beginning at m. 102.

caesura sequences down two octaves for the low, texturally thickened hammer-blows in m. 119. Now, having efficiently established the dominant (as compared to the exposition's more extended transition), Haydn needs only one variant of the theme to resolve the second key material in C. This "second" theme is registrally high, as oppositional to the low preparation for its return.

Texturally, this variant (mm. 120ff.) provides a suitable climax, extending to four bars the open-pedal effect that had marked the false recapitulation in mm. 73–4. The theme is enhanced by textural inversion (with the motto in the bass) and a hocketing, mirror inversion in the right hand. As if that were not enough of a textural climax, Haydn thickens to three, and then four voices, with two streams of 7–6 suspensions, one in each hand (mm. 122–24), to produce a four-voice sequential passage. The implied compound melody of the theme is thereby texturally completed as the bass's 7–6 chain resolves to a tonic octave while the overlapping right hand sequence extends to the dominant a measure later.

What follows is a cadenza-like expansion of the dominant for five and a half measures (mm. 124–29), featuring sixteenth-note figuration in hocket; acceleration; textural liquidation into a single, chromatic, linear ascent; and an arrival on a block-chordal V^7 with two (contrapuntal) cadential trills serving to mark closure. Textural developing variation appears to have reached a point of resolution with the subsequent return of the entire closural section from the exposition, now in C. The same textural oppositions here provide a brilliant-style peroration. Thus, despite internal textural variability this closing section comprises a large-scale *textural resolution* into nearly uninflected familiarity.

To summarize, textural developing variation in this movement is both *hierarchical*—working at several levels—and *multi-dimensional*—oscillating between the poles of more-variational and more-developmental procedures. Texture is part of the rhetoric of the movement, and it helps constitute the generative idea of its main theme: the premise of texture as co-evolving with motive. Although the contributions of motive and texture may be hard to tease out analytically—texture is constantly *subsuming* even as it *enhances* the motivic discourse—Haydn

The image displays a musical score for the first movement of Haydn's Piano Sonata in C Major, Hob. XVI:5, specifically measures 108 through 128. The score is written for piano and consists of seven systems of two staves each (treble and bass clef). Measure numbers 108, 111, 114, 117, 120, 125, and 128 are clearly marked at the beginning of their respective systems. The music features a variety of textures and dynamics, including *mf*, *cresc.*, and *pp*. A prominent feature is the use of a four-measure pedal point in measure 120, marked *pp open Pedal*. The notation includes complex rhythmic patterns, such as sixteenth-note runs and syncopated rhythms, and dynamic markings like *mf* and *cresc.* are used throughout. The score concludes with a final cadence in measure 128.

Figure 9: Haydn, Piano Sonata in C Major (Hob. XVI:50). Recapitulation continued, with resolution to C major of the derived second theme in its final transformation (mm. 120-24), featuring high register, a longer (four-bar) pedal blur, mirror inversion, rhythmic displacement, learned suspensions, and greater density.

is clearly attempting something that goes beyond mere variation or development alone. From the textural generation of a theme, to the unfolding of textural variants, to the development section's further acceleration and expansion of textural evolution, to the mystical new texture achieved by the undamped pedal effect in a distant key, to that texture's elevation in the recapitulation into a kind of transcendent vision in the home key, Haydn has fashioned a remarkably consistent trajectory of textural developing variation—one that is negotiated within the functional constraints and dramatic potential of sonata form. Even the more literal end of the recapitulation (after the tonal return of the “second” theme) may be interpreted as completing the trajectory by providing a larger-scale *textural resolution*, returning to the familiar norms of the exposition's closing section.

Virtual Agency and Subjectivity

With its swerves between external and internal expressivity, and with its playful inventing on various scales, the first movement stages not merely whimsy but *subjective freedom*. In my work on virtual agency (Hatten 2018), I have explored the ways that developing variation can support an interpretation of a thematic discourse that is congruent with a discourse of “feelingful thought” by a virtual subjectivity. This discourse is comprised not by mere *representation* of a series of emotional states, but by ongoing *exemplification* and/or *enaction* of emotion/thought-filled processes as they might be experienced by a virtual agent. The structural continuity afforded by developing variation both enables and strengthens this interpretation. And the close linkage of thought and emotion—the fusing of musical structure and expression as integrative parts of human meaning-making—allows for the presumed analogy of virtual to actual human agency to be that much more persuasive. We are invited to interpret the movement not merely as playful inventing but as an ongoing exploration of our deeper human subjectivity.

Of course, such mapping is not fully determinate. When we hear the sudden, loud, re-initiation of the theme with block chords in m. 7,

there are several options for interpretation: from Beghin's staging of a composer-pianist "trying out" a new piano, to a *Surprise*-Symphony-like shock from an *external* virtual agency, or—more in keeping with an ongoing, interior virtual subjectivity—to a virtual agent's willful determination in charting a new path. The performer, as actual agent, may project any of these interpretations through various physical gestures and bodily reactions to the sudden sound, whether by embodying a clinical appraisal, a sense of outright surprise, or a staging of willful insistence.

I would argue that by this time, historically, the notion of subjective expression through a virtual agent (or some sort of persona, whether identified as the composer, the performer, or both) is not new. Indeed, it helps answer the question famously posed to purely instrumental music by Fontenelle (c. 1750): "Sonate, que te me veux?"²³ Although more deeply personally in the fantasia genre, and more surface-level playfully in the capriccio genre,²⁴ Haydn's thoughtful working out of its premises in a sonata movement demands a deeper interpretive effort on the listener's part. The continuous exploration staged by developing variation brings us closer to experiencing—in music—how thoughts and emotions are constantly evolving in tandem. And it is the dimensionality of texture that enables us to experience a similar depth of virtual subjectivity in Haydn's last piano sonata.

23 For further interpretation of Fontenelle's rhetorical question, see Hatten (2018, 67) and Jerold (2003).

24 But see Wheelock, footnote 22, above.

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Schenkeriläinen äänenkuljetus ja ”mekaaniset” operaatiot Bachin C-duuri-inventiossa

Schenkerian Voice-Leading and “Mechanical”
Operations in Bach’s C-Major Invention (for an
extended English summary, see the end of the
article)

OLLI VÄISÄLÄ

Muistelua ja johdantoa

Suhtautuminen Schenker-analyysiin on ollut paljolti tunteenomais-
ta. Muistan Schenker-skeptisen kollegani reaktion, kun olin kertonut
laajasta Bachin inventioita käsittelevästä Schenker-analyttisestä
artikkelistani (Väisälä 2009). Mainittuani, että tuohon ohjelmistoon
syventyminen oli vakuuttanut minut schenkeriläisten käsitteiden sä-
vellyksellisestä merkityksestä, *Urfinie* mukaan luettuna, hän tokaisi
yksikantaan: ”Olen jyrkästi eri mieltä.” Kun vihjaisin siihen suuntaan,
että hän voisi tutustua artikkelissani esitettyihin perusteisiin, vastauk-
sena oli naurunrämähdys.

Kyvyttömyys keskustella aiheesta rationaalisin argumentein
ei ole ollut vain Schenkerin vastustajille ominaista. Kuten otsikolla
”Schenkerin haitallinen vaikutus schenkeriläisyydelle” (Väisälä 2010)
olen esittänyt, schenkeriläistä tutkimusta itseään on olennaisesti hei-
kentänyt se, että niin yksittäisten analyttisten tulkintojen kuin yleis-
emmän teorian rationaaliseen perustelemiseen on kiinnitetty aivan
liian vähän systemaattista huomiota.

Omassa historiassani olen aikanaan kokenut – jos vähän liioitellaan
– kääntymyksen Schenker-skeptisyydestä Schenker-uskovaisuuteen.

Vaikka tähän liittyi vahvoja tunteenomaisia elämyksiä siitä, miten Bachin inventioiden kaltaisesta, satsiopettajalle läpikotaisin tutusta ohjelmistosta avautui aiemmin tiedostamattomia ulottuvuuksia, niiden elämysten takana olivat täysin rationalisoitavissa olevat huomiot Schenkerin käsitteiden kuvausvoimasta Bachin sävellyksellisille ratkaisuille.

Tällaiset huomiot saivat minut pohtimaan keinoja Schenkerin teorian evidentiaalisen perustan vahvistamiseksi. ”Schenkerin haitallinen vaikutus” -artikkelissa puhuin kahdenlaisesta evidenssistä. *Ensimmäisen lajin evidenssiksi* nimitin niitä seikkoja, joilla voidaan perustella musiikillisten elementtien rakenteellisia painoarvoja, *jos* analyysin lähtökohtana ovat Schenkerin (1935) teorian mukaiset eri rakennetasojen harmoniaa ja äänenkuljetusta koskevat normatiiviset oletukset. *Toisen lajin evidenssi* koskee noita oletuksia itsessään: mitä empiirisiä perusteita on väittää, että Schenkerin kuvaamilla rakennetasoilla on merkitystä tonaalisten ”mestariteosten” sävellykselliselle organisatiolle?

Nämä kysymykset kytkeytyvät läheisesti toisiinsa. Vaikka Schenker-analyysissä on otettava huomioon tietyt harmonis-äänenkuljetukselliset normit, voidaan ensimmäisen lajin evidenssi – rakenteellisten painoarvojen määrittäminen – huomattavassa määrin perustaa niistä riippumattomiin, *rakenteellisiksi indikaattoreiksi* kutsumiini hahmotustekijöihin, kuten metriin, muotoiluun ja rekisteriin. Samat hahmotustekijät ovat avainasemassa toisen lajin evidenssin kannalta: mitä vahvemmin ja johdonmukaisemmin ne jossain ohjelmistossa Schenkerin harmonis-äänenkuljetuksellisia normeja tukevat, sitä vahvempaa on evidenssi viimeksi mainittujen sävellykselliselle merkitykselle.

Jonkinlaisena visiona mielessäni häämötti ajatus Schenkerin normatiivisen teorian täydentämisestä rakenteellista määrittämisestä koskevalta teorialla, joka formaalisuutensa asteen osalta voisi muistuttaa vaikkapa Lerdahlin ja Jackendoffin (1983) generatiivista musiikinteoriaa ja joka loisi pohjan näiden evidentiaalisten kysymysten järjestelmälliselle tarkastelulle. Vaikka luovuin yrityksistä vision toteuttamiseksi, tämä johtui pikemminkin siitä, että elämässä on kaikenlaista muutakin

tärkeää ja mielenkiintoista, kuin siitä, etten periaatteessa uskoisi sitä toteuttamiskelpoiseksi. Yhtä kaikki, riippumatta siitä miten yleispätevän järjestelmällisesti onnistumme näitä kysymyksiä käsittelemään, ne eivät voi olla tulematta esille muodossa tai toisessa, niin kauan kun Schenker-analyysiiä harjoitetaan tai sen merkitystä arvioidaan.

Kun tekeillä on juhlakirja maamme johtavalle Schenker-analyysin uranuurtajalle, arvelin sopivaksi kantaa vielä yhden pikku korren ai-
hetta koskevan ymmärryksen kehoon tapaustutkimuksella, jossa selvitän seikkaperäisesti, millaista kuvausvoimaa Schenker-analyysillä on Bachin ensimmäiselle inventiolle. Paitsi että inventio on Bachin tunnetuimpia sävellyksiä, aiheen valintaan on vaikuttanut haluni kirjoittaa eräänlainen vastine Laurence Dreyfusille (1996), joka esittelee ”mekanistista” lähestymistapaansa saman invention analyysillä.¹ Dreyfus näkee ”mekanistisuuden” jyrkästi vastakkaiseksi Schenkerin ”organistisuuteen” nähden; kirjansa Schenker-vastaiseen polemiikkiin omistetun luvun hän otsikoi ”Figments of the Organicist Imagination” (”organistisen mielikuvituksen tuotteita”; *ibid.*, 169–). Tämän kirjoituksen näkökanta on toinen: jos Schenkeristä riisutaan ideologinen (”organistinen”) painolasti, voimme havaita hänen kuvaamiensa äänenkuljetusperiaatteiden olevan Bachilla mitä kiintoisimmassa vuorovai-
kutuksessa senkaltaisten ”mekaanisten” operaatioiden kanssa, joihin Dreyfus perustaa analyysinsä. Schenkeriläisten periaatteiden selitysva-
voima saa vieläpä erityisen tehokasta valaistusta, kun niitä tarkastellaan ”mekaanisia” operaatioita vasten, sillä poikkeamat operaatioista ja niiden ulkopuoliset elementit tyyppillisesti selittyvät pyrkimyksellä luoda tai selkiyttää äänenkuljetuslinjoja.

Seuraavassa pyrin toisaalta valaisemaan Bachin säveltaidetta sel-
laisena, kuin se C-duuri-inventiossa ilmenee, toisaalta yleisempiä pe-
riaatteita, jotka koskevat schenkeriläisten rakenteiden määrittämistä

1 Tämä kirjoitus perustuu paljolti erään *Music Analysis* -lehden aikoinaan hylkäämään käsi-
kirjoitukseni materiaaliin. En malta olla mainitsematta, että vaikka heti ensimmäisessä
kappaleessa olin sanoutunut irti Dreyfusin (1996, 171) edustamasta ”intentionalismista”,
lehdeltä saamani arvio mainitsi käsikirjoitukseni ensimmäisenä kyseenalaisena piirtee-
nä sen, että perustin argumentointini Bachin intentioihin – siis täsmälleen päinvastoin,
kuin olin kirjoittanut.

ja selitysvoimaa (paljolti aiempien kirjoitusteni [Väisälä 2009, 2010, 2011, 2023] näkökohtia kerraten). Käsittely etenee analyysin ehdoilla; yleisempiä näkökohtia otan esille vähitellen, sitä mukaa kun ne ovat relevantteja analyysin kannalta.

Esimakua: avaustahdit

Invention avaustahdit (tahdin 3 pääiskuun asti) tarjoavat esimakua tavasta, jolla Bach sovittaa yhteen ”mekaaniset” operaatiot ja äänenkuljetuksen, vaikka syvää Schenker-hierarkiaa ei vielä muodostukaan. Avaustahdit ja ylä-äänien äänenkuljetusta kuvaava Schenker-kaavio näkyvät kuvassa 1.

(a) *teemakuvio* theme figure, "vasta-aihe" "countersubject", *teemakuvio* theme figure, "vasta-aihe" "countersubject", "vasta-aihe" muunnettuna "countersubject" modified

(b) *teemakuvio* theme figure, *teemakuvio* theme figure, vrt. cf., *teemakuvio* theme figure

I V⁸ 7 I II⁷_{#4} (= V⁷/V) V

Kuva 1./Figure 1. Bach, inventio C-duuri, avaustahdit. / Invention in C Major, opening measures.

Yleisesti Dreyfusin ”mekanistisessa” analyysissä huomio suuntautuu siihen, miten Bach rakentaa sävellystään toistamalla tiettyjä segmenttejä erilaisin ”mekaanisin”, selkeästi määritellyin operaatioin käsiteltyinä.² Dreyfusin segmentit ovat laajahkoja, esimerkiksi avaustahdit ovat hänellä yhtenä segmenttinä (ks. α kuvassa 2 alempana).

2 Dreyfus (1996, 14) luonnehtii ”mekaanisia” operaatioita näin: “[—] mechanical (that is, definable) operation such as melodic inversion, voice-exchange, or the reversal of mode.”

Luonteeltaan mekaanisia operaatioita on kuitenkin määritettävissä myös lyhyempien yksikköjen välisinä. Avaustahdeissa tällainen operaatio on C-duurin sävelistössä pysyttelevä kvinttitranspositio, jota käyttäen Bach toistaa tahdin 1 materiaalin kokonaisuudessaan tahdis-
 sa 2. Yleisesti voidaan ”mekanistiseksi” kutsua myös sitä läpikäyvää merkitystä, joka seitsemän kuudestoistaosan mittaisen teemakuvion eri tavoin käsitellyillä toistoilla ja imitaatioilla on koko invention pintamateriaalille.

Schenker-analyysissä ensisijainen huomio kohdistuu eri rakennetasojen harmoniseen hierarkiaan bassokulkuineen sekä tämän kontrapunktina toimivaan ylä-äänilinjaan. Avaustahdeissa harmonisena rakenteena on vain kevyesti sivusoinnuin prolongoitu I-V-I, missä I-V-suhde on tietysti yhdenmukainen mekaanisen kvinttitranspositio-operaation kanssa. Kuten kuvan 1 (a)-kohta havainnollistaa, ylä-äännessä on kuitenkin toisenlainen hahmo, nimittäin asteittainen nousu $\hat{1}-\hat{2}-\hat{3}$ ($c^2-d^2-e^2$), Schenkerin (1935, § 120) termein *Anstieg*.³ Tämä linja ei perustu mihinkään mekaaniseen operaatioon muttei myöskään ole pelkkää ”organistisen mielikuvituksen tuotetta”, sillä sitä tukee kaksi tärkeää hahmotuksellista tekijää, nimittäin metri ja rekisteri. Tahti 1 suuntautuu rekisterillisesti kohti c^2 -säveltä ($\hat{1}$), jota d^2 ($\hat{2}$) ja e^2 ($\hat{3}$) seuraavat tahtien 2 ja 3 pääiskuilla. Siten avaustahdit havainnollistavat, miten mekanistiset ja äänenkuljetukselliset selitykset saattavat täydentää toisiaan: koska pääiskut jäävät mekaanisten operaatioiden ulkopuolelle, Bach saattoi sijoittaa niille säveliä siten, että muodostuu sävellyksen arkkityyppisellä tavalla avaava äänenkuljetuslinja.

Metri ja rekisteri ovat niiden tekijöiden joukossa, joita olen kutsunut rakenteelliseksi indikaattoreiksi (Väisälä 2010). Ne tuovat esiin säveliä tavalla, joka tukee niiden hahmottumista rakenteellisesti merkittäviksi ja joilla tulee olla keskeinen rooli muodostaessamme kriteereitä rakenteellisten painoarvojen määrittämiselle. Samalla ne avaavat

3 $\hat{1}-\hat{2}-\hat{3}$ -*Anstieg* esiintyy myös aiemmissa invention avauksesta tehdyissä Schenker-analyyseissä (ks. Larson 1983 sekä Kamien 2005, joka sisältää Schenkerin julkaisemattoman graafin). Kaikki tämän kirjoituksen graafit ovat kuitenkin laatimiani ja sisältävää useita piirteitä, jotka olennaisesti poikkeavat tuntemistani aiemmista analyyseistä.

mahdollisuuksia Schenkerin teorian testaamiseen: mitä vahvemmin ne tukevat teorian kannalta normatiivisia äänenkuljetuslinjoja – kuten $\hat{1}-\hat{2}-\hat{3}$ -*Anstiegia* – sitä vahvemmin tämä viittaa niiden sävellykselliseen merkitykseen.

Vaikka tässä on otettu esille vasta kaksi indikaattoria, avaus antaa myös pientä esimakua kompleksisuudesta, joka aiheutuu välttämättömyydestä ottaa huomioon useita indikaattoreita rakenteellisen määrityksen kriteereinä. Tahdin 1 c^2 -säveltä tukee rekisteri, seuraavien tahtien d^2 - ja e^2 -säveliä taas metri, eikä yleisesti ole mitenkään selvää, miten eri indikaattoreiden painoarvoja tulisi eri tilanteissa kvantifioida. Tässä tapauksessa *Anstieg*-mallin selitysvaiva tulee ilmeiseksi, kun sitä tarkastellaan suhteessa mekaanisiin operaatioihin: juuri ne elementit, iskulliset d^2 ja e^2 , jotka ovat noiden operaatioiden ulkopuolella, selittyvät tarpeella saada kuuluville normatiivinen äänenkuljetuslinja.

Mekaanististen ja äänenkuljetuksellisten ilmiöiden välisen kompleksisen suhteen havainnollistamiseksi huomattakoon myös hienovaraisempi tahtien 1 ja 2 välinen ero. Koska kvinttitranspositio pitäytyy C-duurin sävelistössä, tahdin 1 lopun ”vasta-aiheen” puoliaskelista $\hat{1}-\hat{7}-\hat{1}$ -kulkua ($c^2-h^1-c^2$) vastaa tahdissa 2 kokoaskelinen $\hat{5}-\hat{4}-\hat{5}$ ($g^2-f^2-g^2$).⁴ Siinä missä johtosävel toimii arkkityyppisesti toonikasävelen sivusävelenä c^2 -sävelen asemaa vahvistaen, ei subdominanttisävel asetu yhtä luontevasti dominanttisävelen koristeeksi.⁵ Kun $g^2-f^2-g^2$ sitten johtaa tahdin 3 e^2 -säveleen, avautuu mahdollisuus hahmottaa f^2 lomaseptimiksi kuvan 1 (a)-kohdassa esitetyllä tavalla, jolloin tahdin 2 lopun g :n rooliksi jää toimia sen purkausta koristavana *échappée*-sävelenä (epätäydellisenä sivusävelenä). Tahdin 1 c^2 -säveleen verrattuna tahdin 2 g^2 -lakisävelen asema siis hieman heikkenee tahdin loppua kohti, mikä hienokseltaan tukee ensin mainitun vahvempaa asemaa äänenkuljetusrakenteessa. Mekaanisiin operaatioihin voi siten liittyä äänenkuljetuksellisia imp-

4 Nimitän ”vasta-aiheeksi” esimerkkiin 1 merkittyä sävelsarjaa, joka saa merkitystä teemakuvion vastaäänänä, mutta jota ei käytetä johdonmukaisesti kontrastijohdantana.

5 Toisen taitteen alääänessä (t. 8) ”vasta-aiheen” $\hat{5}-\hat{4}-\hat{5}$ -kulku ($d^1-c^1-d^1$) kuitenkin toimii sivusävelisesti. Tätä auttaa jo se, että bassossa dominanttiin johtava $\hat{4}-\hat{5}$ -yhdistelmä on paljon idiomaattisempi, ja lopullisesti asian varmistaa kuviota seuraava $\hat{5}-\hat{1}$ -hyppy (d^1-g).

likaatioita koskevia muutoksia, joita Bach saattaa herkkävaistoisesti hyödyntää. Kuten kuvan 1 (b)-kohdasta ilmenee, ”vasta-aihe” palaa dominantin dominantin yhteydessä (t. 5) rekisterillisesti ja rytmisesti muunnettuna niin, että kahden viimeisen sävelen septimi- ja *échappée*-funktiot tulevat ilmeisiksi. Tässä Bach ikään kuin konkreettisesti vahvistaa sentapaisen hahmotuksen muutoksen, jota tahdin 2 loppu tarkkakorvaiselle jo ehdottaa. Kaikkiaan ”vasta-aiheen” vaiheet muodostavat sivujuonteen, joka osaltaan kertoo sellaisesta Bachin taiteelle ominaisesta hienopiirteisestä elävyydestä (”organistista” ilmaisua käytetäänkseni), jolle mekanistinen lähestymistapa pysyy kuurona.

Ensimmäinen taite.

Rakenteen määrittämisen perusteita

Metri ja rekisteri eivät ole ainoat rakenteelliset indikaattorit, vaan lisäksi tarvitaan sellaisia kuin *muotoilu*, *kadenssit* ja *korostavat eleet* (vrt. Väisälä 2010). Tämäkään lista ei ole täydellinen, mutta kokemukseni mukaan näiden tekijöiden perusteella päästään jo varsin pitkälle lähestyttäessä intuitiivisesti uskottavaa Schenker-tulkintaa. Kaikilla näillä indikaattoreilla on merkitystä sekä harmonisen hierarkian että sen tukemien äänenkuljetuslinjojen määrittämiselle, mutta hiukan erilaisin painoarvoin, kuten seuraavasta käy tarkemmin ilmi.

Harmoninen hierarkia

Harmonisen hierarkian määrittämisessä ensisijaisia ovat ajalliseen jakottumiseen vaikuttavat indikaattorit: metri, muotoilu ja kadenssit. Metrin merkitys vähenee edettäessä laajemmille aikaväleille ja korvautuu paljolti muotoilulla sekä kadensseilla. Kadenssit jakavat C-duuri-invention kolmeen taitteeseen, ja taitteiden sisäinen jäsentyminen perustuu paljolti muotoiluun (joskin tällä indikaattorilla on merkitystä kaikilla aikaväleillä pienimmistä yksityiskohdista kokonaisrakenteeseen). Muotoilu (engl. *design*) voidaan tässä yhteydessä määrittellä musiikin osatekijäksi, joka perustuu suhteellisen samankaltaisten tai

erilaisten ainesten sijoittumiseen.⁶ Muotoilun jaksottavaa merkitystä havainnollistavat kuvan 2(a) ylimmät hakaset, jotka jakavat avaustaitteen viiteen hahmotukselliseen yksikköön (a- ja b-kirjaimin merkityt hakaset ovat peräisin Dreyfusilta [1996, 11], ja niihin palaan myöhemmin). Hakasten päätepisteet on sijoitettu metrisesti vahvoihin kohtiin, mutta muotoilu ratkaisee metristen yksikköjen ryhmittelyn. Tahdit 1 ja 2 perustuvat suurimmaksi osaksi saman materiaalipaketin transpontointiin, mitä vasten kontrastoi tahtien 3–4 varioitu terssilaskuinen sekvenssi; poikkeamat tarkasta toistosta eivät kumoa näiden yksikköjen hahmotuksellista merkitystä. Loppujen hakasten merkitys auennee lukijalle enemmittä selityksittä.

Dreyfus: α_1

(a)

(b)

C: I I G: V⁷ I I⁶ (IV V) I
I II₂ V

(Hilfskadenz)

(c)

Kuva 2./Figure 2. Bach, inventio C-duuri, avaustaitte. / Invention in C Major, opening section.

Tämänkaltaisen ajallisen jäsenyyksen rakenteellinen perusmerkitys on siinä, että eri tasojen yksikköjen rajakohdissa vallitsevilla harmo-

6 Määritelmä vastaa tapaa, jolla John Rothgeb (1971) käyttää *design*-käsitettä uraauurtavassa muotoilun ja rakenteen välistä yhteyttä koskevassa artikkelissaan.

nioilla on taipumus hahmottua rakennetta kannattaviksi. Tätä yksinkertaista periaatetta, jonka avulla voidaan harmonisesta hierarkiasta saada ensimmäinen approksimaatio, kutsun seuraavassa *rajakohtaperiaatteeksi*.⁷ Rajakohtaperiaatteen nojalla ensimmäinen taite etenee tietysti toonikalta dominantille, ja sen sisäistä rakennetta kannattelee seuraava sointusarja: C: I-I, G: V⁷-I-I⁶-I. Pääsävellajin astein ilmaistuna tämä sarja voidaan tiivistää tyyppillisesti modulatoriseksi rakenteeksi I-II_#⁷-V, kuten kuvan 2 (b)-kohdan alla olevista merkinnöistä ilmenee. Tässä tapauksessa – muttei suinkaan aina – rajakohtaperiaatteesta johdettu approksimaatio on sinänsä tyydyttävä tulkinta, minkä tueksi voidaan panna merkille pari lisätekiötä. Kolmen ensisijaisen harmonian, I, II_#⁷ (= G: V⁷) ja V (G: I) yhteenkuuluvuutta tukee niiden bassojen suhteellisen matala rekisteri sekä se, että kaikkien bassot on artikuloitu vasemman käden teemaesiintymien (t. 1, 5, 7). Tapa, jolla toistuva materiaali vahvistaa rakenteellisten bassojen yhteenkuuluvuutta, on esimerkki siitä, että muotoilu-indikaattorilla on merkitystä, paitsi ajallisen jaksottumisen keskeisenä perusteena, myös rakennetta tukevien rinnastusten luomisessa.

Vaikka rajakohtaperiaate edellä kuvatussa karkeassa muodossa riittää paljastamaan vahvasti tapahtumia hallitsevan I-II_#⁷-V-perusrakenteen, tulkinnan yksityiskohdista kiinnostuneille lukijoille on esitettävä pari tarkennusta. Taitteen lopussa, G-duuria ennakoivasti prolongoivan vaiheen (t. 5.3–7.1)⁸ sisällä, on sointukulku G: I⁶-V-I, joka tulkintani mukaan muodostaa muusta rakenteesta erillisen, Schenkerin (1935, § 245) *Hilfskadenz*-käsitteen mukaisen moduulin. Tulkinnan perusteena on aiempaa radikaalimpi muotoilun muutos: siinä missä edelliset yksiköt eroistaan huolimatta perustuvat teemakuvion käsittelyyn ja siten hahmottuvat osaksi samaa diskurssia, kadenssaalinen yksikkö täysin uusine kuvioineen jää ikään kuin tämän

7 Rothgeb (ibid., 231) ilmaisee rajakohtaperiaatteen muotoiluun perustuvan osan seuraavasti: “[—] changes in surface design usually coincide with crucial structural points, and accordingly such changes must be given the most thoughtful attention in deriving or verifying an analysis.”

8 Näissä ja vastaavissa merkinnöissä pisteen jälkeinen numero merkitsee tahtiosaa.

diskurssin ulkopuolelle.⁹ Tämä on esimerkki siitä, että rajakohtien sijainnin määrittämisen lisäksi voi olla tarpeen ottaa huomioon niiden tarkempi luonne (aihe, jonka laajempi käsittely jää kuitenkin tämän kirjoituksen ulkopuolelle).

Tahtien 3–4 terssilaskuisessa sekvenssissä bassot a ja fis sijaitsevat metrisesti heikoilla neljäsosilla, joten sekvenssin rytmi on ikään kuin synkopoitu. Jos jaamme yksikön alayksikköihin metrin perusteella, tulkinta ei noudata rajakohtaperiaatetta vaan perustuu ajatukseen, että tavanomainen sekvenssimalli on poikkeuksellisesta metristä huolimatta hahmotettavissa rekisterinkäytön ja muotoilun rinnasteisuuksien ansiosta. Toistuva sekvenssiyksikkö alkaa vasta tahdin 3 pääiskun jälkeen, ja sen toistoissa korottomien neljäsosien c¹, a ja fis rinnastuvat toisiinsa, minkä lisäksi a ja fis korostuvat alaspäisten rekisterisiirtymien ansiosta. Metriikan johdosta sekvenssimalli ei kuitenkaan hallitse hahmotusta yhtä vahvasti kuin normaalitapauksessa (ajateltakoon vaikkapa *Das wohltemperierte Klavier I* -kokoelman B-duuri-preludin avausta). Tämä yksityiskohta valaisee osaltaan sitä, miten harmonis-äänenkuljetuksellisten ja mekanististen tekijöiden keskinäiset painoarvot saattavat vaihdella sävellyksellisten ratkaisuiden taustatekijöinä. Taitteen I-II_#⁷-V-perusrakenne on ilmaistu selkeästi usean indikaattorin yhteisvoimin, mutta sen kaksi ensimmäistä sointua on yhdistetty tavalla, joka näyttää saaneen ensisijaisen motivaationsa pikemminkin inversiokuvion sujuvasta mekanistisesta käsittelystä kuin harmonisen hierarkian maksimaalisesta selkiyttämisestä.¹⁰

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- 9 Tulkinta poikkeaa Schenkerin julkaisemattomasta graafista (Kamien 2005, Example 7), johon on merkitty rakenteellinen yhteys tahdin 5 G-duuri-soinnun ja kadenssin dominantin välille. Tässä tulkinnassa taitteen loppuun muodostuu G-duurin I-V-I-kulku, jota Kamien kutsuu nimellä ”*quasi-auxiliary cadence*” (*quasi-Hilfskadenz*), koska ensimmäinen I (t. 5.3) on luonteeltaan ennakoiva päättävään (t. 7) nähden.
- 10 Vaikka Dreyfus ansaitsee kritiikkiä niin harmonis-äänenkuljetuksellisten tekijöiden merkityksen vähättelystä kuin niiden vaillinaisesta ymmärryksestäkin (hän muun muassa sisällyttää ”pelkistykseensä” tahdin II_#⁷-soinnun d-pohjasävelen asemesta e-lomasävelen [Dreyfus 1996, 16]), hänen kuvauksensa eri tekijöiden vaihtelevasta merkityksestä on kieltämättä oikeilla jäljillä: ”At the beginning of the segment [b1, t. 3–7], the voice-leading constitutes an ancillary component rather than an active mechanism. Only at the end of the segment where harmonic concerns take over does the voice-leading assume a clearly commanding role as it moves toward the cadence.” (Dreyfus 1996, 17)

Äänenkuljetus

Metrin, rekisterin, muotoilun ja kadenssien lisäksi on rakenteellisenä indikaattorina otettava esille vielä *korostavat eleet*. Vaikka tätä indikaattoria on vaikea määritellä täsmällisesti, sitä ei voi jättää huomiotta, sillä säveltäjä voi *ad hoc* turvautua monenlaisiin keinoihin tuodakseen esille rakenteellisesti tärkeitä elementtejä. Avaustaitteessa tällaisia keinoja ovat muusta satsista poikkeavat rytmit: synkopoitu c^1 tahtien 4 ja 5 rajalla sekä tätä seuraava pisteellinen c^2 . Nämä rytmiset korostukset ovat äänenkuljetuksen kannalta keskeisiä, sillä niihin perustuu G-duurin dominanttiseptimin esittely ja rekisterisiirros.

Kun analysoidaan ääriäänikontrapunktin kahden osatekijän rakenteellisia painoarvoja, keskeinen ero koskee rekisterisijainnin merkitystä. Sijainti suhteellisessa äärirekisterissä saattaa tukea sekä bassojen että ylä-äänien painoarvoja, mutta tällä tekijällä on ylä-äänien hahmotuksessa suurempi merkitys. Matala rekisteri voi antaa lisävahvistusta bassoille mutta vain poikkeustapauksessa syrjäyttää metrin ja muotoilun tukemat bassot. Sen sijaan ylä-äänessä huomiomme kiinnittyy vahvemmin rekisterillisiin lakipisteisiin, joista siten tulee todennäköisemmin hahmotuksellisesti ensisijaisia. Tämän periaatteen intuitiivisuutta voi havainnollistaa ajattelemalla vaikkapa *Das Wohltemperierte Klavier I* -kokoelman C-duuri- tai a-molli-preludin alkua. Kummassakin tapauksessa avaustoonikka murretaan ylöspäin, niin että päämäärä (molemmissa e^2) saavutetaan metrisesti heikossa kohdassa, mistä lähtee liikkeelle hahmotusta hallitseva ylä-äänikulku ($\hat{3}-\hat{4}-\hat{4}-\hat{3}$, $\hat{5}-\hat{6}-\hat{7}-\hat{8}$). Sekä rekisteri että metri (ja muut ajallisen jaksottumisen osatekijät) ovat ylä-äänien hahmotuksessa keskeisiä tekijöitä, ja niiden tukemat sävelet saattavat ikään kuin kilpailla huomiosta ja merkityksestä. Usein kilvan ratkaisee se, kummat vahvemmin kytkeytyvät ympäristöönsä; C-duuri-invention tahdeissa 2-3 tämä kriteeri suosii metrisesti vahvoja säveliä (d^2 , e^2). Toinen tärkeä lisäkriteeri koskee tapaa, jolla rekisterilliset lakisävelet saavutetaan: niiden hahmotusta hallitseva merkitys vahvistuu, jos ne esiintyvät jänteiden nousujen päämäärinä. Tästä esimerkkinä ovat edellä mainittujen preludien murtosoinnut samoin kuin C-duuri-invention avaustahdin murto kohti c^2 -säveltä ja laajempi $\hat{1}-\hat{2}-\hat{3}$ -*Anstieg* tahdeissa 1-3.

Kuten kuvan 2 (b)-kohdassa on esitetty, avaustaitteen I-II_#⁷-V-rungon kannattelemat ylä-äänisävelet ovat e², c², h¹ ja d², jotka syvemmällä tasolla muodostavat sopraanoa ja alttoa yhdistelevän *Ausfaltungin* (Schenker 1935, § 140–) (c)-kohdassa mallinnetulla tavalla. Kaikki nämä sävelet esiintyvät hakasin merkittyjen yksikköjen rajakohdissa paitsi c², joka korostuu paikallisen rekisteritilanteen sekä edellä mainittujen poikkeuksellisten rytmien ja niiden luomien purkausodotusten johdosta. Koko taitteen mittakaavassa e²- ja d²-sävelten johtava asema raamiharmonioiden I ja V tukemina ylä-äänisävelinä perustuu nimenomaan rekisteriin, sillä ne eivät sijaitse taitteen raamipisteissä. Kuten todettua, e² saa huomiota sitä kohti etenevän ¹–²–³-*Anstiegin* päämääränä, kun taas d²-säveltä korostaa sitä kohti etenevä paikallinen nousu sekä erityisen voimakas, *Hilfskadenz*-hahmotusta tukeva muotoilukontrasti. Kun otetaan huomioon, että taitteen päätös vaatii täydellisen kokolopukkeen, d²-sävelen saamaa korostusta voi pitää kutakuinkin maksimaalisena.

Evidenssiä Schenkerin teorialle?

Jos olen edellä selvittänyt, minkälaiset rakenteellisiin indikaattoreihin perustuvat analyysikriteerit tukevat kuvan 2(b) tulkintaa, on vielä toinen kysymys, minkä verran tukea saa tulkinnan schenkeriläinen taustateoria. Johdannossa esitellyin käsittein kysymys kuuluu: onko ensimmäisen lajin evidenssin lisäksi havaittavissa myös toisen lajin evidenssiä?

Vaikka harmonisen I-II_#⁷-V-rakenteen soinnut tulevat musiikissa vahvasti esille, voidaan kyseenalaistaa, kuinka vahvasti tämä viittaa juuri Schenkerin teorian selitysvaimaan. Huomion kohdistuminen alkuperäiseen toonikaan sekä uuden sävellajin dominanttiin ja toonikaan olisi varmasti selitettävissä myös täysin ei-schenkeriläisen modulaatiokäsitteen näkökulmasta. Yleensäkin Schenkerin teorian spesifisin anti, johon voidaan tehokkaasti kohdistaa empiiristä testaamista, ei koske niinkään harmonisia rakenteita kuin niiden kannattelemia asteittaisia äänenkuljetuslinjoja, *Zugeja*. Perimmäisellä tasolla, *Ursatzissa*, harmoninen peruskulku on I-V-I-*Bassbrechung*, jonka löytyminen tonaalisesta

musiikista on jokseenkin triviaalia, mutta sen tukeman ylä-äänikulun, *Urlinien*, musiikillista merkitystä voidaan jo testata (kuten jäljempänä selitän). Yleisesti eri rakennetasojen harmonisten rakenteiden määrittämisen jälkeen on olennaista kysyä, onko musiikissa piirteitä, jotka tukevat *Zug*-käsitteen mukaisia linjoja niiden yllä.

Avauksen I-V-I kulun yllä tällaisia piirteitä ovat ”mekaanisten” operaatioiden ulkopuoliset, metrisesti vahvat d^2 ja e^2 , joiden tuloksena muodostuu $\hat{1}-\hat{2}-\hat{3}$ -*Anstieg*. Taitteen mittakaavassa asteittaisen äänenkuljetuksen sävellykselliseen merkitykseen taas viittaa e^2 - ja d^2 -sävelen asema rekisterillisinä huippuina ja metrisesti vahvoina muotoilun käännekohtina prolongoidun I-V-kulun yllä. Kun avauksen $\hat{1}-\hat{2}-\hat{3}$ -nousu on määrittänyt e^2 -sävelen hallitsevaksi ylä-äänisäveleksi, sen voidaan Schenkerin (1935, § 93) *vorgestelles Liegenbleiben* -käsitteen mukaisesti ajatella jäävän ”kuvitellusti paikalleen” ylä-äänien kiinnekohdaksi. Ajatusta tukee tapa, jolla Bach dominantin dominanttiseptimin purettuaan (c^2-h^1) muodostaa uuden määrätietoisen nousun d^2 -säveleen, niin että e^2 saa äänenkuljetuksellista jatkoa I-V-kehyyksen yllä. Näin muodostuva e^2-d^2 -suhde on tietysti vasta mahdollista alkua laajemmalle *Zugille*, eikä sen todistusvoima varmaankaan riitä yksinään vakuuttamaan Schenker-skeptikkoa laaja-alaisen äänenkuljetuksen merkityksestä. Tämä huomio osoittaa kuitenkin, minkä tyyppistä selitysvoimaa *Zug*-käsitellä saattaa olla tässä mittakaavassa, ja vaatii tutkimaan, saako ajatus vahvistusta seuraavista tapahtumista.

Toinen taite.

Mekaaniset operaatiot ja syyt niiden modifiointiin

Kuvassa 3 on nähtävissä invention toinen taite ja sen Schenker-tulkinta, jonka pääpiirteet ovat helposti ymmärrettävissä edellä selostettujen periaatteiden valossa. Mekaanisesta näkökulmasta toinen taite perustuu pitkälti avaustaitteen modifioituun kontrapunktiseen käännökseen kahtena eri transpositiona, kuten käy selville vertaamalla kuvissa 2(a) ja 3(a) esitettyjä Dreyfusin (1996, Example 1.1) α - ja β -kirjaimin merkitsemiä segmenttejä. Tahdit 7–8 (α_2) pohjautuvat tahtien 1–2 (α_1) käännökseen yläkvintissä/alakvartissa. Tahdit 11–14 (β_2) taas

perustuvat tahtien 3–6 (b₁) käännökseen yläsekunnissa/alaseptimissä, siten että modulaatiota C-duurista G-duuriin vastaa liike ohimenevästi tonikalisoitusta d-mollista (t. 11) a-molliin. Väliin tulevat tahdit 9–10 (γ) ovat d-mollisointuun johtavaa ”yhdistävää kudosta” (*“connective tissue”*; *ibid.*, 22).

Invention kokonaisuudessa kaksi ensimmäistä taitetta siis pitkälti rinnastuvat toisiinsa, kun taas viimeinen taite kontrastoi niitä vasten. Tällä on keskeinen merkitys kokonaisuuden muotoilulle ja sen myötä kokonaisuuden tulkinnalle. Muotoilun perusteella kaksi ensimmäistä taitetta muodostavat laajan I–V–VI-runkoisen yksikön, jonka keskellä sijaitseva V on rajakohtaperiaatteen nojalla alisteinen yksikön päättävälle VI asteelle.¹¹

Kahden avaustaitteen välinen käännössuhde on kuitenkin monessa suhteessa epätarkka. Taitteiden vertailu valaisee mekanistisen ja äänenkuljetuksellisen analyysin toisiaan täydentävää suhdetta tavalla, josta saimme esimakua avaustahtien analyysissä. Tahti 7 toistaa tahdin 1 sisällön kokonaisuudessaan käännettyinä ja transponoituina ääninä, mutta tahdin 8 oikea käsi ei enää vastaa tahdin 2 vasenta kättä. Dreyfus pyrkii selittämään nämä ja muut vastaavat muutokset sillä perusteella, että Bach on tahtonut välttää virheellisiä yhteissoiteja, jotka tarkasta käännöksestä seuraisivat. Tahdin 8 pääiskun fis-säveleen selitys selvästi pätee: tarkan käännöksen tuloksena tahdin 2 kvintti (g–d) kääntyisi virheelliseksi kvartiksi (a–d), eikä Bachilla ole muuta vaihtoehtoa kuin korvata kvartti sekstillä. Vähemmän vakuuttava on Dreyfusin yritys selittää yhteissoitien perusteella, miksi tahdin 8 jälkipuoliskon teemakuvio alkaa a:sta eikä tahdin 2 mallia seuraten d:stä. Tarkan käännöksen seurauksena tahdin 2 viimeisen neljäsoosan F-duurisekstisointu kääntyisi tahdissa 8 pohjamuotoiseksi C-duurikolmisoinnuksi, jota Dreyfus nimittää ”harhaanjohtavasti heikolle tahtiosalle osuvaksi toonikasoinnuksi”.¹² Nimitys on omituinen G-duuri-kontekstissa, mutta vaikka pa-

11 Siten avaustaitteen lopun dominantti ei prolongoidu invention päätöskadenssin dominanttiin asti, kuten jotkut analytytikot (esim. Steve Larson [1983, Example 2]) ovat esittäneet.

12 “[—] the progression at the end of the measure, though correct in terms of strict counter-

Dreyfus: α_2

Vrt. t. 2, v. k.
Cf. bar 2, l. h.

(a)

(b)

G: I (= a: \sharp VII)
C: V^{5-}

a: V^4 / IV^6

NB: muotoilun muutos oikeassa kädessä
change in design in right hand

(a)

(b)

a: IV^6

V^6_5 $-^4_2$ I^6 I V I

$-^6_5$ \sharp VI

Kuva 3./Figure 3. Bach, inventio C-duuri, toinen taite. / Invention in C Major, second section.

rantelisimme Dreyfusin selitystä toteamalla, että IV^5_3 ei toimisi yhtä luontevasti dominantin sivusointuna kuin IV^6_3 , tehokkaampaa valaistusta sille, mitä Bach todella kirjoitti, antaa äänenkuljetuksen analyysi.

point, had led to a misleading false accent on a root-position tonic chord which falls misleadingly on a weak beat.” (Dreyfus 1996, 14.)

Asteittaisen äänenkuljetuksen merkitykseen viittaa jo se, että tahdeissa 7–8 oikean käden teemaesiintymien välillä on avastahtien vasemman käden kvinttisuhteen (I–V) asemesta nouseva sekunti. Seuraavissa tahdeissa asteliikkeen merkitys vahvistuu. Käsien vuorotteluun perustuva tekstuurimalli pysyy ennallaan tahdeissa 9–10 (Dreyfusin γ), joten ne eivät muotoilunsa perusteella muodosta voimakasta kontrastia edeltäville tahdeille vaan yhdistyvät niiden kanssa laajemmaksi yksiköksi, joka johtaa tahdin 11 d-mollisointuun asti. Yksikön pääiskujen sävelet muodostavat sarjan g^1 – fis^1 – h^1 – c^2 – d^2 , josta tahdin 8 fis-säveltä lukuun ottamatta muodostuu asteittainen nousu d^2 -säveleen (d:hen johtavan cis-sävelen erikoismerkitykseen palaan jäljempänä). Tahdin 8 pääiskulla a^1 ei tule kysymykseen, koska g–a-kulku kuullaan samaan aikaan vasemmassa kädessä, mutta tätä kompensoi a:sta alkava teemakuvio, jonka rinnastussuhde edellisen tahdin kuvioon tuo g^1 – a^1 -kulun selvästi kuuluville. Siten teemakuvion transpositiotasolla on keskeinen merkitys toisen taitteen avaavan asteittaisen nousun liikkeellepanijana.

Nousun päämääräsävel, d^2 , puolestaan liittyy laajempaan äänenkuljetusrakenteeseen, sillä näin Bach vahvistaa d:n asemaa hallitsevana, ”kuvitellusti paikalleen jääneenä” ylä-äänisävelenä. Samalla nousu d:hen rinnastuu avastaitteen e:hen johtaneeseen *Anstiegiin* tavalla, joka täydentää kontrapunktiseen inversioon perustuvaa rinnasteisuutta ja tukee e^2 – d^2 -kulun merkitystä I–V-suhteen yllä. Kaiken kaikkiaan analyysimme osoittaa, että sekä ensimmäisen että toisen taitteen alussa on erinäisiä mekaanisista operaatioista poikkeavia tai niiden ulkopuolisia sävellyksellisiä ratkaisuja, jotka laajalti selittyvät toisaalta paikallisia nousuja, toisaalta laajempaa e–d-suhdetta koskevilla äänenkuljetuksellisilla pyrkimyksillä.

Korkea d loistaa ylärekisterin kiintopisteenä vielä kolmannen keran a-mollin dominanttiseptimiksi muuntuneena (t. 12.4–13.2). Tämä esiintymä ei vaadi mekaanisen operaation muokkaamista vaan pikeminkin seuraa sen valinnasta: d korostuu tässä tavalla, joka on tarkka käänös c:n käsittelystä G-duurin dominanttiseptiminä ensimmäisessä taitteessa (t. 4.4–5.2, kuva 2). Sen sijaan d:n purkaukseen, joka saattaa päätökseensä I–V–VI-rungon kannatteleman e^2 – d^2 – c^2 -*Zugin*, liit-

tyy jälleen mekaanisesta operaatiosta poikkeavia erikoistoimenpiteitä. Taitteiden välisen inversiosuhteen seurauksena purkaus kuullaan ensin aläänessä (c¹, t. 13.3), ja vasta sitä seuraava oikean käden kuudestoistaosakuviointi nostaa c:n ”oikeaan” rekisteriin (c², t. 14) pohjamuotoisen a-mollisoinnun tukemana. Kuviointi (t. 13.3–14.2) poikkeaa täysin ensimmäisen taitteen mekanistisesta vastinkohdastaan vasemmassa kädessä (t. 5.3–6.2), millä on radikaalit seuraukset harmonialle ja äänenkuljetukselle. Tarkan käännöksen perusteella ei a-mollisointua tähän muodostuisi lainkaan, vaan a:n (t. 14.1) yllä olisi seksti osana laajempaa rinnakkaissektikulkua (tahtien 5.4–6.2 rinnakkaisdesimien käännöksenä). Uusi kuviointi paitsi saa aikaan a-mollisoinnun, myös tukee c²-sävelen merkitystä kahta sekvenssaalista neljäsosaa seuraavalla muotoilun muutoksella.¹³

Kuva 4 esittää tiivistelmän kahdesta ensimmäisestä taitteesta. Toisen taitteen analyysi on tuonut merkittävää lisävahvistusta käsitykselle, että Schenkerin äänenkuljetusteoria selittää Bachin säveltämisen kannalta merkittäviä tekijöitä tavalla, joka olennaisesti täydentää mekanistisia näkökohtia. Rakenteellisten indikaattorien tuki ylä-äänien *Zugeille* sekä kummankin taitteen alussa että laajemman I-(V)-VI-rakenteen yllä vaikuttaa selvästi satunnaista voimakkaammalta. Siten analyysi osoittaa, mistä suunnasta voidaan etsiä vastausta musiikin probabilistiikkaa käsitelleen David Temperleyn (2007, 179) asettamaan haasteeseen: ”Minusta näyttäisi olevan niiden velvollisuus, jotka uskovat schenkeriläiseen teoriaan sävellysprosessin mallintajana, osoittaa kuinka se vähentää tonaalisen musiikin epävarmuutta.”¹⁴ Monesta

13 Dreyfus (1996, 19) pyrkii selittämään tämänkin poikkeaman paikallisten yhteissointien perusteella mainiten ei-toivottuna yksityiskohtana rinnakkaistritonukset, jotka tarkasta inversiosta seuraisivat tahdin 14 alkuun (sektisointujen a–c–fis ja h–d–gis välille). Ylä-äänien välisissä rinnakkaistritonuksissa ei kuitenkaan ole mitään virheellistä, ja sellaiset on Bach kirjoittanutkin tahdin 11 loppuun (d–f–h ja e–g–cis).

14 ”It seems to me to be incumbent on those who believe in Schenkerian theory as a model of the compositional process to show how it reduces the uncertainty of tonal music.” (Temperley 2007, 179.) Rakenteellisista indikaattoreista Temperley (2011, 153) mainitsee lähinnä metrin Zug-käsitettä tukevana tekijänä, mutta kuten tämäkin analyysi osoittaa, aihe vaatii paljon kompleksisempaa lähestymistapaa, jossa otetaan huomioon usean indikaattorin yhteisvaikutus.

syystä analyysin todistusvoiman tarkka todennäköisyyslaskennallinen arviointi olisi kuitenkin äärimmäisen vaikeaa, eikä tavoitteenani olekaan muuta kuin osoittaa, minkä *tyyppisistä* musiikin piirteistä todistusvoimaa voidaan etsiä.

Kuva 4./Figure 4. Bach, inventio C-duuri, kahden ensimmäisen taitteen pelkistys. / Invention in C Major, reduction of the first two sections.

Kokonaisrakenne ja penultima-periaate

Kahden ensimmäisen taitteen analyysissä on rajakohtaperiaate riittänyt tuottamaan pääpiirteissään tyydyttävän tulkinnan harmonisesta hierarkiasta. Näin ei kuitenkaan ole läheskään aina asianlaita, kuten käy helposti ilmi ajateltaessa invention kokonaisrakennetta. Kuten kuvan 5 (a)-kohdassa on havainnollistettu, taitteiden rajakohtien ja kahden ensimmäisen taitteen rinnasteisuuden perusteella muodostuisi rakenne I-(V)-VI-I, josta puuttuu normatiivisen I-V-I-*Bassbrechungin* dominantti. Tässä, kuten usein muulloinkin, rakenteellinen dominantti esiintyy vasta päätöskadenssissa juuri ennen toonikaa. Kuvan 5 (b)- ja (c)-kohta esittävät kaksi vaihtoehtoista tulkintaa, joissa tämä on otettu huomioon.

Päätöskadenssin dominantin korkea asema sointuhierarkiassa perustuu siis rakenteelliseen normiin, jonka oikeutuksena voidaan nähdä toonika-dominantti-suhteen yleisesti tunnettu dominoivuus perinteisessä tonaalisuudessa. Samalla se on esimerkki rakenteellisten elementtien ajallista sijaintia koskevasta ilmiöstä, joka ansaitsee huomiota yleisesti tärkeänä rajakohtaperiaatteen täydentäjänä. Olen kutsunut

(a) Rakenteellinen dominantti puuttuu.
Structural dominant missing

(b) (Väisälä 2009)

(c) Paranneltu tulkinta
Amended reading

Kuva 5./Figure 5. Bach, inventio C-duuri, harmoninen kokonaisrakenne. / Invention in C Major, overall harmonic structure.

ilmiötä nimellä *penultima-periaate*.¹⁵ Jos musiikki etenee soinnusta X sointuun Y, siten että niiden väliset soinnut ovat ääripisteille alisteisia, tärkein välittävä sointu on usein ”penultima” eli Y:hyn johtava sointu, joka siis saattaa harmonisessa hierarkiassa syrjäyttää X:n ja Y:n väliset rajakohdat. Onko penultima-periaatetta sovellettava vai ei, riippuu sekä sointukulkuja koskevista normeista, kuten dominantin ensisijaisuudesta, että tekijöistä, jotka saattavat korostaa penultimaa tai sen suhdetta lähtöpisteeseen. Inventiossa, kuten usein muulloinkin, korostavana tekijänä on yksinkertaisesti päätöskadenssi.

15 Julkaistuista kirjoituksistani Väisälä 2023 sisältää penultima-periaatteen lyhyen esittelyn. Blogissani käsittelen aihetta mm. seuraavissa teksteissä:
<http://schenkeranalyysinperusteita.blogspot.com/2013/09/suunnattu-liike-bachin-pikku-preludissa.html>
http://schenkeranalyysinperusteita.blogspot.com/2013/09/mita-schenker-analyysi-ker-too-bachin-g_28.html

Penultima-periaatetta voi soveltaa rekursiivisesti, joten jos dominantti saa penultimana tärkeimmän rakenteellisen merkityksen välillä I–I, sille johtava II tai IV voi vuorostaan olla ensisijainen välillä I–V, ja tuloksena voi olla monista Schenker-analyyseistä tuttu loppua kohti pakkautuva rakenteellinen runko. Inventioartikkelissani (Väisälä 2009, Example 10B) sovelsin tällaista tulkintaa C-duuri-inventioon kuvan 5 (b)-kohdan mukaisella tavalla, jolloin VI asteen osaksi jää toimia osana alaspäistä I–VI–IV-murtoa. Tämä tulkinta rikkoo rajakohtaperiaatetta kuitenkin tarpeettoman voimakkaasti, sillä mielekäs ja luultavasti parempi tulkinta on saatavissa aikaan myös (c)-kohdan mukaisella tavalla, jossa penultima-periaatetta on sovellettu kadenssin subdominanttiin ainoastaan välillä VI–V; tässä IV prolongoi VI astetta 5–6-liikkeellä. (Kaavioon merkitty e-basso on vuorostaan penultima tämän liikkeen sisällä.) Tätä hahmotusta puoltaa ainakin tahtien 15 ja 21.4 oktaavihyp- pyjen a–A ja g–G parallelismi sekä kadenssin f:n suhteellisen korkea rekisteri.

Jos penultima-periaatteella on yleisesti tärkeä merkitys rajakohtaperiaatteen täydentäjänä, voidaan kysyä, pitäisikö tämän johdosta arvioida uudelleen invention kahden ensimmäisen taitteen analyysiä. Nähdäkseni kuitenkin vain yksi penultima-sointu ansaitsee tässä suhteessa huomiota. Liikkeessä G-duurisoinnusta (t. 7) d-mollisekstisointuun (t. 11) voidaan tärkeimmäksi välittäväksi elementiksi hahmottaa jälkimmäistä edeltävä välidominanttinen 4/2; kuvien 3 ja 4 kaaritukset vastaavat tätä hahmotusta. Tulkintaa voisi perustella ainakin esteettisin näkökohdin: 4/2-soinnun ja cis-sävelen erityismerkityksen tiedostaminen (tai vaistoaminen) voi johtaa kohdan elävämpään ilmeitykseen.

Penultima-periaatteen havainnollistamiseksi tulkoon vielä esitetyksi pari esimerkkiä C-duuri-invention ulkopuolelta. Näissä esimerkissä on kyse varsin tavallisesta tilanteesta, jossa metriin tai muotoiluun perustuvat rajakohdat muodostavat kvinteittäin nousevan harmoniakulun (tässä I–V–II) mutta juuri ennen päämääräsointua esiintyy toonikasointuun 5–6-liikkeellä suhteutuva penultima-sointu. Vaikka kvinttinousuinen kulku on toki mahdollinen, voidaan 5–6-hahmotuksella katsoa olevan normatiivinen etulyöntiasema, sillä sen tuloksena päämääräsointuun johtaa pohjasävelten laskeva kvinttisuhte (I⁵⁻⁶–II

= I-VI-II), jota välidominanttiset muunnokset usein vielä tehostavat. Kuvan 6 katkelmassa *Das wohltemperierte Klavier I* -kokoelman E-duuri-preludista tahti 3 toistuu muuntuneena tahdissa 4. Metrisesti vahvat kohdat muodostavat sarjan I-V-II⁷_#, mutta penultima-periaatteen mukaista hahmotusta (I⁵⁻⁶-II⁷_#) tukee tapa, jolla tahdin 4 ylä-äänien muunnetun kulun käväisy gis²-sävelessä vahvistaa E-bassoisten sointujen assosiaatiota.

Rajakohdat:
 Boundaries: I V II⁷_#

I⁵ ————— 6 penultima!

Kuva 6./Figure 6. Bach, E-duuri-preludi kokoelmasta *Das wohltemperierte Klavier I*, t. 3-6. /
 Prelude in E Major from *The Well-Tempered Clavier I*, mm. 3-6.

Kuvan 7 katkelmassa f-molli-inventiosta sama tilanne esiintyy kompleksisempänä ja kromatisoituna. Tahtien 9-13.1 ja 13-16.1 toisiinsa rinnastuvat yksiköt etenevät rajakohtaperiaatteen mukaan kvinttinousuisesti I-V-II⁴, mutta päämääräsointuun johtava välidominantti voidaan suhteuttaa avaustoonikaan kromatisoidun 5-⁶/₅-liikkeen perusteella. Tulkintaa tukee jälkimmäisen yksikön ensimmäisestä poikkeava rekisterinkäyttö, jonka tuloksena saavutetaan koko taitteen mittaisen nousevan murtosoinnun c²-f²-as²-c³ huipentava äärimmäisen ylärekisterin c (t. 15). (Ilmaisullisesta näkökulmasta tulkinta nostaa esille

avaustoonikan ja fis-bassoisen 6/5-soinnun välisen kromaattisen suhteen riipaisevuuden.)¹⁶

Rajakohdat:
Boundaries: I

V₆

II 4

penultima!

Kuva 7./Figure 7. Bach, f-molli-inventio, t. 9–15.1. / F-Minor Invention, mm. 9–15.1.

Pintakuviointi ja metriset penultimat

Tässä yhteydessä on mielenkiintoista panna merkille, että eräänlaisella penultima-periaatteella on merkitystä myös pintakuviointille, mutta tällöin penultima on parasta määritellä puhtaasti metrikan perusteella korolliseen kohtaan johtavaksi säveleksi (eikä periaatetta voi soveltaa rekursiivisesti).¹⁷ Metrinen penultima ohittaa usein rakenteellisessa tärkeysjärjestyksessä tasa- tai nelijakoisen yksikön puolivälin sivukorollisen sävelen. Kuten kuva 8 havainnollistaa, näin tapahtuu C-duuri-invention avaustahdissa kolmellakin tasolla. Ensimmäisen

16 Seuraavissa blogiteksteissä on invention tarkempaa analyysiä:
<http://schenkeranalyysinperusteita.blogspot.com/2013/10/lisaa-bach-teemoja-4-inventio-f-molli.html>
<http://schenkeranalyysinperusteita.blogspot.com/2013/11/turhautettu-nousupyrykmys-bachin-f.html>

17 Yleistäen voimme määritellä penultiman tavalla tai toisella ”vahvaan” kohtaan johtavaksi elementiksi. Lyhyen aikavälin soitukuluissa rakenteellinen penultima on usein myös metrinen penultima, kuten E-duuri-preludin tahdin 4 lopun cis-mollisekstisointu kaksitahtisen hypermetrin kannalta.

neljäsosan sisällä sivukorollinen kuudestoistaosa-d on lomasävel kohti e:tä. Ensimmäisen puolinuotin sisällä sivukorollisen kolmannen kahdeksasosan f ja d ovat sivusäveliä e:lle ja c:lle, samoin kuin tahdin jälkipuoliskon h ympäröiville c-sävelille. Koko tahdin mittakaavassa kolmannen neljäsosan g² on osa murtosointua, jonka päämäärä on c².

metrisiä yksiköitä: metric units:

(a)

(b)

(c)

(Ei niin hyvä tulkinta)
(Less good reading)

Kuva 8./Figure 8. Bach, inventio C-duuri, metrin ja rakenteen suhteet avaustahdeissa. /
 Invention in C Major, relationships between meter and structure in the opening measures.

Metriinen sivukorko ei sekään ole vailla merkitystä, joten sen ja metrisen penultiman rakenteellinen tärkeysjärjestys on ratkaistava tilanne tilanteelta. C-duuri-inventiossa ei-rakenteellisten elementtien suhteellinen korollisuus, varsinkin kahdeksasosatasolla, tuo kuvioinnille erityistä dynaamisuutta ja myös mahdollistaa musiikkia rikastavat uudelleentulkinnat. Kuten todettua, tahdissa 2 ”vastaäänen” toiseksi

viimeinen sävel (f^2) saa aiempaa vahvemman rakenteellisen merkityksen, minkä mahdollistaa juuri metrinen sivukorko. Koko tahdin mitataavassa kolmannen neljäsosan d^2 voidaan kuulla pääiskun säveltä vahvistavaksi toistoksi eikä enää nousevalle murtosoinnulle alisteiseksi kuten vastaava g^1 avaustahdissa.

Myös itse teemakuvion rakenteelliset suhteet kokevat mielenkiintoisen uudelleentulkinnan, kun se käännetään inversioksi tahdissa 3. Sekä originaalikuvion että inversion harmonisena pohjana on toonikasointu. Koska käänнос kuitenkin alkaa a-sävelestä (niin että kuvion koko- ja puoliasketet vastaavat alkuperäistä), originaalikuvion sointusäveliä c ja e vastaavat inversiossa hajasävelet a ja f ja sivukorollisia sivusäveliä f ja d puolestaan sointusävelet e ja g. Vaikka inversio mekanistisessa mielessä kääntää originaalin ylösalaisin, äänenkuljetusrungoksi hahmottuu molemmissa e–f–e, kuten kuvan 8 (a)- ja (b)-kohdat havainnollistavat. Runkosävelten metrinen sijainti vain muuttuu, niin että paluu e:hen siirtyy neljänneltä kolmannelle kahdeksasosalle, siis penultima-asemasta sivukorolliseen kohtaan. Myös e–f–e-kulun kontrapunktina tahdin 1 jälkipuoliskossa toimiva ”vastaäänän” c–h–c kokee vastaavan metrisen siirtymän tahdin 3 aläänessä.

Lukija saattaa kysyä, voisiko inversiokuviossa hahmottaa myös kuudestoistaosataason uudelleentulkinnan, niin että sivukorollinen g toimisi osana kuvion runkoa kuvan 8 (c)-kohdassa mallinnetulla tavalla. Vaikka g:n konsonoivuuden voi ajatella tukevan tätä tulkintaa, ei sille nähdäkseni ole riittäviä perusteita, koska sivusävelinen e–f–e-liike, jota $\frac{6}{5}$ idiomaattisesti tukee, on normatiivisesti – ja kontekstuaalisesti – vahvempi äänenkuljetuksellinen hahmo kuin e–g–e ja koska Bach varsin usein koristaa dominanttiseptimiä $\hat{6}-\hat{5}-\hat{4}$ -kululla eikä g tule osana tätä astekulkua erityisesti esille kuviosta. (Periaatteessa kuudestoistaosataasonkin uudelleentulkinnat ovat toki mahdollisia, ja sellainen vilahtaakin tahdin 20 jälkipuoliskossa, kun d:stä lähtevän teemakuvion sivukorollinen e hahmottuu I^6 -soinnun bassoksi.)

Urlinie?

Palaan alun muisteluihin. Mainittuani, että inventiotutkimukseni olivat saaneet minut vakuuttuneeksi *Urlinie*-käsitteen kuvausvoimasta, Schenker-skeptinen kollegani kysyi, miten se *Urlinie* nyt sitten vaikkapa ensimmäisessä inventiossa menee. Epäonninen sananvaihto sai tässä epäonnisen käänteeseen, sillä minun ei auttanut kuin todeta, että juuri *tässä* inventiossa *Urlinien* merkitys ei olekaan vahvasti todennettavissa. Tämä lienee kuulostanut selittelyltä, ja siihen keskustelu muistaakseni tyrehtyikin.

Urliniea koskevan asian ymmärtämiseksi on tarkastelua avarrettava C-duuri-invention ulkopuolelle ja otettava tilastollinen näkökulma laajempaan corpuskeeseen. Inventioartikkelissani (Väisälä 2009) määritin tietysin (rakenteellisiin indikaattoreihin pohjautuvin) perustein alkuvaiheissa vallitsevan ylä-äänisävelen kullekin 15 inventiolle. Analyysieni mukaan tällaisena sävelenä toimii kymmenessä inventiossa $\hat{5}$, neljässä $\hat{3}$ ja yhdessä $\hat{8}$. Jos jätämme viimeksi mainitun tapauksen huomiotta, *Urlinie*-käsitteen kannalta mielenkiintoinen kysymys koskee sitä, miten alun kvintti- tai terssipainotteisuus korreloi tulevien ylä-äänitapahtumien kanssa. Kvinttilinjaanhan sisältyy erityisenä, terssilinjasta poikkeavana tekijänä $\hat{4}$ - $\hat{3}$ -kulku, joka Schenkerin (1935, § 36) termein kuuluu *Leerlaufin* eli ei saa harmonista tukea I-V-I-perusrakenteesta. Siten uskottavan $\hat{4}$ - $\hat{3}$ -kulun voi olettaa vaativan – paikallisen harmonisen tuen ohella – erityisen vahvaa hahmotuksellista korostusta. Keskeinen kysymys kuuluukin, onko alussa kvinttiä painottavilla tapauksilla terssipainotteisia suurempi tilastollinen taipumus sisältää korostainen $\hat{4}$ - $\hat{3}$ -kulku. Inventioiden perusteella vastaus tähän kysymykseen on selvästi myönteinen; kiehtova osa niiden analyysiä oli ollut niiden vaihtelevien tapojen selvittäminen, joilla Bach kymmenessä $\hat{5}$ -lähtöisessä inventiossa suuntaa kuulijan huomion $\hat{4}$ - $\hat{3}$ -kulkuun.

Terssi-*Urliniella* on yleisesti heikompi selitysvaima kuin kvintti-*Urliniella*, koska alun terssin ja päättävän toonikasävelen välille tarvitaan vain $\hat{2}$, joka rakenteellisen dominantin vahvan harmonisen tuen ansiosta voi olla heikko tai täysin implisiittinen, erityisesti silloin kun

dominantti on lyhyt ja prolongoimaton (vrt. Schenker 1935, § 146).¹⁸ Kuten kuvan 9 (a)- ja (b)-kohdasta ilmenee, C-duuri-inventiossa $\hat{2}$ kyllä esiintyy päätöskadenssin dominantin yllä (t. 21.4), vieläpä korollisena, mutta matala oktaaviala (d^1) hämärtää sen liittymistä muihin *Urlinie*-säveliin (e^2 ja c^2 ; ks. kuva 9(c)). Rekisterillisesti sitä peittää kaksikin IV-V-I-kadenssin tukemaa kuviota, ylimpänä $c^2-h^1-c^2$ ja väliäännessä $a^1-f^1-e^1$. Tämänkaltaisissa tapauksissa *Urlinie*-käsitteen soveltaminen ei perustu niinkään sävellyskohtaiseen empiriaan kuin $\hat{3}-\hat{2}-\hat{1}$ -laskun normatiivisuuteen, jonka perusteena voidaan nähdä suoraviivaisen äänenkuljetuksen hahmotuksellinen arkkityyppisyys ja kenties myös tilastollinen hallitsevuus. Normin soveltaminen analyysiin ei ole vailta mieltä, sillä normista poikkeaminen voi kertoa jotain lopetuksen luonteesta, mutta selvää on, että C-duuri-invention kaltaiset tapaukset eivät ole omiaan *Urlinie*-skeptikkojen pään kääntämiseen.

Viimeinen taite: inversio varastaa show'n

Urlinie-kulun heikkous ei tarkoita, ettei Schenker-analyysillä olisi annettavaa invention loppuvaiheiden tutkimiselle. Kumpikin *Urlinie*-laskua peittävä päätöskadenssin kuvio liittyy keskeiseen motiivikkaan: $c-h-c$ toistaa alkuperäisen ”vastaäänän” (t. 1) ja $a-f-e$ alkuperäisen inversiokuvion rungon (t. 3, kuva 8(b)). Erityisesti jälkimmäinen kuvio tulee viimeisessä taitteessa kehitellyksi tavalla, jota Schenker-analyysi on omiaan valottamaan.

Taitteen yleishahmolle on ominaista liikesuuntien vastakkaisuus aiempiin taitteisiin verrattuna. Teemakuvion imitoinnin ja ylä-äänien nousevan äänenkuljetuksen asemesta lähtökohtana on nyt inversion imitointi ja laskeva äänenkuljetus (t. 15–19). Aiemmissä taitteissa inversiokuvioita hyödyntänyt laskeva sekvenssi (t. 3–4, 11–12) puolestaan palaa nyt omaksi inversiokseen käännettynä ja täten originaalikuviioon

18 Laajemmin prolongoitujen rakenteellisten dominanttien yllä $\hat{2}$ saa usein tärkeän merkityksen ylärekisterin kiintopisteenä. Tästä esimerkkejä ovat D-duuri- ja e-molli-inventio ja tavallaan myös edellä analysoitu C-duuri-invention I-V-VI-kulku, vaikka tässä V ei tietenkään ole osa *Ursatzia*.

The image displays a musical score for the final section of Bach's Invention in C Major, divided into three parts: (a), (b), and (c).

- Part (a):** Shows the piano (p) and figured bass (f) parts from measure 15 to 19. The piano part features a complex rhythmic pattern of sixteenth notes. The figured bass part includes notes 'a', 'f', and 'e' above the staff and 'a' below. Roman numerals (II, V₅⁶, I) are placed below the bass line.
- Part (b):** Shows the piano (p) and figured bass (f) parts from measure 20 to 24. The piano part includes a 3/2 time signature. The figured bass part includes notes 'a', 'f', and 'e' above the staff and 'a' below. Roman numerals (II, V₂¹⁶, IV, V, I) are placed below the bass line.
- Part (c):** Shows a close-up of the piano part from measure 15, with notes 'c h/b c' and 'a f e' above the staff.

Kuva 9./Figure 9. Bach, inventio C-duuri, viimeinen taite ja kokonaisrakenne. / Invention in C Major, final section and overall structure.

perustuvana (t. 19–20.2).

Taitteen lähtölaulukausena on inversiokuvio a^2 -sävelestä lähtevällä alkuperäistasolla. Kun alkuperäisen kuvion a^2 (t. 3) on herättänyt huomiota kuvion lähtösävelenä ja rekisterillisenä huippuna mutta jäänyt vaille harmonista tukea, a -molliharmonia mahdollistaa paluun tähän prominenttiin elementtiin ikään kuin suotuisammissa olosuhteissa perusteellisempaa käsittelyä varten. Kuten kuvan 9 (b)-kohdasta käy ilmi, käsittelylle on ominaista $a:n$ prolongointi ja kaksi $a-f-e$ -kuvion laajennusta ennen kadenssin loppuratkaisua. Ensimmäinen laajennus muodostuu suoraviivaisesti ylä-ääneneen tahdeissa 15–18 ja toinen aläänen tahdeissa 15–21. Tulkinnan perusteet ovat enimmäkseen helposti ymmärrettävissä edellä esitettyjen periaatteiden valossa, mutta tahti 19 vaatii pientä selitystä. Tahdin pääiskulla on edeltävän sekvenssimallin perusteella 6/5-sointu, joka dissonoivana ei voi toimia rakenteen kannattelijana. Edeltävä väldominantti viittaa IV6/5-sointuun, mutta kun e purkautuu d :hen basson siirtyessä f :ään, funktionaaliseksi harmoniaksi muodostuu II⁶.

Molempien edellä mainittujen $a-f-e$ -kuvioiden vastaäänenä toisessa ääriäännessä on $a-h-c$, missä h on osa dominanttista penultima-sointua (t. 17: V_5^6 , t. 20: V_2^4); ylä-ääneneen $a^2-h^2-c^3$ -linja erottuu vahvasti ylärekisterissä. Kun $f-e$ -kulkua on vastassa $h-c$ – kuten alkuperäisessä inversiokuviossa – tämä viittaa pyrkimykseen palata toonikalle. Kummallakin kerralla $a-h-c$ -kulkua seuraa kuitenkin IV-asteen väldominantin sisältävä $c-b-a$ (t. 18–19: alääni, t. 21.1–3: ylä-ääni), joka epävakauttaa toonikan ja osoittaa, että a -säveltä koskeva asia ei ole loppuun käsitelty. Loppuun asia käsitellään vasta päätöskadenssissa, jossa väliääneneen $a-f-e$ vihdoin johtaa vakaaseen toonikaan.

Kun aiempien taitteiden yhteydessä olen kiinnittänyt huomiota tapaan, jolla rakenteelliset indikaattorit tukevat normatiivisia äänenkuljetuslinjoja, päätöstaitteessa Schenker-analyysin selitysvaima näyttäytyy hieman toisenlaisessa valossa. Rakenteen normatiivisesti sulkeva $\hat{3}-\hat{2}-\hat{1}$ -*Urlinie* on kätkössä, ja päähuomion varastaa a -sävelen prolongointi toistuvine $a-f-e$ -kuviointeina. Näiden seikkojen merkitys ei perustu niinkään yleisiin rakenteellisiin normeihin kuin sävellyskohtaiseen tarpeeseen kehitellä tai käsitellä inversiokuvion liittyvää

motiivista erityispiirrettä. Kun inversiokuvio esitellään pintatasolla (t. 3), a-sävel saa huomiota, joka on ikään kuin epäsuhdassa sen äänenkuljetukselliseen merkitykseen nähden (kuva 8(b)), ja sama ilmiö saa sitten perusteellisemmän käsittelyn invention kokonaisuudessa, kuten kuvan 9 (b)- ja (c)-kohdat havainnollistavat.

Äänenkuljetus, mekaaniset operaatiot ja Bachin intentiot

Edellä olen, paitsi eriteltyt niitä piirteitä C-duuri-inventiossa, joissa Schenkerin äänenkuljetusteorian selitysvoima ilmenee, myös tarkastellut Bachin vaihtelevia keinoja sovittaa yhteen tällaiset piirteet ”mekaanisten” operaatioiden kanssa. Äänenkuljetuslinjat perustuvat osittain operaatioiden ulkopuolisiin elementteihin, osittain niiden modifointiin ja osittain myös valintaan. Kun otetaan huomioon Bachin tunnustettu asema nerokkaana kontrapunktikkona, ei hänen taidokkuutensa organisaation erilaisten osatekijöiden yhteensovittamisessa ole sinänsä yllättävää. Vertailukohtia antavat myös muut taiteet: esimerkiksi perinteisessä runoudessa on sovittava yhteen ainakin syntaksi, semantiikka, runomitta sekä mahdolliset loppusoinnut ja muut äänteelliset tehokeinot.

Miten nämä huomiot suhteutuvat siihen ”intentionalismiin”, jonka Dreyfus mainitsee Schenker-kritiikkinsä pohjaksi? Dreyfusin (1996, 171) mukaan ”tämä intentionalismi on tarkoitettu heuristiseksi välineeksi, joka vaatii meitä vähintäänkin asettamaan kysymyksen: mitä säveltäjä olisi saattanut ajatella sävellyksestä ja sen mielestä?”¹⁹ Tällaisen välineen käyttäminen analyysin mittapuuna on kuitenkin ongelmallista, eikä pelkästään siksi että on mahdotonta tietää, mitä Bach olisi ajatellut vaikkapa edellä käsitellyistä äänenkuljetuslinjoista. Inhimilliseen ilmaisuun tyypillisesti sisältyy järjestysperiaatteita, kuten kielten syntaktiset säännöt, jotka kehittyvät ja joita käytetään sujuvasti ilman

19 “[—] this intentionalism is meant as a heuristic device that asks that we at least pose the question: what might a composer have thought about a composition and its sense?” (Dreyfus 1996, 171).

tietoisia intentioita. Jos siis ajattelemme Schenkerin teorian kuvaavan syntaksin kaltaista ilmiötä, joka pikemminkin ohjaa ja jäsentää musiikillista ilmaisua kuin on sen tiedostettuna päämääränä tai ”mielenä”, on selvää, että sen sävellyksellistä relevanssia ei voida ratkaista intentioita koskevin spekulatioin.

Dreyfusin mukaan Schenkerin ”orgaanisella ymmärryksellä on hintansa. Ensimmäinen menetys on [—] säveltäjä ajattelevana ja tuntevana inhimillisenä olentona, jonka kamppailut säveltämisen aineellisuuden kanssa jättävät jälkensä itse sävellykseen.”²⁰ On kuitenkin selvää, että edellä esitetyn kaltaiset huomiot schenkeriläisen äänenkuljetuksen merkityksestä eivät poista mitään Dreyfusille läheisistä Bachin musiikin piirteistä – yhtä vähän kuin runon syntaksin tutkiminen poistaa mitään mittaakaan, riimeihin ja sanavalintoihin liittyvistä kamppailuista. Dreyfusin intentionalismi puolestaan johtaa yksipuoliseen kuvaan Bachin musiikin tai yleisemmin inhimillisen ilmaisun ulottuvuuksista. Bachin luomistyö ei suinkaan ollut pelkkää ”kamppailua”. Hänet tunnettiin mestarillisena improvisoijana, joten tärkeä osa hänen luomistyöstään perustui sujuvasti, vailla tietoisia ponnistuksia sovellettavissa oleviin taitoihin, joista olennaisen osan muodosti tonaalisen järjestelmän harmonis-äänenkuljetuksellisten periaatteiden automatisoitunut hallinta.²¹ Kun tällaiseen hallintaan liitetään sellaiset hierarkkista organisaatiota tukevat keinovarot kuin tonikalisoinnit ja rakenteelliset indikaattorit, tulee ymmärrettäväksi, mihin perustuu tonaalisten mestareiden potentiaali soveltaa samoja periaatteita usealla rakennetasolla Schenkerin teorian kuvaamalla tavalla. Missä määrin Bachin musiikki tätä potentiaalia hyödynsi, on kysymys, jota on lähestyttävä empiirisesti, kuten olen edellä pyrkinyt havainnollistamaan.

* * *

20 “[—] his organic understanding comes at a certain cost. The first loss is [—] the composer as human being, someone who thinks and feels and someone whose struggles with the materiality of composition leave their residue in the composition itself.” (Dreyfus 1996, 188.)

21 Schenker tunnetusti painotti teorioidensa merkitystä mestareiden improvisatorisille valmiuksille. Ks. esim. Rink 1993.

Schenkerian Voice-Leading and “Mechanical” Operations in Bach’s C-Major Invention

This study of the C-major Invention ties in with my previous studies on Bach’s music and the evidential basis and explanatory power of Schenkerian analysis. I focus especially on the relationship between Schenkerian voice-leading and “mechanical” operations—referring to Lawrence Dreyfus’s (1996) term—as compositional determinants. Whereas Dreyfus (*ibid.*, 169 ff.) suggests that Schenkerian analysis represent “figments of the organicist’s imagination,” I spell out what kind of prominent musical features Schenkerian theory helps to explain, complementing the explanatory power of a “mechanist” approach.

The opening measures offer a foretaste of such a complementary relationship; see Fig. 1. “Mechanistically,” measure 2 contains an upper-fifth transposition of measure 1 within the C-major collection, tallying with the I–V harmonic relationship. The upper voice, on the other hand, shows a $\hat{1}-\hat{2}-\hat{3}$ initial ascent (Fig. 1(a)), which neither stems from a “mechanical” operation nor represents a “figments of imagination,” as it is supported by two perceptually significant factors: register and meter. Whereas c^2 is the goal of the upward arpeggiation in m. 1, d^2 and e^2 ensue at the following downbeats.²² Since the downbeats are outside “mechanical” operations, Bach was able to place notes at them to create an archetypal voice-leading line—a lucid example of a complementary relationship between “mechanist” and “Schenkerian” explanations.

The complex relationship between “mechanical” operations and voice-leading is more subtly evident in the “countersubject’s” varying voice-leading implications. Whereas the half-step C–B–C in m. 1 is a standard neighboring figure, the whole-step G–F–G in m. 2 tends to be heard in terms of a passing V^{8-7} figure (Fig. 1(a)). Bach’s sensitivity to such a reinterpretation is confirmed later, above the dominant’s dominant (m. 5, Fig. 1(b)), when the “countersubject” reappears in a varied form, in which the dominant-seventh function of its penultimate note is made obvious by registral and rhythmic manipulation.

22 Octaves are indicated with the so-called Helmholtz notation; hence $c^2 = C5$, etc.

Register and meter are—together with design, cadences, and gestural emphasis—features that I have called *structural indicators* (Väisälä 2011): they have a strong impact on the perception of structural weights and relationships and should accordingly play an important role in the derivation of structure. Harmonic hierarchy is largely determined by indicators relevant to the partitioning of time into perceptual units: meter, design, and cadences. The three cadences partition the Invention into three sections, and the first section divides into smaller units as shown by the uppermost brackets in Fig. 2(a), which combine short (half-note) metric spans on the basis of relatively unified design. The first approximation of harmonic hierarchy can be derived from such divisions by what I call *boundary principle*: structurally significant harmonies tend to occur at unit boundaries (cf. Rothgeb’s [1971] notion of “design as a key to structure”). For the first section, the boundary principle yields a series of chords that reduces to I–II_#⁷–V, as illustrated by the symbols beneath Fig. 2(b). In this case, this is not only an approximation but a satisfactory final reading of the harmonic structure, supported by significant additional factors: the relatively low register of the three basses (C, D, G₁) and parallelistic occurrences of the theme figure.

While a relatively extreme registral position can support significant basses, this criterion is more crucial for top-voice analysis. For intuitive justification, consider cases like the opening of the A-minor Prelude from *The Well-Tempered Clavier* I, in which the high e² is readily perceived as the beginning of the governing top-voice line ($\hat{5}-\hat{6}-\hat{7}-\hat{8}$) despite its metric weakness. High notes attained through goal-oriented progressions—such as the arpeggiation towards c² in m. 1 or the larger c²–d²–e² ascent in mm. 1–3 of the Invention—are particularly liable to assume a governing position. In the top-voice reading of Fig. 2(b)–(c), the e² connects with another registral peak, d², highlighted by an unusually strong design change at the beginning of a cadential module.

Apart from identifying musical features that support this Schenkerian reading, we should further ask whether those features also support the underlying theory. As regards the I–II_#⁷–V harmonic structure, such support might be questioned, since even a non-Schenkerian notion of modulation could easily explain the emphasis on the tonic

of the original key and on the dominant and tonic of the new key. In general, the aspect most specific to Schenkerian theory, susceptible to empiric testing, concerns linear voice-leading progressions (*Züge*) rather than the underlying harmonic structures. The hindmost harmonic paradigm, the I–V–I bass arpeggiation, can almost trivially be found from any tonal composition, but the significance of the top-voice *Urlinie* can already be subjected to empirical testing (as discussed in Väisälä 2009 for the Inventions). After determining any harmonic structure, an essential evidential question concerns the strength in which the indicators support stepwise linear progressions above it. At the I–V–I opening (bars 1–3), the combination of register and meter supports the $\hat{1}-\hat{2}-\hat{3}$ ascent in a way not derivable from any “mechanical” operation. On the larger scale, the new registral ascent to d^2 (m. 6), also underlined by the strong design change, suggests that Bach’s compositional actions were influenced by the “mental retention” of e^2 (cf. Schenker 1935, § 93) and by the need to create satisfactory voice-leading continuation to it.

For exploring whether this suggestion is borne out in the subsequent events, we should first note that the second section is, from the “mechanist” perspective, largely based on the contrapuntal inversion of the first; cf. passages marked α and β in Figs. 2(a) and 3(a), reproduced from Dreyfus’s (1996, Example 1.1) analysis. The first two sections are thus linked through pervasive parallelism, forming a large unit in the overall design, in which the tonicized V functions as an intermediate element in a larger I–(V)–VI structure (cf. Fig. 5).

Against the “mechanical” inversion relationships between the sections, several deviations stand out in ways that again point to the complementary explanatory power of Schenkerian voice-leading. In mm. 7–8, the right-hand occurrences of the theme figure relate by an ascending second (g^1-a^1), substituting for the I–V fifth in the left hand of mm. 1–2 and already hinting at stepwise voice-leading in the treble. The hint is confirmed in the ensuing measures (9–11.1, Dreyfus’s γ), which are outside the “mechanical” inversion operation and extend the ascending line, straightforwardly at the downbeats, up to d^2 . On the larger scale, such a “non-mechanical” extension supports the notion of d^2 as the governing, mentally retained top-voice note and, moreover,

creates a parallelism with the initial ascent to e^2 , buttressing the e^2 - d^2 relationship (cf. Fig. 4). The d^2 is highlighted for the third time as the dominant seventh of A minor (m. 12.4). While this d^2 results directly from the chosen "mechanical" operation (cf. the β passages in Figs. 2(a) and 3(a)), its resolution to c^2 , which completes the large-scale e^2 - d^2 - c^2 progression above the I-(V)-VI framework, requires another modification: the new sixteenth-note flourish (mm. 13.3-14.2, right hand) supplies an A-minor chord, with c^2 marked through a right-hand change in design, instead of the parallel sixths that would result from a literal inversion of the first section's tenths (mm. 5.3-6.2).

All in all, the first two sections offer considerable evidence for the notion that Bach's compositional process was affected by the striving (conscious or unconscious) to create perceptually viable linear progressions both at the opening of each section and over the larger span of the two combined. In particular, this notion has strong explanatory power for details outside or deviating from "mechanical" operations. This contrasts with Dreyfus's "mechanist" explanations for such deviations, which are based on the avoidance of unwanted harmonic details and have less merit in accounting for Bach's actual solutions.²³

The remaining parts of the Invention require some new considerations of structural determination and evidential basis. If we apply the boundary principle to the overall harmonic structure, we get I-(V)-VI-I, which lacks the structural dominant (Fig. 5(a)). As is often the case, the structural dominant only appears in the final cadence, exemplifying a generally significant phenomenon I have called *penult principle* (Väisälä 2023): in a span framed by two harmonies structurally superordinate to those in between, the main intervening harmony is often the *penult*, the one leading to the goal. The penult principle is frequently needed to complement the boundary principle over spans of

23 At places, Dreyfus's analysis suggests not only the downplaying of harmony and voice-leading as compositional determinants but a defective understanding of them. For example, among unwanted details he mentions "parallel tritones," which a literal inversion would produce at the beginning of m. 14 (from A-C-F# to B-D-G#), even though such tritones are in no way erroneous, as testified by Bach's use of them at the end of m. 11.

variable lengths, depending both on structural norms and on features that may underline the penult or its association with the opening harmony. Figures 6 and 7 offer smaller-scale examples. In both, the boundary principle points to an ascending-fifth progression (I–V–II), but this is overridden by the penult and its 5–6 relation with the opening tonic.

Whereas there is plenty of empirical support for the significance of the e^2 – d^2 – c^2 progression above the I–(V)–VI framework, the same does not, admittedly, apply to the notion of *Urlinie* above the I–V–I overall structure. To be sure, a $\hat{2}$ (d^1) is heard above the cadential V, but its low register obscures its relationship with the *Kopfton* $\hat{3}$ (e^2 , bar 3) and the final $\hat{1}$ (c^2); see Fig. 9. In general, such weak (or implicit) *Urlinie* $\hat{2}$ s occur frequently above short structural Vs (cf. Schenker 1935, § 146). As discussed in Väisälä 2009, however, the notion of *Urlinie* does bear empirically testable significance for the corpus of the 15 Inventions as a whole. The Inventions in which the opening events point to the $\hat{5}$ as the governing top voice have a much stronger tendency to include a convincing $\hat{4}$ – $\hat{3}$ motion than those pointing to $\hat{3}$ as governing. Moreover, in $\hat{3}$ -lines with a prolonged structural dominant (Inventions in D major and e minor) the $\hat{2}$ features prominently.

Despite the weakness of *Urlinie*, Schenkerian analysis is far from useless for shedding light on the concluding events. The $\hat{2}$ is covered by two figures of motivic significance: C–B–C stems from the “countersubject” and A–F–E from the inversion figure (m. 3). The final section starts with quoting the inversion figure, which is followed by enlargements of A–F–E, as shown with note names in Fig. 9(b). In the original statement, a^2 stands out as its first note and a registral apex, but remains, as a non-harmonic note, inconsequential in that context (m. 3, Fig. 8(b)). The A minor harmony provides the opportunity to take up this prominent element in more favorable circumstances for a fuller development, prior to the structural close. For the final section, the explanatory power of Schenkerian analysis thus concerns the treatment of a piece-specific motivic feature, rather than an archetypal *Zug*.

Finally, let us briefly consider how the present observations relate with Dreyfus’s (1996, 171) “intentionalism [...] meant as a heuristic device that asks that we at least pose the question: what might a composer

have thought about a composition and its sense?” I find such a “device” problematic. Firstly, it is impossible to know what Bach might have thought about things like the present voice-leading readings. Secondly, human expression typically involves organizational principles, such as the syntactic rules of languages, which emerge and are employed without conscious intention. Tonal music clearly holds the potential to be organized in the way Schenker described, in which principles of harmony and voice-leading are applied at several levels, supported by factors such as the structural indicators and tonicizations. To what extent Bach exploited this potential is a question that should be approached empirically rather than by speculating about his intentions. According to Dreyfus (1996, 188), Schenker’s “organic understanding comes at a certain cost. The first loss is [...] the composer as human being, someone who thinks and feels and someone whose struggles with the materiality of composition leave their residue in the composition itself.” Leaving the “organistic” ideology aside, this does not make more sense than, say, claiming that the study of a poem’s syntax somehow detracts from the poet’s struggles with rhymes and word choices. By showing how Bach’s creative work managed to combine “Schenkerian” and “mechanist” compositional concerns, I hope to have advanced a richer picture of its human multidimensionality.

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Stylistic Conventions and Individual Fingerprints in Erik Tulindberg's String Quartets op. 1 and op. 2

INKERI JAAKKOLA

Erik Tulindberg (1761–1814) was the first renowned Finnish composer. He was musically active primarily in the late 1770s and early 1780s, when he was studying at the Royal Academy of Turku. He was respected as a skillful violinist, cellist and a chamber musician, playing in the Academy's orchestra on ceremonial occasions and giving public concerts. His extensive personal archive is a fruitful source of information about his repertoire and about cultural life in Turku. This article focuses on his String Quartets.

Tulindberg's rather limited compositional oeuvre consists of two Violin Concertos, six String Quartets and a few works for solo violin. Handwritten copies of the parts for String Quartets op. 1 (nos. 1–3) and op. 2 (nos. 4– 6) were found in the archives of Helsinki University in 1925 (Tulindberg, n.d.). The material includes parts for first violin, viola and violoncello, but unfortunately the part for second violin is still missing. Performances of his String Quartets are therefore based on various reconstructions of the second violin part, the latest of them being Anssi Mattila's complete edition of scores and parts, published by Fennica Gehrman in 2023.

I approach the corpus of Tulindberg's String Quartets from two perspectives, namely the conventions and stylistic constraints of the mid- and late eighteenth-century on the one hand, and the composer's individual "fingerprints" as attributes of his personal musical lan-

guage on the other.¹ I compare his compositions with certain works that originate in the same period and reside in his archive. After a brief introduction, I focus on 1) the expositions in the opening movements; 2) certain harmonic practices; and 3) expressive means such as topics and textural treatments. The theoretical framework covers James Hepokoski and Warren Darcy's (2006) *Sonata Theory* as well as the writings of William Caplin (1998) and Graham Hunt (2013). At the same time I introduce the views of eighteenth-century theorists on sonata expositions, as recently discussed by Poundie Burstein (2010, 2020). *The Oxford Handbook of Topic Theory* (Danuta Mirka, 2016) was my primary source of reference for musical topics.

My exploration of Tulindberg's style reflects the work of Leonard B. Meyer (1996) in which he claimed that the musical style of a certain period could be distinguished by the overarching conventions that specified its material means, established possibilities for compositional strategies and, further, limited the network of choices in individual musical works (ibid. 17). The constraints of a style are learned tacitly in performing and listening rather than through formal instruction (ibid. 10). Meyer also suggests that strategies possessing properties such as symmetry and coherence are likely to be replicated because they are memorable (ibid. 22). Although the Classical style was notably stable and well established, the strategies employed in the early phases differ from those of the high Classical period. Furthermore, individual composers tended to set constraints of their own: they repeatedly selected certain strategies that become characteristics of their personal musical language (ibid. 5 & 24).

Meyer's description is indeed relevant for researchers focusing on Tulindberg, whose musical education was limited: he learned composing by performing and listening to both chamber music and orchestral works. Despite the peripheric location and modest circumstanc-

1 Given the score analysis, this study ignores the reconstructed part for second violin. All observations and comments are based on the handwritten copies (Tulindberg, n.d.). Therefore, the musical examples show only the parts for first violin, viola, and violoncello.

es in late-eighteenth-century Turku, the cultural life seems to have been quite active. Both the Academy and “Aurora Society” organized events in 1773–1779. Tulindberg’s surprisingly large personal archive comprising 52 items of chamber music, concertos, symphonies, and operatic numbers provides information on his repertoire (Anderson 1930).² The descriptions of his style in this article refer to the widely established conventions and compositional strategies of the Classical period that he employed on the one hand, and point to his deviations from the governing practices on the other. The archive is indeed a major source of reference: the works that Tulindberg studied became cornerstones of his understanding of the Classical style, and he made his compositional choices primarily within the framework of this repertoire.

Overall Structures

The composer assigned the String Quartets two opus numbers in the handwritten copy, both including one work in a minor key and two in major keys. Opus 1 consists of String Quartets 1–3, the main keys being B flat major, D minor and C major, and opus 2 includes string quartets 4–6, the main keys being G major, C minor and F major. Because the copy is not dated, the numbered order of the works need not follow the order of their composing.³ As Figure 2 shows, all the opening move-

2 According to both Oramo (1989) and Lappalainen (2016), the String Quartets were composed in the early 1780s, and from that decade the archive includes string trios and string quartets by Carl Friedrich Abel (Tulindberg’s signature being dated 1781), Luigi Boccherini (dated 1783), Joseph Haydn (op. 9; dated 1781), Ignace Pleyel (n.d.) and Johann Vanhal (n.d.), for example; violin concertos by Giovanni Giornovich and Carel Fodor (dated in 1783); symphonic works by Joseph Haydn (dated 1787), Charles Stamitz (dated 1782), Karl Joseph Toeschi (dated 1778) and Francesco Ricci (dated 1776). Presumably the works in the archive have been performed, because only a single or a few parts exist for many of them. Unfortunately, the concert programs are lost. The city of Turku burned to the ground in a catastrophic fire in 1827, when the contemporary archives and the library of the Royal Academy were destroyed.

3 Further evidence is needed to confirm the decade—or decades—in which the String Quartets were composed. Tulindberg moved to Oulu in 1786 to begin his career as public servant. However, I believe that his musical activity was not limited to his academic years in Turku. Many items in his archive originate in a later period—for example, in-

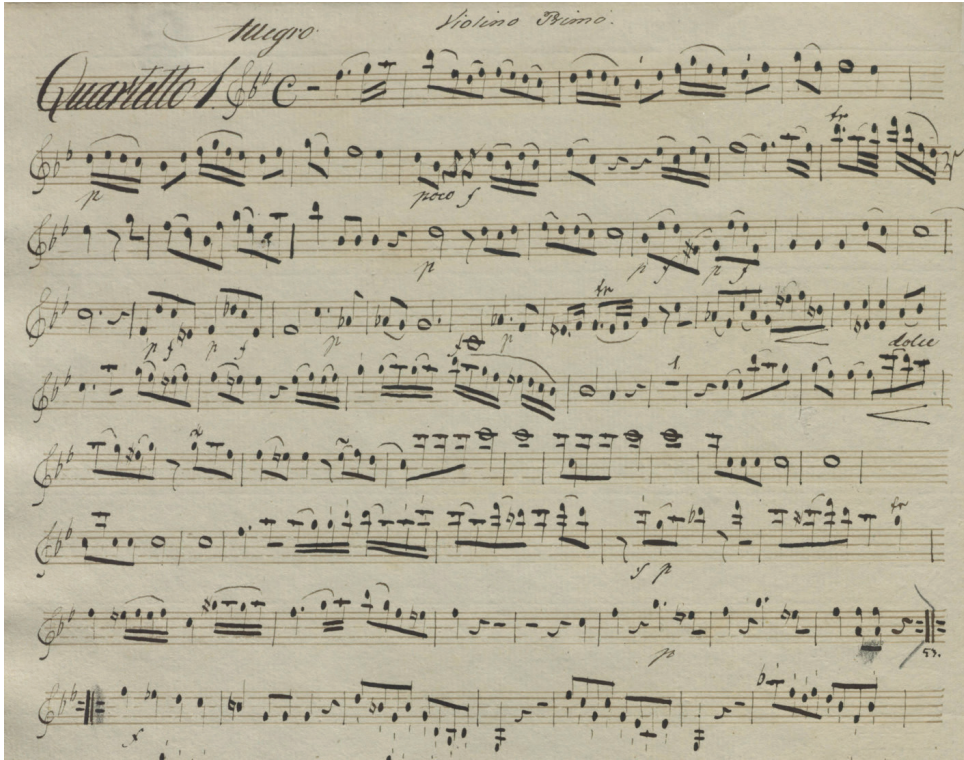


Figure 1: Tulindberg's String Quartet I, I, first violin part, handwritten copy: National Library of Finland.

ments as well as some of the slow ones are in sonata form. Two of the slow ones are in ternary form (ABA), and one is in variation form. The dominant, subdominant, relative and parallel keys are employed in the slow movements. Minuets appear either as the second or the third movement of each work and, excluding the relative key of no. 5, they are all written in the main key. The main key, the parallel key as well as III, \flat III and VI are employed in the Trio sections.

cluding the printed parts for W. A. Mozart's Symphony no. 40, KV 550. There is also evidence that the Italian explorer and musician Giuseppe Acerbi met Tulindberg in Oulu in 1799. They organized public chamber-music events, in which Tulindberg played violoncello (Acerbi, 1802; Anderson 1930, 139). Acerbi's Clarinet Quartet no. 3 remains in Tulindberg's archive.

Quartet	Opening	Slow movement	Menuet	Finale
Bb major (1.)	sonata form	<i>Adagio</i> in sonata form, Eb major	Bb major	sonata form
D minor (2.)	sonata form	<i>Adagio</i> in sonata form, D major	D minor	rondo with varied sections
C major (3.)	sonata form	<i>sicilienne</i> in ternary form, G major	C major	sonata-rondo
G major (4.)	sonata form	<i>sicilienne</i> in sonata form, G minor	G major	ondo with varied sections
C minor (5.)	sonata form	<i>Poco Adagio</i> in variation form, Eb major	Eb major	<i>chasse</i> in rondo form
F major (6.)	sonata form	<i>Adagio molto</i> in ternary form; Bb major	F major	ondo with varied sections

Figure 2: The overall structures of Tulindberg's String Quartets op. 1 (1–3) and op. 2 (4–6).

Of the finale movements, that in no. 1 is in sonata form, and the composer titled all the others Rondos even though they differ from each other quite a lot. The compact finale of no. 5 is a clear-cut rondo, and the one in no. 3 comes close to sonata-rondo. The finales of nos. 2, 4 and 6 are expanded in duration and significantly larger than the opening movements. Their ambiguous formal organization combines features of both rondo and variation form: along with refrains, the episodes also appear varied. Their initial dance-like character is easily associated with *katrilli*—the local, rural form of contra dance—but the through-figured first violin part in the varied sections rather reflects the solo concerto's finale-rondo. In the following I examine the opening movements, focusing on their expositions in particular.

The Opening Movements

Figure 3 illustrates the construction of each of Tulindberg's opening movements using concepts from Hepokoski and Darcy's Sonata Theory. The table shows their key designs, the appearance of primary and secondary themes, and the most important cadences together

with the bar numbers. Medial caesuras (MC), which are positioned at the end of the transition (TR), divide their expositions into two parts, the first introducing the primary theme (P) in the main key and the second presenting the secondary theme (S) in the dominant key—in minor-key works on the third scale degree. The secondary key is confirmed by a structural cadence (EEC), and thereafter a closing zone (C) may appear. The developments are different in construction, introducing partly or completely new material. Double returns at the beginning of the recapitulations are prepared by a dominant seventh

Major key	Exposition			Development			Recapitulation		
	P	TR	MC	S				P	MC
B: (1) I:PAC m. 12	vi - v	v:HC m. 25	V EEC: m. 47 C-zone: m. 47-53	ii i:HC m. 70 i:V ⁷			I - i m. 79	I:HC m.102	I m.103 ESC: m. 124 C-zone: mm. 124-130
C: (3) I:HC m. 8	V	V:HC m.11	V-v-V EEC: m. 24 C-zone: mm. 25-32	V - v (P) vi:HC m. 44 i:V ⁷			I m. 52	I:HC m. 58	I m.59 ESC: m. 65 C-zone: m. 65-73
G:(4) P ⁰ - P I:HC m. 17	V	V:PAC m. 31?	V EEC: m. 60 C-zone: m. 61-73	V - bIII (P ⁰ ,P) i (P ⁰) m.110- I:PAC m.130			-	-	I m. 131 C-zone: mm.159-172
F: (6) I:PAC m. 15	V-v	v:HC m. 50	V EEC: m. 80	V - vi (P) IV (P,TR) I: V ⁷			I-bVI m. 141	i: HC m.164	I m.165 ESC: m.196
Minor key									
d: (2) I:HC m. 14	III-iii	iii:HC m. 44	III EEC: m. 62	iii-vi (TR) VI-III (P) m.83-			i m. 111	HC:I m.123	i m.124 ESC: m.142
c: (5) I:PAC m. 12	III-iii-III	III:PAC m. 36	III-iii-III EEC: m. 76	iv-VI bvii m.108- iii: V			III m. 125	i:HC ? m.148	i m.149 Coda: (P) mm. 197-206

Figure 3: Key design, structural cadences, and thematic content in the opening movements of Tulindberg's String Quartets.

chord or a prolonged dominant pedal at the end of each development. Seemingly, Tulindberg adopted the essential harmonic strategies of the Classical sonata form. However, there are features to note: none of the movements include three rotations of the thematic material, and in the recapitulation of no. 5 the thematic and harmonic returns do not align. The structure of no. 4 differs significantly from all the others in terms of both harmonic structure and thematic content. Below I discuss two aspects that draw attention in Tulindberg's expositions, namely extended modal mixture and frequent cadences, which I consider his individual fingerprints.

An extended modal mixture draws attention in the key design of Tulindberg's expositions, as well as in his developments and recapitulations. As for the expositions, the major-key works include segments in the minor mode dominant along with the dominant key. Likewise, the secondary key (III) in the minor-key works is presented in both its major and minor modes. The composer uses two strategies in realizing the phenomenon: 1) the extended modal mixture appears in the transition; 2) the extended modal mixture appears after MC. Thus, the exposition's latter part includes segments in both the major and the minor mode of the secondary key. The expositions of no. 1 and no. 6 follow the first strategy: the music moves to the minor-mode dominant key in the transition. In these works, MC (v:HC) is prepared by a dominant pedal during which the minor-mode cadential six-four chord recurs several times. Thereafter, the secondary theme presents a fresh start in the major-mode dominant. A related compositional strategy is manifested in the minor-key works. The transition in no. 2 first finds its way to the III (mm. 28–32) but digresses then to its minor mode (iii). However, the major mode (III) is restored after MC (m. 44) (Figure 4).

The second strategy is used in no. 3 and no. 5, the minor mode appearing in the secondary theme zone. The units in the minor mode are relatively large and distinctive, and introduce thematic material of their own. However, the second part of the exposition begins and ends in the major mode dominant. Thus, the passage in the minor mode resembles a side path from which the music is quite imperceptibly driven back onto the correct track.

Moderato

28 VI1
Vla *f*
Vc *f*
f *p*
III:HC *p*

35
p
f *p*

42
p *f*
iii:HC

Figure 4: Tulindberg, String Quartet no. 2, I, mm. 28–48.⁴

The phenomenon discussed above is linked in scholarly literature with *three-key expositions*, of which Graham Hunt (2014, 247–269) describes various models. One option is an extended modal mixture in the transition—a strategy that Tulindberg employed in nos. 1, 2, 5 and

4 As mentioned above, the score excerpts do not show the reconstructed second violin part, which is also ignored in the analysis. Presumably, the second violin plays solo in mm. 33–40. It is also likely that it plays solo in mm. 53–62, acting in parallel thirds with the violoncello as the first violin in mm. 45–53; this is also Mattila's suggestion. Depending on the content of the second violin part, the cadence in m. 62 may be either IAC or PAC (see Figure 3).

6. Hepokoski and Darcy (2006, 25) also explain this phenomenon: because the minor mode darkens the harmony at the end of the transition, the secondary theme that follows in a major mode sounds fresh. This very effect is perceptible in Tulindberg's expositions. With regard to appearances of the minor mode after MC, Hunt (2014, 248–249) points out the practice in the Classical period to divide the secondary theme group into two parts in parallel modes. William Caplin (1998, 119–121) refers to the phenomenon as a *modal shift*, suggesting that the shift to the minor mode is characteristic of loose organization in the subordinate theme. Hepokoski and Darcy (2006, 141) associate the minor-mode secondary theme with a tragic expression, which nevertheless brightens when the music is transformed to the major mode at the end of the exposition. However, Tulindberg's strategy is the very opposite: after MC he introduces the new thematic material in the major mode, and the minor mode is heard thereafter. The structural cadence (EEC) at the end of the exposition confirms the major mode as the dominant key.

As explained above, an extended modal mixture was employed in expositions according to mid- and late-eighteenth-century practice in general, but by no means as the primary strategy. Regarding Tulindberg's archive and the possible models for his key design in works of other composers, the exposition of Haydn's Divertimento op. 9, I includes a relatively large passage in minor mode dominant (mm. 19–24).⁵ The passage is clearly separated from its surroundings: it is anticipated by V:PAC and it ends with a rhetoric break, a fermata on an inverted dominant seventh chord. Thereafter, the major mode is restored and confirmed by PAC (m. 28). All other expositions in Divertimenti op. 9 follow the most common strategy and move to the major dominant key; modal mixture appears only in a few individual chords. However, Tulindberg's archive contains examples of extended modal mixture in Haydn's orchestral works. The group of three symphonies, Hob I: 79–81, were printed in 1785, and found their way to Turku soon after that: on the cover page is Tulindberg's handwritten date 1787. The exposition

5 Haydn composed op. 9 in 1768/69; the item in the archive is dated in the composer's hand "E. Tulindberg 1781".

of Haydn's no. 79, I, hints minor mode at cadential preparation (mm. 40–41). The unstable passage in mm. 33–43 of Haydn's Symphony no. 80, I, which in a larger context could be interpreted as a chromatic voice exchange preparing the dominant arrival in F major, first implies F minor.⁶

Along with its extended modal mixture, the frequent cadences in Tulindberg's music call for an explanation. The beginning of the transition in his expositions is regularly articulated by an anticipatory cadence in the main key (I:HC or I:PAC), which undermines the status of the MC. The segments in minor mode dominant or minor mode III are also separated from their surroundings by harmonic closures, and the latter parts of his expositions include many cadential gestures as well. However, the phenomenon in question is not limited to sonata-form expositions, but is rather an essential aspect of Tulindberg's compositional strategy: his music seems to breathe through frequent cadences. This kind of formal organization is attributed to instrumental music of the early Classical period in particular. It is described by the eighteenth-century theorists, such as Heinrich Christoph Koch, whose suggestions I discuss below.

Poundie Burstein discusses the writings of several contemporary theorists thoroughly in *Journeys through Galant Expositions* (2020), and gives numerous examples of the early Classical repertoire. He explains that eighteenth-century theorists, including Koch, did not divide the expositions into stable key areas. Similar to punctuation in language, formal organization was rather understood as a chain of individual phrases (*Sätze*) heading towards resting points (*Ruhepunkte*

6 Tulindberg's archive also includes music by Carl Stamitz, Johann Vanhal, Ignace Pleyel and Luigi Boccherini, among many others. He may have known the oeuvre of these composers more widely, because he took part both in performances of chamber music and in the Academy's orchestral concerts. Examples of extended modal mixture in Haydn's early works are to be found in the exposition of Symphony no. 4, I (1762) which includes a *cantabile* theme in minor mode dominant, appearing after an authentic cadence in a major mode (V:PAC). Tulindberg's no. 4, I, bb 70–74 manifests related practice. As for Boccherini, his op. 8 (1769) consists of six String Quartets. The minor mode dominant appears immediately after the half cadence (V:HC, mm. 8–10) in the exposition of no. 3, and the major mode is heard thereafter. The unit in minor mode (mm.16–23) in no. 5, I is positioned between passages in the major dominant.

des Geistes), meaning processes towards harmonic closures (ibid. 18–19). Burstein explains that, according to Koch, expositions usually begin with *Grundabsatz*, which ends in the main key (I:IAC), followed by *Quintabsatz* that leads to a half cadence (I:HC). The aim of the next entity, *Quintabsatz in V*, is the HC in the dominant key (V:HC), which corresponds to MC in Sonata Theory. The harmonic goal of the exposition—the structural cadence in the dominant key (V:PAC)—is reached at the end of *Schlußsatz* (ibid. 72–80). The exposition is considered the first *Hauptperiode* of the movement. The section that could follow its structural cadence is called *Nebenperiode*, and it often corresponds with the closing zone in Sonata Theory (ibid. 207).

Koch's suggestions offer an alternative approach to formal organization in Tulindberg's string quartets, of which I discuss no. 2 and no. 3 below. These expositions include features of both the high Classical style and the Galant style. Therefore, my discussion of the cadential structure combines the information given by Sonata Theory with Koch's model. My illustration applies Burstein's charts (2020, 74), thus showing the bar numbers of the categorized cadences together with Koch's terms for the individual *Sätze* and their placements in the exposition.

Figure 5 shows the exposition in Tulindberg's Quartet no. 3. As Koch suggests, *Grundabsatz* ends with I:IAC, and the next entity, *Quintabsatz*, closes with I:HC. The harmonic goal of the two following *Quintabsätze* is V:HC (m. 11 and m. 17). Thereafter, the music immediately moves to the minor mode dominant and stays there (mm. 18–23). However, as the chart shows, the cadence at the very end of *Schlußsatz* (m. 24) quickly restores the major mode. The music that follows the structural cadence could be called *Nebenperiode*: it introduces new melodic and rhythmic ideas (lively sixteenth-note triplets) and confirms the dominant key with three more authentic cadences. From the perspective of Galant form the chain of brief musical entities—all of which end with a har-

<i>Hauptperiode</i>					<i>Nebenperiode</i>
3	8	11	17	24	27, 30, 32
<i>Grundabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz</i>	<i>Schlußsatz</i>	<i>Schlußsätze</i>
I:IAC	I:HC	V:HC	V:HC	V:IAC	V:PAC

Figure 5: The punctuation in Tulindberg's String Quartet no. 3, I, mm. 1–32.

monic closure—gradually proceeds towards the exposition’s primary harmonic goal, which is the V:IAC at the end of *Schlussatz*. The types and keys of harmonic closure follow Koch’s suggestions.

From the perspective of Sonata Theory, the closure in m. 11 could correspond to an early MC (V:HC). The new theme that follows in m. 12 sounds in the dominant key, and the composer has indicated its expression *dolce*. The *cantabile* character of secondary themes became a common trait in high Classical style and, seemingly, Tulindberg learned this strategy.⁷ The EEC (V:IAC) takes place in m. 24, and the rest of the exposition forms a closing zone. These attributes of the music are linked to two-part exposition. However, there are two problematic aspects to note. Firstly, the cadences are not clearly hierarchized to support the suggested MC. Secondly, formal symmetry, which is considered a feature of the high Classical style, is missing. As for the cadential structure, the I:HC in m. 8 is evidently not an early MC, but ends the primary theme instead. Thus the following phrase (mm. 9–11) stands for a compressed transitory passage. Because the MC in m. 11 appears suddenly, without preparation, it does not evoke expectations that the secondary theme will follow. However, the new theme in m. 12 sounds *dolce* in the dominant key and could be identified as a secondary theme.

The balanced durations of its former and latter part in a two-part exposition manifest formal symmetry. The suggested MC (m. 11) in this piece does not divide the music into two equally long sections, however, and moreover, the music following the EEC (m. 24) is one third of the exposition’s complete duration. Hepokoski and Darcy’s *tri-modular block* concept offers an explanation to be considered. It describes situations with two MC candidates. The first of these opens a mid-expositional space, in which the suggested secondary theme is unable to form a cadence in the dominant key. Another MC is prepared, and the following new theme leads to EEC (Hepokoski and Darcy 2005, 170–177). According to this reading, the early MC (m. 11) in Tulindberg’s expo-

7 Tulindberg also uses *dolce cantabile* for the secondary theme in the opening movements of String Quartets no. 1, no. 2 and no. 4. The identity of the secondary theme is an aspect of high Classical style in his practice.

sition is followed by a new theme and a preparation for the late MC (V:IAC, m. 24). The expositional closure is heard after the second new theme (V:PAC, m. 30). Hepokoski and Darcy do admit that the function of a late MC is often unclear: it is heard as an EEC. This effect is perceived in Tulindberg's exposition. The authentic cadence in m. 24 is rhetorically strong and carefully prepared, thus in my reading it indeed is the EEC. Moreover, in terms of expression it is a moment of change. The rapid triplet figures and the restored major mode transform the music as significantly free and easy going. The above alternative reading, based on Koch's model for Galant expositions, supports my interpretation. The main harmonic goal of the *Hauptperiode* is the cadence ending *Schlussatz* in m. 24. The music that follows is a large Appendix, which could be called *Nebenperiode*.

<i>Hauptperiode</i>				
2, 6	14	32	44	62, 67
<i>Grundabsätze</i>	<i>Quintabsatz</i>	<i>Quintabsatz</i>	<i>Quintabsatz</i>	<i>Schlussätze</i>
I:IAC	I:HC	III:HC	iii:HC	III:PAC

Figure 6: The punctuation in Tulindberg's String Quartet 2, I, mm. 1–67.

Koch's concepts are used in Figure 6 to show Tulindberg's strategy in no. 2, I. The sequence of cadences in this exposition corresponds to Koch's suggestions. The *Quintabsatz* in iii (mm. 33–44) draws attention: it would have been possible to introduce the new theme immediately after the III:HC (m. 32) and leave out the content of mm. 33–44 completely. Instead, the music moves to the minor mode in m. 33, in which the HC is also heard (m. 44). A fresh, new beginning in a major mode takes place in m. 45, and a convincing cadence (V:PAC) closes the first *Schlussatz* in m. 62. Thus, from the perspective of Galant style, the chain of *Sätze* and *Ruhepunkte* form a naturally proceeding succession towards the cadence at the end of *Schlussatz*.

In terms of Sonata Theory, the iii:HC at the end of *Quintabsatz* in m. 44 could correspond with its MC, which is followed by the *cantabile* secondary theme.⁸ The cadence in m. 62 is an unambiguous EEC, and the

⁸ The musical content of mm. 28–48 is shown in Figure 4 above.

few last bars form a brief codetta. Although in this instance the basic attributes of a two-part exposition are perceptible, the formal function of mm. 15–43 is problematic. More specifically, this entity would form the transition section of a two-part exposition, but the characteristic textural features needed to drive the music towards MC are missing. Moreover, the section is harmonically stable because the new material is introduced in the relative key immediately after the I:HC (m. 14). The concept of a tri-modular block clarifies this aspect of the music by showing the structural significance of I:HC in m. 14. If one takes this as an early MC, the following section would be the first secondary theme followed by a preparation for another MC (V:HC in m. 44). Thereafter, the new theme successfully leads the music to EEC in m. 62.

The punctuation of rest of Tulindberg's expositions departs from Koch's suggestion to end the *Grundabsatz* with IAC and *Quintabsätze* with HC. The majority of closures in both no. 1 and no. 4—and all in no. 5—are perfect authentic cadences. Rhetorically, PAC is a strong signal of an ending. Even though it creates a break, it does not open up possibilities for a new beginning—of the secondary theme that is expected to follow, for example. V:PAC is ranked in Sonata Theory as the third-level default for MC (Hepokoski and Darcy 2006, 27). However, in his discussion of mid-section cadences in Haydn's sonata-form movements Burstein (2010, 93) refers to authentic cadences as a standard feature of works dated in the mid-eighteenth century. Frequent authentic cadences affect the musical flow and temporality in Tulindberg's works:⁹ instead of larger, future-orientated processes the music builds up a chain of separate entities manifesting the musical present, an aspect that is caused in part by frequent authentic cadences.

9 An extreme case is the exposition in no. 4, I (mm. 1–73). It includes seven instances of V:PAC, each of them creating a confusing impression of a structural closure. The structure of no. 4 escapes definitions, and it departs in many ways from all of Tulindberg's other works. For example, as Figure 3 shows, the formal function of the first movement's opening material (now defined as P⁰-P) is ambiguous, and recitative-like passages in its development bring operatic numbers to mind. This String Quartet, in particular, would merit thorough discussion, which unfortunately cannot be included in this article.

The discussion above reveals the manifestation of practices of both the early and the high Classical style in Tulindberg's expositional strategies. Thus, this comprehensive examination of his opening movements combines the information given by Sonata Theory with explanations in Galant sonata forms. Tulindberg realized the strategies of the Classical period with versatility, as if experimenting with various compositional choices. He did not invent new strategies in his attempts to make each piece unique in construction. He rather favored certain harmonic practices, namely frequent cadences and extended modal mixture that became his stylistic fingerprints.

Harmonic Practices

Having examined the expositions I will now broaden the perspective to include certain characteristics of Tulindberg's harmonic practices. In general, his harmony is diatonic, simple, and fluent. Graceful, Galant cadences with 7-8 and 4-3 suspensions occur at the section ends.¹⁰ Chromatic chords and embellishments appear in moderation, and changes in harmonic color are mainly outcomes of modulation. Figure 3 above shows the key design in the opening movements. Each development is unique in construction, offering a path of its own back to the main key. However, the trait that draws attention in the expositions, namely the frequent use of extended modal mixture, also appears in the developments: relatively large units are written in the minor mode tonic in both no. 1 (mm. 68–78) and in no. 3 (mm. 35–40), and the key is extended as far as the HC that prepares the recapitulation. Likewise, the development in no. 4 includes a segment in the minor mode tonic (mm.108–124). The majority of modulations are changes between parallel keys, realized simply by replacing the tonic chord with its parallel chord after HC (see Figure 4, mm. 31–33). Thus the arrival of a new key appears unexpectedly rather than having been prepared by a chromatic progression. This trait seems to be Tulindberg's individual finger-

¹⁰ These cadential gestures are often called "feminine cadences": see no. 6, IV, m. 27; no. 1, III, m. 3 and m. 72; no.3, II, m. 27 and m. 12.

print: although there are examples in the works of other composers in his archive, it is a consistent choice in his harmonic strategy. He did not restrict it to the opening movements, using it in practically every movement of each string quartet.

Regardless of the overall harmonic simplicity, Tulindberg's quartets also include complex harmonic entities that increase tension and clearly depart from their diatonic surroundings. These passages seem to gain strategic significance in the formal organization. More specifically, they appear in the development sections of the opening movements and in the middle sections of the slow movements, in both cases reinforcing expectations of a double return. Figure 7 shows the harmonic strategies

31 **Adagio**

36

39 *f*

Figure 7: Tulindberg, String Quartet 2, III., mm. 31-42.

in mm. 31–42 of no. 2, III. Given the context the excerpt is exceptionally dramatic and rich in harmonic means. Immediately after the duet for first violin and violoncello the mood becomes agitated, and the first violin adopts the soloist's role (m. 34). Scale degrees v and iv of D minor are sequentially tonicized and highlighted by suspensions (mm. 35–37) in the harmonic structure. Thereafter, the chain of diminished seventh chords leads to the prolonged dominant chord. Minor rhythmic changes in the viola's accompaniment in m. 38 emphasize the chordal progression, and the music is transformed into D major immediately after the fermata. Diminished seventh chords and suspensions rarely appear in Tulindberg's music, thus the excerpt is indeed intense in its expression.

Figure 8 shows the latter part of the development in no. 3. The harmonic structure and surface characteristics together create an intense expression that effectively prepares the section break and the double return at the beginning of the recapitulation. In terms of harmony, the excerpt includes two instances of modal mixture aligning with a change of key (mm. 40–41; mm. 49–52). The large unit in G minor (mm. 35–40) ends with the rhetorically strong HC in m. 40. Thus the G major chord at the beginning of m. 41 could be perceived as a major mode tonic. However, transformed to a dominant seventh chord, it creates expectations of a resolution to C major, and instead we hear a chromatic ascent in the bass line and an E major chord that becomes the dominant of A minor. Thereafter, the music stays in A minor (mm. 42–47). The two diminished seventh chords that tonicize the V darken the harmony and increase the tension (m. 43 and m. 44). As the section break approaches the sequence in mm. 47–48 drives the music towards the main key. However, the cadential six-four chords on the dominant pedal manifest a minor mode (mm. 49–51), the augmented sixth chord increases the harmonic tension, and the key of C major is finally reached after the emphatic HC in m. 51.¹¹ An agitated, furious expression that manifests the topic of *Sturm und Drang* reinforces the extreme harmonic means.

11 Tulindberg's use of minor-mode six-four chords on the pedal preparing the double return recalls Mozart's practice in the exposition of Piano Sonata KV 310, I, mm. 16–22 (see also related practice in Tulindberg's no. 2, I, mm. 20–25).

40 Sturm und Drang

44

46

49 Recapitulation

C: V 5 6^b 5 6^b Aug6 V I

Figure 8: Tulindberg, String Quartet no. 3, I, mm. 40–52.

Features of the topic including the minor key, the constant syncopation in the viola part, the heavy *arpeggios* and capricious, rapid gestures in the violin part, as well as unexpected dynamic changes, all

create a tempestuous expression.¹² These musical traits appear rarely in Tulindberg's work, thus in the context the passage is extraordinary.

The above musical examples show how Tulindberg adopted certain harmonic resources of the Classical period into his harmonic practice, including tonicization, augmented sixth chords, suspensions and pedals.¹³ He often used these means strategically in his otherwise simple, diatonic harmony to increase tension before a section break. The listener's expectations of the music's proceeding are frequently misled in these moments, and the final harmonic goal is revealed at the very beginning of the next formal section. The above example also illustrates Tulindberg's use of conventional topics, which I discuss below.

Expression and Surface Characteristics

Tulindberg's expression is, in general, light and easy-going. His works therefore come close to *divertimenti*, popular Classical chamber compositions that were suitable for domestic music-making.¹⁴ As described above, there are profound moments in each quartet, but the pieces in a minor-key depart from the others in terms of both harmonic complexity and intensity. As a means of expression he chose conventional topics of which audiences were aware. As Mirka (2014) points out, topics refer to earlier music through their association with a certain genre, style, affect or musical gesture. Some derive from an extramusical phenomenon: the musical features of the above-mentioned *Sturm und Drang*, for example, express agitation and fury, whereas the original expression

12 *Sturm und Drang* primarily refers to an eighteenth-century poetic style expressing passionate, even exaggerated emotions. It is manifested in the oeuvre of German poets such as J. W. Goethe and F. Schiller. As for the Tulindberg, another instance of *Sturm und Drang* is perceived in no. 2, II, mm. 27–30.

13 Classic composers used deceptive cadence as a means of playing with audience expectations by postponing the tonic arrival. Strikingly, there are only two such instances of V–VI-motion in the complete op. 1 and op. 2 of Tulindberg: in no. 3, III, mm.15–16, wherein the deceptive cadence obscures the MC, and in no. 3, II, m. 2 and m. 6, wherein it appears fleetingly in the midst of the theme.

14 Haydn's op 9 string quartets, which reside in Tulindberg's archive, are entitled *Divertimenti*.

depicted tempestuous weather. The network of references gradually expanded to earlier works, in which similar features may be perceived (Mirka 2014, 28, 36, 44–45).

Figure 2 that was presented earlier in this article shows the essential attributes of each movement in Tulindberg’s String Quartets. The slow movements in both no. 3 and no. 4 are written with a rocking 6/8 time signature, manifesting the traditional, dotted *sicilienne* rhythm associated with *pastoral* topics.¹⁵ Furthermore, as the first violin often plays solo in the quartet texture, the music could be linked with the *aria*. The expression in the slow movements combines traits of all these topics, and in addition, the openly expressed emotion in the violin part links the music to that of *sensibility*.¹⁶ The impression of an aria is strongest in “Adagio molto” in no. 6 (Figure 9), the first violin’s ornamented part coming close to those in Haydn’s op. 9, no.1, III and no. 2, III.

43 **Adagio molto**

48

Figure 9: Tulindberg, String Quartet no. 6, II, mm. 43–51.

¹⁵ See, for example, Monelle (2000, 25) or Haringer (2014).

¹⁶ See, for example, Head (2014, 263–267).

As mentioned above, with the exception of no.1, all Tulindberg's finale movements are Rondos. However, they differ a lot in terms of both character and structure: the one in no. 5 is straightforward, with precise recurrences of refrains; the one in no. 3 could be defined as a sonata-rondo; and those in nos. 2, 4 and 6 come close to the concerto's finale-rondos. It is significant that Tulindberg's primary choice of finale movements was the rondo: it featured in none of the final movements in Haydn's op. 9, which according to Oramo (1989) was Tulindberg's principal model. As Malcolm S. Cole (1969) pointed out in his analysis of the eighteenth-century repertoire, the rondo suddenly increased in popularity during the 1770s and 1780s, when both J. Haydn and W.A. Mozart began to use it in their symphonies and string quartets. Mozart also composed a *Rondo Concertante* (1776), and added a finale rondo to his concertos. Boccherini, Giardini, Giordani, Giornovich and C. Stamitz composed rondos in 1773–1786 (Cole 1969, 425–455), and various works of these composers reside in Tulindberg's archive. It seems that Tulindberg was aware of the new ideas in continental music and, inspired by the works of others, adopted the popular form and applied it in diverse ways.

The tempo marking for the finale of no. 5 is *Presto* (Figure 10). This eagerly proceeding music in 6/8 time is a conventional rondo with separate sections, and the instruments always join in a distinctive *tutti unisono* in the refrains. The music could well be associated with hunting, namely the *chasse*, in which the triplet-based rhythm imitates galloping horses and the melody recalls the sound of the natural horn (Lowe 2014, 601–628). Tulindberg's *chasse* comes close to famous examples such as the opening movement of Mozart's String Quartet KV 458 "La Chasse" (composed in the 1780s), and the finale of Haydn's Symphony no. 73 (1782). Neither is to be found in Tulindberg's archive, but it is nevertheless possible that he had studied Haydn's work given that the archive houses Haydn's Symphonies no. 79–81 (1785).¹⁷

17 Works by European composers found their way to Turku surprisingly soon after their publication: the first edition of Haydn's Three Symphonies, no. 79–81, was published in 1785, and the cover page of the printed item in Tulindberg's archive carries his signature "E. Tulindberg 1787". The only item of Mozart's oeuvre it includes is the printed material



Figure 10: Tulindberg, String Quartet no. 5, IV, mm. 1–8.

Tulindberg abandoned the rondo's typical 6/8 time signature in nos. 2 and 4, using 2/4 instead. The structures of these movements confusingly combine traits of both variation and rondo forms: along with refrains, also their episodes appear through-varied. Both pieces are characteristic of heavy peasant dances. Figure 11 shows mm. 198–221 of no. 4, IV. The descending melodic figures on every downbeat highlight the beat. The harmonic structure is simple, and the persistent repetition in the violoncello part reinforces the impression of a rustic dance. In general, Tulindberg's violoncello parts are centered in the upper and middle registers: thus in terms of expression and instrumentation the octave double stops played *fortissimo* on the open C-string are exceptional.

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Figure 11: Tulindberg, String Quartet no. 4, IV, mm. 198–205.

for Symphony no. 40, KV 550 (composed in 1788; the first edition published in 1794). In general, the earliest printed editions of Mozart's works originate in the late 1780s, but it was still common in those days to use handwritten copies (Ridgewell 2002; Edge 1998). Thirteen of the 52 items in Tulindberg's archive are handwritten copies.

The image displays two systems of musical notation for Erik Tulindberg's String Quartet no. 2, IV. The first system, labeled '1' and 'Allegro', shows measures 1 through 9. It consists of three staves: Violin I, Violin II, and Cello/Double Bass. The key signature has one flat (B-flat) and the time signature is 2/4. The second system, labeled '111', shows measures 111 through 116. It also consists of three staves. The key signature changes to two sharps (F# and C#). The first staff includes a dynamic marking 'f' and a triplet of eighth notes. The second and third staves also feature triplet markings.

Figure 12: Tulindberg, String Quartet no. 2, IV, mm. 1-9 and mm. 111-116: the bar numbers follow Mattila's notation.

The image displays three systems of musical notation for W.A. Mozart's Violin Concerto no 3, III, soloist's part. The first system, labeled '264', shows measures 264 through 269. It features a single staff with a treble clef and a key signature of one sharp (F#). The time signature is 3/8. The notation includes various ornaments (marked 'V') and triplet markings. The second system, labeled '270', shows measures 270 through 272, continuing the triplet patterns. The third system, labeled '273', shows measures 273 through 276, featuring a melodic line with a slur and a final measure with a fermata.

Figure 13: W.A. Mozart, Violin Concerto no 3, III, soloist's part in mm. 264-276.

The rondo sections also appear varied in the finales of nos. 2, 3 and 6. The effect of the continuous figurations and embellishments is such that the first violin part comes close to the soloist's parts in concertos' finale rondos. The overall structure of no. 2, IV, and the first violin part, in particular, could easily be associated with the finale rondo in W.A. Mozart's Violin Concerto, KV 216 (1775). Mozart's piece is written in 3/8 time, but it includes a rustic dance episode in duple meter. The musical characters in Tulindberg (Figure 12) and in the Mozart (Figure 13) are indeed similar; note also the corresponding use of the pedal (mm. 273–275 in the Mozart; mm. 112–114 in the Tulindberg¹⁸).

In general, the natural, flowing melodic figuration in the first violin part of Tulindberg's no. 2 could be described as "Mozartian". As an example, Figure 14 shows Tulindberg's mm. 157–160 and, in parallel, the soloist's part in the opening movement of the Mozart, mm.113–116.¹⁹



Figure 14: Tulindberg, String Quartet no. 2, IV, mm. 157–160 and W. A. Mozart, Violin Concerto G, I, mm. 113–116.

It would be speculation to suggest that Tulindberg had opportunities to study or listen to Mozart's concertos in the Turku of the 1780s. Nevertheless, one could state that he invented idiomatic and flowing melodies that are immediately associated with the Classical style. He and his contemporaries used topics to express musical meanings and

18 Various broken-chord figurations frequently enliven the slow harmonic rhythm in Galant compositions, and momentarily in Tulindberg's music. This excerpt includes the murky bass (mm. 112–115). Varied forms of the Alberti bass feature in no. 3, IV, mm. 44–50, and in no. 6, I, mm. 80–85; II, 155–160 and IV, 115–119, for example.

19 See also the first violin part in Tulindberg's no.4, IV, mm. 246–333.

characters. His craftsmanship was based on his knowledge of the contemporary repertoire and his skills as a violinist, achieved through his musical activities. Stylistic correspondences between his works and certain works in his archive are perceivable. Along with the syntactic resemblances are similarities in the surface characteristics such as the melodic and rhythmic figures, as well as in textural traits. With regard to Haydn, Figure 15 shows, in parallel, mm. 3–5 of his op. 9 no. 1, I, and mm. 25–31 of Tulindberg's no. 6, I. The resemblance is obvious with regard to the phrase structures, the rhythmic contents and the melodic shapes. Haydn's themes are also frequently reflected in Tulindberg's string quartets.²⁰ By means of effective rhetoric, Tulindberg occasionally compressed the texture into *tutti unisono*, a practice that is also evident in the Haydn's op. 9 Divertimenti.²¹ Tulindberg's *unisoni* highlight the structural cadences, articulate the beginnings of development sections, and focus the attention on the refrains of no. 5, IV.



Figure 15: J. Haydn, op. 9, no. 1, I, mm. 3–5 and Tulindberg op. 2, no. 6, I, mm. 25–30.

Despite all these similarities, Haydn's influence should not be over-exaggerated. Indeed, it seems that Tulindberg was influenced by various composers—Ignace Pleyel and Luigi Boccherini, for example—and merged all impacts into his musical language. In the case of Pleyel, three volumes of his String Quartets reside in Tulindberg's

20 Tulindberg's theme in no. 1, IV recalls the theme of Haydn's op. 9, I; both works are in B flat major. The themes of Tulindberg's no. 3, IV and no. 4, IV resembles Haydn's op. 9, no. 1, IV and no. 3, IV.

21 See, for example, Haydn op. 9, no. 1, IV and no. 3, IV.

archive, the earliest of them being *Six Quartuors a Deux Violons, Taille er Violoncelle, Oeuvre VI* (B 301–306), printed in 1783 (Anderson, 1930). The figuration in Tulindberg's first violin parts recalls Pleyel's corresponding parts in his no. 2 and no. 6. As for Boccherini, Tulindberg's melodies indeed share traits with his early works, but a more significant similarity is perceptible in the quartet texture: as a virtuoso soloist, Boccherini wrote the violoncello parts in the upper register. Tulindberg, who likewise played violoncello, often allowed the instrument to introduce important thematic material in the upper register and to play solo in the ensemble.²² This trait is not visible in Haydn's op. 9, in which the violoncello stays in the instrument's middle register.²³

In sum, Tulindberg's expression and surface characteristics combine traits of both the Galant and the high Classical style. Features associated with graceful and pleasing Galant music, such as its transparent and simplified texture, the avoidance of complex polyphonic constructions, and syncopated accompaniment and *Sturm und Drang* passages appear together with features that are more common in the high Classical style, such as the *chasse* topic, folk-like dance rhythms, and individual rondo movements.

Conclusion

I have shown in this article that Tulindberg learned the constraints of Classical style through his musical activities as a performer and listener. Compositional strategies such as the sonata form and the rondo form build up naturally in his works, indicating his deep understanding of tonal practices. Each piece is individual in its construction,

22 See, for example, Tulindberg's no. 1, III, mm. 32–46; no. 2, III, mm. 43–50; no. 3, I, mm. 59–64; no. 4, I, mm. 32–42; no. 5, I, mm. 36–43 and no. 6, IV, mm. 87–99, in comparison with Boccherini's op. 8 no. 2, II, mm. 10–16 and no. 4, II, mm. 6–14; mm. 29–34.

23 Along with his compositions for violoncello, Tulindberg wrote diverse material for the viola and, presumably, also for the second violin. The thematic material in the theme and variations of his no. 5, II circulates so that each instrument plays solo in turn. This practice was not adapted from Haydn op. 9 no. 5, I, in which the first violin plays solo in all variations.

as if showing the composer's willingness to experiment with various ideas and inventions. Certain recurring choices could be considered his personal fingerprints—strategies that became attributes of his style. These include the constant use of extended modal mixture, frequent cadences that separate brief melodic entities, enthusiasm for through-varied rondos, and versatile roles for the violoncello. As the above analysis seems to suggest, Tulindberg's String Quartets seem to be stylistically linked with composers such as Joseph Haydn, Luigi Boccherini, W.A. Mozart and Ignace Pleyel, and the repertoire of the third quarter of the eighteenth century. This is understandable: Tulindberg made his compositional choices within the constraints of the music he had studied. His remarkably large archive yields information about his surprisingly wide knowledge of the Classical repertoire. It also offers a fascinating view of the concert life in eighteenth-century Turku.

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Bruckner, the New *Formenlehre* and the Problem of Cadence

JULIAN HORTON

Introduction

The late 1990s witnessed a fundamental change in the way sonata form was theorised in the English-speaking world. In the 1980s, approaches to classical form were dominated by three mentalities, which we might respectively call contrapuntal, stylistic and generative. The contrapuntal attitude arose with the spread of Schenkerian theory, which held that form in the more traditional, architectonic sense should be displaced by voice-leading considerations, specifically the interruption of the *Urlinie*, division of the *Bassbrechung* and the large-scale composing out of melodic diminutions (Schenker 1977; Smith 1996). The second mentality was popularised by Charles Rosen, who preferred to hear classical sonata form as a stylistic principle—a feeling for polarisation, intensification and resolution—which defined the classical style itself and gave rise to the varieties of sonata form (Rosen 1971 and 1980). The third mentality had roots in Schoenberg’s notion of the “musical idea” and the concept of *motivische Arbeit*, reflecting the modernist perception that form is generated from the specifics of musical material, not given to the composer in advance as a prefabricated pattern (Schoenberg 1967 and 2006; Réti 1978). Different though these mentalities were in their underpinning theories, they were united in their suspicion of *Formenlehre*, of the old idea that musical form can be classified into norms, paradigms and conventions, with which composers consciously engaged.

Over the past thirty years, *Formenlehre* has experienced a renaissance, which has eclipsed, if not wholly displaced the Schenkerian, sty-

listic and generative approaches and become established as one of contemporary music theory's most vibrant domains. Its revival is usually traced to Mark Evan Bonds's *Wordless Rhetoric* of 1991, which mobilised the distinction between generative and what he termed 'conformational' approaches as a starting point for the analysis of Haydn's forms, and became decisive with the publication of William Caplin's *Classical Form* in 1998, consolidated by the appearance, in 2006, of James Hepokoski and Warren Darcy's *Elements of Sonata Theory*. Caplin and Hepokoski and Darcy disagree on a range of technical matters and also differ in their theories' genealogies, since Caplin has a conscious anchorage in the Schoenbergian tradition and thereby orientates towards Central Europe, whereas Hepokoski and Darcy are more distinctively North American in their outlook. Nevertheless, they share a conviction that theory's task is to classify late-eighteenth-century formal conventions as a basis for analysis, rather than look to contrapuntal, stylistic or motivic features as the sources of formal practices.

Classical Form and *Elements of Sonata Theory* supply the twin pillars of what has come to be called the "New *Formenlehre*", a body of work having its centre of gravity in the late-eighteenth-century sonata (Riley 2010; Spitzer 2008, 226). Over the past decade, interest has steadily grown in exploring their theories' implications for nineteenth-century music, a turn that has brought with it several challenges. Nineteenth-century composers plainly employed sonata form; but whether a theory devised for the classical sonata is equally applicable in the nineteenth century is an ongoing debate. A related question is whether Romantic departures from classical practice should be understood as distinct ways of composing, which deserve their own theory, or whether the classical habits that nineteenth-century composers avoid should continue to guide analysis. Analysts committed to Hepokoski and Darcy's theory tend to hear such evasions as "deformations", which they define as "the stretching of a normative procedure to its maximally expected limits or even beyond them—or the overriding of that norm altogether in order to produce a calculated expressive effect" (Hepokoski and Darcy 2006, 614). This is what Steven Vande Moortele calls a "negative" approach to nineteenth-century form: whatever the music's content,

we hear it in terms of the extent of its conformity to eighteenth-century principles (Vande Moortele 2013, 408). A more “positive” view has arisen in the orbit of Caplin’s theory, seminally in Janet Schmalfeldt’s work and latterly in research by, *inter alia*, Vande Moortele, Benedict Taylor, Anne Hyland, Peter H. Smith and myself (Schmalfeldt 2011; Vande Moortele 2017; Taylor 2011; Hyland 2023; Smith 2019 and 2021; Horton 2017). Theorists of this persuasion have examined the details of syntax and process in Romantic sonatas as well as considering ways in which the classical sonata typology established by Hepokoski and Darcy remains pertinent for later composers.

Lauri Suurpää’s work straddles the boundaries between these approaches in various ways. Although anchored in classical music, he has nevertheless explored their implications for Romantic music; and although rooted in Schenkerian theory, he has maintained a lively dialogue with the New *Formenlehre*. In this essay, I explore one feature of Bruckner’s symphonic first-movement forms—the use of structural cadences—which is of decisive importance for both Caplin’s and Hepokoski and Darcy’s theories. In so doing, I address a question that Suurpää explores in his analysis of the first movement of Haydn’s Piano Trio Hob. XV:26, which concerns the formal implications of cadential deferral, a rarity in late-eighteenth-century music, but common in nineteenth-century sonatas (Suurpää 2014). As will become clear, Bruckner’s practice offers a useful limit case in the application of formal theory; in his later music especially, the role of the cadence in articulating form becomes increasingly problematic.

Bruckner and the Structural Cadence

Commentators on Bruckner’s music have long noted tensions between his ostensibly schematic attitude towards formal architecture and the freedom with which he conceived thematic content, styled by Benjamin Korstvedt as the dichotomy between “formality and formlessness” (Korstvedt 2004). In Bruckner’s lifetime, critics interpreted this dichotomy pejoratively, as evidence of Bruckner’s incompetence. Eduard Hanslick’s aesthetics, which valorised the logical consistency

of continuation decisions, struggled to accommodate Bruckner's habit of presenting material in disconnected blocks, which seemed to project no implicative relationship with each other. Hanslick duly expressed this view in his critical writings on Bruckner; critics in Hanslick's circle followed suit.

Perhaps reflecting Bruckner's struggle to gain acceptance in the Anglophone concert hall, English-language theorists have been slow to redress this perception: until the 1990s at least, serious analytical engagement with Bruckner in Transatlantic scholarship remained sparse. Contributions in the 1990s and 2000s in the domains of Schenkerian theory (from Timothy L. Jackson and Edward Laufer) and sonata theory (from Warren Darcy) signalled a shift of priorities (Jackson 1997; Laufer 1997; Darcy 1997). Laufer's graphic analyses sought to counter Schenkerian suspicion of Bruckner by pointing out middleground motivic parallelisms and continuities, whilst Darcy built on Hepokoski's Sibelian categories of sonata deformation to develop a taxonomy of deformational procedures in Bruckner's symphonies, which served to account for strategies that contrasted the formal conventions of the classical symphony. More recently, both Caplin and Hepokoski and Darcy have influenced work on Bruckner's music. Eric Lai, for example, has analysed Bruckner's later sonata forms in light of Hepokoski and Darcy's sonata typology, whilst Sunbin Kim has adapted Caplin's concept of formal function for Bruckner (Lai 2018; Kim 2024).

My aim is to consider two specific questions in light of Caplin's and Hepokoski and Darcy's theories. First, how does Bruckner handle cadences in sonata expositions? Second, is the commonly expressed idea that he introduced a third theme into his expositions tenable, in view of the ways he adapts cadential conventions? The first question entails establishing how and when Bruckner articulates closure in his expositions. The second question requires engagement with debates about the nature of a closing section, and above all whether material following a structural cadence can properly be defined as thematic.

Both Caplin and Hepokoski and Darcy place special emphasis on cadences, albeit in differing ways. Cadences are the defining component of the closural aspect of Caplin's beginning-middle-end paradigm,

which he further dismantles into three elements: the point of “cadential arrival”, which is ordinarily the moment at which the cadence resolves to its ultimate chord; the “cadential function”, which is the phrase unit that ultimately delivers the cadence; and the “cadential progression”, which is the chord progression that can be defined as a cadence within the phrase (Caplin 1998, 43).

In a sonata exposition, Caplin identifies five defining cadential functions, which are central to the exposition’s tonal action, two of which—one in the home key and one in the subordinate key—are required, that is, are considered structurally essential:

In its complete form, this series of cadences projects a tonal curve that (1) partially confirms the home key by means of a half cadence, (2) fully confirms that key by a perfect authentic cadence, (3) destabilizes the home key by a half cadence or dominant arrival, (4) partially confirms the subordinate key by a half cadence or dominant arrival, and (5) fully confirms the new key by a perfect authentic cadence (Caplin 1998, 196).

Only one of these events—the full confirmation of the subordinate key—is mandatorily a perfect authentic cadence (PAC); the other required cadence, which confirms the identity of the tonic, is sometimes a PAC but might also be a half cadence. Caplin further distinguishes between structural cadences, which conclude subordinate themes or theme groups, and “cadences of limited scope”, which have cadential content but are post-cadential in function and properly belong to *co-dettas* (Caplin 2013, 155–6).

Duly acknowledging one major point of disagreement, the second of Caplin’s required cadences corresponds to Hepokoski and Darcy’s “essential expositional closure” or EEC, which they define as “the first satisfactory perfect-authentic cadence that proceeds onward to differing material” (Hepokoski and Darcy 2006, 120). Hepokoski and Darcy invest considerable significance in this event; as they argue: “It is towards the accomplishing of this PAC, marking the end of S-space, that we understand all of the preceding music to have been aiming” (*ibid.* 120). They disagree with Caplin in identifying which cadence this is,

following William Rothstein in adhering to the “first PAC rule” (1989) in locating the second theme’s end, whereas Caplin prefers to select the cadence after which only codettas remain, which is usually housed in exposition’s final cadential function.

Bruckner’s relationship with the New *Formenlehre* becomes increasingly problematic when we consider his use of cadences. A survey of the endings of Bruckner’s so-called *Gesangsperioden* in his first-movement expositions tracks their gradual separation from Caplin’s and Hepokoski and Darcy’s frameworks, as the efficacy of PACs as a means of formal demarcation is devalued in favour of alternative strategies. Figures 1–4 show the end of the second theme and the start of the closing section in the first movements of the F minor “Study” Symphony, the Symphony “No. 0” and the First and Second symphonies, composed between 1863 and 1872, all of which remain audibly indebted to the practices identified by form-functional and sonata theories.

In general, Bruckner supplies what Hepokoski and Darcy would define as an EEC: the *Gesangsperiode* reaches a PAC in the relative major, and what follows, although substantial, conveys what Hepokoski and Darcy would describe as closing-zone rhetoric. The *Gesangsperiode* in the F minor Symphony’s first movement, quoted in Figure 1, is a very large period, in which the antecedent ends with a half cadence in bar 114, and the consequent responds with a III:PAC in measure 146. Both Caplin and Hepokoski and Darcy would presumably agree that this is the structural cadence: it is the first PAC after which contrasted material occurs, and it is also the exposition’s last PAC, which means that it is also the only candidate fulfilling the role of Caplin’s “required” cadence confirming the new tonic.

The Symphony “no. 0” (Figure 2) presents a more ambiguous case, although the PACs anticipated by form-functional and sonata theory remain in place. The second theme is tonally evasive, beginning in A major (V) in measure 33, even though the end of the transition insinuates a preparation of F major (III). Bruckner rectifies this digression as the theme progresses, straying towards F sharp minor in mm. 36–38 before alighting on F major at m. 43. The theme is then rounded by a III:PAC in mm. 54–57, and material ensues, which stylistically fulfils

(Allegro molto vivace)

125 *(p) dolce* *fz* *fz*

pp *cresc.* *sf* *sf*

133 *fz* *p* *poco a poco cresc.*

mf *p*

140 *cresc. molto* *ff molto*

$A_{b^{\flat}}V_4^{\flat} \frac{7}{3}$ I
III:PAC

Figure 1. Bruckner, Symphony in F minor; first movement, second-theme structural cadence.

sonata theory's criteria for the contrasting material of a closing zone and thereby confirms measure 57 as the resolution of the EEC. A further III:PAC follows in mm. 85–87, but if this is Caplin's required PAC rather than the first PAC, then no codettas follow, measure 87 being the exposition's final bar.

The First and Second symphonies follow the same pattern of behaviour as the Symphony no. 0. In the so-called "Linz" version of the First Symphony (Figure 3), composed three years before no. 0 in 1866, Bruckner again writes an essentially periodic *Gesangsperiode*, which closes with a III:PAC in mm. 65–67 that clinches the EEC. Here also there is a competing PAC, which could claim the status of a required

Figure 2. Bruckner Symphony in D minor, ‘no. 0’, first movement, second-theme structural cadences.

cadence, in mm. 103–106, although this is again the exposition’s final progression. Similarly, in the Second Symphony (Figure 4), a clear III:PAC in mm. 95–97 supplies an uncontroversial EEC, but Bruckner concludes the very long closing zone with a second III:PAC, which could also be the required cadence; once more, however, Bruckner supplies no codetta.

Things become more problematic from the Third Symphony onwards. In the expositions of the Third and Fourth symphonies’ first movements, Bruckner replaces PACs with what Caplin terms a standing on the dominant as the *Gesangsperiode*’s ultimate harmonic progression. In the Third Symphony’s first version (1873; Figure 5), the

58
p dolce
cresc.

63

67
ff

103
pp
pp
pp

III:PAC

I IV II V

I III:PAC

Figure 3. Bruckner, Symphony No. 1 in C minor (1866), first movement, second-theme structural cadences.

music lands on an arrival six-four chord *en route* from a German augmented sixth in mm. 192–193, and twelve bars of dominant prolongation follow, resolution of which onto F at measure 205 closes the *Gesangsperiode*. The music from measure 205 has closing-zone rhetoric, but Caplin at least would not define this music as post-cadential.

The Fourth Symphony is more complex in both 1874 and 1880 versions (figures 6a and 6b), because the *Gesangsperiode*'s key is not that of the music that follows. In both versions, Bruckner stands initially on V of Db, but belatedly replaces this with V of Bb, which dominant is resolved onto music of closing-zone character in measure 121 (1874) and 119 (1880). Crucially, these are not cadences, but dominant perorations, which means that the music following their resolution is not post-caden-

Figure 4. Bruckner Symphony no. 2 in C minor (1877), first movement, second-theme structural cadences.

tial in Caplin’s sense and can only be a closing zone in Hepokoski and Darcy’s terms if we think that the resolution of a standing on the dominant can function as the EEC. In the 1880 version of Fourth Symphony, Bruckner alleviates this issue by supplying a late PAC, in mm. 165–173, in the manner of the First and Second symphonies. In the Third Symphony, however, Bruckner supplies no such compensation. In all three versions (1873, 1877 and 1889), the exposition comes to rest on a quiet plagal cadence in F (1873, mm. 276–281; 1877, mm. 251–255; 1889, mm. 247–251). If the EEC occurs in the wake of the standing on V/III, then it does not strictly follow a cadence; if it occurs with the terminal

193

pp

div.

poco a poco

FV
standing on V

199

cresc.

tr

tr

tr

tr

ff

I
no PAC!

206

277

pp

pp

vi V IV I

III:Plagal

Figure 5. Bruckner Symphony no. 3 in D minor (1873), first movement, second-theme structural cadences.

plagal cadence, then it does not comprise a PAC and, in sonata theory's terms, we have to hear the music after the *Gesangsperiode* as "S^C": "an S [that is, subordinate] theme, literally pre-EEC, in the style of a pre-planned C theme" (Hepokoski and Darcy 2006, 190–1).

Bruckner adopts a similar strategy in the Sixth and Seventh symphonies, except that in both cases the dominant peroration is undercut at its point of resolution. In the Sixth (Figure 7), a twelve-bar standing on V of E major at the *Gesangsperiode*'s end discharges onto C major at measure 101; in the Seventh (Figure 8), a more expansive 20-measure

111 *mf* *pp dim.*

D:V standing on V B:V standing on V

115 *ppp*

120 *ff* ... 154 *ff* *pp* *pp* *pp*

I no PAC! B:Ger⁶ (enharmonic respelling!) V

156 *dim.* *pp* *p*

I covered V:PAC?

Figure 6a. Bruckner Symphony no. 4 in E \flat major (1874), first movement, second-theme structural cadences.

112 *mf* *cresc. sempre*

D:V standing on V E:V standing on V

117 *ff* no PAC!

167 *ff* Ger⁶

168 *pp* *pp* *pp* *tr* *p* V: PAC?

Figure 6b. Bruckner Symphony No. 4 in E \flat major (1878/80), first movement, second-theme structural cadences.

standing on V of B major initiated at measure 103 is undercut modally, resolving to B minor at measure 123. B minor then yields to B major at measure 149, but the subsequent progression, analysed in Figure 8, is obliquely cadential: mm. 147–148's V^{4-2} of C is reinterpreted as an aug-

89 *p* *pp*

EV—
standing on V

93 *mf* *p poco a poco cresc.* *pp poco a poco cresc.* *p poco a poco cresc.* *pp poco a poco cresc.*

97 *cresc.*

100 *ff*

!VI no PAC!

135 *pp*

iv⁶ I

Vplagal no PAC!

Figure 7. Bruckner Symphony no. 6 in A major, first movement, second-theme structural cadences.

The image displays a musical score for Bruckner's Symphony No. 7 in E major, first movement, focusing on structural cadences. The score is divided into six systems, each showing a different cadence point:

- System 1 (Measures 103-119):** Shows a transition from a *pp* (pianissimo) section to a *ff* (fortissimo) section. The cadence at measure 119 is marked with a double bar line and a repeat sign.
- System 2 (Measures 122-149):** Features a *pp* section. The cadence at measure 149 is marked with a double bar line and a repeat sign. The text "i no PAC (modal mixture)" is written below the bass staff, and "BV₄⁶" is written below the grand staff.
- System 3 (Measures 150-152):** Shows a *pp* section. The cadence at measure 150 is marked with a double bar line and a repeat sign. The text "hervortretend" is written above the treble staff.
- System 4 (Measures 152-154):** Shows a *pp* section. The cadence at measure 152 is marked with a double bar line and a repeat sign. The text "hervortretend" is written above the treble staff. A box labeled "V:IAC?" is positioned below the bass staff.

Figure 8. Bruckner Symphony no. 7 in E major, first movement, second-theme structural cadences.

mented sixth, and mm. 149–152 state and repeat the resolution of cadential six-four onto its dominant seventh, which resolves to I in B major at measure 153, initiating a brief codetta. This is, at best, a V:IAC, but it is the only candidate for either the required cadence or the EEC. In the Sixth, Bruckner revisits the tactic adopted in the Third Symphony, restoring E major after the digression to C with a protracted plagal progression in mm. 131–144, which is the exposition's end point. As with the Third, so here also, this is the only possible EEC candidate; no prior cadential progression exists that could fulfil this function.

As Figure 9 reveals, the Fifth Symphony is different again. Here, Bruckner closes his *Gesangsperiode* with a dominant half cadence, coming to rest on V of F minor in mm. 157–160, but the ensuing material ignores this precedent and begins in D \flat major with what is categorically a new theme. Rhetorically, this seems like the boundary between the second theme and closing section. Harmonically, however, Bruckner again delays cadential closure: the first PAC in the exposition—the V:PAC in mm. 217–221—occurs four bars before the exposition's end, producing a situation comparable to that of the Fourth Symphony, in which the *Gesangsperiode* is tonally dissociated from exposition's end.

The Eighth and Ninth symphonies introduce fresh complexities. Like the Fourth and Fifth, the Eighth conveys a three-key scheme, since, as explained in Figure 10, the initial key of the *Gesangsperiode* (G major) is not that of its ending (E \flat minor). It is possible to read the progression here as an elided PAC in E \flat minor, but this event is dislocated modally from the exposition's end (in E \flat major), which means that its structural integrity as a point of local resolution is undermined. Finally, the Ninth Symphony (Figure 11) strays even further from classical precedent. Having established a second-theme key of A major, the *Gesangsperiode* dissipates over a dominant pedal in A, but like the Fifth Symphony, here also this preparation is ignored, and the music of closing-zone rhetoric at measure 167 sets off in the tonic, a move which ultimately turns out to be a local digression, since the exposition closes in F major, again, however, with a plagal rather than authentic cadence.

A clear distinction emerges here, between expositions in which Bruckner eventually supplies an authentic cadence, and those in which

PACs are wholly avoided. In all cases, Bruckner's practice problematises Caplin's and Hepokoski and Darcy's theories: an exposition in which the second theme does not close with a PAC, and in which the only structural cadence is plagal, exceeds the normal remit of the New *Formenlehre*.

Bruckner's Third-Theme Groups

Analysis of Bruckner's expositional cadential habits raises a second issue that has become a cliché of Bruckner reception, which is the

153

158

217

fi

v:HC

mf

p

D♭-I

F-V

#vii°/vi vi ii⁶ V₄⁶=₃ I

V:PAC

Figure 9. Bruckner Symphony no. 5 in B♭ major, first movement, second-theme structural cadences.

89 *hervortretend* *p* *mf* *pp*
pp
Eb:V⁴ V⁴₄ 5

94 *p* *pp*
3 i
iii:PAC

127 *ff* *dim.* *pp*
Eb:V⁴ *pp*

133

136 4 3 I
is this a cadence?

Figure 10. Bruckner Symphony no. 8 in C minor (1890), first movement, second-theme structural cadences.

161 *accel. sempre* *pp* *pp* *riten.*

a:V
standing on V

166 *Moderato* *p* *pp* 215

di FV

216 *p* iv I III:plagal

Figure 11. Bruckner Symphony no. 9 in D minor, first movement, second-theme structural cadences.

claim that he expands the sonata exposition to include three theme groups. Differences between Caplin and Hepokoski and Darcy bear directly on this matter, even if Bruckner's practice evades classification in their terms. Critical here is the distinction, noted by Benedict Taylor, between the high value Caplin places on *intrinsic* factors (the-

matic syntax), contrasting Hepokoski and Darcy's focus on *extrinsic* considerations (demarcating events such as the medial caesura and the EEC) (Taylor 2024, 2). For Caplin, a theme is a theme if it has thematic syntax, meaning that it possesses at least some features of his beginning-middle-end paradigm, in which initiating functions begin themes, continuation functions supply their interior material, and cadential functions conclude them. Caplin hears the subordinate-theme group of a sonata form persisting for as long as the composer produces music that has these properties. It only ends once a cadence is followed by post-cadential music, which is music that does not have thematic syntax and is consequently a codetta. In Caplin's terms, the idea that Bruckner writes three theme groups is uncontroversial, since for Caplin there can be multiple subordinate themes pending the arrival of a required cadence and ensuing codettas. What Brucknerians have called a third theme group, Caplin might call Subordinate Theme 2; the debate would then centre on whether Bruckner's second and third themes are really two elements of one very large subordinate group rather than two separate groups.

The argument is differently framed in Hepokoski and Darcy's theory, since for them the subordinate theme ends with the EEC. This means that Hepokoski and Darcy are happy to house music that Caplin would call Subordinate Theme 2 inside the closing zone: they, in other words, countenance the possibility of a closing *theme*—a theme that follows the EEC—whereas Caplin considers a closing theme to be a contradiction in terms: if music is a theme, then it can't be a closing section, which is by definition post-thematic.¹

We can see how this debate plays out in Bruckner by returning to the First Symphony's exposition. There are two non-tonic PACs here, one in mm. 66–67 and one at the exposition's end in mm. 103–106. The music between these cadences clearly has thematic syntax in Caplin's terms: it is organised as a very large thematic unit, with an initiating

1 On Caplin's counterpoint with Hepokoski and Darcy on this matter, see Caplin 2013, 387–9. Hepokoski has elaborated a template for the thematic design of closing zones in Hepokoski 2020, 67–8.

basic idea in mm. 67–69, a series of continuation phrases in mm. 70–93, reaching the famous “Tannhäuser” climax at measure 94, which signals the approaching cadential function, the second III:PAC in mm. 103–106. According to Caplin’s theory, we have two subordinate themes and no codetta, since the second PAC is the exposition’s last event. For Hepokoski and Darcy, the music from measure 67 must be the closing zone, because it follows the first PAC; the fact that the music after this has thematic rather than post-cadential character is not relevant to its classification.

Things are more complex in the later music, for two reasons: first, because as we have seen, Bruckner stops differentiating his themes by cadence; and second, because the *Gesangsperiode* and the closing zone are often as materially distinct as the second theme and the first theme. Bruckner’s later habits have something in common with what Hepokoski and Darcy call a “tri-modular block”, or an exposition comprising two medial caesuras, an exemplar of which appears in the first movement of Beethoven Sonata op. 2 no. 3: a first, I:HC MC arrives in measure 27, producing a second theme (“TM1” in sonata-theoretical terms) which remains provisional, installing *v* rather than *V* and quickly dissolving back into transition-type music (“TM2”), which reaches a *V*:HC MC in measure 45, after which a further, altogether more stable second theme (“TM3”) begins in *G* major, leading on to the EEC in mm. 76–77 (Hepokoski and Darcy 2006, 170–1).

Compare this with the exposition in the first movement of Bruckner’s Fifth, the form of which is summarised in Figure 12.

The exposition also has two MC-like events, the first in mm. 99–100, the second in measure 160. Similarity with Beethoven’s op. 2 no. 3 however ends at this point, because the music between mm. 101 and 160

Bars:	1–50	51–100	101–160	161–220	221–224
Function:	Intro.	A (+TR?)	B	C	Codetta
Key:	I → V/iii	I/i	<i>v</i>	^b III → V	
Structure :		MC1 (standing on I)	MC2 (<i>v</i> :HC)	V:PAC (EEC)	(standing on local tonic)

Figure 12. Bruckner Symphony no. 5 in *Bb* major; first movement, exposition.

does not regress into transitional material, but is a relatively self-contained formal entity, specifically a ternary form, albeit closed with a half cadence; in brief, there is no TM2. It is also unclear whether there is a transition that is distinct from the first theme, which rather falls into two units, an antecedent and consequent of sorts, the latter fragmenting over a tonic pedal that persists all the way to the MC in mm. 99–100. In other words, although Bruckner's exposition has the classical tri-modular block in its DNA, the use of caesurae to partition formally discrete themes with minimal transitional activity suggests that there are three formal-thematic entities in the exposition, not two. Since the only structural PAC occurs four bars before the exposition's end, the tripartition of the exposition forecloses the possibility of a meaningful closing section, which shrinks to a mere four bars.

Nothing in the New *Formenlehre* properly accounts for this design. *Pace* Caplin, there is no good reason to describe mm. 101–221 as one multipart subordinate group: mm. 161–221 are as distinct from mm. 101–160 as 101–160 are from the first theme. On the other hand, the EEC has to be the cadence in mm. 213–221, since there is no other candidate, which means that measure 161 can't be the start of a closing zone in Hepokoski and Darcy's terms. Their notion of an S^C could be mobilised here. But sonata theory characterises such themes as consciously projecting a subordinate-theme failure—an "S-breakdown"—because for them, the second theme's purpose is to produce the EEC: material that sounds like a closing theme but doesn't follow an EEC expresses an awareness of this absence. Yet in Bruckner's Fifth, measure 161 doesn't project an absence so much as a new beginning: even though the exposition's final stage starts at this point, it isn't clear that we hear this music as preceding an event it ought to succeed.²

2 Schubertian precedents are sometimes mobilised to help with these problems, especially the 'paratactic' nature of Schubert's themes: that is, his tendency to present themes as self-contained episodes. But Schubert invariably positions his closing themes after a PAC. In the first-movement expositions of the String Quintet in C major, D 956 and the Piano Sonata in B, major, D 960, for example, the sharply profiled interior themes, in E, major and F# minor respectively, work towards a clear PAC in V (at m. 138 in D 956 and m. 80 in D 960), which rectifies the tonal digression and allows time for a closing section. The extreme delineation of material we see in Bruckner's Fifth, paired with the "re-

These analytical dilemmas are partly a result of ambiguities in the language both Caplin and Hepokoski and Darcy use to explain the exposition's latter stages. As Taylor observes, debates persist about how to define cadential closure and the music that follows in part because the language we use is clouded by paradox:

Put simply, when we say a theme is "closing", do we actually mean "closing" or "after the close"? On the one hand, in Caplin and in Hepokoski and Darcy alike, closing material is by definition post-cadential; effectively the exposition has already closed, and the closing section or zone merely confirms a given closure. Inelegantly, but more pointedly, we might term this a "closed" closing theme or section. On the other hand, the function of closing material is to reinforce this just-given closure, and it can do this by articulating closure again, that is, by closing (Taylor 2024, 17).

If we think that the term "closing section" should refer to the body of material in the exposition or recapitulation that achieves closure, then its application is incompatible with Hepokoski and Darcy's concept of a closing zone, which by definition comes after the structural cadence, that is, beyond the music responsible for closure: the "closing zone", strictly speaking, has a post-closural, not a closural function. Caplin's definition of a closing section conceals a similar difficulty. He writes: "Any thematic unit closing with a PAC can give rise to a post-cadential *closing section*, which prolongs the tonic harmony achieved by the cadence and reinforces the sense of cadential arrival. Since every subordinate theme is required to end with a PAC, the potential for the appearance of a closing section regularly arises" (Caplin 2013, 387–8). Caplin's turn of phrase makes Taylor's point: the "closing section" is "postcadential" and arises in response to a PAC, which *closes* a "thematic unit". The PAC that closes a theme is not "closing" material even though its function is closure; and the closing section, in turn, does not

quired" cadence's deferral, never occurs in Schubert. On Schubert, parataxis and hypotaxis, see Mak 2006.

have a closural function, since this task has already been executed by the PAC.

I propose six terminological reforms, which can assist in dispelling these ambiguities:

1. The exposition of a sonata can be explained as comprising a *thematic complex*.
2. Since closure is the property of a thematic ending, what follows such an event cannot be a closing section, a closing theme, or any other such formulation. Such sections are, more properly, *post-cadential*: their function is not to close, but to reinforce closure, which has already occurred.
3. The closing section is, therefore, *that part of the thematic complex that achieves closure*. The music that produces the exposition's structural cadence is the *closing function* of the non-tonic region of the exposition's thematic complex.
4. If an exposition's complex only has *two* distinct thematic units, a tonic first theme and a non-tonic second theme, then the closing function of the second unit is its ultimate cadential phrase, that is, the phrase supplying its closing PAC. What follows is a *post-cadential function*, not a closing section.
5. If the exposition has *three* distinct thematic units—the first in the tonic and the other two in a different key—and both second and third units conclude with a cadence, then both have a closing function, but only the second such closing function is *structural*, since, as Caplin says, music following a structural cadence is, by definition, not thematic. In this situation, we can justifiably speak of a *closing theme*, which is defined as the non-tonic theme of the exposition's thematic complex that conveys the structural cadence (its *closing function*), given the presence of two distinct non-tonic thematic units. This cadence may be followed by a post-cadential function, consisting of codettas that are prolongational and may include cadences of limited scope.
6. I will refer to each element of a thematic complex with a capital Latin letter—A, B, C, etc.—which simply designates thematic

succession within the complex (first theme, second theme, third theme, etc.) and purposely avoids implications of hierarchy (contrasting “main theme”, “subordinate theme”, and so forth), since it is not the case that the first theme always has structural or formal heft in excess of the other material in the complex. Transitions (TR) are bracketed because they are *linking* functions and do not have thematic status; post-cadential functions are labelled (P-C) and are likewise bracketed as post-thematic. A classical exposition having a duple thematic complex linked by a transition, the second theme of which closes with a structural cadence, and a series of codettas can be described as A (TR) B (P-C).

This reformulation allows us to adjudicate more accurately the question of Bruckner’s three-theme expositions. From the First Symphony onward, Bruckner’s expositions tend towards triple thematic complexes, contrasting the classical habit of employing two thematic units and a post-cadential function. In the First and Second symphonies and in No. 0, both second and third thematic units ends with a stable non-tonic PAC, the second of which is structural, and no post-cadential function follows. In these cases, the third unit is the closing theme, because it is the theme that conveys closure. We can describe these three designs in the manner presented in figures 13–15.

All Bruckner’s subsequent symphonies also contain triple-complex expositions, summarised in figures 16–22, but only the Eighth Symphony differentiates the second and third themes by means of a PAC, an issue to which I will return below.

The Fourth and Seventh symphonies are related, because the structural cadence at the end of C (a V:PAC and a V:IAC respectively) responds to a standing on V at the end of B in the same key. The Third and Sixth symphonies also share properties, in that the C theme supplies a structural cadence in response to the B theme’s standing on V, but in this case the cadence is plagal rather than authentic, a tactic that takes us entirely beyond Caplin’s theory. The Fifth and Ninth symphonies can also be grouped, since in both cases B is distinguished from

Bars:	1–17	18–54	55–66	67–106
Function:	A	(TR)	B	C (closing section)
Key:	i		→ ^b II	III
Structure :		MC (V ⁶⁻⁵ /D ^b ; elided)	III:PAC (elided)	III:PAC

Figure 13. Bruckner, Symphony no. 1 in C minor (1866), first movement, second-theme structural cadences.

Bars:	1–32	33–56	57–87
Function:	A (+TR)	B	C (closing section)
Key:	i	V→III	III
Structure :	no MC	III:PAC (elided)	III:PAC

Figure 14. Bruckner Symphony in D minor, 'no. 0', first movement, exposition.

Bars:	1–25	26–62	63–96	97–176
Functions :	A	(TR)	B	C (closing section)
Key:	i	i	III	III
Structure:	i:PAC	i:HC MC	III:PAC (elided)	III:PAC

Figure 15. Bruckner Symphony no. 2 in C minor (1877), first movement, second-theme structural cadences.

Bars:	1–78	79–134	135–204	205
Functions :	A	(TR)	B	C (closing section)
Key:	i	V/i → Ger. ^{dim. 3}	III	III
Structure:	i:HC	MC (III Ger. ^{dim. 3} ; elided)	standing on V/III	III:plagal

Figure 16. Bruckner Symphony no. 3 in D minor (1873), first movement, exposition.

Bars:	1	51	75	119	173
Functions :	A	(TR)	B	C (closing section)	(P-C)
Key:	I	I → V/V	^b VII → V	V	V
Structure:	I:PAC	V:HC MC	standing on V/V	V:PAC	standing on local tonic

Figure 17. Bruckner Symphony no. 4 in E^b major (1878/80), first movement, exposition.

Bars:	1–50	51–100	101–160	161–220	221–224
Function:	Intro.	A (+TR?)	B	C (closing section)	(P-C)
Key:	I → V/iii	I/i	v	\flat III → V	
Structure :		MC1 (standing on I)	MC2 (v:HC)	V:PAC (EEC)	(standing on local tonic)

Figure 18. Bruckner Symphony no. 5 in Bb major, first movement, exposition.

Bars:	1–48	49–100	101–136	137–144
Function:	A (+TR)	B	C (closing section)	(P-C)
Key:	I	v → V	\sharp III → V	V
Structure :	MC (V ⁶⁻⁵ / \sharp III)	standing on V/V	V:plagal (elided)	standing on local tonic

Figure 19. Bruckner Symphony no. 6 in A major, first movement, exposition.

Bars:	1–50	51–122	123–152	153–164
Function:	A (+TR)	B	C (closing section)	(P-C)
Key:	I	(v) → V/V	v → V	V
Structure :	I:HC MC (elided)	standing on V/V	V:IAC?	standing on local tonic

Figure 20. Bruckner Symphony no. 7 in E major, first movement, exposition.

Bars:	1–50	51–96	97–138	139–152
Function:	A (+TR)	B	C (closing section)	(P-C)
Key:	i → V/ \flat II	V → iii	iii → III	III
Structure :	\flat II:HC MC?	iii:PAC (elided)	III:IAC?	standing on local tonic

Figure 21. Bruckner Symphony no. 8 in C minor (1890), first movement, exposition.

Bars:	1–76	77–96	97–166	167–218	219–226
Function:	A	(TR)	B	C (closing section)	(P-C)
Key:	i → I	I → Ger. ⁶	V → v	i → III	III
Structure :	I:PA C	MC (Ger. ⁶)	standing on V/v	III:plagal (elided)	standing on local tonic

Figure 22. Bruckner Symphony no. 9 in D minor, first movement, exposition.

A and C by means of a caesura. This apart, however, they are also structurally distinctive, because in the Fifth, the v:HC at the end of B is answered by the V:PAC at the end of C, whereas in the Ninth, B ends with a relaxant standing on V/v, not a peroration, and C closes with a plagal cadence in III.

The Eighth Symphony is unique amongst the later symphonies, in that it returns to Bruckner's earlier habit of closing B with an elided PAC. Two factors however complicate this picture. First, as in the Fourth Symphony, so here also B is tonally directed, as considered above. Second, unlike the Fourth, in the Eighth, the end of C relates to the end of B by modal mixture; and although E_b major is attained at the end, the progression in mm. 125–139 consists of a rather attenuated V⁶⁻⁵₄₋₃-I, which is not strictly authentic-cadential, because the bass ultimately arrives on I by stepwise descent not fifth progression.

Conclusions

In sum, we can reasonably argue for a Brucknerian three-theme expositional model, because:

1. All his mature first-movement expositions are triple thematic complexes: they all consist of two clearly delineated thematic units beyond the first theme.
2. In none of these expositions is the third unit entirely post-cadential; to the contrary, although only some B themes produce cadences, all C themes do, even if they are not all authentic, which means that the end of the C theme is the only stable locus of closure in all the expositions considered. Some also contain post-cadential functions as well, but they are additional features and are by no means common.
3. In none of these expositions is it reasonable to consider C as subsumed within B, that is, as Subordinate Theme 2, because C is often as clearly delineated from B as B is from A. In some cases, there is continuity between B and C (as in the Third Symphony); in others, there is continuity between A and B

(there is no discernible MC event in the Seventh Symphony, for example).

We have no need of sonata-theoretical equivocations to explain these practices—S^C or something similar. We simply argue that C, which is the third element of the thematic complex, conveys a closing function, which may or may not be the exposition's last event. If it isn't, then what follows is always a very brief codetta.

This essay's survey makes clear that the New *Formenlehre* is both relevant and inadequate to the analysis of Bruckner's sonata expositions: relevant, because the question of cadential usage is still a significant factor, even if Bruckner's cadences are not disposed in a recognisably classical way; inadequate, because that usage sometimes stretches *Formenlehre*'s explanatory capacity—notably in situations where structural cadences follow rather than initiate material that exhibits what sonata theory would regard as closing-zone rhetoric—and sometimes moves beyond it altogether, particularly when the only viable candidate for a structural cadence is plagal. To argue this point is not, however, to make Bruckner dependent on classical theory, or to adopt a “negative” theoretical stance, drawing again on Vande Moortele's term. It is simply to state that the sonata practice Bruckner regarded as most appropriate to his symphonic style differs from classical precedent, and that the gap between theory and practice is a measure of this difference.

If *Formenlehre* is useful for Bruckner, it is also the case that Bruckner is useful for *Formenlehre*. Clarifying the questions around Bruckner's three-theme expositions affords an opportunity to resolve ambiguities that destabilise classically orientated theories, even though the reward of this resolution is a clearer understanding of Bruckner's practice. In this respect, questions of closure are uniquely instructive. A model for the analysis of expositional closure, which prevents us from falling into paradoxical formulations, has utility across this repertoire.

The bigger question that Bruckner's expositional cadential practices raise is how we theorise the kind of sonata form that ensues, if expositions of this kind are their premise. As Bruckner matured, he in-

creasingly favoured strategies in which the recapitulation exacerbated rather than alleviated structural instabilities, requiring tonic cadential progressions in the coda that are not authentic (as in the plagal endings of the Fourth, Sixth and Seventh symphonies' first movements) in order to redress the absence of what Hepokoski and Darcy call the "essential structural closure" (ESC), or in some cases (the Eighth Symphony) dispensing with closure altogether, leaving later movements to resolve the first movement's structural dilemmas.

Assessing Haydn's cadential deferrals in the first movement of the F# minor Piano Trio, Suurpää concludes that "from the perspective of the organization of the whole, the Trio's departures from norms are never an outcome of mere whim, or Haydn's sheer willingness to make an effect. Rather, together they forge a consistent trajectory where all individual factors are logically connected to each other" (Suurpää 2014, 245). As with Haydn, so also with Bruckner, whose experiments with structural cadences engender a logic of thematic construction, the formal and cyclical implications of which furnish the core compositional problem of his symphonic oeuvre.

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PART II: TEXT AND MUSIC

A Hero Despite His Flaws— The Narrative in Sibelius’s *Sandels* (op. 28)

SAKARI YLIVUORI

Sibelius completed *Sandels* (Op. 28) in Berlin in February 1898, where he had travelled with his wife, Aino Sibelius. He sent the completed manuscript to Finland in order to participate in the composition competition organised by the male choir Muntra Musikanter (Merry Musicians). The choir announced the results of the competition a couple of months later, on 27 May 1898: out of a total of 24 submissions, *Sandels* was selected as the winning composition, and Sibelius—who was still in Berlin—was awarded the prize of 700 marks (approximately 4 000 euros in today’s currency). Sibelius later revised the work for the choir’s anniversary concert in 1915.¹

By deciding to set to music the epic poem “Sandels” by Johan Ludvig Runeberg (published in 1848), Sibelius chose to work with a subject matter that many considered problematic.² At the time of Sibelius’s composition, Runeberg’s role as the national poet of Finland was undisputed, and his *Fänrik Ståls sägner* (“The Tales of Ensign Stål”), which includes the poem “Sandels”, was an important part of the Finnish school curriculum. However, the poem’s main character was at the center of a serious academic literary debate in both Finland and in Sweden.³

Early commentaries on Sibelius’s *Sandels*—starting with the very first Sibelius biography by Furuhjelm (1916, 181–182)—emphasized the

1 For the orchestral score, and the difference between the original and the revised version, see Ylivuori 2019.

2 Sibelius set the 1882 edition of the poem and not the first edition from 1848.

3 For the role of *Fänrik Ståls sägner* in creating the Finnish national identity, see, e.g., Wrede 1988.

work's exceptional text–music relationship, in which the music was seen as subordinate to the programmatic text. Cecil Gray (1931, 91) articulated this idea by stating that *Sandels* was an “intensification of poetry” rather than a “work of inherent musical significance”.

In the present article, I will further develop the idea of the work's peculiar text–music relationship by presenting a reading of Sibelius's narrative within the context of the academic literary debate of the late 19th and early 20th centuries. My contextualisation differs significantly from the predominantly patriotic readings offered by most scholars writing about *Sandels* after the Second World War (see, e.g., Johnson 1959, 83; Tawaststjerna 1993, 103; Murtomäki 2007, 36).

Runeberg's Sandels

Fänrik Ståls sägner (“The Tales of Ensign Stål”) depicts the events of the War of Finland, fought between Sweden and Russia in 1808–1809. As the direct consequence of the war, the Eastern part of Sweden was ceded to Russia as the autonomous Grand Duchy of Finland. The story of “Sandels” depicts the battle of Virta Bro (the Virta Bridge), a real battle that took place on 27 October 1808. The battle of Virta Bro (also known as *Koljonvirran taistelu*) was the last Swedish victory in the war.

At the beginning of the poem, it is twelve o'clock, and Colonel Sandels—who also had a real-life model in Johan August Sandels (1764–1831)—is having breakfast with the local priest. Sandels invited the priest for breakfast in order to collect information on the surrounding area, hoping it would prove useful in the upcoming battle. The cease-fire between the two armies was about to end at one o'clock, and the Russian general Tutchkov had informed Sandels that there will be no new peace convention; thus Sandels was expecting the Russians to attack within an hour.

The breakfast is suddenly interrupted by a messenger bringing word from Virta Bridge, saying the Russians have attacked earlier than expected—apparently, due to the time difference, no one had realised that it was already one o'clock in Russia. Sandels gives the order to defend the bridge without him for an hour, while he finishes his breakfast

with the priest. The messenger leaves to report back to the soldiers, and Sandels continues his delicious breakfast—Runeberg depicts the delicacies at the table in great detail.

Soon afterwards, Sandels notices someone else approaching, riding fast. As the rider gets closer, he is identified as Sandels's adjutant, who rushes in and asks Sandels to leave for the battlefield at once. The adjutant says that Sandels's troops are about to lose the bridge. The adjutant emphasises that the soldiers' morale is faltering because they have no leader present. Sandels calmly tells the adjutant to sit down at the table, eat, and rest for a while as he finishes his delicious meal with the priest. Sandels's indifference towards his men angers the adjutant, who then reveals that, due to his absence, the soldiers think of Sandels as a coward and have no respect for him. At this accusation, Sandels gives the order to saddle his horse, and the colonel rushes towards the battlefield.

There is an abrupt cut from one scene to another, and the following strophes depict the fighting and the soldiers' confusion over the absence of their leader. Eventually, Sandels arrives at the front on his white horse but does not order his men to attack and help those that are desperately trying to defend the bridge. Instead, he remains on horseback, clearly visible to everyone, and observes the situation. As the bullets whistle around him, the soldiers ask Sandels to take shelter, but he just sits on horseback without saying anything. The soldiers defending the bridge are already leaving their positions and starting to flee in a disorganised manner, but still Sandels does not react in any way.

At the right moment—a concept that is not defined any more specifically in the poem—Sandels finally gives the order to attack. Led by their colonel, the troops fight bravely, and Sandels regains the trust and respect of his men. The battle is won, the Russians vanquished, and the poem ends as the soldiers celebrate their brave colonel, yelling in unison: "Hurray for the brave general!"

Formally, the poem's 26 strophes fall into three sections: the first 13 strophes depict the events at the breakfast table, the following 11 strophes the battle scene, and the last two strophes the celebration of the victorious soldiers. As, for example, Yrjö Hirn (1942, 171) has noted, this

kind of structure is typical of Runeberg's poetry: the first two sections form an extreme juxtaposition, in which the second section seems not to arise from the first one. The third section provides an apotheosis to the whole. Several poems from *The Tales of Ensign Stål* follow this same structure (e.g., "Sven Dufva" and "Molnets broder").

Sandels as a moral dilemma

At the turn of the century, when Sibelius set the poem to music, Sandels was considered a morally problematic character. Many critics found it impossible to associate the tactical mastermind and war hero depicted in the latter section of the poem with his dubious behavior at the breakfast table in the first section. How could the officer-in-charge ignore the messages from the battlefield and continue his breakfast while his men were under attack? Was Sandels really a hero and suitable as a Finnish ideal? How should this poem be read?⁴

During the 19th century, a lot of ink was spilled trying to make Sandels's behavior seem honorable—especially after a review by Johan Vilhelm Snellman (published in 1848) insinuated that Sandels did not originally plan to attend the battle and that the breakfast scene portrayed his indecisiveness (see Snellman 1932, 137). Thus, any attempt to make Sandels honorable required an explanation and justification of the events at the breakfast scene.

Early critics emphasized the human side of the scene: naturally, a soldier needs a lot of energy (i.e., food) and time to gather himself before he can perform his heroic deeds (e.g., Bergstedt in 1849, cited via Hirn 1942, 173). However, this line of explanation was not considered satisfactory in commentaries from the latter part of the 19th century onwards. Instead, two schools of thought can be traced. These schools are based on differing interpretations of what Runeberg possibly meant

4 The question was still topical in the early 1940s, when *The Tales of Ensign Stål* was distributed to Finnish soldiers fighting in WW2 as recommended reading material. It was probably one of the reasons behind the publication of the analysis by Yrjö Hirn (1942, 169–203). Hirn's analysis emphasizes Runeberg's personal relations with the real-life models of his characters.

by “the right moment” when Sandels gave the order to attack.

The first school, including such critics as Cygnaeus (1883, 382–384) and Strömborg (1890, 55–56), understood “the right moment” to mean one o'clock, when the peace convention was supposed to end. As the peace convention was still in force, Sandels, an officer, could not actively engage in the battle as he had given his word not to fight. For this reason, he had to stay away from the battlefield and only passively give instructions to his men to hold their positions. These commentaries considered the peace convention sacred and inviolable.

The second school saw Sandels as a tactical mastermind who foresaw just the right timing to make his move. Thus, they did not believe that “the right moment” meant any specific time—say, one o'clock. For instance, Berg and Hjertén (1913, 77) argued that the colonel intentionally stayed away from the scene of the battle, because he had foreseen, with his experience, when the decisive moment in the battle would be upon them. Therefore, it was only sensible to stay away from the battle, as his presence would falsely lead the soldiers into believing that the right moment had come.

Sandels's behavior at the breakfast table was, however, not the only potentially immoral aspect of his character: many critics found Sandels's behaviour at the front morally unsuitable. His decision to stay on horseback, clearly visible in the line of fire, and his refusal to take cover was seen not as brave but reckless—an undesirable quality for a heroic officer. Unlike a true hero, Sandels was seen to be playing with fire, to view the battle as an adventure (Nilsson 1928, 333). Some critics also drew attention to the color of Sandels's horse: riding on a white horse was seen as theatrical, and theatricality was not considered compatible with real bravery (e.g., Brandes 1899, 182, who also refers to Paludan-Müller's earlier statements).

As Valfrid Vasenius pointed out (1903, 269–272), the other heroes in *The Tales of Ensign Stål* did not know they were being heroic, and they did not have to prove anything. Vasenius interpreted Sandels's need for a theatrical entrance as due to the fact that his bravery did not come from within: Sandels's heroism had an outer motivation in the accusation of cowardice. Luckily, his ethnic background explained away this

side of Sandels. As pointed out by many literary critics, Sandels was, in fact, not a Finn but a Swede who had been transferred to serve in Finland. Nilsson—a Swede himself—wrote: “Runeberg had a sharp eye for the emptiness often present in Swedish glamour.” (Nilsson 1928, 333). Vasenius went even further by stating that in his theatrical glamour, Sandels was “a Swedish archetype” (1903, 269).

Sibelius’s *Sandels*

From a thematic perspective, the overall structure of Sibelius’s *Sandels* forms a single transformation process extending through the full length of the work: the initial theme evolves during the course of the work from one fully structured melodic condition to another. *Sandels* can therefore be divided into three sections: the initial theme zone, the transformation zone, and the closing theme zone. In the context of Bruckner’s symphonies, Warren Darcy (1997) has called this kind of structure a “teleological structural genesis”.

Figure 1 illustrates how the three thematic zones and the main tonal events correspond to the storyline of the original poem: the initial theme zone ends as Sandels storms off to the battlefield. At the point when the music reaches the structural dominant, Sandels appears on the battlefield. The structural dominant is prolonged through a full 30 measures (mm. 240–269), while Sandels is waiting on horseback, recklessly visible to his troops as well as to the enemy. The beginning of the closing theme zone resolves the structural dominant as Sandels gives his men the order to attack. It is important to note that the beginning of the closing theme zone does not coincide with the beginning of the last formal section of the poem. I will return to this detail later.

Sibelius uses a rather clever device to connect the initial *leggiero* theme with Sandels’s character: at the beginning of the poem, the voice of the narrator describes the scene—Sandels sitting at the breakfast table. During this passage (mm. 3–11), the male choir recites the text on one pitch and the flutes play the initial theme (see Figure 2). As Sandels then addresses the priest in measure 12, the male choir picks up the melody. Thus, the roles of Sandels and the narrator are musically

POEM	The breakfast scene	The battle scene	The victory scene
strophes	1–13	14–24	25–26
MUSIC	The initial theme zone	The transformation zone	The closing theme zone
measures	1–169	170–270	271–316
tonal centers	F → F [♯] /G ^b → G	→ E ^b → E → C (=F:V)	F

events:

adjutant arrives Sandels leaves complaining soldiers standing the battle visible order to attack victory achieved

Figure 1: Overview of the formal structure.

Figure 2: Measures 3–16. “Sandels he sat in a Pardala inn / A-breakfasting free and fine. / Today another fight will begin, / At Virta Bridge, I opine. / Pastor, so glad you’re here with me. / A bit of the trout, maybe?” (Runeberg 1952, 70). English translation by C.W. Stork.

differentiated. Sibelius deploys the same device throughout the initial theme zone—the narrator’s lines are set on a single repeated pitch, and different characters in the story have their own thematic motifs.

Such thematic differentiation is not the only narrative device used in the work; Sibelius also uses the structural design for dramatic purposes. For instance, in measure 39, Sibelius leads the listener to expect

an ABA structure, when the theme heard at the very beginning returns after a contrasting section. However, the anticipated ABA structure is not given full closure: only three measures later, in measure 42, the messenger rushes in. On the surface of the music, this interruption is concrete: a *sforzato* strike in the brass steers the music away from the F-major tonic to a D-major chord, and the whole mood of the music changes. This passage is also a good example of the thematic device: between Sandels’s theme and the messenger’s theme, we hear the narrator’s single-pitch theme stating that he comes bearing an urgent message (see Figure 3).

After the messenger has informed Sandels that he is needed on the battlefield, Sandels replies in his calm way, with his own *leggiero* theme: the interrupted A section is heard in its entirety in measures 53–66 and the ABA structure that was interrupted by the arrival of the messenger finally gets its closure. Figure 4 illustrates this structure.



Figure 3: Measures 39–45. [“We] must prize our blessings. Isn’t that so? / Perhaps you prefer Margaux?” / In rushed a messenger: “Sir, the foe / Is advancing. The truce has expired. [...]” (Runeberg 1952, 71). English translation by C.W. Stork.

measure	3–16	17–38	39–	40–52	53–66
form	A	B	A expected	messenger	A realized

Figure 4: Overview of the formal structure in measures 3–66.

Sibelius has portrayed the second arrival—that of his adjutant—very differently. When the adjutant makes his plea for Sandels to leave for the battle, the tonal centre of the music shifts from F major first to

B-flat major and then to G-flat major through a 5–6 motion over a B-flat pedal point. Sandels replies to the adjutant using his own initial theme, but now in the tonality of G-flat. That is to say, the original theme is heard transposed up a semitone (see Figure 5).

It is fascinating how the music implies the difference in Sandels's reaction: the low-ranking messenger is just a minor nuisance during an otherwise pleasant breakfast, whereas the arrival of the adjutant, ranking much higher, has a more fundamental effect on Sandels's 'own' tonality. In fact, this is the very event that initiates the large-scale tonal motion of the work.

The culmination of the initial theme zone is the accusation of cowardice. In Sibelius's composition, the adjutant makes his harsh claim in measures 146–152. At the last words of the accusation, “you're our worst coward today”, the music stops at the general pause in measure 153, preceded by a *fortissimo* strike on an F-sharp major chord (see Figure 6). The F-sharp-major chord before the pause is not merely an enharmonically altered G-flat major chord caused by the adjutant's arrival. In fact, it is not even a tonic anymore. During the accusation, the F-sharp major, which was originally a local tonic, now has a dominant feel, implying the key of B-minor.

Again, the music tells the story in a remarkable way: the removal of the (local) stability of the F-sharp major chord is paralleled with how the adjutant questions Sandels's credibility. In the poem, Sandels does not answer the accusation directly but simply gives the order to saddle his horse. Similarly, in the music, there is no B-minor chord of any kind following the general pause, which would connect Sandels's response to the accusation. Instead, the music rises another half step, and the music that follows is in G major.

measure	79–90	91–101	102–140	140–152	153	154–169
tonal center	F (unstable)	B \flat	G \flat major ->	F \sharp major (=b: V)	General Pause	G major
event	someone approaching	plea to leave	Sandels replies	the accusation		Sandels leaves

Figure 5: Overview of measures 79–169.

Coro

väl, ni för - ak-tas av he-la ar - mén. Hos var - en-da sol-dat den tan-ke jag fann, att ni är vår fe-gas-te man."

Str.

+Pos.

f *f* *f* *f* *f* *fz*

Figure 6: Measures 147–153. [“General, excuse me, but truth is] best; / The army won’t stand a joke. / Here’s what I heard all the soldiers say, / That you’re our worst coward today.” (Runeberg 1952, 73). English translation by C.W. Stork.

Sibelius’s reading of Runeberg’s “Sandels”

Sibelius’s reading of Runeberg’s poem differs fundamentally from that of contemporary literary critics, who sought to explain and hide any features they considered unheroic. Their arguments tried to assert that Sandels’s staying afar from the battlefield was indeed a central part of his heroism—either by showing him to be a tactical mastermind or a gentleman remaining loyal to his word.

Sibelius’s reading, based on the concept of transformation, tells a completely different tale: for Sibelius, the carefree bon vivant, the *leggiere* Sandels of the beginning, transforms into a respected leader and war hero through the course of the work. That Sibelius specifically focuses on Sandels’s transformation is evident when we examine the endpoint of the thematic transformation at the moment of tonal resolution.

The victorious closing theme emerges, and the structural tonic arrives at the point when Sandels gives his men the order to attack—not when victory is achieved. In the formal division of the poem by literary critics, the last two strophes, where the soldiers celebrate their victory, constitute the final section of the poem. In Sibelius’s reading, the last section begins much earlier (cf. Figure 1). Moving the starting point of the last section earlier consequently means that Sibelius’s music does not emphasize the battle—rather, the battle is a mere formality, and the victory seems like an inevitable consequence of his order. Instead of the outcome of the battle, the tonal resolution marks the endpoint of Sandels’s personal transformation.

It is for this reason that I believe the patriotic readings of Sibelius's *Sandels* completely miss the point. The focus of the musical narrative is not on the historic event, but on Sandels's character and in particular his transformation from the breakfast table to the battlefield. This is underlined both by the thematic transformation and by the tonal process. I will briefly discuss both features.

At the heart of the thematic transformation process lie the adjutant's words: "the army won't stand a joke" (or literally "you are despised by the entire army"), heard in measures 146–148 just before the above accusation takes place. At this moment, we do not hear the adjutant's thematic motif, but the motif of the complaining soldiers. This is a fascinating thematic reference, because it is a reference to the future. The complaining soldiers first enter the limelight of the poem in the transformation zone, and their motif appears for the first time in its "proper" context only some 40 measures later.

What makes this detail even more fascinating is the fact that the reference to the future is Sibelius's later addition. In the version he sent to the composition competition in 1898, the passage in question deployed the narrator's theme, that is, the repeated single pitch. Sibelius changed this melodic detail some 15 years later, when he was revising the work for the choir's anniversary concert. The addition makes the musical narrative more multilayered: the adjutant is speaking, but he speaks with the voice of Sandels's men.

It is evident that Sibelius had no problem with the fact that Sandels's bravery had an outer motivation. His handling of the thematic material seems to emphasize—not hide—the very existence of such an outer motivation.

Even more intriguing is the way Sibelius uses tonality, and the feeling of the tonal center as a means of getting inside Sandels's psyche. It is worth noting that the tonal process begins before the above accusation takes place. Namely, having sent the first, low-ranking messenger away with the reply that he will not rush to the battlefield, we hear the last strong F major cadence in the initial theme zone. The first messenger did not have that big an impact on Sandels. The arrival of another, higher-ranking messenger blurs the feeling of the tonal center

for a moment before it is reaffirmed at the very moment when Sandels identifies the new arrival as his adjutant (this happens in mm. 79–90, see Figure 5). I do not think this detail can be over-emphasized: the arrival and identification of the adjutant is the catalyst that initiates the tonal process. Subsequently, the accusation, visible in Figure 6, is the last straw and initiates the thematic transformation process.

The story is, in fact, quite different if we read the poem without Sibelius's music. In the poem, Sandels replies to the adjutant in a calm and confident manner. The adjutant interprets Sandels's calmness as indifference towards him and his soldiers. But when hearing the same lines with Sibelius's music, we still hear Sandels reply using his carefree *leggiero* theme, but the blurred tonality insinuates that the indifference and calmness of his voice are only apparent. The music brings a whole new level to the narrative.

* * *

Though Johan Ludvig Runeberg's *The Tales of Ensign Stål* depicts the historic events of the War of Finland, and though the poem "Sandels" is a depiction of the hero of its final victorious battle (from the Finno-Swedish perspective), Sibelius's musical setting of the poem is not primarily a patriotic composition focusing on the historical battle. Instead, Sibelius focuses on the main character's psychological transformation in a way that is best read as an objection to contemporary literary critics' need to dispel Sandels's imperfections to make him a true Finnish hero.

In Sibelius's reading, Sandels is neither a tactical mastermind nor a gentleman true to his word. Sibelius is not trying to explain away Sandels's dubious characteristics, but the tonal events of his composition emphasize how Sandels is taken by surprise and unsure of how to proceed. In that sense, Sibelius's reading comes close to that of Snellman's original criticism, which sparked an almost century-long debate on the topic.

What Sibelius seems to suggest is that there is no fundamental contradiction between the two sides of Sandels: he is a hero despite the

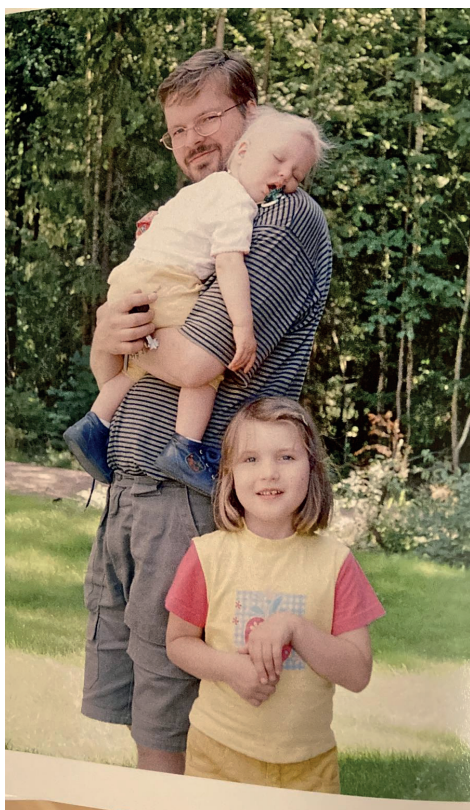
imperfections in his character. This kind of reading is appealing as it opens the possibility of an interpretation that comes close to Sibelius's own personality. How much of Sibelius's own struggle is depicted in his reading of Runeberg's poem? Can Sibelius's *Sandels* be read as the composer's attempt to reconcile the contradiction in his own striving for heroic national musical deeds—despite his own personal imperfections?

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Kuva 1. Jyrki Myllärinen kanssa
esittämässä Ferdinando Carullin
sovitusta Haydnin sinfoniasta nro. 104.
*Lauri and Jyrki Myllärinen performing
Ferdinando Carulli's arrangement of
Haydn's Symphony no. 104.*



Kuva 2. Susanna ja Iiris isän kanssa
vuonna 2001.
*Lauri and his daughters, Susanna and Iiris
in 2001.*



Kuva 3. Carl Schachterin kanssa New Yorkissa vuonna 2011.
Lauri and Carl Schachter in New York 2011.



Kuva 4. Promootiokulkue 2018. *Promotion parade 2018.*



Kuva 5. Promootion juhlaillallinen 2018.
Academic dinner 2018.



Kuva 6. Pyöräretkellä Tiinan kanssa Piemontessa Italiassa 2023.
Cycling with Tiina Suurpää in Piemonte, Italy 2023.



Kuva 7. Lauri illastamassa Ranskan Dijonissa 2024.
Enjoying dinner in Dijon, France 2024.



Kuva 8. 60-vuotispäivää viettämässä Shetland-saarilla 2024.
Anniversary journey to Shetland Islands in 2024.

“Ich hab’ im Traum geweinet” by Schumann and Bronsart: Dreams of Reality and Illusion

ANNA PULKKIS

The impetus for this article came from two directions. Firstly, I wanted to return to musico-poetic analysis, an interest I developed under the tutelage of Lauri Suurpää. Secondly, I wanted to include music composed by a woman, to contribute to the widening of repertoires and to redress the deficiency that I have never done so before. I was curious to apply the methodology in Suurpää’s 2014 book *Death in Winterreise*—Schenkerian analysis and Greimassian semiotics—to the situation of two composers setting the same poem. The choice fell on “Ich hab’ im Traum geweinet” by Robert Schumann (1810–1856) and Ingeborg von Bronsart (1840–1913), to a poem by Heinrich Heine (1797–1856).¹

I will discuss musico-poetic aspects of the two songs and explore the ways in which the music in each song affects the interpretation of the poem.² I will first present an analysis of Heine’s text alone from a (very selective) Greimassian perspective. Thereafter I will first concentrate on Schumann’s setting, presenting a Schenkerian analysis of the music and discussing the musico-poetic associations; a similar procedure on Bronsart’s setting follows.³ Schenkerian and Greimassian theories both

1 A closely related set-up is found in Miller 2015: she discusses settings of Heine’s “Loreley” by Franz Liszt and Clara Schumann.

2 On music’s ability to guide the interpretation of the text, also in light of previous literature, see Suurpää 2014, 40–41.

3 Analyzing music and text independently is a central feature in the analytical model introduced by Suurpää (2014, 50–53), while he also admits that “the analyst can hardly approach the two in a complete void” (Suurpää 2014, 58). The consecutive stages in his model are analysis of the music, analysis of the text, and analysis of the musico-poetic aspects; I thus proceed in a partly different order.

focus on structural relations at different levels. I describe the narrative syntax of the poem through one fundamental pair of Greimassian actants, subject and object. The idea of such formalizations is that they allow us to “speak about the tensions and structural relations within the poems without directly referring to the content [...] and hence avoid basing the musico-poetic reading on the notion that certain musical events directly represent the semantic content of the poems” (Suurpää 2014, 48). Following Suurpää 2014, I complement the structural musico-poetic findings with considerations of expressive genre, high points, motivic elements, and imitation.⁴

Before proceeding to the analyses, I will briefly discuss the context of Bronsart’s song, by far the more unknown of the two. The conclusion paragraph that follows the analyses continues the contextualization and summarizes the analytical findings. One of my central ideas is that the two composers place the subject differently in relation to the story the poem tells: Schumann’s subject experiences the events in their immediacy, whereas Bronsart’s subject looks at them from a nostalgic distance. This difference is not without gendered dimensions.

Bronsart’s song in context

As will be seen, the two settings of “Ich hab’ im Traum geweinet” (hereafter referred to as “Ich hab’”) differ from one another in many ways with regard to their musico-poetic content. They also are works with very different premises. Schumann’s “Ich hab’” is the thirteenth song of sixteen in his canonical *Dichterliebe* cycle, the source of numerous editions, performances, recordings, analyses, and essays. Illustrative of Bronsart’s position is that when I learned that a song by her to the text of “Ich hab’” actually exists (in the groundbreaking encyclopaedia of women composers in Finland, *Sävelten tyttäret*, Välimäki and Koivisto-Kaasik 2023), I simultaneously learned that it was lost. The

4 The term expressive genre was introduced by Robert Hatten and refers to the overarching emotional trajectory of a musical work. That it is an intra-musical phenomenon is worth pointing out (Suurpää 2014, 34–35).

quest thus remained to find the score. It had been published by Adolf Nagel in Hanover, probably in 1872, as the last in a collection of three songs and should therefore be trackable.⁵ After some detective work, I traced a copy (Bronsart [1872]c) in the Landesbibliothek Mecklenburg-Vorpommern Günther Uecker in Schwerin, Germany. Availability of materials truly is a key issue.

Born in St. Petersburg in Russia in 1840—the year Schumann completed *Dichterliebe*—Ingeborg Maria Wilhelmina Bronsart von Schellendorf (née Stark) made her mark as an opera composer in Germany.⁶ She began her career as a concert pianist, but after her husband’s appointment to the role of intendant of the Royal Theatre in Hanover in 1867, she had to give up performing publicly. As unfortunate as this was, it allowed her to direct her energy to composing (Boyd 2015, 165; Hottmann 2018). Based on its publication year, “Ich hab’” was composed between Bronsart’s first opera *Die Göttin von Sais* (1868) and her breakthrough work, the Singspiel *Jery und Bätely* (1873). Additionally, she completed her “große Oper” *Hiarne* (1891)—with which she truly stepped into a male domain—and *Die Sühne* (1909). Her oeuvre also includes German-patriotic music, chamber music, and more than one hundred Lieder.⁷ She was especially prolific as a Lied composer between the years 1878 and 1891. She preferred German poetry, and Melinda Boyd has remarked that the Lied “assumed an important role in the formation of her artistic identity” as a German composer. Nonetheless it was her operas for which she was most acclaimed (Boyd 2015, 165).

“Ich hab’” received no opus number; it was not until 1879 Bronsart started giving her songs opus numbers (Välimäki and Koivisto-Kaasik

5 The scores (Bronsart [1872]a–c) bear no date; 1872 is given by Hottmann 2018 and Välimäki and Koivisto-Kaasik 2023.

6 Bronsart was of Finnish descent (thus her inclusion in Välimäki and Koivisto-Kaasik 2023), Swedish-speaking, and born in St. Petersburg in Russia, where her father worked as a saddle maker at the court. She received high-quality tuition in piano playing, music theory, and composing and soon achieved fame as a prodigy (Välimäki and Koivisto-Kaasik 2023, 94).

7 For a list of Bronsart’s works, see Välimäki and Koivisto-Kaasik 2023, 98–99.

2023, 98–99). The song is dedicated to “Frau Louise von Zieten,” probably a family friend.⁸ The Bronsarts kept an esteemed musical salon in Hanover (Hottmann 2018; Boyd 2015, 165), and “Ich hab” may well have been performed there. The fact that the song was printed meant that it had crossed a threshold that often remained insurmountable for composing women: the work became public and could be distributed and performed by people outside the composer’s immediate circles too. The other two songs in the collection *Drei Lieder für eine Singstimme mit Pianoforte-Begleitung in Musik gesetzt von Ingeborg von Bronsart* are “Abendlied” (Friedrich Rückert) and “Weisst du noch?” (Otto Roquette) (Bronsart [1872]a and b). The three songs all set texts by different poets, and musically they do not form a single entity in any obvious way. They were probably just published simultaneously. Bronsart’s “Ich hab” may best be considered an individual Lied, in contrast to Schumann’s setting, which owes certain characteristics to its role as one link in a chain of songs.⁹

Analysis of the poem

“Ich hab’ im Traum geweinet” belongs to Heine’s *Lyrisches Intermezzo*, a collection of 66 poems completed in 1822–1823. It appeared in print in 1827 as part of *Buch der Lieder* (Heine 1827). Schumann used this first edition when he chose the poems for *Dichterliebe* from *Lyrisches Intermezzo* (Perrey 2002, 8, 127), whereas Bronsart must have used the second edition of 1837 or some later edition. Namely, in Bronsart’s setting, the second line of the third stanza follows an emendation that Heine made for the 1837 edition (Heine 1837). In the 1827 and 1837 editions of *Buch der Lieder* respectively, the poem reads as follows (see Figure 1).

8 Perhaps Louise Elisabeth Auguste von Zieten née von Platen (1829–1897).

9 For a discussion on cyclical traits in Bronsart’s later song collections, the “Wildenbruch Lieder” (Op. 16) in particular, see Boyd 2015, 163–164 and 171. An Early Romantic view on *Dichterliebe* that challenges neo-Classical requests of an overarching tonal or narrative unity is suggested in Perrey 2002.

Ich hab’ im Traum’ geweinet,
Mir träumte du lägest im Grab’.
Ich wachte auf und die Thräne
Floß noch von der Wange herab.

Ich hab’ im Traum geweinet,
Mir träumte, du lägest im Grab.
Ich wachte auf, und die Thräne
Floß noch von der Wange herab.

Ich hab’ im Traum’ geweinet,
Mir träumt’ du verließest mich.
Ich wachte auf, und ich weinte
Noch lange bitterlich.

Ich hab’ im Traum geweinet,
Mir träumt’, du verließest mich.
Ich wachte auf, und ich weinte
Noch lange bitterlich.

Ich hab’ im Traum’ geweinet,
Mir träumte du wärest mir noch gut.
Ich wachte auf, und noch immer
Strömt meine Thränenfluth.
(Heine 1827, 159)

Ich hab’ im Traum geweinet,
Mir träumte, du bliebest mir gut.
Ich wachte auf, und noch immer
Strömt meine Thränenflut.
(Heine 1837, 84)

“I wept in my dream, / I dreamed that you lay in your grave. / I awoke, and the tear / Still ran down my cheek. I wept in my dream, / I dreamed that you had forsaken me. / I awoke and I went on weeping / Still long and bitterly. I wept in my dream, / I dreamed you were still kind to me [1837 version: you remained kind to me]. / I awoke, and still / The flood of my tears is streaming.”

(Translation from Perrey 2002, 139; translation in brackets is my own.)

Figure 1. The 1827 and 1837 versions of Heine’s “Ich hab’ im Traum geweinet” and an English translation of the poem.

Susan Youens has aptly characterized Heine’s verse as “simple words arranged to say un-simple things” (Youens 2007, xv). The poem “Ich hab’,” too, is simple and repetitive at first sight, but a closer look reveals an intriguing interplay of reality and illusion, not without ironic undertones. Each of the three stanzas consists of four lines. In the first two lines, the speaker of the poem (“ich”) describes a dream he has had, and in the latter two, his reaction to that dream (the speaker in *Lyrishes Intermezzo* is portrayed as male; I will return to this point in my musico-poetic analysis of Bronsart’s song).¹⁰ The states of dream and wakefulness—illusion and reality—alternate, and a change of meter

10 In the versed prologue to *Lyrishes Intermezzo*, a depressed knight is wrenched on a glittering adventure with a water nymph. The magic ends abruptly, however, and he finds himself alone in the dark chamber of a poet.

accompanies the awakening, as Beate Perrey (2002, 140) points out in her analysis of the poem. The dreams provide different aspects of the speaker's relation to his beloved ("du"). He addresses the beloved, but it seems obvious that she is not present: it is not a dialog, but a monolog. Perrey (2002, 140f.) refers to the poem's "focus on an inner world" and remarks that "[t]he persistence in the lyrical 'I' and his unchanged sentiment leaves no room for the woman ever to come to the fore."¹¹

The overall impression is tragic—in fact, the speaker is crying all the time. However, the dreams and the tears caused by the dreams evolve as the poem unfolds, creating a narrative. The key to my reading is the change of tense from past to present occurring at the end of the poem, in the last two lines of the third stanza. From this vantage point, it is possible to conclude that the speaker's relationship with the beloved has ended.¹² Greimassian formalization allows us to observe how the situation evolves through the poem. I define the actants subject (S) and object (O) as follows:

S = the poem's speaker

O = being together with the beloved¹³

The subject and object can be either conjoined ($S \cap O$) or disjoined ($S \cup O$). ($S \cap O$) would be the desired state, lasting love. In the first and second dreams, they are disjoined: the beloved is first dead (thus completely out of reach), then gone away. In the third dream, they are conjoined. Three local narrative actions take place during the three stanzas (shown with arrows in Figure 2), describing what happens when the speaker awakes from each dream.

11 Perrey argues that the woman appears in Heine's poetry as the poet's imago, an "unconscious prototype" that lacks individual characteristics; see Perrey 2002, 91–103, 159.

12 Perrey (2002, 141) sees no rational reason for the speaker's grief, nor any "narrative strategy" in the poem; instead, "the ceaseless invocation of dream and flowing tears becomes absorbed into a stasis of inward-looking constancy."

13 It would be possible to introduce another pair of Greimassian actants, sender (Sr) and receiver (R), and treat the dreams as three different senders, sources of information (about O) for the receiver (the speaker; R and also S). However, in this context I find this superfluous.

The first dream is one of an illusion, a nightmare about the beloved being dead ($S \cup O$), which she apparently was not after all. The tears after waking up are an echo of the grief felt in the dream, perhaps tears of relief, and the beloved is still accessible in reality ($S \cap O$).¹⁴

The second stanza complicates things. The dream is now about the relationship coming to an end ($S \cup O$). It may have been a nightmare, another dream of an illusion. In that case, after waking up, the speaker would realize that it was all merely a bad dream. The crying is more intense now, perhaps because rejection appears less unthinkable than death. The local narrative action leads from ($S \cup O$) to ($S \cap O$). However, another interpretation is possible too, particularly given the knowledge of how the story is going to end: the rejection could already have happened when the dream was dreamt. Then it would have been a dream of reality that brought back the painful moment of rejection. The statement “ich weinte noch lange bitterlich” feels tangible, real. In this alternative interpretation, the state remains ($S \cup O$) throughout the second stanza.¹⁵ The ambiguity of the second stanza has important musico-poetic consequences as I compare the two settings of the poem.

The third and final dream turns the situation upside down. Now it is a positive situation: the speaker dreams that the beloved remained kind to him ($S \cap O$). Only that it was a dream, and thus an illusion. The tense changes to the present, and the tears will not cease. ($S \cup O$) is the state in which we leave the speaker. He has woken up in more than one sense, from being asleep and from the illusion of love. This also serves as the endpoint of an overarching narrative trajectory stretching from the poem’s starting point, $S \cup O$ being an illusion, to the dreaded end

14 Perrey (2002, 141) beautifully describes how, in each stanza, “the poem’s principal metaphors of *Traum* (dream) and *Tränen* (tears) merge into one, for the flow of tears (visible and real) grows out of dreams into the moment of awakening to reality as the poet becomes aware of the tears’ existence.”

15 For Perrey (2002, 140), too, the second stanza appears complicated: “[...] whilst the first stanza still enables the reader to follow and possibly empathize with what the poet experiences, the second stanza already introduces a subliminal degree of confusion which then turns into a real loss of comprehension in the third stanza.”

point of $S \cup O$ having become reality (see grey shades in Figure 2). The underlying state is the undesired $S \cup O$, a state of disjunction between the subject and object.

Dream 1: death	Awake 1	Dream 2: rejection	Awake 2	Dream 3: love	Awake 3
$S \cup O$ illusion	$S \cap O$ reality	$S \cup O$ illusion?	$S \cap O$ or $S \cup O$? reality	$S \cap O$ illusion	$S \cup O$ reality
past negative	past relieved (positive)	past negative	past relieved or negative?	past positive	present negative
$S \cup O$					$S \cup O$

Figure 2. Narrative structure in Heine’s “Ich hab’ im Traum geweinet.”

Heine’s relation to Romantic poetry was complex. His seemingly simple verse appears to radiate sincerity, and yet he was ready to flavor his poems with irony that mocked the rules of society or Romantic poetry itself—the very genre his poems represented. Youens (2007, 267) writes about “Heine’s Janus-faced deployment of the sentimental tropes by which institutions were perpetuated.” At the very least, “Ich hab’ im Traum geweinet” involves an irony of fate: when things are finally well in the realm of dreams, reality gives the speaker a blow. The dreamed death of the beloved and the constant crying may be seen to ridicule over-sentimentality. The concept of death, on the other hand, was not entirely straightforward. Suurpää reminds us that, for Early Romantic writers, death could be understood symbolically rather than as a merely physical event and can be seen as “a means of reaching something higher, related to eternity and the absolute” (Suurpää 2014, 25, 27). Seen from this perspective, the death of the beloved would have preserved the speaker’s love forever.

Analysis of the music (Schumann)

Schumann’s “Ich hab’” consists of three sections, of which the first and second ones (mm. 1–11, 12–22) are almost identical. The third section (mm. 23–38) deviates strongly from the preceding ones. The recitative-like alternation between the singer and the piano in the first

two sections is a striking feature.¹⁶ The expression is at once sparse and rich: the singer begins by lamenting alone (mm. 1–2), whereas in mm. 3–4, the piano “breaks through after a significant void [...] with characteristics diametrically opposed to the voice” (Perrey 2002, 144). The opening lacks a definite key context. The preceding song in the *Dichterliebe* cycle, “Am leuchtenden Sommermorgen,” ends in B \flat major, but the neighboring-note C \flat in m. 2 challenges B \flat -major associations.¹⁷ The tonic of E \flat minor is established by the funeral-march gesture in mm. 3–4 in the piano. The section proceeds via VI (m. 7), transferred to IV⁶ by a chromatic 5–6 progression, to a backward-relating V in m. 11 (see Figure 3). The chromatic progression increases the tension. The phrases become shorter, and accents appear in the piano part; a *ritardando* leads to the V in m. 11 and releases the tension.

Measures 12–22 repeat the events described above. However, whereas V in m. 11 has a fermata, in m. 22 the piano seamlessly continues to the third section with a harmonized version of the opening phrase, a neighboring A \flat -minor chord supporting the upper-voice C \flat (mm. 23–24; see Figure 3). Measures 25–26 repeat this passage together with the singer. A new harmonic direction is established in m. 27: C \sharp instead of C \flat appears in the upper voice, which ascends to D \flat in m. 28 accompanied by a tonicization of D \flat major. From the viewpoint of expressive genre, the arrival at D \flat major represents a local glimpse of the joyful within the overall tragic. This is short-lived, however. Another leap of a fifth brings G \flat to the bass in m. 29. G \flat supports a dissonant sonority that begins a chromatic progression in the bass, while the upper voice remains on D \flat . In my interpretation, the sonority in m. 29 substitutes for a G \flat -major chord, III, and the progression ultimately leads to a six-five chord on G \sharp in m. 32. An A \flat -minor chord (IV) in m. 33 leads to the structural V in m. 35, and the harmonic structure closes on I in m. 38.

16 I provide no excerpts from the score, as various editions are readily available; see, e.g., Schumann [1844].

17 It is worth noting that the original 1840 version of *Dichterliebe* had 20 songs instead of 16, and one of the songs removed before publication in 1844, “Mein Wagen rollet langsam,” appeared between the present Nos. 12 and 13 (Perrey 2002, 144).

The image displays two systems of musical notation for piano accompaniment. The first system covers measures 1 through 11, with measure numbers 1, 4, 7, and 11 indicated above the staff. The second system covers measures 23 through 38, with measure numbers 23/25, 24/26, 27, 28, 29, 31, 32, 33, 35, 37, and 38 indicated above the staff. The score is in a key signature of three flats (B-flat major/C minor) and 3/4 time. Brackets in the upper voice of both systems highlight specific melodic motifs. Section markers are placed below the bass line: 'eb: section 1' (measures 1-4), 'section 2' (measures 5-11), and 'section 3' (measures 23-38). Roman numerals (I, III, IV, V) are placed below the bass line to indicate chord functions. A '3' with a caret is above measure 4, and a '2' with a caret is above measure 37. A double bar line with repeat dots is at the end of measure 11, with '(mm. 12-22: rep.)' written to its right.

Figure 3. Middleground voice leading in Schumann's "Ich hab' im Traum geweinet."

Several essential aspects of the musical structure of Schumann's "Ich hab'" relate to the upper voice. It emphasizes B \flat , which I interpret as a stationary element, a cover tone. In my reading, the descent of the *Urlinie* begins on G \flat , highlighted by the contrapuntal motion in mm. 3–4 and picked up as a melodic element in m. 7. B \flat is the platform for the important motivic cell (B \flat –)C \flat –B \flat that appears in m. 2 as well as in the bass in mm. 7–11. Another motivic cell, F \flat –E \flat , appears in both parts in mm. 5–7 and, most prominently, in the vocal melody in mm. 31–32. Brackets mark these in Figure 3. Measures 31–32 are the expressive high point of the song and the point in which the vocal melody ends, having approached e \flat ² via f \flat ²—the highest pitch in the song.¹⁸ This is no structural upper-voice closure, however. The upper voice descends to C \flat for the IV in m. 33, but the motif is broken, as C \flat does not proceed

18 I use the Helmholtz notation for register-specific pitches (c' designates middle C).

directly to B \flat . Instead, a silent measure (m. 34) follows. The piano then closes the song by reiterating in mm. 35–36 the gesture heard in mm. 3–4 (with B \flat in the bass in the first chord instead of E \flat) and stating a final V–I progression in mm. 37–38.

The descent of the *Urlinie* happens in an almost imaginary way. The final chords (mm. 37–38) are but an echo of what preceded them, and nothing highlights the tones F and E \flat in a special way. However, as a gesture, these chords appear concluding, and this has prompted me to interpret a descent here, albeit one veiled by the voices above it. The absence of a clear-cut closure may be linked to the song’s position in the middle of a cycle, but it has perhaps more to do with the overall aesthetic standpoint of the composer, resting on Romantic rather than Classical ideals.¹⁹ Perrey (2002, 121) characterizes the entire *Dichterliebe* cycle as “a masterpiece not despite, but by virtue of, its disintegrative forces and open-endedness.”

Musico-poetic aspects (Schumann)

The three sections in Schumann’s “Ich hab’” correspond with the three stanzas in Heine’s poem. The tragic expressive genre complies with the idea of an underlying state of $S \cup O$. The key of E \flat minor—a rare one in Schumann’s song output, according to Perrey (2002, 144)—as well as details such as the lamenting half-step motives (C \flat –B \flat and F \flat –E \flat) and the funeral-march gestures in the piano, underline the tragic.

The expression at the beginning is intimate, as if the singer were alone and began to softly confess his innermost feelings to the surrounding silence. The B \flat –C \flat –B \flat progression (mm. 1–2) associates with crying or lamenting, with imitation-like directness. At “ich wachte auf” (from m. 7 on) the expression becomes more restless, almost out of breath: was it real? The *ritardando* in m. 10 has a calming effect: it was only a dream. The arrival at the dominant in m. 11 completes the progression from nightmare to relief, $(S \cup O) \rightarrow (S \cap O)$ (cf. Figure 2),

19 The following song, “Allnachtlich im Traume,” begins with B: I, a chord which, enharmonically, has two common tones with an E \flat -minor chord.

but leaves the situation open. The relief is only temporary, and the undertone remains tragic. Schumann treats the first two stanzas in an identical way, thus in my reading the narrative trajectory in mm. 12–22, too, is $(S \cup O) \rightarrow (S \cap O)$.

The third section entails a change, an attempt to break away from the pattern established before. Here, the speaker describes a good dream, the illusion of $S \cap O$. A moment of joy occurs in mm. 27–28, at the approach of the bright D_b -major harmony and the word “gut.” This is rendered possible by the upper-voice $C\sharp$ that replaces the “crying” C_b . The joyful becomes immediately problematized, however. The D_b -major chord, though locally stressed, is fleeting from a structural point of view, and the real goal of the fifth progression is the III reached in m. 29, at the very moment when the speaker wakes up. That it is not a consonant triad underlines the fact that the attempt to hold on to the good dream will fail; this is “an awakening into solitude,” to quote Perrey (2002, 159). The vocal line maintains the pitch D_b , the emblem of the good, but beneath, reality intervenes in the form of the chromatic progression. In a desperate cry, the vocal line reaches up to E_b via the lamenting F_b at the expressive high point of the song. As discussed above, this E_b cannot close the *Urlinie* and thus brings no lasting solution. The accented six-five chord in m. 32 inevitably continues to IV and brings the emotionally charged pitch C_b to the upper voice.

The silent measure 34 is a moment of hesitation. Will C_b continue to B_b , maintaining the crying, or is there some other solution? B_b does emerge in the upper voice, but in a lower register in the piano, which closes the structure alone. The piano represents reality throughout the song. At the beginning of the first and second stanzas, the “crying” B_b – C_b – B_b progression appears in the vocal part ($S \cup O$ as an illusion), but at the beginning of the third section it appears first in the piano part and then in both parts, as if signaling—somewhat prematurely, compared to the analysis of the text alone—that $S \cup O$ is now a reality. For Perrey, mm. 22–24 “mark the structural turning-point” of the song, as the piano’s statement “works backwards (intoning the voice’s part

from before) and forwards (prestating the voice-part of bb. 25–26).”²⁰ She writes that one of the extraordinary features in “Ich hab’” is “the complex interaction between an insistently lamenting voice and a resistingly reserved, eventually yielding, but lastly ‘composed’ piano accompaniment” (Perrey 2002, 148). The separateness of the voice and the piano associates with the impossibility of fulfilment or unity. According to Perrey (2002, 223), “Ich hab’” is “perhaps the most powerful example in *Dichterliebe* conveying the sense of disintegration by its dramatization of the beloved’s absence.”

Finally, avoiding a clear-cut closure has musico-poetic consequences. If a descent from F \sharp to E \flat would mean accepting the harsh reality of S \cup O, then the backward-relating dominants at the end of first and second section are one way of evading reality and the F \flat –E \flat progression in mm. 31–32 another. The vocal line’s failed closure appears as a futile attempt to escape reality by force of will. At the end of the song, the veiled descent of the *Urlinie* in the piano part seems to maintain an amount of denial—or hope. The funeral-march gestures at the beginning of the first and second section and at the end of the song associate with death, which, first present as a threat, is the only thing that remains at the end. Some irony may lie in the almost banally grave funeral-march gestures. According to Perrey, Schumann was well aware of the ironic dimensions in Heine’s poetry, yet he also could recognize the “real ‘face of pain’ behind the great satirist’s defensive façade” (Perrey 2002, 8, 122).

Analysis of the music (Bronsart)

Bronsart chose F major as the key of her own setting of “Ich hab’,” with the relative minor acting as a contrasting tonal area. The song has a ternary structure (ABA’) framed by a piano introduction and postlude; piano interludes appear between the sections. The score is shown in

20 This idea relates to the concept of “poetic time”—the present merging with the past and the future—which Perrey explores through “Der schwere Abend” (Op. 90 No. 6), a “striking paraphrase” of “Ich hab’,” composed ten years later (see Perrey 2002, 148–162).

Figure 5. The first and third sections prolong I of F major, whereas in the contrasting second section an extended secondary dominant proceeds to VI (see Figure 4a). The first section's (mm. 3–10) tonal stability and simple texture render it calm. It consists of two four-measure phrases, during the first of which the upper voice descends from c^1 to a^1 , and during the second one from a^1 to f^1 . A seed of restlessness, however, is sown in the piano introduction (mm. 1–2). At its outset, it introduces a motivic cell that forms the expressive core of the song: a $C\sharp$ –D progression with a 4–3 suspension (F–E) above $C\sharp$. The tone F has a double role as the tonic pitch—a stable element—and the unstable suspended tone. Brackets mark the $C\sharp$ –D motives in Figure 4a.

The $C\sharp$ –D motif returns in the piano interlude of mm. 10–11, and the second section (mm. 12–19) rests on this motif. $C\sharp$ is established in the bass in m. 12, supporting an A-major sixth chord (V^6 of D minor, globally representing $III\sharp$ of F major) with a^1 in the vocal part. For a couple of bars, the vocal part retains the calmness of the first section, though there is something ominous about the static bass. A sudden cry in m. 14 lifts the vocal line up to e^2 , and the sixth chord progresses to a diminished seventh chord, still on $C\sharp$. The vocal line then remains on e^2 , while activity in the bass brings a root-position A-major seventh chord in m. 16. A *crescendo* prepares for the song's expressive high point in m. 17: the vocal line reaches its highest pitch g^2 , and the diminished seventh chord returns. The bass $C\sharp$ proceeds to D in m. 18 and launches a D-minor cadence that feels almost rushed after the suspended dominant situation. The vocal line descends from a^1 to d^1 , and I of D minor is reached in m. 19 (Figure 4a).

In the concluding bars of the second section, the $C\sharp$ –D motif occurs in connection with a tonicization of D minor, whereas in the piano introduction and interlude (mm. 1 and 11) that harmonic outcome was evaded by $B\flat$ in the bass. Notably, the $C\sharp$ –D motif never appears in the vocal part, but it is the piano that introduces and elaborates it. Besides being in charge of this essential harmonic-motivic element, from the second section on, the piano assumes a more independent role regarding the melodic line, proceeding in counterpoint with the vocal part and at times even rising above it. The piano's role is crucial in the retransi-

Figure 4a: Middleground voice leading in Bronsart’s “Ich hab’ im Traum geweinet.”

Figure 4b: Underlying 5–6–5 progression in Bronsart’s “Ich hab’ im Traum geweinet.”

tional piano interlude in mm. 19–20, too. Here, C# is reinterpreted as the enharmonically equivalent D \flat that proceeds downwards to C \flat , first in the bass by the arrival at F: V 7 in m. 20 and then in the upper voice, preparing for a new tonic prolongation in the third section. Fundamentally, the structure of the song is based on the chromatic 5–6–5 progression shown in Figure 4b. C#, a chromatic passing tone, thus assumes considerable surface-level importance in the second section.

The third section (mm. 21–28) returns to the material and atmosphere of the first section, yet changes become to emerge in the form of richer texture and contrapuntal elaboration. The first four-measure

phrase ends on a dominant in m. 24 with V and c^2 in the vocal part (cf. the tonic and a^1 in m. 6), lifting the energy towards a new peak: the vocal line ascends to f^2 in m. 26, supported by another $C\sharp-D$ progression in the bass. Expressively stating the 4–3 suspension towards the middle-voice $C\sharp$ in the piano, the vocal line in mm. 26–28 reiterates the melodic line from the piano introduction. The latter part of this descending line completes the descent of the *Uralinie* during the F-major cadence in mm. 27–28. The piano postlude (mm. 29–30) restates the piano introduction, acting as a coda.

Musico-poetic aspects (Bronsart)

In the following musico-poetic interpretation of Bronsart's "Ich hab'," I refer to the speaker of the poem as "she" to emphasize Bronsart's role as the female composer-interpreter of the poem. I know that this contradicts with Heine's original idea in *Lyrisches Intermezzo*. However, detached from this connection, the poem "Ich hab'" does not specify the gender of the subject and object: they are referred to as "I" and "you." This flexibility may have been one of the reasons why Bronsart chose this poem, while it must be noted that she also set poems featuring male protagonists.

In Bronsart's setting, the first and third stanzas of Heine's poem coincide with the first and third sections that prolong the F-major tonic, whereas the second stanza corresponds with the contrasting second section. The piano introduction, interludes, and postlude add their own commentaries to the narrative. As discussed above, the overall expression of the poem is tragic (the overarching state being $S \cup O$), but Bronsart's music does not provide a straightforward counterpart for this. Rather, the F-major first and third sections have a bittersweet, nostalgic, resigned air. Yet the tragic constantly lurks in the background. Its emblems include the $C\sharp-D$ motif, the 4–3 suspension (F–E) that imitates sighing, and the contrasting key of D minor in general. It is no coincidence that the song opens with the $C\sharp-D$ motif and the suspension. In my interpretation, it acts as a painful memory that initiates a retrospective journey.

Andantino

Ich hab' im Traum ge - wei - net, mir

espressivo

mf *p* *mp*

5 träum - te, du lä - gest im Grab. Ich wach - te auf, und die Thrä - ne floss

più p *p*

9 noch von der Wan - ge her - ab. Ich hab' im Traum ge - wei - net, mir

mp semplice *espressivo*

14 träumt', du ver - lie - ssest mich. Ich wach - te auf, und ich wein - te noch

cresc. *cresc.*

* The engraver (or the composer) probably forgot to add augmentation dots, perhaps also ties across the bar line.

Figure 5: “Ich hab’ im Traum geweinet” by Bronsart.

18 *dim. e rit.* *mp*
lan - ge bit - ter - lich. Ich hab' im Traum ge - wei - net, mir

23 *dim.* *p* *allargando cresc.* *f*
träum - te, du bie - best mir gut. Ich wach - te auf, und noch im - mer strömt

27 *rit.* *rit.* *dim.* *p*
mei - ne Thrä - nen - fluth.

Figure 5: "Ich hab' im Traum geweinet" by Bronsart.

The calmness of the first section accompanies the first dream (the beloved being dead) and the awakening from that dream ((S∪O) →(S∩O); cf. Figure 2). Bronsart provides no dramatics, only the word “wachte” falls on VI in m. 7, as a glimpse of the tragic. The second section, based on the C#–D bass progression, brings the tragic to the fore. Grief takes control of the speaker, and C#, merely a chromatic passing tone in the larger context, persistently remains in the bass. The vocal

part in the section begins in a subdued way (*mp* and *semplice*), which makes the leap to e^2 in m. 14 genuinely unexpected. The word is “verliesest,” the very reason for all the misery, the painful core of the memories. This state of agitation prevails until the expressive high point on the word “weinte” in m. 17. The swift and conventional cadence at the end of the section (mm. 18–19) feels almost like relief; it is as if the speaker pulled herself together after an outburst of grief. The cadence seals the tragic outcome of the section and suggests for the second stanza the alternative interpretation as $(S \cup O) \rightarrow (S \cap O)$. Waking up from the bad dream (the rejection), the speaker finds herself alone: the rejection has happened in reality too. That D minor now becomes steadily tonicized underlines the sense of real grief, evaded in connection with former occurrences of the $C\#-D$ motif.

Via the enharmonically reinterpreted tone D_b , the second piano interlude provides an escape route back to the bittersweet F-major world, a safe haven after the deviation provided by the chromatic 5–6–5 progression. The differences compared to the first section—the dominant, and c^2 in the vocal part—emerge in m. 24 at the essential word “gut” (the good dream of $S \cap O$). The piano part grows independent, as if the speaker’s memories had become overwhelming; Bronsart “responds to the increasing emotional temperature of the poem,” to borrow Boyd’s (2015, 169) expression.²¹ The vocal phrase in mm. 26–28 reiterates the upper voice of the piano introduction, simultaneously postponing the descent of the *Urlinie* until the final cadence, as if lingering in her bittersweet memories before finding peace. The high point in m. 26 is an augmented occurrence of the F–E suspension and the only time it appears in the vocal part. The integration of the emblem of pain in the third section confirms that $S \cup O$ is reality. This might be something the speaker has accepted a long time ago, considering that the pitch F also happens to be the tonic. Or is it so that the $C\#-D$ motif disturbs the peace of F major, as the memories haunt the speaker? The speaker looks back from the state where $S \cup O$ is already reality and eval-

21 Boyd’s example is “Letzte Bitte,” the last song in Bronsart’s Op. 16 cycle.

uates the various stages of the relationship through a nostalgic lens. Whether that lens implies any irony remains unresolved. The piano postlude descends in the low register and allows the memories to fade into oblivion.

Bronsart gives a great many performance instructions to both the singer and the pianist. This was customary for her, and apparently served, as Melinda Boyd (2015, 173) has put it regarding Bronsart's "Wildenbruch Lieder" (Op. 16), "to draw out all the nuances" of the poetry. Following Sanna Iitti's ideas in her book *The Feminine in German Song* (2006), the meticulously notated changes in dynamics and tempo may be seen as reaching for the "unnamable" that lies between the score and the performance. Iitti claims that "femininity became encoded in 19th-century music through musical gestures" and suggests that musical gestures in a song may, "with the aid of notated prescriptions," evoke feminine desire "when the words, the prescriptions and the melodic structure all interact in a particularly expressive fashion" (Iitti 2006, 26, 52).²² From this point of view, Bronsart's "Ich hab'" is imbued with feminine passion that boils beneath a well-mannered exterior and briefly surfaces at the expressive high points in mm. 17 and 26. An alert performer would strive to convey this tension.

Conclusions

Over the years, Heine's poetry has proved immensely popular among composers (Youens 2007, xv). Although "Ich hab'" does not number among his most frequently used poems, it too has been set to music several times.²³ Schumann's Heine compositions tended to attain an

22 Iitti's example is Fanny Hensel's "Gondellied", Op. 1/6. In her book, she divides gestures into three interconnected categories: "1) musical figures (*topoi*), 2) prescriptions for the performer(s), and 3) physical gestures in performances" (Iitti 2006, 31). Within these, "femininity emerges either as a style that is socially performed and acted out, or as gestures that reflect the feminine libido through a particularly expressive use of rhythm and other musical parameters" (Iitti 2006, 34). Her approach thus involves parameters that fall outside the focus of Schenkerian analysis.

23 The imslp database includes settings by Robert Franz, Eduard Lassen, and August Söderman, to mention but a few.

influential status; Susan Youens has shown how echoes of Schumann can be heard in later settings of “Du bist wie eine Blume,” one of the absolute hits from Heine’s oeuvre among composers (Youens 2007, xix, 291). Bronsart was an insider in the musical life of her new home country through her musical contacts and activities, and it is unthinkable that she would not have known Schumann’s music and *Dichterliebe* in particular. However, her role models as a composer were Liszt, with whom she also had studied and performed as a pianist, and Brahms (Välämäki and Koivisto-Kaasik 2023, 96). One striking feature that is hardly a coincidence, but not necessarily a conscious choice either, connects Bronsart’s “Ich hab’” with Schumann’s “Ich hab’”: the opening gesture in the vocal part, with the repeated notes and an upward motion on the syllable *wei-* (Figure 6). This fondness for a vocal line with repeated notes is also evident elsewhere in the two settings (in e.g., mm. 28–31 in Schumann and mm. 14–16 in Bronsart). Moreover, the recitative-like beginning of the middle section in Bronsart’s song (mm. 12ff.) appears to be a direct nod to Schumann.

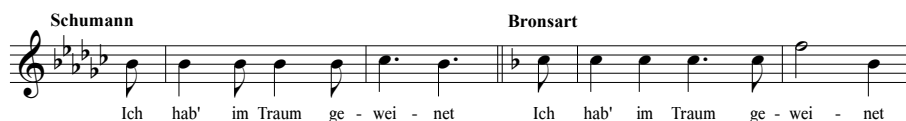


Figure 6: Opening gestures in the vocal part of the two settings of “Ich hab’ im Traum geweinet.”

Despite their shared features, Schumann and Bronsart created very different songs. The choice of key—minor in Schumann, major in Bronsart—affects the overall expression. Schumann’s “Ich hab’” is tragic with a short glimpse of the joyful, whereas Bronsart allows bittersweet outer sections to frame a tragic middle section. One essential difference is how the two composers treat the second stanza of the poem, which, in my textual analysis, is capable of supporting two alternative interpretations. The AAB structure in Schumann’s setting gives similar music to the first and second stanzas, suggesting that the situation in these stanzas is equal (in my analysis, $(S \cup O) \rightarrow$

($S \cap O$). In Bronsart's "Ich hab'," the contrasting middle section gives the second stanza a taste of reality: the rejection has already occurred ($S \cup O$ prevails when the speaker wakes up), and this is the source of the pain that flavors the speaker's memories. Both composers embrace the tragic undercurrent in the poem—the overarching $S \cup O$ —but approach it differently. Schumann's speaker is living the tragic narrative, whereas Bronsart's views it from a nostalgic distance. Heine's poem emphasizes the lyrical "I" going through painful stages, but Bronsart seems to situate the subject on the periphery of the drama, in a place where she has an overview of the past and can reconcile herself with it. It is tempting to speculate how this shift of focus might relate to gender, but more difficult to find definite answers.²⁴ Generally, a woman of Bronsart's time and social class would have found it safer to keep her feelings (and her desire) at a distance by not appearing as a subject in the here and now. Such restrictions or survival strategies may apply to the (supposedly) female protagonist of Bronsart's song, but also to herself as a composer.

The two settings also relate to their surroundings very differently. Schumann's "Ich hab'" is a part of a cycle and lacks a clear-cut closure, as if being ready to move on. Bronsart's setting, by contrast, is a self-sufficient entity, tonally closed and detached from any broader context of the *Lyrisches Intermezzo*. It is not unimportant that the two compositions are separated by some thirty years, for the Lied as an art form underwent changes during the nineteenth century. Suurpää (2014, 18) notes that Schubert's complex and through-composed songs deviated from contemporary preferences of formal simplicity and primacy of the text over the music. A new concept of art song emerged. Youens asserts that, until the European 1848 revolution, Heine was "the poet of choice for the avant-garde, for those who wanted to redefine what song could be and do." She describes how Heine settings of various

24 For Caitlin Miller (2015), Heine's "Loreley" offers fruitful ground for investigating how Franz Liszt and Clara Schumann approach her character in their respective settings of the poem. According to Miller, Schumann grants Loreley more independence and a stronger subjectivity "[t]hrough her musical framework and her conflation of a 'Lorelei theme' and Lorelei's actual song" (Miller 2015, 248).

composers reflect the subsequent development: “There is a general trajectory (with exceptions) one can trace from the pre-1848 coupling of Heine and radical musical innovation to the fin-de-siècle repertory of songs drenched in nostalgia. The metamorphosis is all the more arresting because later composers clung to the same poems set by their more daring predecessors” (Youens 2007, xix-xx).

Schumann’s “Ich hab’” is classified as art song, but where does Bronsart’s song stand in relation to it? Bronsart’s “Ich hab’” may appear more conventional than Schumann’s setting. Its overall form is simple and more static than dynamic, at least in comparison with Schumann, and it utilizes the idea of nostalgia, though it is hardly drenched in it. However, it also shows advanced features such as a motivic network, elaboration, and a piano part that achieves considerable independence. As already mentioned above, Bronsart’s “Ich hab’” was probably intended for the salon, a semi-private milieu in which composing women could act quite freely. Consequently, the song’s “inscribed audience” could be considered more receptive to musical manifestations of the feminine than, say, the audience in an orchestral concert (see Iitti 2006, 25). This should not be belittled; as Aisling Kenny (2015, 19) remarks, the audience in a private salon was “possibly more discerning than the wider audience of the concert hall,” and salons could therefore be deemed “serious sites of performance.” Kenny points out that after Schubert, the Lied held an unusual “dual status as both a serious artwork and a popular genre” and thereby “offered creative opportunities for women to transcend certain boundaries that would not otherwise have been available to them” (Kenny 2015, 13–14). Although Bronsart successfully entered the male domain of opera composition, she must also have been induced by the Lied’s ability of balancing between high art and the popular. This balancing act is convincingly performed in her “Ich hab’” setting.

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Tonal Irony in Tekla Griebel Wandall's *Saphire sind die Augen dein*

THOMAS H. KIRKEGAARD

Although musicological research on women composers has been ongoing since the 1980s—when feminist musicology emerged and revealed the extent to which women had been marginalized in music historiography—analytical studies of their music are still relatively scarce.¹ This scarcity may stem from feminist musicology's critique of the concept of “the music itself” (Cusick 1999, 491), as well as the broader backlash against music analysis associated with “new musicology” (e.g., Kerman 1980), which cast traditional analysis as a potentially problematic practice (see also Kirkegaard 2022a). In recent years, however, music analysts have increasingly begun turning their ears towards the music of historical women composers (Parsons and Ravenscroft 2017; 2019; 2022; Weinstein-Reiman 2017; Davies 2021; Rodgers 2021; 2023). In this article, I add to the surge of renewed analytical interest in music by women composers by examining a contribution to one of the most important genres for nineteenth-century women composers: the *Lied*. As scholars such as Aisling Kenny and Susan Wollenberg have noted, there is a rich, and still under-researched, repertoire of *Lieder* by women composers from (especially) the nineteenth century (Kenny and Wollenberg 2015). In a time when women composers had limited opportunities, a *Lied* was far more likely to be performed—whether in domestic settings or public concerts—compared to larger works like symphonies, which required the participation of many musicians (Gramit 2004, 308).

¹ Some key contributions in the early phase of feminist musicology are Cohen (1981); Reich (1985); Bowers and Tick (1986); Citron (1988; 1990; 1993); McClary (1991).

Analytical studies of women's *Lieder*, therefore, make valuable contributions both to the history of the *Lied* genre and to feminist musicology. In this article, I also aim to use my analysis to address broader analytical issues: those of musical ambiguity, irony, and methodological pluralism.

The song in focus is a setting of Heinrich Heine's poem *Saphire sind die Augen dein* by the Danish composer Tekla Griebel Wandall (1866–1940). Griebel was remarkably successful in the 1890s but faded into almost complete oblivion already during her own lifetime.² She is currently enjoying a renaissance in Danish music (Kirkegaard 2022b; 2023; 2024), and her setting of *Saphire*, composed in 1901, demonstrates some of her qualities as a composer and as a musical interpreter of poetry. At the time of writing this, the song is being recorded for the first time ever. Until this recording is published, readers will have to make do with the sheet music included in Appendix 1.³

I will focus on two ways in which Griebel's setting interprets Heine's text. On the one hand, she *translates* Heine's Romantic irony and his striking *Stimmungsbruch* (literally “breaking of the mood”—a concept described further below) into music in a highly dramatic way, creating a musical narrative in which burning desire bursts in violent disruption. By *translation*, I mean that she creates a musical analog to Heine's *Stimmungsbruch*. In both media (language and music), the breaking of the mood occurs through a blatant and obvious disruption of style. As Robert Hatten has argued, when something occurs which appears “inappropriate to the context of the movement [...] an ironic interpretation would be one way to reconcile that inappropriateness as a compositional effect rather than a flaw” (Hatten 1994, 185). On the other hand, she *transfers* the poem's ironic ambiguity—the question of who the desired object is—to the tonal realm by creating an intricate confusion about the tonic function. This is not so much a translation (which maintains the basic meaning of something) as a transfer to another plane (where it manifests differently and adds a new layer of meaning).

2 I will refer to Tekla Griebel Wandall by her maiden name Griebel.

3 The sheet music is part of the recent scholarly edition of her collected songs (Kirkegaard 2024) and is brought with kind permission of Edition-S.

To grasp how Griebel transfers irony to tonality, I employ two analytical methods at once: a Schenkerian perspective, and a post-Riemannian, functional perspective. In combining these two perspectives, I speak against the tendency in the history of music analysis to cast Schenkerian and (post-)Riemannian approaches as irreconcilable opposites. In Griebel's song, I believe a combination of analytical perspectives is necessary to encapsulate its distinctive "tonal irony". Indeed, I believe methodological pluralism is a viable way to go beyond what Carl Schachter (1990) called an "either/or". While there is truth to his claim that a Schenkerian analyst cannot meaningfully graph conflicting readings at once without contradicting themselves, it might be possible to engage analytically and theoretically with musical ambiguity if one combines methods (see also Agawu 1994).

The article begins on a theoretical note by discussing and comparing the concepts of *Stufen* and functions.⁴ This section clarifies my view that these concepts unfold different (though similar) phenomena that co-exist in tonal music, and that they are, on this basis, not irreconcilable. After this theoretical introduction, I discuss Heine's poem, the concepts of *Stimmungsbruch* and Romantic irony, and, following Lauri Suurpää (2014), the Greimasian structure underlying the poem. I then perform a tonal analysis of Griebel's setting of *Saphire*, focusing especially on the interactions between voice-leading, *Stufen* and functions. Finally, I turn to the text-music relationship of the song. I argue that Griebel's setting makes one interpretation of the poem on the surface, and a *re*interpretation at deeper levels—thus developing the Romantic irony that permeates the song.

Stufen and functions: Apples and oranges?

In my analysis, a key component is the dual perspective on *Stufen* and functions. However, since there is a long history of antagonism between Schenkerian theory and post-Riemannian function theories, it is im-

4 Parts of this section is based on my PhD dissertation which develops the comparison in greater detail (Kirkegaard-Larsen 2020, 195–304).

portant to understand *how* I perceive this dual perspective.⁵ The antagonism can be traced back to Heinrich Schenker and Hugo Riemann themselves. Schenker saw Riemann as both a competitor and as an inferior theorist, which he made clear both in private correspondence, diaries and published texts (Kirkegaard-Larsen 2020, 200–6; Schenker 1972 [1914], 9–15). The first substantial comparative study of Schenker’s and Riemann’s theories was Israel Silberman’s 1949 PhD dissertation at Columbia University (Silberman 1949). One might well see this dissertation as the first contribution in a longer “history of comparisons”: once Schenkerian theory became dominant in the US, and later in the UK, numerous comparative studies further solidified (or tried to soften) the divide between the two schools of thought (Federhofer 1958; 1972; 1981; 1989; Christensen 1982; Redmann 1996; 2009). This divide was particularly evident in the American music theory debates that arose in the 1980s and early 1990s when theorists proposed revisiting Riemannian ideas. Charles Smith’s (1986) article on the functional extravagance of chromatic chords faced harsh critique from David Beach (1987; see also the response in Smith 1987), and Eytan Agmon’s (1995) reconsideration of the functional system was similarly dismissed by John Rothgeb (1996; see also the response in Agmon 1996).

Today, when an increasing amount of studies combine Schenkerian and (paleo-, neo-, post-)Riemannian methodologies (Redmann 2009; Rings 2011a; 2011b; Kirkegaard-Larsen 2018; 2021; Kirkegaard 2022c; forthcoming; Harper-Scott and Chandler 2024), the long-standing an-

5 While I will occasionally use “Riemannian” as an umbrella-term, I prefer the term “post-Riemannian” for the following reasons: First, the term identifies a theoretical and analytical tradition which is not the same as neo-Riemannian theory. Neo-Riemannian theory emanated from David Lewin’s transformational re-reading of Hugo Riemann and is—or was initially—primarily an Anglo-American tradition. “Post-Riemannian theories” is an umbrella term referring to the many diverse, primarily Continental-European, adaptations of Riemann’s function theory that began already during Riemann’s own lifetime and grew increasingly diverse over the course of the 20th and 21st centuries. Second, the prefix “post-” refers to the fact that these theories often differ significantly from Riemann’s own function theory, particularly in their departure from harmonic dualism. One might argue that Schenkerian theories are also effectively post-Schenkerian theories, but unlike the term “Riemannian theory,” Schenkerian theory is a well-defined—if also diverse and widely ramified—term.

tagonism between Schenkerian and post-Riemannian theories should be viewed, I would argue, not as evidence of their fundamental incompatibility but as a fascinating reflection of the cultural history of music theory and analysis.

On what basis have the two theories been compared? For comparison to make sense, the compared objects must usually share some kind of common feature or context. It makes little sense to compare “apples” and “ice-skating” since they share few traits (one is an object, the other is an activity). Even though the proverb would have us believe otherwise, it actually does make sense to compare “apples” and “oranges” since they share several traits (they are both objects, classified as fruits, similar but slightly different in appearance).⁶ A recurring theme in the debates mentioned above—representing a sort of common ground enabling meaningful comparison—is the ambiguous relationship between Schenker’s concept of *Stufen* and Riemann’s concept of function. Israel Silberman’s dissertation, written before Schenkerian ideas had significantly influenced the US, bears the subtitle *A Comparative Study of Four Theories of Chord Function*. The four theories discussed are those of Schenker, Riemann, Paul Hindemith, and Joseph Schillinger. Silberman identifies “function” as a common denominator among these four theories, despite the fact that Schenker never wrote about function (see Kirkegaard-Larsen 2020, 151–54). Hellmut Federhofer—a prominent scholar among the minority of post-war Continental-European Schenkerians—also seems to view Riemann’s function as a lesser version of Schenker’s *Stufe*. This is evident in his comparison of Schenker’s, Riemann’s, and Diether de la Motte’s analyses of the second movement of Beethoven’s Piano Sonata No. 7 in D major, Op. 10, No. 3. Federhofer pays special attention to the various ways these theorists interpret the surprising E \flat minor chord which appears in m. 67 (in a D minor context). Figure 1 reproduces Federhofer’s reduction and analysis of the measures in question (I will

6 However, just as the proverb points to the fact that you cannot criticize an apple for being a bad orange, so, too, one must remember that Schenkerian analysis cannot meaningfully be criticized for not showing what function analysis attempts to show (and vice versa).

not go into detail with his problematical slurring, which does not seem to convey what he aims to say very well).

Measures: 65 70 75

I I⁶ II⁴ V⁶₄ ⁵_{#3} V⁶₄ ⁵_{#3} I

Figure 1: Reproduction of Federhofer's analysis of Beethoven, Piano Sonata No. 7 in D major, Op. 10, No. 3, mm. 65–76 (Federhofer 1972, 346–47).

Riemann (1919, I:367) sees the E_b-minor chord as a *Variante* (e.g. a minor version) of the *Leittonwechselklang* of the subdominant, and de la Motte (1968, I:49–59) understands it as a minor version of the Neapolitan subdominant. Federhofer prefers Schenker's reading which puts the chord into its larger context:

The function of the numerous passing tones lies in the horizontalization of the tonic chord. Therefore, it is futile to attempt to harmonically analyze them without understanding this function, as Riemann does. (Federhofer 1972, 346–347; my translation)

In other words, because Riemann (and de la Motte) cannot see the true function of the chord (that it is part of a longer horizontalization of the tonic *Stufe*), their ascription of a “harmonic function” is pointless. There are clearly two ways to understand the word “function” here, but only one has currency for Federhofer: one is correct, the other erroneous.⁷

This critique suggests that the two “functions”—the Riemannian label on the one hand and the idea that the chord is part of a horizontalization on the other—describe the *same* musical phenomena, but in different and incongruent ways. Hence, only one can be correct. This type of argument is recurring in Schenker-Riemann debates. David Beach argued that Charles Smith's analysis of the fourth movement of Beethoven's Op. 2, No. 1 ascribed irrelevant functional labels:

—

⁷ See also Christopher Wintle's discussion of these three analyses (Wintle 1985).

It just so happens that I, among others, view the chromatic motion to the initial dominant as a foreground elaboration of a more basic underlying progression, as explained above. Thus I have not labelled the chromatic chords according to some harmonic function they do not have. To do so would be absurd. (Beach 1987, 179)

My intention here is not to argue against Beach (his rebuttal of Smith's critique of "linear theory" is astute) but simply to observe that apparently, functional labels can be relevant from one perspective and downright absurd from another. Like Federhofer did with de la Motte and Riemann, Beach judges Smith's ascription of functional labels to be erroneous because, as he says, these chords *do not have* harmonic function in *his* Schenkerian sense of the word. Smith's apples are not good oranges in Beach's view.

I suggest that the two uses of "function" describe similar but different musical phenomena—hence, they can both be "correct."⁸ Briefly put, it makes sense to see a chord as both representing a *Stufe* (or a voice-leading elaboration of a *Stufe*) *and* to see it as bearing a function.

For a chord to be meaningfully interpreted in the dual perspective of *Stufe* and function, it requires, I argue, a dual perspective on music's temporality. To explore this, the ideas of philosopher Henri Bergson (1859–1941) prove useful. Bergson distinguishes between *temps espace* and *temps durée*. *Temps espace* roughly translates to "spatial time" and represents an understanding of time as a spatial expanse. *Temps durée* means "durational time," conceiving time as flowing from moment to moment. I adopt these terms from Carl Dahlhaus' *Musikästhetik* (1967) where they are used to show how both temporalities are integral to musical experience: "If *temps espace*, the empty before and after, is an abstraction of *temps durée*, then, on the other hand, the extensions and contractions of experienced time can only be understood against the background of spatiality" (Dahlhaus 1967, 111–112; my translation). In

8 I hesitate to say "correct" unconditionally; as J.P.E. Harper-Scott and Oliver Chandler write, "tonality is a fiction of our own creation" (Harper-Scott and Chandler 2024, 2), and its truth-value is of a specific kind.

analytical practice, then, both temporal attitudes are usually engaged. However, in combining Schenkerian and functional perspectives, it is helpful to conceive of each analytical method as emphasizing one temporality (while not disregarding the other), and to consciously oscillate between two analytical strata. One stratum (that of *Stufen*) predominantly views harmony in some large-scale perspective (the smallest unit being the phrase, the largest being the work) and judges harmonies in relation to *temps espace*: one cannot understand the chord without considering what comes before and what comes after. It seems to be this perspective that underlies Federhofer's insistence that the "function" of Beethoven's E \flat minor is to horizontalize a *Stufe*, as well as Beach's insistence that the chromatic motion at the opening of the fourth movement Beethoven's Op. 2, No. 1 elaborates a more basic underlying progression. Both arguments can only be made if one takes the entire phrase into account.⁹

The other stratum (that of post-Riemannian functions) views harmony in a more local chord-to-chord perspective and judges harmonies on the basis of a *temps durée*-perspective. Interpretations are made in a continuous back-and-forth between retention (keeping in mind what just happened) and protention (creating expectations for what's coming).¹⁰ At the same time, it is important to emphasize that function theory, in its various forms, does not exclude spatiality. On the contrary, since chords are understood in relation to the ideal categories of T, S, and D, an abstract, non-temporal, and relational sense of spatiality is inherent to the theory. It is, in my opinion, because of the interaction of retention and protention in situated *temps durée* that *Funktionstheorie* has been susceptible to theories of intuitions (Hyer 1989) and desire

9 A pronounced *temps espace* underlies not just Schenkerian practices but many Anglophone conceptions of the very word "function". As David Kopp wrote in 1995: "It has become natural for us to expect the ideal harmonic theory to explain how chord progressions are determined and goal-directed" (Kopp 1995, §14). This goal-directedness might be seen as an expression of the fact that the analyst knows where the phrase ends and interprets the individual harmony on this basis. David Damschroder (2010, 14) also argues that this is the only viable approach.

10 The potentials of this perspective was perhaps best demonstrated in David Lewin's famous *Morgengruß* analysis (Lewin 1986; see also Bard-Schwarz and Cohn 2015).

(Smith 2020). In *temps durée*, it does not matter whether an implied tonic will eventually be realized; even as an imagined, idealized and desired entity, it asserts its pull and affects the function of chords (see also Harper-Scott and Chandler 2024).

My reading of Tekla Griebel Wandall's setting of Heinrich Heine's poem *Saphire sind die Augen dein* will demonstrate how *Stufen* and functions are both relevant, and how an oscillation between analytical strata and *temps* can be fruitful—and in this specific *Lied*, how it is key to capturing Griebel's tonal irony. First, however, the text of the *Lied* needs introduction.

Heine's *Saphire*

Although Griebel most often used Danish poems for her *Lieder*, a handful songs with German texts exist too. The text of *Saphire sind die Augen dein* is provided below, set next to an English translation by Emma Lazarus. Throughout the article, I will primarily be referring to the German original, stemming from the “Die Heimkehr” in Heine's famous *Buch der Lieder* (1827).

German original (Heine 1827, 229)	English translation by Emma Lazarus (Heine 1881, 107)
Saphire sind die Augen dein, Die lieblichen, die süßen. O, dreimal glücklich ist der Mann, Den sie mit Liebe grüßen.	Sapphires are those eyes of thine, So lovely and so sweet, Thrice blessed is the happy man Whom they with love will greet.
Dein Herz, es ist ein Diamant, Der edle Lichter sprühet. O, dreimal glücklich ist der Mann, Für den es liebend glühet.	Thy heart, it is a diamond, That sheds a splendid light. Thrice blessed is the happy man For whom it glows so bright.
Rubinen sind die Lippen dein, Man kann nicht schönre sehen. O, dreimal glücklich ist der Mann, Dem Liebe sie gestehen.	As red as rubies are thy lips, Naught fairer can I prove. Thrice blessed is the happy man To whom they whisper love.
O, kennt ich nur den glücklichen Mann, O, daß ich ihn nur fände, So recht allein im grünen Wald -- Sein Glück hätt' bald ein Ende.	Oh, knew I but that happy man, Could I at last discover, Deep in the greenwood, all alone -- His bliss were quickly over.

The poem bears several hallmarks of Heinrich Heine's style. The "I" addresses a "you"—genre conventions of the time compel us to think that this is a man addressing a woman—and praises her eyes, heart, and lips, likening them to sapphires, diamonds, and rubies. As a sort of chorus, the narrator keeps returning to the phrase "O dreimal glücklich ist der Mann"; clearly longing for this woman, he seems to imagine himself as the man she loves. The imagery of the poem is almost comically simple and stereotypical for love poems—perhaps an early sign that Heine has more up his sleeve. In the last stanza, we find out what: suddenly, the narrator stops addressing the desired woman and turns to speak about this "glücklichen Mann" (happy man). Only at this point does it become apparent that the happy man is in fact a concrete person. The narrator imagines himself alone with the happy man in the woods, and the repeated "O" retains the atmosphere of sincerity; but in the very last verse, he laconically states that if they were indeed alone in the woods, the happy man's joy would soon come to an end. What appeared to be a love poem about the longing for a woman is really a murder fantasy. The desired object turns out to be not the woman, but the man he wants to kill.

This twist at the end of the poem, at once shocking and comical, is an archetypical example of what has been called a *Stimmungsbruch* or *Stimmungsbrechen* in Heine scholarship (Kolb 1987; Binder 2013). Literally meaning "breaking of the mood", the *Stimmungsbruch* refers to a recurring trope in Heine's poetry where a sudden shift at the poem's conclusion casts the entire piece in a new light. Suddenly, the narrator's longing for the woman's eyes, heart, and lips is overshadowed by murderous jealousy, stripping it of any innocence.

The *Stimmungsbruch* is one reason that Heine's poetry is frequently associated with Romantic irony. Romantic irony is the subject of an expansive research literature in both literary studies and musicology, and I will make no attempt to explain it in full detail within the confinements of this article.¹¹ Suffice it to say that the abrupt breaking of the mood

11 Some notable references include: Strohschneider-Kohrs (1960); Kolb (1987); Dill (1989); Colebrook (2004); Synofzik (2006); Klein (2009); Binder (2013); Kraemer (2014).

transforms the poetic utterance into a self-aware blend of sincerity and cynicism, thus encapsulating Romantic irony's key characteristics of subversion, negation, and self-referentiality. *Saphire* initially engages with, but then undercuts traditional romantic themes, ultimately destabilizing the reader's expectations and exposing the contradictions inherent in Romantic sentimentality and idealism. Importantly, Romantic irony is a concept that, taken as a whole, goes beyond rhetoric and becomes "a style of existence" as Claire Colebrook has written (2004, 52):

To live as if one were a fixed self who *then* used language to represent a world would be to deny the flux and dynamism of life. It would also be a mode of subjectivism: positing some ground—the subject—that could act as the basis for judgements and predications. Irony transforms subjectivism: the subject is no longer a ground that precedes and underlies judgements. The subject "is" nothing other than an ongoing process of creation. (Colebrook 2004, 52)

As we shall see, this side of Romantic irony—the recasting of the subject as anything but stable—has particular relevance for the musical analysis of Griebel's setting of *Saphire*.

Turning, then, to the question of the subject, and inspired by Lauri Suurpää's *Death in Winterreise* (2014), the basic structure of the poem can be analyzed with the formal semiotics of A. J. Greimas. The poem's narrator is the protagonist or *subject* (S), and initially, we believe the object (O) to be the sapphire-eyed woman. In other words, the poem exhibits that the basic state is $S \cup O$ (the symbol \cup means that S and O are disjointed and formalizes the narrative that "S desires O"). In the recurring choruses "O dreimal glücklich ist der Mann", it is, as mentioned, as though the protagonist imagines himself as this man; in other words, the illusion of and desire for $S \cap O$ (that the subject is conjoined with the object) runs through the poem.

An archetypical tale is that of $S \cup O \rightarrow S \cap O$: the subject desires the object (state 1) and eventually, they are joined (state 2). However, Heine's irony surprises us not by offering an alternative continuation of this narrative, but by revealing that all along, O was not the sapphire-eyed

woman, but the happy man. Or rather, there are two desired objects: His desire to kill this man is, of course, a malicious consequence of his desire to be with the woman, and thus we might distinguish between O_1 (the woman) and O_2 (the man). Thus, the overall structure can be described as: $S \cup O_1 \rightarrow S \cup O_2$.

In our case, the Greimesian semiotics can be used not only to formalize the *Stimmungsbruch* of the poem; following the tonal (Schenkerian-Riemannian) analysis of the musical setting below, I will argue that it can also be used to shed light on the intricate text-music relationship in Griebel's *Lied*. Specifically, it allows one to reinterpret the irony as pertaining not just to the object but also to the subject.

Griebel's *Saphire*

Before discussing the text-music relationship, and the way the music can also be understood in Greimasian terms, I will present my reading of the music's tonal aspects. I will, as promised above, combine Schenkerian voice-leading sketches with function analysis. *Stufen* will be symbolized by Roman numerals, but only at the deeper levels. Rather than providing the entire large-scale reading from the outset, I will focus on a few measures at a time to better capture the musical narrative and its *Stimmungsbruch*. However, since Schenkerian analysis relies on an understanding of the overall structure, thus placing tonal events in *temps espace*, the reader may wish to look ahead to my graphing of the entire song in Figure 8.

Figure 2 is an excerpt from Griebel's fair copy of the composition, residing at the Royal Danish Library.¹² This is the only source of the song and is the basis of the modern edition presented in Appendix 1 (source description and critical commentary can be found in Kirkegaard 2024).

As can be seen, Griebel's setting begins with a short prelude which immediately creates a mild confusion about the mode of the tonic key. Measure 1 gives the impression that the key is F minor but measure

12 DK-Kk, The Royal Danish Library, Copenhagen. The Music Collection, C II, 12, Tekla Griebel Wandalls Samling, "Efterladte kompositioner", capsule 2.

The image shows a handwritten musical score for the piece "Saphire sind die Augen dein" by Tekla Griebel Wandall. The score is written in ink on aged paper. At the top right, the composer's name "Tekla Griebel Wandall" is written in a cursive hand. Below it, the tempo marking "Moderato." is written. The score is divided into two systems. The first system has a vocal line (labeled "Sung.") and a piano accompaniment (labeled "Piano."). The piano part features a triplet pattern in the right hand and sustained chords in the left hand. The lyrics "Saphire sind die" are written above the piano part. The second system continues the vocal line and piano accompaniment. The lyrics "Augen dein, die lieblichen, die süßen. O dreimal glücklich" are written above the piano part. The score is in C major, 3/4 time, and marked "Moderato."

Figure 2: Excerpt from manuscript of Tekla Griebel Wandall's *Saphire sind die Augen dein* (The Royal Danish Library).

2 quickly challenges this impression by correcting D_b to D_2 over the dominant pedal. At the onset of the singing, F major is confirmed, but it is then challenged by F minor two beats later.

At this point, and throughout measures 3–4, a chromatically descending voice-leading pattern in the middle voices gradually transforms the initial F-major harmony. Figure 3 sketches the complex tonal trajectory of these two measures.

Because F is sustained as a pedal point throughout, there is a sense that the F harmony governs both measures, and that the chromatic transformations are “nothing but” voice-leading transformations on the way to some goal.¹³ At the same time, however, these transformations also imply a harmonic progression of their own, namely a sequence

13 Criticisms of Schenkerian “nothing-buttery” have been raised by for instance Charles Smith (1987, 192) and William Rothstein (1992).

also worthwhile taking seriously that the music is now locally oriented towards the functional center of B \flat major.

As the music continues in measures 5–6, the tonic pedal point is sustained even longer. Indeed, measures 5–6 can be interpreted as a long dominant $\frac{6}{4}$ suspension that finally resolves to a dominant-seventh chord on F (notice the jarring doubly-augmented octave at the down-beat of m. 6; see Figure 4):

Figure 4: Analysis of *Saphire*, mm. 5–6.

For most of the song thus far, the F-major chord has functioned not as local tonic, but as a dominant pointing towards B \flat major, and phrase structure invites us to think that it will finally arrive in m. 7. Instead, a somewhat surprising and disappointing B \flat *minor* arrives. Locally, the B \flat minor carries tonic function, and as such, the desire for the subdominant key has been fulfilled—albeit in an unexpected and unsatisfactory way. As the rest of the verse unfolds, tonal orientation shifts back to F, and in *temps espace*, the tonicized B \flat minor clearly functions as a predominant iv.¹⁵ Figure 5 shows this reading, abbreviating mm. 3–6

15 I understand the term *predominant* as a *temps espace* term that ultimately originates in twentieth-century Anglo-American reception and development of Schenkerian theory; i.e., I do *not* view it as originating in post-Riemannian function theories. See also Kirkegaard-Larsen (2020, 99–104); Hvidtfelt Nielsen (2024, I: 353).

and providing more detail in mm. 7–10.

It is striking that most of Figure 5 seems to conform more easily to F minor than to F major. The initial confusion of the global mode is also tangible in the large-scale structure, then, and in mm. 10–13, the brief piano interlude brings it to the foreground again by citing a varied repetition of the instrumental opening.

The second verse initially mimics the first: mm. 13–16 correspond to mm. 3–6, and the added m. 17 extends the tension and desire for B_♭ major further (see Figure 6).

Figure 5: Analysis of *Sapphire*, entire first verse (mm. 3–10).

Figure 6: Analysis of *Sapphire*, beginning of second verse (mm. 15–17).

Notice that measure 15 is harmonized differently from m. 5. Because the pedal point is less conspicuous here, it creates a fleeting sense of the functional cycle of T-Tg-S-T in relation to B_b major.¹⁶ However, the pedal point on F is present, and the passage is still to be understood as an expanded deferring of the dominant chord that arrives at the end of m. 16 (the parallel fifths in Figure 6 are of course avoided in the actual music).

From m. 18, something entirely new happens. Once again, the way has been paved for B_b major, but the music continues in a disappointing B_b minor—but two measures later, the promise for B_b major is finally followed up. Measure 20 oscillates between a tonic sixth chord and the subdominant in the key of B_b major, the key that has been desired for large parts of the song. This brief passage sounds like the beginning of an auxiliary cadence, and a final cadential confirmation of B_b major seems just around the corner. It is at this point, however, that the musical *Stimmungsbruch* occurs: A *forte* B_b minor abruptly cancels any hope for B_b major. The bass descends, doubling the melody, and culminates in jarring chords furnished with both *rinforzando*, accents, and *marcato*. The break of style is obvious, and one is reminded of Robert Hatten's proposition (cited above) that events which appear "inappropriate" in the context of the movement affords an ironic reading (Hatten 1994, 185).

It is interesting to notice Griebel's unconventional spelling of the chords in m. 22: even though the harmonies appear above C (and thus function as extensions of the dominant-seventh on C), E is spelled as F_b. It is hard to see this as anything other than yet another nod to the significance of B_b (major and minor) for the song. The dissonant sonori-

16 The label Tg warrants some explanation: I use it in the specifically Danish (and thus decidedly post-Riemannian) sense in which it signifies a passing chord (g standing for *gennemgang*) created by exchanging the root with the leading tone. It is equivalent to Riemann's *Leittonwechsellklang*, but in contrast to this, it is conceived monistically (e.g. without harmonic dualism), and as signifying a specific, paradigmatic extension of the tonic function through the progression I-iii. In other progressions, iii will have other labels. Tg is, incidentally, also the label used in the German tradition emanating from Riemann's students Hermann Grabner (1923; 1944) and Wilhelm Maler (1931). However, in this tradition, Tg means tonic *Gegenparallelklang* and is conceived as a mirror image of the *Parallelklang*, Tp. For more on the different ways to conceive of tonal relationality in function theories, see Kirkegaard-Larsen (2018).

ties are stacked in thirds, creating the visual impression of B \flat -chords. Furthermore, D \flat (the flattened ninth of C, but also the minor third of B \flat) reappear with accents, as if to underline that there will be no B \flat major at all here. Perhaps that is why the final F-major chord comes off as comically serene—as if nothing dramatic had just happened, serving as yet another *Stimmungsbruch* in the very last moment.¹⁷ A reading of the entire ending section can be seen in Figure 7.

Figure 7: Analysis of *Saphire*, end of second verse (mm. 18–23).

A final graph of the entire movement is presented in Figure 8. It retains certain foreground details which, from the perspective of function analysis, are crucial to the song. The graph underlines just how much of the song revolves around functional centers that do not correspond to the I *Stufe*. Tonal desire is burning throughout the song, and it all seems to emanate from the double role of F as tonic *Stufe* and non-tonic function.

Text-music relationship and tonal irony

The above analysis applied Schenkerian and functional methods without commenting on how the tonal aspects intersect with the lyrics.

¹⁷ I have been lucky enough to witness several performances of this song and can say that in all of these, the ending has indeed spurred laughter among the audience.

The figure displays a Schenkerian-Riemannian analysis of the entire movement of 'Saphire'. At the top, measure numbers 1-3, 5, 6, 7, 10, 13, 15, 16-17, 18, 19, 20, 21, 22, and 23 are listed in boxes. Below these, a series of symbols (5̂, 5̂, 4̂, b3̂, 2̂, 1̂) indicates the structural levels. The main part of the image consists of two staves: a treble clef staff with a piano accompaniment and a bass clef staff with a vocal line. Dashed lines and arrows connect specific notes in the vocal line to their corresponding chordal functions in the analysis below. The analysis is organized into five vertical columns corresponding to measures 1-3, 5, 6, 7, and 10-23. Each column contains a box with chord symbols and their functions. For example, in the first column, the top box shows 'F: T' and 'Bb: D4-3', with an arrow pointing from the '8-7' interval to the 'D4-3' chord. Below this, the Roman numeral 'I' is written. In the second column, the top box shows 'S' and 'D', with an arrow pointing from the '8-7' interval to the 'D' chord. Below this, the Roman numeral 'I' is written. In the third column, the top box shows 'T' and 'Bb: T', with an arrow pointing from the '8-7' interval to the 'Bb: T' chord. Below this, the Roman numeral 'iv' is written. In the fourth column, the top box shows 'Bbm: T', 'D7', 'Bb: T', 'S', and 'C: S6', with an arrow pointing from the '8-7' interval to the 'Bb: T' chord. Below this, the Roman numeral 'V' is written. In the fifth column, the top box shows 'F: D7b9-5' and 'T', with an arrow pointing from the '8-7' interval to the 'D7b9-5' chord. Below this, the Roman numeral 'I' is written.

Figure 8: Schenkerian-Riemannian analysis of *Saphire*, entire movement.

Still, it should be clear that the music creates a narrative of its own. The tonic F major is constantly cast in doubt: not only is its mode unstable (references to F minor appear in both foreground and background levels, not least in the *Urlinie* descent which uses $\flat\hat{3}$ instead of $\hat{3}$), it also does not function as local tonic in most of the song. From a function-theoretical *temps durée*-perspective, F-major chords more often function as dominant of B \flat (major or minor); however, from a *temps espace*-perspective, it remains the governing tonic *Stufe* throughout.

In Greimasian terms, the musical narrative seems to be $S \cup O$, just like in Heine's text. F major desires B \flat major but is unable to attain it. In this reading, S is the tonic *Stufe* I; the desire of the subject (the state of \cup) is manifested musically by letting the tonic *Stufe* retain its identity as subject while also imbuing it with non-tonic function throughout the song, constantly orienting it towards another tonic.

There is, then, an internal conflict between F as *Stufe* and F as function. I interpret this as Griebel's subtle musical depiction of the subject's desire in the poem. Much like in the poem, Griebel seems to imply throughout that the subdominant B \flat major (in the form of a cadentially confirmed local tonic function) is the object (O) of the

musical narrative—only to abruptly kill off any hope of reaching that object just when the (abandoned) auxiliary cadence in m. 20 seems to finally realize it. The object, it turns out, was not a blissful arrival at the major subdominant, but a violent disruption of it. This creates a parallel between the poem’s narrative structure and the music’s. They can both be understood as $S \cup O_1 \rightarrow S \cup O_2$: the tonic *Stufe* initially seems to desire the major subdominant key but reverts with great vigour at the last moment.

Since text and music have similar structural features, it seems viable to venture the hypothesis that the tonic *Stufe* represents the text’s narrator and protagonist; they blend together into one musico-poetic subject. Similarly, the desired key of B_{\flat} represents the desired sapphire-eyed woman, O_1 (O_2 , the killing of the happy man, is less tangibly defined as a key or *Stufe*, but the dissonant chords in m. 22 resemble a knife stabbing and makes the point clear nonetheless).

In my Schenkerian reading, I proposed that the *Kopfton* is $\hat{5}$ and that it is sustained for most of the song. Significant neighbor notes occur on D_{\sharp} and D_{\flat} , the exact tones that the piano prelude and interlude play around with (and the latter of which seems to “win” the battle in the final stabbing chords). Interestingly, the *Urlinie* descent begins just as the protagonist finally turns towards the happy man: “O kennt ich nur den glücklichen Mann”. The following near-confirmation of B_{\flat} major (the abandoned auxiliary cadence) coincides with the line “So recht allein in grünen Wald”. The protagonist imagines himself alone in the woods with the happy man; the desired key is almost reached; the music is *dolcissimo*; and the piano imitates bird trills. This creates a calm and peaceful mood, further amplifying the shock of the ensuing *Stimmungsbruch*.

Griebel captures Heine’s Romantic irony in two ways. The first, obvious to any casual first-time listener, is this exact *Stimmungsbruch*, the surprising uproar of dissonant chords that follows the calm scene in the woods and—further underlining the irony—the tranquil F-major ending. This functions as a *translation* of the poem’s irony to the realm of music. The *Stimmungsbruch* effects in the poem and the music are parallel in that they are both created by a sudden disruption of style, creating similar structural narratives of $S \cup O_1 \rightarrow S \cup O_2$.

The second way Griebel captures Heine's Romantic irony functions differently and can be described as a more intricate *transfer* of irony to tonality. This transference relies on the reading I have been advocating above: Throughout the song, there seems to be a sort of *double statement* about what the tonic function is *and* what the desired subject is. On the one hand, the tonic function is F major at all times (from the perspective of *Stufen*); on the other hand, the tonic function is B \flat major or minor most of the time (from the perspective of functions). The *Stufe* remains the governing entity in *temps espace*, but in *temps durée*, B \flat major or minor is the idealized and governing tonal center. This ultimately reinterprets Heine's poem and further underlines its Romantic-ironic qualities: The irony is not so much that the desired object is exchanged in a surprising turn of events; rather, the irony resides in the subject itself and in its internalized, delirious desire. In more than one way, the tonic (and thus the subject) becomes both thesis and antithesis. In Hugo Riemann's Hegelian dialectics, the tonic function was to be understood as *thesis* and the subdominant as *antithesis* (and the dominant as *synthesis*). In Griebel's *Saphire*, the F-major tonic initially functions as *thesis*, but it immediately points to the *antithesis* (the subdominant), and in the desire for this subverts its own logic and makes the subdominant into the local *thesis* instead. It is exactly because of this duality (the fact that I-IV can be understood as V-I—in functional terms as T-S *and* D-T) that Riemann proposed the dominant as synthesis, solving the ambiguity. Though the dominant does arrive at the ending of each verse, the ambiguity reigns until then (and even the arrival of the dominant retains some ambiguity: as seen Figure 8, m. 21, the structural dominant can also be interpreted as a fleeting tonic). In this way, ambiguity of thesis and antithesis—of subject and object—is a theme throughout the song in a way that closely corresponds to Ingrid Strohschneider-Kohrs's characteristic of Romantic irony as antithetical synthesis: "At the heart of artistic creation, irony serves as an 'antithetical synthesis'—the opposing-unifying action and movement" (Strohschneider-Kohrs 1960, 87; my translation).

Conclusions

It is characteristic of Tekla Griebel Wandall's music that it is often very direct and "head-on" in its musical interpretation of texts—a feature that was sometimes deemed as "too much" in her contemporary reception, but it can also be appreciated as a unique quality of her compositional style (Kirkegaard 2022b, 31–34). Indeed, vocal music (*Lieder*, operas, cantatas) make up most of her oeuvre, and her unpublished music-theoretical treatise *Microcosm of Tones* seem to explain why. For Griebel, music was always-already narrative, abstract tonal structures being imbued with meaning flowing from macrocosm—a philosophy of music which was ultimately based on her belief in the esoteric strand of Theosophy (ibid., 110–15). It is also characteristic of her music, however, that her direct and obvious tone-paintings are often coupled with a more subtle interpretation of the text at deeper structural levels (see also Kirkegaard-Larsen 2021). *Saphire sind die Augen dein* is a good example of both. The musical translation of the fundamental *Stimmungsbruch* is as obvious as it is effective and dramatic. Below this, a subtle reinterpretation of the poem's fundamental narrative also takes place: the irony is *tonally internalized* and becomes a feature not just of our surprise that the desired object is the happy man, but a feature of the subject itself.

If ambiguity is a characteristic of irony, then musical analysis ought to aim to capture it. I hope to have made the case in this analysis that Carl Schachter's stipulation of an either/or (Schachter 1990), while meaningful and necessary in a confined Schenkerian practice, can fruitfully be supplemented by a both/and by allowing, and seriously engaging in, methodological pluralism.

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Appendix:

Saphire sind die Augen dein

Heinrich Heine

Tekla Griebel Wandall

Moderato *espress.*

Sa - phi-re sind die Au-gen dein, die
lieb - li - chen, die süs - sen. O drei - mal glück - lich ist der Mann, den
sie mit Lie - be grüs - sen. Dein Herz, es ist ein Di - a - mant, der

2

8

ed - le Lich - ter sprü - het. O drei-mal glück-lich ist der Mann, für

stacc.

10

den es lie-bend glü - het. Ru-

13

bi - nen sind die Lip - pen dein, man kan nicht schön' - re se - hen. O

15

drei-mal glück-lich ist der Mann, dem Lie - be sie - ge - ste - hen.

innocente

Tonal Irony in Tekla Griebel Wandall's
Saphire sind die Augen dein

17 *poco rit.* *a tempo (ma duro)* 3
mf
O kennt ich nur den glück-lich-en Mann, o

accel. e cresc. *poco rit.* *a tempo*
legato *ten.* *ten.*
mf *ten.* *ten.*

19 *p* *f*
dass ich ihn nur fän - de, so recht al-lein im grü - nen Wald, sein

dolcissimo *f pesante*

21
Gluck hätt bald ein En-de.

rfz *allarg.* *a tempo* *leggiere*

PART III: PERFORMANCE, ANALYSIS AND EDITIONS

A Metric Puzzle in Sibelius's Violin Concerto¹

DAPHNE LEONG

In Sibelius's Violin Concerto—a cornerstone of the repertoire—the first movement reaches an expressive high point with its intensely lyrical second theme. The theme, while apparently simple, presents a metric conundrum: it is notated and barred in two distinct ways. As shown in Figure 1, one measure of 6/4 in the exposition corresponds to two measures of 2/2 in the recapitulation. Listening to the theme, however, the two iterations *sound* similar: both are transcendent outpourings of feeling.² Is the metric distinction then a mere notational

1 My thanks encompass a wide network. Lina Bahn, violinist, first approached me with this puzzle. My visit to the Sibelius Academy in September 2022 at the kind invitation of Lauri Suurpää motivated my further exploration; I thank Olli Väisälä, who thoughtfully pointed me to the concerto's 1904 version, and the students who participated in my workshop at the Sibelius Academy.

In addition to the violinists and violists with whom I collaborated (named in the body of the introduction), conductor-violinist Peter Oundjian and conductors Gary Lewis and Nicolas Waldvogel shared their thoughts, and Jonathan Leathwood, Violaine Melançon, and Alexandra Nguyen illuminated specific questions. Janet Schmalfeldt generously read an early version and made trenchant comments; Timo Virtanen kindly read a draft and provided practical assistance; the anonymous reviewers offered insightful perspectives. Jaakko Ilves granted permission to reproduce a sketch from the concerto. I am grateful to the editors for the opportunity to contribute to this Festschrift; it seems particularly appropriate given the origins of the project.

This work benefited from conversations arising from lecture-recitals at the University of Colorado Boulder (2023), the International Conference *Rhythm in Music* since 1900 (McGill University, 2023), the meeting of the Performance and Analysis Interest Group (Society for Music Theory and American Musicological Society Conference, Denver, 2023), the Barwick Distinguished Colloquium Series (Harvard University, 2024); and from colloquia at the University of California Santa Barbara (2024) and Texas Tech University (2024). I thank the students who participated in my seminars on rhythm and meter at the University of Colorado Boulder and at McGill University, from whom I gained many musical insights.

2 Clarke (2019, 160–63). On the popularity of the concerto, see, for instance, Haapakoski 1996 who found that from 1990 to 1996 the Sibelius Violin Concerto was the fifth most recorded violin concerto, after Tchaikovsky, Beethoven, Mendelssohn, and Brahms.

Exposition

6/4 102

Largamente

espress. *f affettuoso*

Recapitulation

373

mf *ma dolce* *affettuoso*

Figure 1. Secondary theme in two notated meters.

artefact, or does it carry a deeper meaning? In performance, does it ultimately matter?

Sibelius’s Violin Concerto is a dynamic network, transforming among modes that include (but are not limited to) composing, performing, and analyzing.³ To answer our questions, then, we will consider testimony from diverse agents. We will hear from the composer through his sketches, 1904 and 1905 versions of the concerto, and correspondence. We will explore performances, performers’ commentary, and performing editions. I will analyze these sources in order to probe relations between the two versions of the theme. My process is grounded in “getting my hands dirty,” as collaborative pianist, with violinists Jinjoo Cho,

3 On this transformational network view, see Leong (2016, [5]).

John Haspel Gilbert, Ken Hamao, and Victor Avila Luvsangenden and violists Jessica Bodner, Philipp Elssner, Edward Klorman, and Daniel Moore. I am grateful to these collaborators for helping me to experience these passages through rehearsal, performance, and discussion.

Within this “network-based ontology,”⁴ there can be no definitive key to Sibelius's metric puzzle. Rather, I construct my interpretation, and invite readers-performers-scholars-listeners to do the same.

Literature on Sibelius's concerto is ample. Source studies find excellent grounding in Timo Virtanen's (2014, 2017a) “Preface,” “Introduction,” and “Critical Commentary” to the Violin Concerto in *Jean Sibelius Complete Works* volumes 1 (violin and orchestra) and 1a (violin and piano). Virtanen thoroughly examines documentation of the concerto's genesis, revisions, publication, and early performances and reception. He discusses questions of performance as shown in autograph annotations and in correspondence regarding metronome markings and tempo. He also lists sketches.

Jukka Tiilikainen, as part of his 2004 treatment of the concerto's genesis, provides diplomatic transcriptions of manuscript material. Virtanen (2017b), in his discussion of Sibelius's sketches for the violin concerto, focuses on Sibelius's “mosaic method,” that is, Sibelius's habit of working simultaneously on multiple pieces in his sketches. I draw from both of these sources for manuscript facsimiles and sketch transcriptions.

Broader context for the concerto can be found in Tina Ramnarine's 2020 monograph, which addresses the concerto's cultural and political contexts and highlights its performing traditions, performers, and recordings. Erkki Salmenhaara (1996a and 1996b) describes Sibelius's background as violinist, along with the concerto's compositional and performance history; Salmenhaara (1996b) also details the concerto's form. Erik Tawaststjerna (1976) provides a broad history treating the concerto's biographical and compositional context, along with a de-

4 This term comes from Kane (2018); see also Bowen (1993).

scription of motives and form. Tomi Mäkelä (1995) compares Sibelius's concerto to four others in the "late classic-romantic tradition" and provides insights into the secondary theme's motivic connections.

Two analytical studies proved particularly helpful. Olli Väisälä (2017) illuminates tonal structure and its interplay with surface elements in his examination of Sibelius's 1904–1905 revision of the first movement. David Clarke (2019) views the first movement through a phenomenological lens, highlighting the secondary theme's emotional centrality.

Writers on Sibelius frequently mention his unique sense of time. Characteristic is Tim Howell's (2001, 40) remark that Sibelius's music "seems, at one and the same time, to be both static and dynamic, slow- and fast-moving, repetitive yet varied: in short, music that involves contradictory perceptions of time." Howell (1998) considers how Sibelius expresses both "time and timelessness" by synthesizing an active foreground (characterized by temporal variation) and a static background. Like Steven Harper (2003), who finds that Sibelius withholds a clear sense of meter in his tone poem *The Bard*, Howell proposes that Sibelius's particular control of temporality mark him as a progressive.

Tempo is a particular concern. For the Fifth Symphony, for instance, Hepokoski (1993) examines editions and performed tempi, while Lowe (2011) explores multi-movement form with an empirical tempo study. Väisänen (1998) examines early performance practices for several of Sibelius's orchestral works, drawing upon primary and secondary sources for Sibelius's own conducting and for contemporaneous performances, while making comparisons to more recent renditions. Pickett (2003) investigates Sibelius's statements concerning performed tempi in the Fourth Symphony in tandem with recordings made by prominent conductors during Sibelius's lifetime. Ueda (2023) considers historical sources and recordings to examine tempo, phrasing, and rhythm in the First Symphony. Fantapié (1995, 55–56), in an analysis of *The Oceanides* meant for conductors, points out the importance of the global tempo—"the stretching out and tightening up of musical time"—and the particular challenge of regulating the "superposed sound layers," "the secondary or merely implicit pulses." The question of both global tempo

and faster-moving pulses will prove particularly salient for our theme.

Finally, in a trio of articles, Tapio Kallio (1998, 2001, 2003) considers passages in which the perceived meter does not correspond to the notated meter. For the song “Im Feld ein Mädchen singt” he suggests the metrically deceptive opening reflects an interpretation of the song’s text; for the third movement of the First Symphony he finds resolution of the perceived meter to the written one; and for the openings of the Second and Third Symphonies he concludes that passages are metrically renotated (from their “actual” meters) in order to accommodate subsequent material. The situation in the violin concerto is richly nuanced, as we shall see, involving a counterpoint of pulses. Donald Tovey (1981, 207–08), speaking about the violin concerto, remarks that “the style of Sibelius is nowhere more distinguished than in its novel and inevitable cross-rhythms.” Tovey cites mm. 97b–100 in the first movement; we shall see later that the cross-rhythms in this passage were not at all “inevitable.”

Given the voluminous literature on the concerto, and the close attention paid to time, tempo, and notated meter in Sibelius’s music, it is particularly surprising that the metric puzzle in the iconic concerto has not yet been examined. This essay addresses that gap.

The reader is invited to refer throughout this essay to Figure 2, which compares the violin-piano score of the secondary theme in exposition and recapitulation. The score is taken from the critical edition (Sibelius 2017); it is not a reduction as Sibelius wrote the violin-piano score prior to orchestrating the work (Virtanen 2017a, ix). On the figure, $S^{1.0}$ and $S^{1.1}$ represent the secondary theme; $S^{1.0}$ introduces the theme proper, $S^{1.1}$.⁵ Corresponding passages in Figures 2a and 2b face one another.

Our discussion will begin with performers, move to the composer, then to the analyst, and finally back to performers.

5 Following Hepokoski and Darcy (2006), I use superscripts to indicate formal sections, here defined by thematic content and other elements of surface design, but not necessarily (unlike Hepokoski and Darcy) by cadences. For a detailed discussion of how Sibelius frequently avoids or obscures cadences in the concerto, see Väisälä (2017).

6
4

3 *Molto moderato e tranquillo*

S^{1.0}

93 *a*¹ *p* *a*² *mp*

98 *x* *tr* *mp* *poco f*

S^{1.1}

102 *a*¹ *Largamente* *espress.* *a*^{2'} *f affettuoso*

*x*¹ *mf* *x*²

106 *p* *x'(p)* *x'(p)* *dim.*

110 *mf* *mp* *p* *pp* *diminuendo*

mp *x'(p)* *sempre dim.* *pp*

Figure 2a. Secondary theme: exposition.

22

S^{1.0}

357 x^1 *p dolce* x^2 a^1 a^2 *pp*

365 x *p dolce* *forte*

S^{1.1}

373 x^1 x^2 a^1 $a^{2'}$ *mf ma dolce* *affettuoso*

381 *mp* $x'(p)$ $x(p)$

389 *dim.* *p dolce* *dim.* *poco dim.* *p* *pp*

Figure 2b. Secondary theme: recapitulation.

Conducting

Three video performances, chosen because one can see the conductors' gestures, illustrate conducting patterns. The internationally known performers are listed in Figure 3a.

The reader is invited to watch these excerpts (see Figure 3b for links and timestamps), in tandem with the scores in Figure 2. When listening, please pay attention not only to the violin soloist, but also to the orchestral lines.

year	violinist	conductor & orchestra	conducting pattern	
			exposition	recapitulation
2019	Janine Jansen	Christoph Eschenbach	6/4 (in 6)	2/2
		SWR Symphonieorchester		
2015	Leonidas Kavakos	Simon Rattle	6/4 (in 2, in 6)	2/2
		Berlin Philharmonic		
2009	Sarah Chang	Jaap van Zweden	in 4	2/2, two-m. hypermeter
		Radio Filharmonisch Orkest		

3a. Conducting patterns

performance	link	timestamps	
		exposition	recapitulation
Jansen/Eschenbach 2019	https://www.youtube.com/watch?v=iIafobNq-tU	4:00	13:17
Kavakos/Rattle 2015	https://www.digitalconcerthall.com/en/concert/20420	4:12	13:44
Chang/vanZweden 2009	https://www.youtube.com/watch?v=gpS_u5RvMpM	4:35	13:34

3b. Links and timestamps

Figure 3. Conducting patterns for the secondary theme.

As shown in Figure 3a, Christoph Eschenbach (2019) conducts the secondary theme ($S^{1,1}$ on Figure 2) as Sibelius has notated: the exposition in 6/4 (in six) and the recapitulation in 2/2. Simon Rattle (2015) conducts the exposition in 6/4, alternating between a large two and six beats per measure (the latter guiding the string chords); he conducts the recapitulation in 2/2. Jaap van Zweden (2009) conducts the exposition in four, and the recapitulation in 2/2 with a clear two-measure hypermeter, that is, roughly equivalent to the meter he gives in the exposition.

As can be seen in Figure 2, at $S^{1,1}$, conducting patterns align either with the soloist or with the orchestra. Conducting in six coordinates with the solo violinist and with the orchestra's answering chords (ex-

position, mm. 103, 105). The orchestra, however, must play its contrapuntal line in a 4-against-3 cross-rhythm. Conversely, conducting the exposition in four or the recapitulation in 2/2 grounds the orchestral line; the solo violin then plays in a 3-against-2 cross-rhythm.

Sibelius himself conducted the 1904 version of the concerto several times (including the premiere and two repeat performances), and the final, 1905, version once (March 1924, with violinist Julius Ruthström and the Royal Stockholm Philharmonic).⁶ His conducting annotations do not tell us much about how he conducted the passages under discussion, although they do show that he thought of the material in a large duple. In the 1904 version, as we shall see later, the secondary theme occurs in 6/4 only, without cross-rhythms. Sibelius's 1904 autograph score contains two penciled conducting notes pertaining to secondary-theme material: the somewhat abrupt bassoon motive in triplet quarter notes (Figure 6d, m. 323) that precedes the secondary-theme area in the recapitulation is marked "2" [that is, in two], while the transitional material (m. 349, not shown) that follows that secondary-theme statement is marked "6/4" (which is also the notated meter).⁷ Responding to a query from his publisher Lienau about the 1905 version, Sibelius indicated that the triplet half notes following the secondary theme proper should be felt as subdivisions of a larger beat:

12 bars before number 11, the following should be printed as a footnote: beat whole bars (allegro, stringendo). At the solemn motive, the triplets are stringendo and 'colla parte,' and thereby sound like quarter triplets.⁸

While Sibelius had no advanced training in conducting, Väisänen (1998, 130) observes that he communicated his music "both to the orchestra

6 Virtanen (2017b, 374); Virtanen (2014, ix, xii); Salmehaara (1996a) and (1996b, 40-42); see also the website of the Royal Stockholm Philharmonic: <https://www.konserthuset.se/en/about-us/our-operation/festivals/grande-finale/liner-notes-and-curious-facts/violin-concerto/>, accessed 12 July 2024.

7 Virtanen (2014, 262).

8 Virtanen (2017a, 96); this footnote does not appear in any printings of the score.

and to the audience in a very powerful way, both in details and especially in its larger sweep.”

Composing

In his chapter on the genesis of Sibelius’s *Violin Concerto*, Jukka Tiilikainen (2004, 71) writes, “From the evidence of his notebooks, sketches and thematic memos, there is no doubt that Sibelius ... began with a musical theme.” Sibelius often notated themes as they came to him—with a clear melodic identity—but sometimes without rhythm or meter (Kallio 2001, 275). This omission could imply that rhythm and meter were self-evident or, conversely, that they were to be determined based on contextual considerations. I argue that both are true to some degree for our secondary theme.

The manuscript material for the *Violin Concerto* is voluminous, and often difficult to date.⁹ For the secondary theme, we find thematic sketches and drafts of more extended passages. Before surveying the exploration of meter and rhythm in these materials, I offer a birds’-eye view.

Figure 4 shows the theme’s basic pitch and rhythmic-metric profile, in C major. In his compositional working out, Sibelius maintains the large duple pulse shown above the staff. He experiments with the pulse’s subdivisions (into quadruple or triple), the metric status of the triple subdivisions (triplets or metric pulses), and the size of the measure (and hence metric level), leaving traces of at least seven rhythmic-metric configurations. These configurations are represented, via their three-note head motives, in Figure 5. All except the first divide a larger pulse by three; these three’s occur as triplets (against the notated meter), or as part of the meter. The larger pulse itself appears as a whole measure (Figure 5a, f, g), half a measure (Figure 5b, c, e), or a quarter of a measure (Figure 5d). Figures 5a–d and 5f occur in sketches or drafts, while Figures 5e–g as well as Figure 5c are found

9 Tiilikainen (2004, 248); Virtanen (2017b, 364). See Virtanen (2014) and (2017a) for lists of sketches.

in the published versions.¹⁰



Figure 4. Secondary theme: pitch and rhythmic-metric profile.

	head motive	portion of measure	source
a.	$\left[\frac{4}{4} \right]$ ♩ ♪ ♪ ♪	1	sketch: HUL 0463
b.	$\left[\frac{4}{4} \right]$ ♪ ♪ ♪ ³	1/2	sketch: HUL 1558
c.	$\frac{6}{4}$ ♪ ♪ ♪	1/2	draft: HUL 0479 1904: m.113-, 1905: m.75-, 94-
d.	$\frac{4}{4}$ ♪ ♪ ♪ ⁽³⁾	1/4	draft: HUL 0471
e.	$\frac{2}{2}$ ♪ ♪ ♪ ³	1/2	1904: m.323, 325
f.	$\frac{3}{2}$ ♪ ♪ ♪	1	draft: HUL 0460 1904: m. 75-
g.	$\frac{2}{2}$ ♪ ♪ ♪ ³	1	1905: m.359-

Figure 5. Secondary-theme material: rhythmic-metric configurations.

¹⁰ HUL indicates manuscripts at the Helsinki University Library.

Figures 5e and 5f are found in material closely related to the secondary theme, but not in the secondary theme proper. See Virtanen (2017a, xxiv) for a facsimile from HUL 0460 (Figure 5f). Tiilikainen (2004, 72) also mentions other sketches of the secondary theme itself in 3/2 or 6/4, which I have not seen.

An early sketch (Figure 6a) shows the theme's large pulse subdivided into four quarter notes. In Figure 6b quarter-note triplets counter the meter. The continuity draft in Figure 6c turns the triplet quarters into 6/4 meter. (This passage is faithfully reproduced in the 1904 recapitulation, as the transition from primary to secondary themes;¹¹ the draft's blank measures are replaced by the bassoon playing thematic material in 2/2 [shown in Figure 6d], in quarter-note triplets.) In a two-page draft for the concerto's second movement (Figure 6e, see boxes on figure), the theme appears in an implied compound quadruple meter (12/8), notated in 4/4 against a simple eighth-note cross-rhythm. Thus, while retaining its overall metric contour, the theme fluctuates in the duple/triple nature of its subdivisions, the duple/triple nature of its background meter, and its metric level (three pitches take up one measure, half a measure, a quarter of a measure). Tempo is yet another variable, which we will address later.

The finished concerto exists in two versions: 1904, the original, and 1905, the final (well-known) version. Violinist Viktor Nováček premiered the concerto on 8 February 1904 in Helsinki with Sibelius conducting the Helsinki Philharmonic Society Orchestra (Virtanen 2014, ix); the concert was repeated on 10 and 14 February 1904. Reception was largely positive, although Karl Flodin wrote a scathing review of the premiere.¹²

Within a few months, Sibelius had withdrawn the concerto in order to revise it.¹³ He told his publisher, Robert Lienau, that he would remake the piece.¹⁴ The first movement—especially the secondary-theme ar-

11 See mm. 317-30; key and pitch are preserved (though the cello is an octave lower).

12 See Virtanen (2014, x) for a summary of Flodin's review. Among other criticisms, Flodin compares Sibelius's concerto unfavorably to those by Beethoven, Mendelssohn, Bruch, Brahms, and Tchaikovsky—"all of which contain one or more melodic shapes which give the concertos their characteristic charm, indeed, their full profile of properties, so that these melodic motives immediately come back to mind when one recalls one of the above-mentioned violin concertos. But Mr. Sibelius has no such individual tone, which would become the noble coat of arms of the composition."

13 "I shall withdraw the concerto; it will appear only after two years... The first movement shall be revised ..." (letter to Axel Carpelan, 3 June 1904, translated in Virtanen 2017a, x).

14 "Das Violinconcert mache ich fast neu" (NA, SFA, file box 46. n.d., quoted in Virtanen

ea—gave Sibelius the most trouble. He wrote to his wife Aino, “The first movement makes me conflicted. The others are fairly clear to me”; and a few months later, to his friend and patron Axel Carpelan, “The second theme in the [first movement of the] Concerto is now clear. If I can just get past the first movement, everything will proceed by itself.”¹⁵ The extent of revisions to the first movement are reflected in the 1905 autograph violin-piano score: Sibelius rewrote the first movement wholesale but for the second and third movements revised a scribal copy of the 1904 version.¹⁶

Sibelius reshaped the first movement's architecture, particularly that of the secondary-theme area, in 1905. Figure 7 compares the secondary-theme area in 1904 to that in 1905. Italicized font indicates material retained from 1904 to 1905. The transition TR^S is based on S material and also functions, particularly in the recapitulation, as another S episode. (C, the closing theme, is included to demarcate the end of the secondary-theme area.)

As shown in the figure, Sibelius initially conceived of the secondary-theme area as a series of episodes. In the 1904 exposition, a “Mendelssohnian” episode¹⁷ follows the transition (TR^S) and precedes the theme proper and its introduction (S^{1.1} and S^{1.0} respectively). In the 1904 recapitulation, the episodic order is reversed: the theme proper *precedes* the TR^S material and Mendelssohnian sections, and an additional S^{1.2} section leads to a weighty cadenza that explores second-

2014, x, xv).

15 The first statement (26 Jan 1905) is cited in Virtanen (2017a, x); the second (April 1905) in Virtanen (2014, x).

16 Virtanen (2017a, 93–94). Sibelius's attention to the secondary-theme area is also reflected in the sketches: of the c. 283 measures of violin-piano score sketches for the first movement listed by Virtanen (2017a, 109), almost half (c. 135 measures) deal with the secondary theme in the exposition, with many separate sketches addressing what I will call TR^S, the transition between primary and secondary themes (c. 80 measures of the 135).

17 Features of this episode—the clarinet's ascending arpeggio and the solo violin's figuration—call to mind Mendelssohn's Violin Concerto: see the clarinet arpeggiations near the end of Mendelssohn's third movement and the solo violin's arpeggiations beginning that movement's *allegro molto vivace*.



6a. HUL 0463, p. [1].



6b. HUL 1558, p. [2].

6c. HUL 0479, p. [5].

321

Fg. Fg. Cl. *espress.* **Tranquillo** (♩=♩)

dim. molto *mp* *pp* *p*

Timp. (*tr*)

diminuendo molto *p* *diminuendo sempre*

Vc. *f* *mf* Cor. *pizz.* Vc. *p*

Cb. *diminuendo molto* *mp* *pp* Cb.

6d. 1904 version, mm. 321-30: bassoon replacing draft's blank measures.

Figure 6. Secondary-theme material: sketches and drafts (diplomatic transcriptions in Figures 6a - 6c from Tiilikainen 2004, 72, 74; reproduced with permission of Cambridge University Press through PLSclear).

Adagio sostenuto

The image shows a page of handwritten musical notation for the Adagio sostenuto movement of Sibelius's Violin Concerto. The score is written on multiple staves. At the top, the tempo marking "Adagio sostenuto" is written in cursive. The notation includes various musical symbols such as notes, rests, and dynamic markings. Two sections of the score are highlighted with blue boxes: one in the upper right and one in the lower left. The manuscript shows signs of being a draft, with some ink bleed-through and corrections.

6e. HUL 0471, p. [1] (Facsimile D from Sibelius 2014, xxxi. The National Library of Finland. Reproduced by kind permission of Jaakko Ilves.)

Figure 6 (cont.). Secondary-theme material: sketches and drafts.

	1904	1905
	<i>m.</i>	<i>m.</i>
Exposition		
<i>TR^S</i>	75	75
“Mend.”	103	—
<i>S^{1.0}</i>	115	94*
<i>S^{1.1}</i>	123	102* extended
<hr/>		
C	138	127
Recapitulation		
(trans. mat.)	(323)	
<i>S^{1.0}</i>	330	357*
<i>S^{1.1}</i>	337	373*
(trans. mat.)	349	
<i>TR^S</i>	353	—
“Mend.”	362	—
<i>S^{1.2}</i>	372	—
cadenza	394	—
<hr/>		
C	458	417

Figure 7. Secondary-theme area in 1904 and 1905
(TR = transition; S = secondary theme; C = closing theme, * = counter-theme).

ary-theme material contrapuntally.¹⁸ In 1905, Sibelius greatly streamlined the secondary-theme area, excising all of this material except for the expository *TR^S* and the theme proper with its introduction (*S^{1.0}* and *S^{1.1}*).

The theme proper itself is transformed. Figure 8 shows *S^{1.1}* in 1904: a graceful melody that consists of only four measures, in major (followed

18 This cadenza (which does not appear in 1905) is often called a “second” cadenza, falling after the mini-cadenza of the exposition and the first cadenza comprising the sonata form’s development section.

Figure 8. Secondary theme, 1904, exposition, mm. 122–26.

by transitional material). The theme expresses common characteristics of the rustic pastoral: a simple melody with balanced phrase structure, in a leisurely compound duple meter, articulated (preceding this passage) by paired winds, often in 3rds or 6ths, sometimes with a drone-like bass. *Pizzicati* provide a rustic touch.¹⁹ The theme remains in 6/4 in both exposition and recapitulation.

The theme becomes much more substantial in 1905 (see Figure 2a, S^{1.1}). The four measures of 1904 (a¹) are extended by a consequent (a²) that moves to the minor mode, up to scale degree 5 from scale degree 3 and to octaves from sixths, before plunging to the intense depths of the violin's low register in a single line that is subsequently echoed and fragmented. And Sibelius introduces a game changer: a counter-theme (x) in quadruple meter. It is with this counter-theme that the violin soloist enters the secondary-theme area (m. 98), and with this counter-theme that the orchestra counterpoints the violin's main theme (m. 102). It is difficult to overstate the rhythmic and expressive effect of this new counterpoint: no longer is the secondary theme an uncomplicated lilting

19 Winds in 6ths occur in the recapitulation. See Monelle (2006, 229–71), for a historical survey of the pastoral in music, including extensions to “new pastorals.”

melody, but an utterance of emotional depth and range, taut against a contrasting duple pulse.

The give-and-take of orchestra and soloist in this passage also reflects a core change from 1904 to 1905. In 1904 soloist and orchestra frequently play highly asymmetrical roles: the violin ornaments orchestral sections TR^S and S^{1.0}; while the orchestra accompanies the violinist's mini-cadenza, the Mendelssohnian episode, and, notably, the secondary theme proper (S^{1.1}). In the 1905 version, these asymmetrical sections are pruned, cut, or rebalanced contrapuntally so that soloist and orchestra, when present together, play more equally weighted roles. Thus, the secondary-theme area, from a series of display episodes with a dedicated cadenza, becomes a rhetorical focus within a tight symphonic trajectory.²⁰

As Tiilikainen (2004, 80) and others point out, the 1904 concerto tapped into Sibelius's youthful dreams of becoming a violin virtuoso. But "in the revision the subjective violinist-composer was replaced by the objective symphonist, who streamlined the concerto's 'marvellous themes' with a relentless self-critique and unified the work."²¹

Analyzing

The remainder of this essay will focus on the final, 1905, version of the concerto. We will consider just how the secondary theme differs between exposition and recapitulation, weighing the import of these differences.

20 In 1943 Sibelius even told his son-in-law, the conductor Jussi Jalas: "the accompaniment of the violin concerto shall be rehearsed like a symphony"—though in 1930 he worried about the orchestra being too heavy. "I would still like to alter the orchestral accompaniment. It is too heavy. Like a symphony." (The first statement is recorded in Jalas's 1943 notes, NA, SFA, file box 1; the latter is found in a letter to Sibelius's publisher Robert Lienau. Both are cited in Virtanen 2014, xiii, xvii.)

21 See Tawastjerna (1976, 279–282) for a similar sentiment.

form and metric ground

In 1905, the secondary theme is transformed by its context. The new counter-theme alters not only the theme's affect, but also the metric balance from exposition to recapitulation. That is, in the recapitulation, the metric ground flips from theme to counter-theme. To see this, we will need to examine the formal layout of the 1905 movement. In our discussion, P will indicate the primary theme, TR the transition, S the secondary theme, and C the closing theme. As before, superscripts indicate sections and subsections.

We note first that Sibelius transforms the formal functions of his motivic material freely.²² As shown in Figure 9a, the Primary theme begins with a striking motivic shape ($\hat{4}-\hat{5}-\hat{1}$). This motive reappears (Figure 9b) in the Secondary-theme area, at the end of the viola's counter-theme. The entire viola motive then transforms (Figure 9c) in affect and tempo to become the Closing theme.²³

Such functional transformation complicates identification of the movement's transitions. In the exposition, a strong perfect authentic cadence in D minor closes the Primary-theme area and begins the Transition (Figure 10a), which characteristically moves forward, leading eventually to the key area of $S^{1.0}$, B \flat major. (The move forward is underlined by the change to a purely orchestral texture.) The Transition presents material closely tied to the Secondary theme, however, so much so that many writers identify it as a module of the Secondary theme. The similarities can be clearly seen by comparing Figure 10b (the middle of the Transition) to Figure 10c (the Secondary theme proper). I therefore call this section TR^S, the superscript indicating

22 This is a well-known Sibelian compositional trait; see, for instance, Laufer (1999, 148), who calls the technique "developing transition."

23 Mäkelä 1995 considers this theme part of the Secondary-theme area, but the structural EEC ("essential expositional closure") cadence at the beginning of the Closing theme marks its function as post-cadential. See Väisälä 2017. The Closing theme's dotted rhythm later reappears in the counter-theme in the recapitulation. (I thank Ken Hamao for this observation.) Perhaps Sibelius "smoothed out" the closing theme's rhythm in borrowing the melody for the counter-theme in the exposition.

a. P¹

Allegro moderato

VI. solo

mf dolce ed espress.

Pn.

b. S^{1.1} - counter-theme

109

c. C^{1.1}

127

f

Figure 9. Thematic transformation: scale degrees 4-5-1.

the strong connection to the Secondary theme.²⁴

In the recapitulation, a cadence (here a Phrygian half cadence) similarly closes the Primary-theme area and begins the Transition, which, as expected, leads to the B major of S^{1.0}. This Transition, however, uses P and not S material—and builds it to a resounding climax. Again, the nature of the motivic material has led some analysts to identify the section as part of the Primary theme.²⁵ I call this section TR^P.

In neither exposition nor recapitulation do the Transitions cadence prior to the Secondary theme.²⁶ Rather, as mentioned above, they lead

24 Salmenhaara (1996b, 29) calls TR^S part of the secondary theme; Mäkelä (1995) finds a “second-subject area” beginning at TR^S, with the soloist “giving [the subject] expressive completion” at m. 102. Tiilikainen (2004, 72) similarly writes that TR^S begins a “second-subject group” with a series of melodic variations that culminate in the second subject proper. Others (for instance, Tawaststjerna 1976, 282–83; Clarke 2019) call TR^S a transition, and locate the secondary theme at my S¹.

25 Mäkelä (1995, 129), for instance, indicates that there is no transition.

26 There are no Medial Caesurae, defying Hepokoski and Darcy’s (2006, 52) requirement

a. TR^S (beginning)

b. TR^S (m. 82)

c. S^{1.1} (theme proper)

Figure 10. Thematic transformation: Secondary-theme material.

to the key of S^{1.0}, which itself acts as a dominant to ii, that is, to the cadential progression ii-V-I that *begins* the Secondary theme proper (S^{1.1}).²⁷

Figure 11 compares the formal layout of the exposition and the recapitulation; horizontal proportions roughly correspond to temporal ones. In the exposition, it is at the transition section TR^S—based on S material—that the notated meter changes from 2/2 to 6/4 (keeping the quarter note constant). In the recapitulation, instead of TR^S, a heroic transition TR^P—based on P material—precedes the S theme. The notated meter remains the same—2/2—throughout the recapitulation. The

for a secondary theme: “If there is no medial caesura, there is no secondary theme.” Given the rhetorical prominence and “musical clearing” that sets up the theme (Clarke 2019, 160), it is difficult to deny it secondary-theme status, despite the movement’s unconventional harmonic trajectory and cadential treatment.

²⁷ On this *opening* use of the cadential ii-V-I, the Phrygian half cadence beginning the recapitulatory transition, and Sibelius’s unconventional treatment of cadences in the movement, see Väisälä (2017).

Exposition

m. 1	4	33	(53)	59	75	94	102	127	147	175	223
P¹	P²	mini-cad.	TR^S	S^{1.0}	S^{1.1}	C^{1.1}	C^{1.2}	C^{1.3}			/
<i>Allegro moderato</i>	<i>Largamente</i> - <i>Tempo I</i>		<i>Molto mod.</i> <i>e tranquillo</i>	<i>Largamente</i>	<i>Allegro molto</i>						

2/2 6/4 2/2

d: PAC B^b: D^b: b^b: EEC

Recapitulation

m. 271	304	324	356	373	421	441	469	485	499
P¹	P²	TR^P	S^{1.0}	S^{1.1}	C^{1.1}	C^{1.2}	(P) C^{1.3}		//
<i>Allegro moderato</i>					<i>Allegro molto vivace</i>				

2/2

g: (d:) HC B: D: d: ESC

11a. Form.

Jansen/Eschenbach (2019): <https://www.youtube.com/watch?v=iIafobNq-tU>

TR^S beginning: 3:12 - 3:36

TR^P end: 12:52 - 13:16

11b. Audio.

Figure 11. Form: Exposition and Recapitulation.

reader may wish to listen to TR^S and TR^P at the link given on the example; TR^S clearly expresses 6/4 and TR^P, with a full brass section, 2/2.²⁸

Figure 12 zooms in on the approach to S^{1.1} in exposition and recapitulation; these annotations also appear on the score in Figure 2. Lower-case “a” represents the theme (in 6/4 or compound duple); a¹ labels material centered on scale degree 3, and a² that centered on scale degree 5. Lower-case “x” indicates the counter-theme (in simple quadruple); x, x¹, and x² each rise approximately through an octave; x'(p) consists of the counter-theme head motive closing with the P motive. Arabic

28 Mäkelä (1995) points out the unusual heft of the orchestra, which features three trombones.

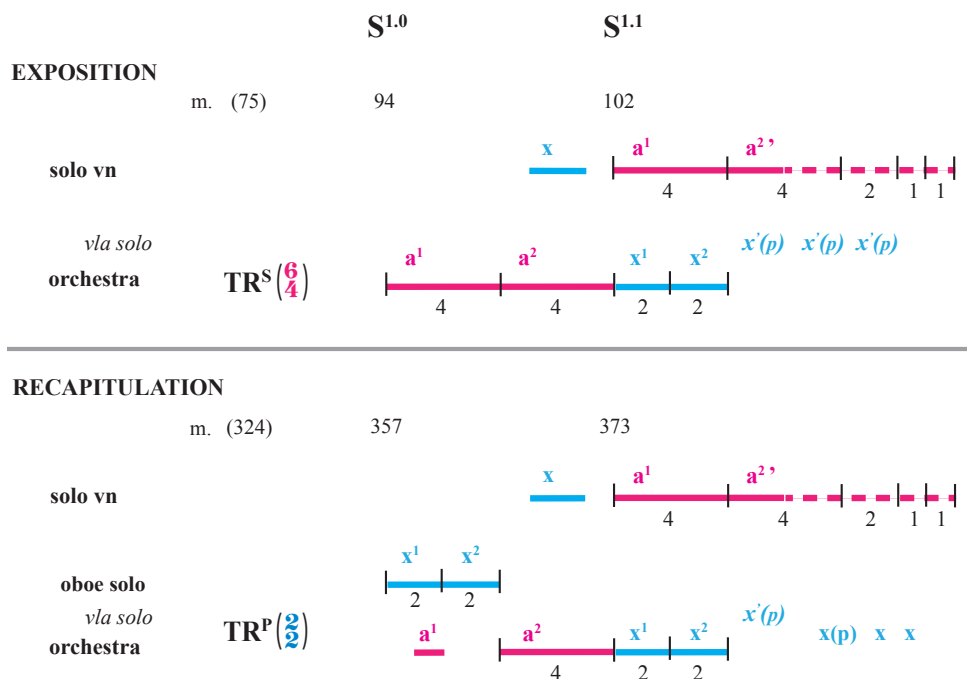


Figure 12. Metric context.

numerals 4, 2, and 1 indicate numbers of measures (the recapitulation's double measures are counted as single measures, to correspond to the exposition).

Metric foreground and background switch, from the exposition's 6/4 context to the recapitulation's 2/2 setting. In the exposition, the lengthy TR^S transition in 6/4 prepares the theme proper; at S^{1.0} the orchestra's "a" material, still in 6/4, introduces it. When the solo violin enters with counter-theme x, its quadruple rhythm thus subverts the predominant 6/4. And when the orchestra then takes the counter-theme at S^{1.1} it, too, resists the main theme's 6/4 flow.

In the recapitulation, the heroic TR^P proclaims a bold 2/2. There is no motivic transition (Mäkelä 1995, 129); P material simply fades out,

and the oboe solo begins $S^{1.0}$ with counter-theme x, also in 2/2.²⁹ (The cello section comments with a¹ material in half-note triplets.) When the solo violin enters this time, the quadruple rhythm of its counter-theme x simply carries on that of the oboe. At $S^{1.1}$, then, perhaps the solo violin's compound duple functions differently from before; perhaps it broadens and sweetens the orchestra's 2/2, rather than underlying it.

tempo and sense of time



The movement's tempo trajectory goes hand-in-hand with the two different metric notations of the secondary theme. Figure 13 contrasts the notated tempo changes in exposition and recapitulation. (Horizontal proportions in the secondary-theme area have been tripled, to provide room for annotations.) In the exposition, the tempo slows from the Primary theme's *Allegro* 2/2 first by modulating, at TR^S , to 6/4 (keeping the quarter note constant), then through the *allargando al Molto moderato* ($S^{1.0}$), finally reaching *Largamente* ($S^{1.1}$). In the recapitulation, the direct move from Primary- to Secondary-theme material allows Sibelius to use the notational technique of the *double measure*. Two notated measures represent one "actual" measure, slowing the tempo without changing the notated meter or the tempo indication.³⁰ The Primary theme's *Allegro* 2/2 thus remains in effect throughout—but the tempo is halved "under the table." (As a corollary, the recapitulation's open noteheads suggest an "exalted" affect, in comparison to the "terrestrial" connotations of the exposition's black-note 6/4.³¹)

29 The seam between TR^P and S seems to have caused Sibelius trouble initially: as we saw in Figures 6c and 6d he left blank measures at this spot in the continuity draft, completing them in 1904 with the slightly abrupt insertion of bassoons playing a double-tempo S motive.

30 Mirka 2013 traces the developing independence of notated and actual meters (which she calls "composed meters") in Classical practice, showing how their decoupling facilitated stylistic cross-references. Such cross-references certainly feature in Sibelius's secondary theme. For the *double measure*, see Mirka (2013, 365 ff.).

31 See Allanbrook 1983, 22 and Mirka 2013, 360–61. In the 1904 exposition, TR^S is notated in 3/2 half notes, with whole note = dotted whole note, equivalent to the double measure in the 1905 recapitulation. In 1905, Sibelius saves

Exposition

m. 14	33	(53) 59	75	94	102
P¹	P²	mini-cad.	TR^S	S^{1.0}	S^{1.1}
<i>Allegro moderato</i>		<i>Largamente</i> *		<i>allarg. Molto mod. Largamente</i>	
		- *Tempo I		<i>al. e tranquillo</i>	
					

Recapitulation



m. 271	304	324	356	373
P¹	P²	TR^P	S^{1.0}	S^{1.1}
<i>Allegro moderato</i>				
				

Figure 13. Tempo changes in exposition and recapitulation: primary- to secondary-theme areas (horizontal brackets indicate temporal proportions, by notated measure, x3).

Performed tempo was a primary concern for Sibelius, as we shall see later. So let us consider how performers interpret these tempo indications. We'll consider seven renditions: four modern and three historical. To the three live modern performances discussed earlier under "Conducting," we add Hilary Hahn's live 2022 performance with Nicholas Collon and the Finnish Radio Symphony Orchestra, for a tempo trajectory that differs from the others. For historical recordings, we reference Jascha Heifetz's 1935 recording with Sir Thomas Beecham and the London Philharmonic Orchestra, the iconic first recording, which "established [the concerto] as core repertory for virtuoso violin-

this more weighty version for the recapitulation.

ists” (Ramnarine 2020, 89). Anja Ignatius’s 1943 recording with Armas Järnefelt and the Städtisches Orchester Berlin was the first to feature a Finnish violinist; Sibelius had proposed that Ignatius and Järnefelt (his brother-in-law) record the concerto for Deutsche Grammophon (Salmenhaara 1996b, 40-42; Virtanen 2014, xiii). Tossy Spivakovsky made an acclaimed if somewhat idiosyncratic recording in 1959 with Tauno Hannikainen and the London Symphony Orchestra (Ramnarine 2020, 90). This small sample, though by no means comprehensive, provides a view of different modern and historical approaches to tempo in our passages.

Figure 14 lists performed tempi for key points in the tempo trajectory shown in Figure 13.³² Figure 15 interprets this data. Based on the score alone, TR^S should be .67 of the opening tempo at P¹. But since all of our renditions take the *Tempo I* immediately preceding TR^S more quickly than the opening tempo (and most accelerate through mm. 71–74), TR^S is often performed at close to the opening tempo (Figure 15a).

a. EXPOSITION	P1	Tempo I		TR ^S	S1.0	S1.1
	♩	m. 71	m. 74	♩	♩	♩
Jansen/Eschenbach (2019)	54	67	67	48	37	30
Kavakos/Rattle (2015)	50	62	68	47	29.5	27.5
Chang/vanZweden (2009)	52	59	73	50	36	27.5
Heifetz/Beecham (1935)	70	78	81	64	40	46
Spivakovsky/Hannikainen (1959)	54	69	72	55	36	38
Ignatius/Jarnefelt (1943)	54	63	72	42	29.5	29.5
Hahn/Collon (2022)	59	64	64	46	35	30

b. RECAPITULATION	P1		TR ^P	S1.0		S1.1	
	♩		♩	♩	♩	♩	♩
Jansen/Eschenbach (2019)	54		59	58	29	53	26.5
Kavakos/Rattle (2015)	53		61	62	31	51	25.5
Chang/vanZweden (2009)	55		64	60	30	60	30
Heifetz/Beecham (1935)	71		68	64	32	71	35.5
Spivakovsky/Hannikainen (1959)	54		61	65	32.5	71	35.5
Ignatius/Jarnefelt (1943)	60.5		58	59	29.5	54	27
Hahn/Collon (2022)	59		59	56	28	53	26.5

Figure 14. Performed tempi (bpm).

³² See the Appendix for a description of the methodology used.

PERFORMANCE / RECORDING	a. EXPOS	b. S ^{1.1} / P1		c. RECAP / EXPOS	
	TR ^S / P1	in Expos	in Recap	P1	S ^{1.1}
Jansen/Eschenbach (2019)	0.89	0.56	0.49	1.00	0.88
Kavakos/Rattle (2015)	0.94	0.55	0.48	1.06	0.93
Chang/vanZweden (2009)	0.96	0.53	0.55	1.06	1.09
Heifetz/Beecham (1935)	0.91	0.66	0.50	1.01	0.77
Spivakovsky/Hannikainen (1959)	1.02	0.70	0.66	1.00	0.93
Ignatius/Jarnefelt (1943)	0.78	0.55	0.45	1.12	0.92
Hahn/Collon (2022)	0.78	0.51	0.45	1.00	0.88

Figure 15. Performed tempi: comparisons within performances.

We are primarily interested, though, in S^{1.1}, the secondary theme proper, and its relative tempi. Figure 15b compares S^{1.1} in the exposition with the exposition opening, and S^{1.1} in the recapitulation with the recapitulation opening.³³ Without exception, the tempo at exposition S^{1.1} is faster than half of the opening exposition tempo. In contrast, most of the recapitulation S^{1.1} tempi are *slower* than half of their opening recapitulation tempi. (The exceptions are Heifetz/Beecham, at exactly half tempo; Chang/vanZweden, faster at .55; and Spivakovsky/Hannikainen, faster still, at .66.) And as shown in Figure 15c, S^{1.1} is, with but one exception, slower in the recapitulation than in the exposition.

Figure 16 pairs similar tempo approaches to show a bit more detail. Each graph's horizontal axis aligns with the formal diagram at the top of the figure. Plotted dots show points at which tempi were measured. Lines on the graph connect points for easier viewing; they do not represent tempo in between points. A horizontal reference line at 50 bpm facilitates absolute tempo comparisons. For the recapitulation S^{1.0} and S^{1.1}, I graph the tempo of the measure (half that of the notated pulse) for easier comparison with the exposition.

Heifetz/Beecham (Figure 16a) take a tempo far faster than the others (beginning at 70 bpm), but resemble Spivakovsky/Hannikainen in many other aspects of pacing. In the exposition, both slow drastically from TR^S to S^{1.0}, then, unlike all the others, speed up to S^{1.1}. Their re-

33 To keep the two S^{1.1} tempi commensurate, for the recapitulation S^{1.1} I use the tempo of the notated measure.

Exposition

m. 14 33 (53) 59 75 94 102

P¹ **P²** mini-cad. **TR^S** **S^{1.0}** **S^{1.1}**

Allegro moderato *Largamente* *
- *Tempo ↓

allarg. Molto mod. Largamente
al. e tranquillo

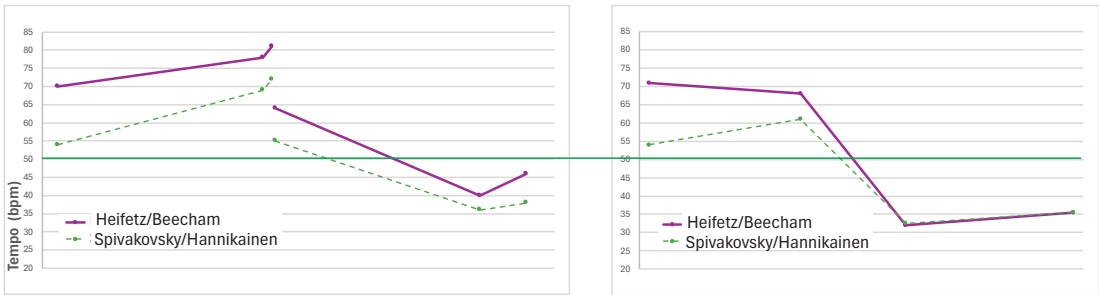
Recapitulation

271 304 324 356 373

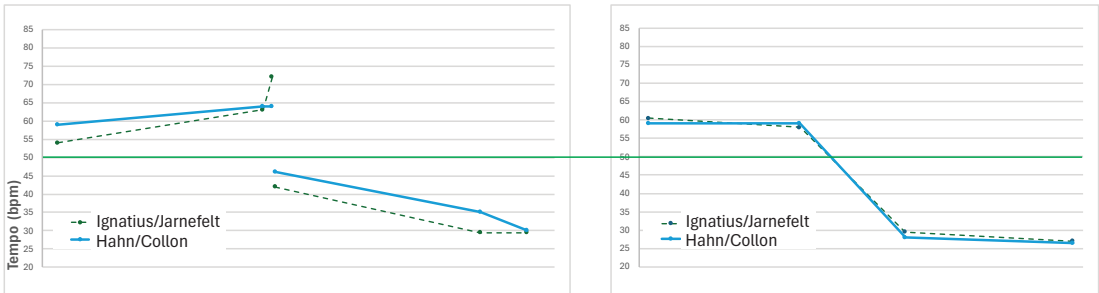
P¹ **P²** **TR^P** **S^{1.0}** **S^{1.1}**

Allegro moderato

a. Heifetz/Beecham (1935) and Spivakovsky/Hannikainen (1959)



b. Hahn/Collon (2022) and Ignatius/Järnefelt (1943)



c. Kavakos/Rattle (2015), Chang/vanZweden (2009), and Jansen/Eschenbach (2019)

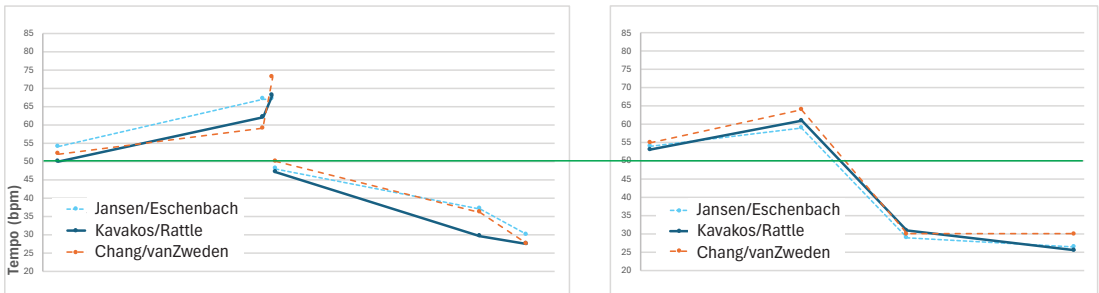


Figure 16a. Performed tempi.

sulting $S^{1.1}$ tempi are the fastest not only in absolute terms, but also in relation to their opening tempi (.66 and .7 of opening tempi in the exposition, respectively. In the recapitulation, though, as would be indicated by the score's double measure and as mentioned earlier, Heifetz/Beecham's $S^{1.1}$ is exactly half of the opening recapitulation tempo.)

Figure 16b shows that Hahn/Collon remain remarkably steady through the primary theme. Their tempo at TR^S is thus, along with that of Ignatius/Järnefelt, the slowest relative to the opening (.78 of opening tempo for both).³⁴ Hahn/Collon then arrive at an exposition $S^{1.1}$ tempo that is proportionally the slowest, compared to the opening tempo (.51). The recapitulation tempi of Hahn/Collon and Ignatius/Järnefelt resemble one another remarkably.

Figure 16c shows that Kavakos/Rattle and Chang/vanZweden take TR^S tempi very close to their opening tempi (.94 and .96). Together with Jansen/Eschenbach, these three performances, unlike most of the others, take TR^P in the recapitulation more quickly than P^1 .

In sum, we find that, whether as a result of intervening material, the differing metric notations and verbal tempo indications, or other considerations, theme $S^{1.1}$ in the recapitulation is often taken at a tempo broader than that of the exposition.³⁵ Indeed, tempo and sense of time may be one way in which the recapitulatory second theme differs affectively from the expository theme. This slower recapitulatory $S^{1.1}$ tempo is janus-faced: both slower *and* faster since the "actual" tempo (the measure) is slower than in the exposition, but the conducted tempo (the half note in 2/2) is twice as fast. The theme here expresses the classic Sibelian temporal paradox: both expansive and hovering, both broad and in motion.

34 Both performances begin TR^S at roughly 2/3 of the preceding tempo—if one ignores Ignatius/Järnefelt's precipitous acceleration through the short *Tempo I* passage. (Ignatius/Järnefelt's TR^S tempo is exactly 2/3 of their tempo at m. 71, the beginning of the *Tempo I* passage.)

35 In our sample, only Chang/vanZweden (2009) take the recapitulatory secondary theme faster than the expository one.

Sibelius frequently critiqued tempi in performances of his works.³⁶ Yet he was reluctant to supply metronome markings. In a response to conductor Hans Weissbach's request for guidance, Sibelius wrote that he would send metronome markings taken from recordings that he liked, and then added, "To be honest, I very much dislike giving metronome indications, because it is, as you know, so difficult to take down tempi. It is all approximate." On another occasion, he wrote, "I do not want any metronome specifications, because they always inhibit a personal conception."³⁷ According to biographer Eric-Nils Ringbom, Sibelius tended to avoid giving exact tempo instructions, preferring instead to rely upon performers' intuitions (within the limits of the score), to allow for interpretive imagination.³⁸ In this respect, conductor Sir Colin Davis, a noted Sibelius interpreter, remarks that "tempo is never a straitjacket in Sibelius's music" (Grimley 2004, 231).

For the violin concerto, Sibelius left relatively few metronome markings. Metronome markings do not occur in the initial primary sources: not in the manuscripts or first editions for the concerto; not in Sibelius's *Handexemplar* of the study score, or in a *Handexemplar* of the orchestral score annotated by Sibelius and Jussi Jalas (Sibelius's son-in-law and a conductor), nor in Jalas's notes of Sibelius's remarks. In May 1929, Robert Lienau wrote to Sibelius to check whether half = 54–60 was correct for the first movement; this metronome marking was included in the Schnirlin performing edition, although Sibelius's response is not known. The marking was not included in study scores of the 1930s. In May 1941, in response to another Lienau query about this metronome marking, Sibelius wrote that the tempo should be half = 68; this marking was included in subsequent editions (Virtanen 2017a, 96 and 2014, 287). Of our seven recordings, only Heifetz/Beecham (1935) comes close to this tempo.

36 See Mäkelä (2011, 58–62) for a sampling of such comments taken from Sibelius's letters.

37 Both statements, quoted from Mäkelä (2011, 59, 62), are taken from letter drafts. The first letter draft is in response to Weissbach's inquiry of October 1937; it can be found in National Library Coll. 206: 40. The second, in German, is located in National Archive Box 36.

38 Ringbom (1948, 88) translated by Virtanen (2014, xiii).

resolution: key, rhythm, and color

I propose that we may consider the secondary theme in the recapitulation as resolving certain tensions from the exposition. These tensions include tonal grounding within the form and on the violin, metric grounding and rhythmic flow, and modal and instrumental coloring.

The secondary theme resolves from its foreign key (Db) in the exposition to the home key (D) in the recapitulation. The move from Db to D, for a violinist, is a move from darker to brighter, less resonant on the instrument to naturally resonant, less idiomatic to very familiar³⁹—in practical attributes, from turbulent to grounded.

The foreign, more sensual, 6/4 meter also “resolves” to the home, more settled, 2/2 in the recapitulation.⁴⁰ Figure 17 compares the rhythm of the theme in exposition and recapitulation. Numbers in the following list are keyed to the figure. 1) The counter-theme is not dotted in the exposition, but it is dotted in the recapitulation. (See 1a for the solo violin⁴¹ and 1b for the orchestra.) 2) The solo violin’s theme is dotted in the exposition, but double-dotted (per the doubled note values) in the recapitulation. 3) The orchestral strings’ chords occur in triple subdivisions in the exposition versus the straight duple meter of the recapitulation. In short, as shown by the hash marks above the score, the theme proper expresses a large duple meter in both exposition and recapitulation, but more clearly articulates quadruple meter (within the double measure) in the recapitulation.

Figure 18 suggests an isomorphism of sorts between the Db / D key centers and the compound / quadruple notated meters; I say “of sorts” because the parallel to the actual passages is not exact. On this *Ton/Zeitnetz*, pitch classes relate vertically by enharmonic major 3rds and horizontally by enharmonic perfect 5ths. Metric pulse levels link ver-

39 Well-known violin concertos in D major include those by Beethoven (Op. 61), Brahms (Op. 77), and Tchaikovsky (Op. 35).

40 I thank Annika Bowers for this suggestion.

41 Sibelius’s autograph piano score shows that, in the exposition, this passage was originally dotted in the solo violin—but not in the orchestra. See Facsimile III in Virtanen (2017a, 79).

Exposition

Recapitulation

The figure displays two musical excerpts side-by-side. The left excerpt, labeled 'Exposition', begins at measure 99 with the tempo marking 'tranquillo' and dynamic 'mp'. It features a melodic line in the treble clef with a circled '1a' above it, and a piano accompaniment in the bass clef with circled '1b' and '3' above it. The tempo changes to 'Largamente' at measure 102, with dynamic 'espress.' and 'mf'. The right excerpt, labeled 'Recapitulation', begins at measure 367 with dynamic 'p dolce' and a circled '1a' above the treble clef. It also features piano accompaniment with circled '1b' and '3' above it. Vertical red lines are placed above both excerpts to indicate rhythmic alignment. Asterisks are placed below the piano accompaniment lines in both sections.

Figure 17. Secondary theme in exposition and recapitulation: rhythm.

tically by factors of 3 and horizontally by factors of 2. (For instance, in the second column from the left, F-A-D \flat articulates enharmonic major 3rds, and triplet-quarter – half – dotted-whole notes relate by factors of 3.) Backwards L's constitute the theme's compound duple meter while horizontal lines (partially dotted) indicate the counter-theme's quadruple meter. (For example, the backwards L connecting dotted-whole – dotted-half – quarter notes represents the pulses comprising a 6/4 meter: its measure, main pulse, and subdivision levels.) Tonics D \flat and D on the map align with their themes' notations in compound duple and simple quadruple, respectively, except that Sibelius's double measure (4/2) is reduced to a simple 4/4 measure.⁴² In other words, the side-

42 The *Ton/Zeitnetz* serves primarily to map the side-slips of D \flat to D and 6/4 to 4/4; the other pitch classes do not map meaningfully, unless one considers the D-minor and D \flat -minor triads that align with the compound duple meters. Scott Murphy was instrumen-



Exposition

108

108

dim.

♭:

horns: stopped, long sustained octaves
 vla and vc thicker chords, 
 bass: pizz. 
 trombones ppp held chords
 timpani ppp roll

Recapitulation

385

385

F:



horns:  triads
 bass: doubled 8vb, arco, 
 no trombones
 no timpani
 fg added (sustained)

Figure 20. Orchestration.

bones, timpani) in the exposition is replaced by brighter and fuller sound (horns, bowed basses in octaves) in the recapitulation. At the turn to F major in the recapitulation, the solo violin plays with *tenuto* markings rather than the accents of the exposition.⁴⁴ And the answering viola (Figure 21) transforms from solo viola to half of the viola section, from the *x'(p)* motive to the full counter-theme ascending (eventually) through the octave, from *marcato* to *dolce*, and—passing to the other half of the viola section—*con sordino*. The viola ascent, as shown in Figure 22 (see the recapitulation), transfers directly to the solo violin's upward arpeggiation, bypassing the lull created in the exposition by the orchestral *pizzicati* and subsequent eighth rest. And the solo violin's arpeggio now makes a *diminuendo* rather than a *crescendo*. Thus it is that the early move, to F major rather than D major, consoles and sweetens what had been more shadowed.⁴⁵

44 Tenuto markings occur later in the exposition, when its theme returns to major.

45 The move to F major (rather than D major) also allows Sibelius to move easily to the Closing theme in the desired D-minor key; in the exposition the corresponding relationship was D \flat major to B \flat minor.

Exposition

sola
[1 Va.] *Sola*

Va. *p ma marcato*
x'(p) *più p*
x(p) *sempre dim.*

Recapitulation

387 *2. Hälfte* *1. Hälfte, con sordino*
(1. Hälfte)
con sord.
dolce

Va. *p*
x(p) *più p*
x *p dolce*

Figure 21. Viola counter-theme.

Exposition

110

mf *mp* *p* *pp*
diminuendo *pp*

Recapitulation

389

diminuendo *p dolce* *dim.*

Figure 22. Elision: omission of orchestra *pizzicati* in the recapitulation.

Editing/bowing

If we are to consider Sibelius's concerto as a dynamic network, we must consider the texts seen by performing violinists. While the primary performing editions show no differences of note for the secondary theme proper ($S^{1.1}$), they do look quite different in the introduction to that theme ($S^{1.0}$). We will consider these differences because of the way they frame the theme for the violinist.

Figure 23 shows $S^{1.0}$ in three editions: a) the critical edition *Jean Sibelius Complete Works*, edited by Timo Virtanen; b) Ossip Schnirlin's performing edition of 1933, published by Lienau; and c) the International violin-piano edition, violin part edited by Zino Francescatti with orchestral reduction by Alexandre Gretchaninoff. The International edition is widely used in North America. The Lienau editions (1905 and Schnirlin 1933) are popular in Europe.⁴⁶ The *Complete Works* edition is also gaining currency among performers.

Sibelius's publisher Robert Lienau initiated the Schnirlin edition in 1929, writing to Sibelius that performing indications would be helpful, and recommending Schnirlin, a German violinist, pedagogue, and student of Joseph Joachim, for the task. Schnirlin's edition added many fingerings and bowings (along with metronome markings); Sibelius received a copy of the published edition but his response to the project is unknown.⁴⁷

The International edition follows Schnirlin's edition closely, replicating its page layout and engraving details. Wherever Schnirlin differs

46 The 1905 Lienau edition, not shown here, was the source for the 1933 Schnirlin edition. For this passage, the 1905 edition is the same as in 1933 (minus the bowing and fingering indications) but for one detail: in 1905, the initial crescendo marking begins before the barline.

47 Virtanen (2017a, xii, xv) provides a detailed accounting of Lienau's correspondence with Sibelius on the topic of the Schnirlin edition. Virtanen (2017a, 93) writes, "Whether Sibelius applied his mind to the Schnirlin edition and accepted the additions is highly questionable, even unlikely. Although the edition was printed during the composer's lifetime and has been widely used, it has remained without further consideration as a source in JSW [the *Complete Works* edition]." Virtanen (2017a, xii) states that the Schnirlin edition was published in 1929; the printed editions I have been able to obtain list a copyright year of 1933.

from the *Complete Works* in musical indications (for instance, *crescendo/descrescendo* markings, expressive indications such as *tranquillo*, and slur details), the International edition repeats these differences. Francescatti retains most of Schnirlin's fingerings and bowings, but makes some changes.

For the passage shown in Figure 23, the editions differ significantly in their slurring, which customarily indicates or implies bowing for string instruments. Sibelius took care with the slurring of this counter-theme; for instance, he corrected the slur of m. 368 in his proof of the solo violin part. He also revised the slurring of the same figure in the oboe solo (and its doubling in the bassoon) on the engraver's copy.⁴⁸ Yet he respected performers' inclinations; in 1903 he wrote to Willy Burmester (for whom the concerto was originally intended):

I shall soon send you the Violin Concerto as an acceptable 'Klavierauszug' with a separate and clear main [ie., the violin] part. I can only dream how it might sound in your masterful hands. [...] I shall write the slurs temporarily in lead so you can erase those you want (translated from Swedish in Virtanen 2014, viii).

As shown in Figure 23, the opening statement in the exposition falls under one slur in Sibelius's hand. Schnirlin suggests an upbow in the middle of the slur, while Francescatti breaks the slur into three (downbow-upbow-downbow). The gesture leading to the *Largamente* falls under one slur for Sibelius and Schnirlin, and under two slurs for Francescatti. The recapitulation displays similar differences among editions: Francescatti breaks the single slur (m. 368 to the downbeat of m. 369) into two.⁴⁹

The upshot is that, in Francescatti's edition, the solo violin entry looks gesturally quite similar from exposition to recapitulation: the only bowing difference is found in the first two sixteenth notes. In

48 Virtanen (2014, 292). In the oboe and bassoon lines Sibelius changed single slurs over mm. 357–58 and 361–62 into the slurs found in the *Complete Works* edition.

49 This slurring replicates Sibelius's original slurring, which he revised in his proof of the solo violin part (Virtanen 2014, 292).

EXPOSITION ($\frac{6}{4}$)a. Sibelius CW
2014, 2017

b. Schnirlin
(Lienau 1933)

c. Francescatti
(Int'l 1942, 1961)

RECAPITULATION ($\frac{2}{2}$)

a. Sibelius CW

b. Schnirlin
(Lienau)

c. Francescatti
(Int'l)

Figure 23. S¹⁰ in three editions: solo violin, mm. 99-103, 367-76.

contrast, the exposition and recapitulation entries in Sibelius's version *look* much more distinct—at least on paper. This visually distinct slurring, combined with the differences in rhythm mentioned earlier, as well as the differences in expressive indications (*mp tranquillo* in the exposition, versus *p dolce* in the recapitulation), give the impression that Sibelius intended the two versions of the theme to be characterized differently.⁵⁰

50 For a brief discussion of eight well-known violinists' bowings of this passage (Chang 2009, Ferras 1965, Hahn 2022, Jansen 2019, Kavakos 2015, Mutter 2015, Vähälä 2015,

Interpreting

Is the metric distinction then a mere notational artefact, or does it carry a deeper meaning? In performance, does it ultimately matter?

I believe the metric puzzle provides a clue to Sibelius's transformation of the secondary theme in its journey from exposition to recapitulation. The transformation is multi-dimensional, affecting not only the theme itself, but the theme in its interaction with its formal and contrapuntal surroundings. It is not so much that the theme itself (the violin melody in S^{1.1}) is in 6/4 in the exposition, and in 2 x 2/2 in the recapitulation, but that its context has changed entirely. In the exposition, the lengthy orchestral approach to the theme modulates to the new, foreign, 6/4 meter. Within the theme proper, in its brooding key of D \flat , the "rounder" rhythms of both theme and countertheme facilitate a compound duple feel. In the recapitulation, a climactic orchestral TR^P section strongly emphasizes the movement's 2/2 meter. The secondary theme's introductory oboe solo enters on this stage and carries on the 2/2, followed by the solo violin, which does the same. The theme proper then arrives in the home key of D, surrounded by the home meter and paced by the home tempo.

As a result, the secondary theme in the recapitulation flows differently from that in the exposition. *Tempo I* stretches unbroken from the beginning of the recapitulation, as does the 2/2 meter. Rhythmic details highlight the quadruple meter of the double 2/2 measure. Along with the duple simplicity, the theme reaches the violinistically idiomatic key of D, and its brighter colors along with those of the orchestral instrumentation (and the early shift to F major) lend this recapitulatory theme a new spaciousness. The solo violin line gains a new freedom too—no longer tethered to the notated meter but flowing freely in compound duple. Sibelius's temporal threads spin out their tapestry of cross-pulses with a gorgeous shifting of hues and patterns—and it is this that is signified by the metric puzzle in the violin concerto.

Vengerov 1997), see Leong 2025.

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Appendix: Performed tempi

Methodology

Tempo was determined by syncing a metronome with passages of stable tempo, listed below. This informal method, rather than a more rigorous one, was chosen to obtain felt tempi, representative of key passages. The passages were chosen to avoid expressive timing at entries, cadences, and so on. Where performers expressively lengthened notes (at the ends of phrases, for instance), these pauses were ignored. (Such lingering is particularly marked at the ends of Ignatius's [1943] phrases.)

Exposition:

P¹: mm. 5–8

Tempo I: m. 71/72 to end of m. 74. Begin and end tempi were measured.

TR^S: mm. 75–77, as soon as tempo stabilized

S^{1.0}: m. 98, 100 (*Molto moderato e tranquillo*)

S^{1.1}: m. 102–105 (*Largamente*)

Recapitulation:

P¹: mm. 279–81⁵¹

TR^P: mm. 324–26

S^{1.0}: mm. 357–58, 361–62⁵²

S^{1.1}: mm. 373–80

51 This passage was chosen to avoid the multiple “joins” between instruments, mm. 271–78.

52 Some, though not all, conductors expand the tempo at mm. 359–60 for the cello triplets.

Notes on Heinrich Schenker's Views on Notation and Editing

TIMO VIRTANEN

Although Heinrich Schenker's editions of music may not represent the best-known, most central or most fundamental part of his output, his work as an editor has been considered far-reaching in its impact. He has been regarded as one of the pioneers of modern critical editing, if not the most prominent person in the field; as Carl Schachter has stated: "Schenker was the first to make a truly critical edition and to develop and describe principles of editorship."¹

Schenker indeed defined some of his editions as "critical editions." The subtitle of his "Erläuterungs-Ausgaben" of Ludwig van Beethoven's four piano sonatas (Opp. 101, 109, 110, and 111) reads: "critical edition with introduction and elucidation" (*Kritische Ausgabe mit Einführung und Erläuterung*).² Schenker was, however, by no means the first to use the definition "kritische Ausgabe." Already the preface to the *Bach-Gesamtausgabe*, dated in 1851, stated that the edition aimed to become "a complete critical edition of all of Johann Sebastian Bach's works" (*eine vollständige kritische Ausgabe aller Werke Johann Sebastian Bachs*) and that the edition was based on "critical research" (*kritische Untersuchung*) of sources, with a special focus on "original manuscript or the print arranged by the composer himself" (*die Urschrift oder der vom Componisten selbst veranstaltete Druck*).³ Thus, at least in principle, the primacy of "original sources" had already been emphasized in

1 Carl Schachter in his Introduction to the Dover edition of Ludwig van Beethoven's complete piano sonatas edited by Schenker (Schenker 1975 [1923], VI).

2 Schenker had published earlier editions of some of C. P. E. Bach's clavier works (1903), J. S. Bach's "Chromatic Fantasia and Fugue" (1910). The former was entitled "Erläuterungsausgabe" and the latter "Kritische Ausgabe."

3 Hauptmann et al. (ed.) 1851, IV.

the preface to the Collected Works of J. S. Bach, and also the guiding principle of the edition sounds rather “modern” so that one might expect it to be acceptable to Schenker: according to the preface of the *Bach-Gesamtausgabe*, “any arbitrariness in alterations, omissions and additions” was excluded.

What, then, justifies Schenker’s reputation as the pioneer of critical editing and referring to his editions as “truly critical editions”? What kind of “principles of editorship” did Schenker develop and describe? In this article, I examine Schenker’s views on notation and editing of music. The starting point for this discussion is his late, sketchy and fragmentary treatise on the performance of music, *Die Kunst des Vortrags*, published in 2000 as an edition in English entitled *The Art of Performance*.⁴ I will examine some of Schenker’s music-analytical interpretations in relation to issues of notation and editing.

1.

In the twelve chapters of *The Art of Performance*, Schenker deals mainly with performance issues related to piano playing; indeed, the third chapter is entitled “The Technique of Playing the Piano.” The other chapters deal with different modes of articulation, dynamics, tempo, pauses, performance of ‘older music,’ and practising. The first chapter, “Musical Composition and Performance,” is introductory. The second chapter, “Mode of Notation and Performance” is, despite its brevity—two pages—a weighty text and central to this article.

The very beginning of the chapter is arresting: “What must be regarded as the most fatal error in the performance of a musical work is the general view on the meaning of a composer’s mode of notation.” Schenker goes on to clarify: “That which is decreed in the notation is considered the unalterable will of the composer, to be interpreted literally. Already the mere fact that our notation hardly represents more than neumes should lead the performer to search for the meaning be-

4 Schenker 2000. Below, the abbreviation TAP for *The Art of Performance* is used.

hind the symbols. [...] [T]he author's mode of notation does not indicate his directions for the performance but, in a far more profound sense, represents the effect he wishes to attain."⁵

Schenker illustrates his idea with an example: "Let us suppose the composer writes a sequence of half notes with *marcato* signs." He probably meant a notation like this (Figure 1a):⁶



Figure 1a.

According to Schenker, the performer cannot follow the notation to the letter if he wants to produce the effect desired by the composer: "[...] for the sake of a *marcato* effect he [the performer] must reduce the length of each note, precisely in order to produce the *marcato*."⁷ If notated, the "effect" achieved in the execution could then look, for instance, like this (Figure 1b):



Figure 1b.

The performer must therefore "sacrifice adhering precisely to the printed text" and perceive notation "only from the point of view of the desired effect."⁸

5 *TAP*, p. 5.

6 That Schenker means an accent, >, by "marcato sign" (and not ^, sometimes called a *martellato* sign) is supported by Fig. 59 of his "Erläuterungsausgabe" of Beethoven's Piano Sonata Op. 109.

7 *TAP*, p. 5.

8 Some composers might have notated—and some indeed probably did (for instance, Gustav Mahler often came close to that)—the precise "effect" they expect from the execution as in Ex. 1b, but more typically composers in the Classical and Romantic period aimed to keep the notation rather straightforward and unincumbered by signs considered unnecessary.

Schenker's view that notation is not a performance instruction but an expression of the composer's wishes for the sound effects to be achieved in the performance and that the performer should look for the "meanings" that the notation embodies—or the composer's intentions—"behind the symbols" was by no means new. Franz Liszt, in the preface to the score of his symphonic poem *Prometheus* (1854), expressed a composer's perspective: "Although I have endeavored to clarify my intentions through precise indications, I do not conceal the fact that many things, even the most essential, cannot be put down on paper and can only achieve their full effect through the artistic ability and sympathetic, energetic reproduction of both the conductor and the performers. It is therefore left to the benevolence of my fellow artists to accomplish the most relevant and the finest in my works."⁹

More recently, Clive Brown has argued that performers are doing an injustice to the composer and the composition by seeking to execute the notation literally in their performance: "[I]n the light of historical evidence, it has become increasingly clear that there are substantial differences between nineteenth-century composers' intentions for the notation of their music and their expectations for its execution by a skilled musician. Respect for the composer's notation, therefore, does not mean taking it at face value; in fact, to do so is a violation of the composer's intentions. If we truly want to respect the composer's intentions, we need to rediscover the practices that were once central to beautiful music making, which were inherent in the notation but were, as Joseph Joachim put it, only to be 'read between the lines'."¹⁰ Joachim's idea of "reading between the lines" is perfectly parallel to Schenker's idea of searching for "meanings behind the symbols."

9 Liszt 1885 [1856], p. [3]: "Obschon ich bemüht war, durch genaue Anzeichnungen meine Intentionen zu verdeutlichen, so verhehle ich doch nicht, dass manches, ja sogar das Wesentlichste, sich nicht zu Papier bringen lässt, und nur durch das künstlerische Vermögen, durch sympathisch schwungvolles Reproduzieren, sowohl des Dirigenten als der Aufführenden, zur durchgreifenden Wirkung gelangen kann. Dem Wohlwollen meiner Kunstgenossen sei es daher überlassen, das Meiste und Vorzüglichste an meinen Werken zu vollbringen."

10 Brown 2018.

2.

After presenting his views on “the most fatal error in the performance of a musical work” and on the nature of notation, Schenker made claims in the second chapter of *The Art of Performance* that seem as startling as they may seem obscure: “Anyone who comes to understand the secrets of the mode of notation and of those as yet unrecognized means of dissembling, at last will also realize that our great masters were as inspired in their notation as they were in the actual composing. I should almost like to say that there is more to be admired in the notation than in the composition itself.”¹¹

On what basis did Schenker claim that the “great masters” were “as inspired by their notation as by the actual composition” and that “there is more to admire in notation than in composition”?¹² He did not substantiate this view in any detail, so it is open to interpretation, and it could be understood in the context of the general polemicism of the text.

Firstly, the composer's original notation seems to have been sacred and untouchable for Schenker. This is a direct link to the editing: “What a pity that many editors misunderstand this, and simply do away with the composer's mode of notation!”¹³ Secondly—closely related to the previous observation—notation, “putting music on paper” and everything related to it, from the expressiveness of the composer's handwriting to the precise marking of details, seems to have been to Schenker at least as important an aspect of art music creation as composition as a “technical” performance. Perhaps he thought that composition, “compositional technique,” is something “trivial” that can be studied and learned, but that notation is about creative imagination, where the intuition, individuality and “mastery” of the composer is fi-

11 *TAP*, p. 6.

12 As Werner Keil (2018, 465) stated: “Like today's proponents of text-genetic edition philology, he [Schenker] was convinced that the manuscripts of the ‘masters’ formed the very essence of their legacy.” (“Er war, wie die heutigen Vertreter einer textgenetischen Editionsphilologie, davon überzeugt, dass die Handschriften der ‘Meister’ die eigentliche Essenz ihrer Hinterlassenschaft bildeten.”)

13 *TAP*, p. 6.

nally revealed. He even compared “a great talent or a man of genius” to a “sleepwalker” and wrote about the creative process: “The superior force of truth—of Nature, as it were—is at work mysteriously behind his consciousness, guiding his pen, without caring in the least whether the happy artist himself wanted to do the right thing or not. If he had his way in following his conscious intentions, the result, alas! would often be a miserable composition. But, fortunately, that mysterious power arranges everything for the best.”¹⁴

If “the superior force of truth” guided the master’s pen, it would make sense that, in Schenker’s view, tampering with the composer’s original notation also corrupts the composition as a whole. Or, as Cristina Urchueguía has put it: “It is important for Schenker explicitly to scrutinize the subtleties of the master’s notation and to derive from them arguments for finding organic structures in the music.”¹⁵ But why, then, did the “sleepwalker” Beethoven, to mention one, leave behind hundreds of sketches? According to Urchueguía, this is a question that Schenker passed over tacitly; he did not refer to sketches even when they supported his analytical interpretations—or editorial decisions.¹⁶

14 Schenker 1954, 60. Schenker’s original formulation (Schenker 1906, 77) was somewhat different: “It is as if behind their consciousness and in their name composes the far higher power of a truth, of a nature that does not miss anything, whether the happy artist himself wanted the right thing or not. For if it were entirely up to the artists’ consciousness and intention, how often would their works turn out bad—if that mysterious power itself did not fortunately arrange everything in the best possible way. It is only for this reason that a clear distinction must be made between bad and good works also within the earlier art epoch, and the former must be placed entirely on the account of the theory that bears the blame, while the latter must be regarded as works that spontaneously turned out well [...]” (“Es ist, als komponierte geheimnisvoll hinter ihrem Bewußtsein und in ihrem Namen die weit höhere Macht einer Wahrheit, einer Natur, der es gar nichts verschlägt, ob der glückliche Künstler selbst das Richtige wollte oder auch nicht. Denn ginge es ganz nach Bewußtsein der Künstler und nach ihrer Absicht, wie oft würden ihre Werke schlecht ausfallen—wenn nicht glücklicherweise jene geheimnisvolle Macht alles selbst aufs beste ordnen würde. Nur aus diesem Grunde muß auch innerhalb der früheren Kunstepoche deutlich zwischen schlechten und guten Werken unterschieden werden, davon die ersteren ganz aufs Konto der schuldtragenden Theorie zu stellen, dagegen die letzteren als solche zu betrachten, die spontan gut ausgefallen sind [...]”)

15 Urchueguía 2012, 240: “Es kommt Schenker explizit darauf an, die Feinheiten der Notierung des Meisters genau unter die Lupe zu nehmen und aus ihnen Argumente für das Auffinden organischer Strukturen in der Musik abzuleiten.”

16 Urchueguía 2012, esp. pp. 247–250. Schenker did not refer to Beethoven’s sketches

3.

After a section on composers' notation, Schenker moved on to a concrete and practical example: "Just how far-reaching a relatively harmless (one might suppose) change in the mode of notation is can be seen in the general use of the double bar in newer editions."¹⁷ According to Schenker, the "great masters" up to Chopin wrote in their manuscripts a single bar line at the changes of key signatures. However, in "more recent editions," the change of key signatures has been marked differently, with dramatic consequences: "The typesetters' irritating custom of substituting a double bar for a single bar has the result that the eye receives the impression of a new beginning. Inevitably the performance must suffer from this."¹⁸ Schenker cites as an example of such an "irritating custom"—in his parenthetical note following the previous quotation—mm. 83–84 in the first movement of Beethoven's Cello Sonata in D major (Op. 102), in which the passage without key signature of the developmental section moves from a transition with the key signature of one sharp to the recapitulation with the key signature of the main key (two sharps) six measures later (mm. 88–89).¹⁹

Still in the first edition published by Simrock (1818), there are the usual single bar lines at the changes of key signatures, but in later editions double bar lines have been printed. The publishers' reason for this procedure is quite understandable, and the aim is probably to serve practical purposes: to make the change of the key signature clear to the eye. According to Schenker, however, the effect of double bar lines is misleading and pernicious: "[...] this measure [m. 84] is interpreted and played as if it were the beginning of the recapitulation, which actually

even in the question about A sharp or A in the first movement's retransition of the "Hammerklavier" Sonata (Op. 106) but justified his opinion purely with arguments based on harmony and voice leading.

17 *TAP*, p. 6.

18 *Ibid.*

19 Schenker criticized printing the double bar lines in earlier editions already in his "Erläuterungsausgabe" of Beethoven's Piano Sonata Op. 109 (see Schenker 1913, 27).

occurs six measures later.”²⁰

While one can comment on Schenker’s view of the performance—does not the sharp contrast between the piano and pianissimo dynamics of the preceding measures (mm. 81–83) and the sudden forte with the return of the opening thematic material of the sonata movement at least give the performers reason to bring out some kind of ‘new beginning’ in measure 84?—his observation is valid and worth noting: indeed the double bar line is a visually powerful notational device that easily creates the impression of a dividing line. This feature has been considered in some modern editions, which again follow the composer’s notation at the changes of the key signatures.²¹

4.

Schenker wrote in the foreword to his edition of Beethoven’s Piano Sonatas: “In Beethoven’s powerful and direct thinking tones are conceived, so to speak, as physical entities: this thinking produces for him a notation that is also perceptually convincing to the eye of the reader.”²² According to him, in Beethoven’s manuscripts, the crossing of (piano) texture from one staff to the other, the beaming of notes (“the deep significance of the beams”), slurring (“the mysterious eloquence of the slurs”), the directions of the stems, and the notation of the rests open the way to understanding the “content” of the works.

Schenker’s sensitivity to Beethoven’s notational style and details was probably exceptional in his day. However, the extent to which he followed them in his editions varied. Thus, for example, in the opening

²⁰ *TAP*, p. 6.

²¹ In the new Complete Chopin edition by Edition Peters and in the complete critical edition of Jean Sibelius’s works, single bar lines have been printed at the changes of the key signatures in accordance with the composer’s autograph manuscripts. Composers’ notational practice varied in the 19th century, and a composer as important to Schenker as Brahms, for example, wrote a double bar line at the changes of the key signatures in his manuscripts—and even at points where it would probably not make sense to interpret any kind of formal dividing line (for example, in mm. 30–31 and 100–101 in the first movement of the Third Symphony).

²² Schenker 1975 [1923], [XI].

measures of the “Appassionata” Sonata (Op. 57), the right-hand part, which in both Beethoven’s manuscript and the first edition of the sonata crosses between the upper and lower staff, is printed in Schenker’s edition on the upper staff. Similarly, in the left-hand part of the manuscript and the first edition, the staves in the low register, which are consistently written and printed downwards, are turned upwards. On the other hand, for example, in mm. 9–11 of the Andante movement of the “Pastoral” Sonata (Op. 28), the Schenker edition follows the notation with upward stems in Beethoven’s manuscript and the first edition, thus making clear the melodic and registral continuum of the two upmost voices.

Schenker’s comments above on the notation of Beethoven’s manuscript of Op. 101 are as significant as his objection to the standardized printing of double bar lines at the changes of key signatures. A note on the direction of the stems recalls the direction of the stems in the upper line in the manuscript of Sibelius’s “The Birch” (Op. 75 No. 4) in mm 12, 16, 20, and 42: the composer consistently wrote the stems of the staccato notes downwards, thus expressing the two layers—the melodic legato line and the staccato quarter notes on the upper staff. From the first edition published by Edition Wilhelm Hansen onwards, the standardized directions of the stems dispel the impression of layering. In the critical edition, however, the stem directions of the manuscript are retained.²³

Schenker’s comment on rests concerns their “omission” in Beethoven’s manuscripts and their questionable inclusion in printed piano works: “[...] they are sometimes missing in order to show the whole of the voice more airily to the eye and not to emphasize the coming and going of some voices more than necessary, etc.”²⁴ A good example of the effect of the rest added in the edition can be found in the second, A-minor Prelude of Chopin’s Op. 28. The composer did not write a (half-note) rest for the lower fourth at measure 21 in his manuscript, but it

23 See Kilpeläinen (ed.) 2008, pp. 103 and 104, and Facsimile V, p. 145.

24 Schenker 1975 [1923], XII.

was added to the editions, in some of them in brackets. The addition is, however, not only ultimately unnecessary, but, precisely in terms of the “coming and going” of the notes, even disturbing, for instance, by creating the impression that (particularly) the g sharp on the lower staff enters only after a rest. We might argue that the rest is unnecessary to say the very least and that the notation in the manuscript is—in Schenker’s words—airier.

5.

Concerning musical notation and editorial questions, Schenker’s music-analytical interpretations were reflected particularly in his “annotated editions” and writings dealing with musical notation.²⁵ One of the most well-known of the single editorial problems, to which he sought a solution through music-analytical arguments, was the famous A vs. A sharp issue of first movement’s retransition of the “Hammerklavier” Sonata. Schenker’s analytical justifications for his editorial solution are convincing.²⁶

In one very special case, however, we may wonder what the consequence of Schenker’s analytical interpretation might have been for the editing if he had published an edition of the composition whose graphic analysis he published. This is the analysis of J. S. Bach’s *Das Wohltemperierte Clavier*, Part I, Prelude in C major, and the accompanying notes on a notational detail from the composer’s manuscript, contained in Five *Graphic Music Analyses (Fünf Urlinie-Tafeln)*. Schenker highlights this detail in the preface to the publication: “The manuscript of the first prelude in J. S. Bach’s *Well-Tempered Clavier*, Vol. I, presents, in the bass of measures 21 and 22, an unusually bold notation which probably cannot be found anywhere in musical literature.”²⁷ Schenker

25 See, for instance, Schenker 1925. See also Cook 1991 and Urchugueña 2012.

26 As Paul Badura-Skoda has demonstrated, the question about “A sharp or A” has provoked fiery controversies among musicians and theorists; see Badura-Skoda 1980, esp. pp. 53–55.

27 Schenker 1969 [1932], p. 9.

refers to the change of direction of the stems in the half notes in the bass in those measures. Bach wrote the bass notes up to the first half note (F) in m. 21 with downright stems, but the second half note (F) and both half notes in m. 22 (twice F sharp) with upright stems. According to Schenker, "Bach thus very successfully indicates the true meaning of the voice leading; measure 23 is basically the direct consequence of measure 21 [...]"²⁸ Schenker also demonstrates this detail in a note attached to his graph, in which the bass notation in mm. 20–24 of Bach's manuscript is also illustrated by an excerpt that illustrates the notation in Bach's manuscript.

What Schenker does not say, however, is essential. In Bach's manuscript, m. 21 is split in two across the page break. The first half of the measure—and the first half note of the bass—is on a different page from the second, and m. 22 is thus the first whole measure on the new page.

A simple explanation for the change of direction of the bass-note stems could therefore be given: Bach inadvertently changed the direction of the stems after the change of page. This—as well as the inadvertent absence of continuations of ties and slurs or hairpin extensions—is quite common in composers' manuscripts. Schenker, however, harnessed such a detail, which could be assumed to be a slip of the composer, as part of his analytical interpretation and its justification, even if this interpretation would have been convincing and consistent with his theory even without any glance at Bach's manuscript. Schenker did not publish an edition of Bach's Prelude in C major, but we can speculate how he would have wanted the stem directions of the bass notes to be printed in mm. 21 and 22.

6.

As Werner Keil and Cristina Urchueguía have stated, Schenker's editions do not represent "modern" critical editions in the sense that they would include detailed descriptions of sources, explanations of editorial

28 Ibid.

principles, let alone critical remarks elucidating variant readings in the sources and justifying editorial decisions. Schenker's editions reflect his interpretations as a pianist and theorist and can be understood against their historical context: they appear to be reactions against earlier editions, editorial practices and procedures.²⁹ He generously offers his views concerning "correct" interpretation of the works and specifies, criticizes, and corrects "incorrect" views.

In the second chapter of *The Art of Performance*, after venting his irritation at the double bar lines printed at the changes of key signatures, Schenker continues: "One can already see from this example how urgent the need for an authentic text is: a text based on manuscripts and first editions, read not only in a philologically, diplomatically accurate manner but also musically."³⁰ As Nicholas Cook has pointed out, reading original sources "musically" could lead to a conflict with loyalty to the sources. Namely, for Schenker, musical notation in the "masters'" autograph manuscripts was, besides a demonstration of their desired effects reached in the performance, a means to illustrate the structure of music: "It is this belief in the unity of the masters' musical conceptions and their notation, not any source-critical principle as such, that explains the particular significance which Schenker attached to the autographs: he was ready enough to override the autograph readings when they conflicted with what he considered to be the musical logic."³¹

Ultimately, the groundbreaking nature of Schenker's editions was not due to their being based on the composers' original manuscripts and first editions. Rather, Schenker deserves credit for the care and sensitivity with which he seems to have treated composers' written legacy, attempting to comprehend their notational style and even their handwriting: the way in which even the smallest details and nuances of the original notation could make a difference. The beautiful formulation of respect for the composer's notation in the performance of music

29 Schenker particularly mentioned the readings found in editions by Hans von Bülow as warning examples. See also Cook 1991.

30 *TAP*, p. 6.

31 Cook 1991, pp. 92–93, footnote 38.

in *The Art of Performance* could be applied to the editing of music: “By exact realization of the masters’ clearly felt and considered mode of notation one can achieve plasticity of performance that virtually allows the piece to appear bodily, in light and shade.”⁸²

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Beethoven's Performative Past: A Case Study on Interpreting the Editions of the Piano Sonata in G major op. 14 no. 2

CECILIA OINAS

Introduction

By stretching the customary scope in their duration, virtuosity, and notational accuracy, Ludwig van Beethoven's (1770–1827) piano works posed new challenges for nineteenth-century amateur pianists from *Kenner* to *Liebhaber*. Because the piano was the most important instrument in private homes during the nineteenth century, the market for publishing Beethoven's piano music—even the more difficult works—rapidly grew to unprecedented dimensions. This resulted in the publication of multiple editions as well as instructive textbooks on how to perform Beethoven's piano music, most especially the sonatas that were heralded as his most sublime works. Along with the development of piano pedagogy and notational style in the nineteenth century, the editions reveal great variety in their annotations, whether in articulation, tempi, pedaling, fingering, or phrasing, to name the most important ones.

In this brief analytical vignette I will compare editorial markings in the opening phrase of Beethoven's G major Piano Sonata op. 14 no. 2, originally published in 1799. The motivation for making this comparison comes from a simple question: given all the information about Beethoven that we can so easily access nowadays, have we achieved more variety in performing his music—and by extension of any of the other “classics” that are part of the standard repertoire in concert halls? Or are we, as Daniel Leech-Wilkinson writes, “[c]ontinuing to

make basically the same performance over and over again, which is what performers are trained and paid to do now [...]. We have enough typical performances now. More than enough” (Leech-Wilkinson 2020, chapter 3). As I see it, by looking at different editorial interpretations we can widen our performance choices and come closer to interpretative questions that concerned the generation immediately after Beethoven.

On the proper way of performing Beethoven:
nineteenth-century views

Of all the practical handbooks on performing Beethoven’s piano music, the most famous is probably Carl Czerny’s (1791–1857) *On the Proper Performance of all Beethoven’s Works for Piano* (1846), a book which is still referred to today, especially when concerning issues of tempo.¹ Some decades after Czerny, Carl Reinecke’s (1824–1910) *The Beethoven Piano Sonatas—Letters to a Lady* (1898) gives advice to performers for each sonata regarding their tempi, phrasing, meter, and character.² Reinecke explains in layman’s terms many theoretical concepts, such as sonata form, as well as how to locate its various landmarks such as the secondary theme and determine the distribution of key areas.

In addition to the various performance treatises in circulation, nineteenth-century amateur musicians could also find theory and performance advice from less obvious sources. In a recent article, Rachel Lumsden examines Oliveira Louisa Preston’s (1842–1917) theoretical writings in a periodical called *The Girl’s Own Paper* (Lumsden 2020). Aimed at young women in Victorian England in 1890s, the periodical

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- 1 Czerny’s metronome instructions served as the basis for at least two editors, Tobias Haslinger and Ignaz Moscheles. For more information, see for instance Noorduyn 2016.
 - 2 The piano was considered a gendered instrument in nineteenth-century Europe and North America. A furniture piece found in almost every bourgeois household, sufficient skills in piano playing was seen as an advantage for young women in presenting themselves to potential suitors. Since piano education could entirely happen within the household by hiring a private instructor, the music-theoretical instruction received by a young female amateur musician would have varied greatly, and most likely would have been of a less formal nature. Reinecke’s book was therefore one attempt to instruct female pianists into the secrets of performing Beethoven’s piano sonatas using analytical terminology.

covered a wide range of topics from short stories, fiction, fashion, poetry, childcare, and domestic life (Figure 1), to analyzing Beethoven's piano sonatas. As Lumsden writes: “[Preston's] articles for *TGOP* might well represent the most detailed and nuanced discussion of these pieces in English for a Victorian audience, and reveal that music theorizing can and did happen in other places outside of published tomes or specialty periodicals for musicians” (Lumsden 2020, par. 4.22.).

The above writings are just a glimpse of the available texts from the time concerning ways to perform Beethoven's piano music. Still, the most direct way of influencing the performance of Beethoven's piano works was encoded in the editorial work. Indeed, each new sonata edition reveals how the playing style and the epistemology of Beethoven's music changed over the course of the long nineteenth century.



Figure 1. *The Girl's Own Paper*, cover page (from Lumsden 2020, ex. 4).

Editorial work as an example of analysis and performance interaction

The history of both music theory and performance aesthetic is filled with gatekeepers—whether a theorist, music teacher, critic, composer, or sometimes an established performer. These gatekeepers' epistemological justification was often based on the idea that there is only

one correct reading of the score, resulting in one correct analysis or performance. However, the fidelity of the score, whose starting point can be traced back to the nineteenth-century idea of *Werktreue* (Goehr 1989), is difficult enterprise when the performance aesthetics change over time. For instance, according to Mine Doğantan-Dack, many nineteenth-century performance theorists and pedagogues widely agreed that the score never presents the music entirely, and it was the performers' duty to bring out the music rather than simply following the score (Doğantan-Dack 2012, 7). As Doğantan-Dack puts it:

[P]erformers and performance theorists from the second half of the nineteenth century regarded themselves licensed not only to change but also to *correct* the notated score in cases where they believed the visual representation did not properly guide them in an intelligible and expressive delivery that would reflect the musical meaning they believed the composer intended (Doğantan-Dack 2012, 11).

It is precisely for these reasons that many nineteenth-century editors considered it their duty to make the notation more accessible by adding slurs, tempo instructions, pedal markings, and sometimes even analytical remarks. Figure 2 shows a list of several available editions of Beethoven's G major Piano Sonata op. 14 no. 2 that are easily found from internet-based music libraries such as the IMSLP, with an impressive list of nineteenth-century musical figures, including Ignaz Moscheles, Hugo Riemann, Hans von Bülow, Heinrich Schenker, Artur Schnabel, and Donald Francis Tovey.

(First edition) Vienna, Mollo, editor unknown (1799)
Vienna, Tobias Haslinger (ca. 1835)
Stuttgart, Ignaz Moscheles (ca. 1860)
Boston, Sigmund Lebert & Immanuel Faisst (1876)
Berlin, N. Simrock, Hugo Riemann (1885)
New York, Schirmer, Hans von Bülow & Sigmund Lebert (1895)
Vienna, Universal Edition, Heinrich Schenker (1915)
Milan, Edizione Ricordi, Alfredo Casella (1919)
Leipzig, C.V. Peters, Max Pauer & C.A. Martienssen (1920)
Berlin, Verlag, Artur Schnabel (1924)
Oxford, Donald Francis Tovey (1931)

Figure 2. Editions of Beethoven's Sonata in G major op. 14 no. 2 (editions discussed in this article are marked in bold text).

Figure 3 presents the current Henle *Urtext* edition from 1976 with my annotated formal and harmonic analysis; it looks almost identical with the original Mollo edition from 1799 (Figure 4), the only difference being the addition of a *p* dynamic in parenthesis in the Henle edition, probably done so given that many later editions included the dynamic mark at the beginning.

Figure 3. Henle's *Urtext* edition (1976).

Figure 4. Beethoven op. 14 no. 2, beginning of I mvt; Mollo edition (1799).

The first eight measures form a sentence structure, with two-measure basic idea and its repetition. The four-measure continuation and cadential phase further increases the tension by placing the melody into the higher register and accelerating the harmonic rhythm. The phrase ends with a perfect authentic cadence (PAC) in mm. 7–8, although there is also a brief imperfect authentic cadence (IAC) at the beginning of m. 6, just before the cadential motion towards the phrase's closure.

The second edition was published around 1835, seven years after Beethoven's death (Figure 5). The editorial work was done by Tobias Haslinger (1787–1842), an Austrian composer and a prominent music publisher. The changes are very minor, such as the change from “ligato” to “legato,” the latter of which became a more widespread term in nineteenth-century performance indications. More interesting is the addition of a metronome marking, which is 88 per quarter note.³ The instruction comes most likely from Czerny, who also writes: “One of the most lovely and agreeable compositions. It must everywhere be played with delicacy and tender feeling, but still lively” (Czerny 1846, 45; see also Noorduin 2016, 39-40).



Figure 5. Tobias Haslinger's edition (ca. 1835).

When the opening is played in this tempo the entire character indeed becomes very transparent and lively, precisely what Czerny wished. He also writes that bigger dynamic changes only come in the “second section,” i.e., the development, which means that he wants the opening phrase to be played throughout with a soft dynamic (*ibid.* 45). This, as we shall see, is something that is not so evident in the later editions.

In Ignaz Mocheles's 1860 edition—60 years after the original publication—the tempo instruction is 160 for an eight-note beat (80 for

³ In the scanned score, the metronome marking looks like 55 but this is probably incorrect.



Figure 6. Ignaz Moscheles's edition (Stuttgart: Eduard Hallberger, ca. 1860).

quarter note), which is slightly slower than Haslinger's but from a performer's point of view increases the feeling of speed since the beats are now duple (Figure 6). New additions are the pedal markings that follow the left-hand figuration, and the staccato marks in mm. 6–7. Notice, however, that during mm. 5–7 the pianist is advised not to use pedal. The staccato and absence of pedaling are probably intended to clarify the increase of tension by fragmentating the motive into half-measures before the closure. There is also a dynamic marking, *piano*, at the beginning. The reason may be due to the fact that by the 1860s pianos had become louder, making it possible to play the beginning in a heavier manner.

The most densely annotated version of the editions under discussion was published by Hugo Riemann (1849–1919) (Figure 7). For instance, his long phrasing slurs between mm. 5 and 8, together with the subphrase division marks in mm. 6 and 7 ("), illustrate his analytical interpretation of small forms: while pianists should consider mm. 5 to 8 as one arch, they also need to be aware of the fragmentation of even smaller sections. In the opening measures, Riemann interprets the motivic repetitions in mm. 2 and 4 as shadows (or echoes) by writing *dim.* All in all, there are many more dynamic and agogic changes than in the original score: for instance, the dynamic peak of *mf* in the middle of measure 6, and the agogic “hairpins” at the beginning that require a slight rubato, something that Riemann exhaustively explains in his book

Op. 14. N^o 2.

Allegro.

The image shows a musical score for Op. 14, No. 2, marked 'Allegro.' The score is in 2/4 time and features a piano part with various dynamics and articulations. A blue arrow points to the first measure, and a red box highlights a phrase from measure 4 to 8. A blue circle highlights a specific note in measure 6. The score includes markings for 'dim.', 'cresc.', 'mf', 'legato', 'V7', 'I (IAC)', and 'I (PAC)'.

Figure 7. Hugo Riemann's "phrasing" edition (Berlin: Simrock, 1885).

Musikalische Dynamik und Agogik: Lehrbuch der Musikalischen Phrasirung, which was published just one year before his edition of the Beethoven sonatas (Riemann 1884).

Following Riemann's instructions rigorously when playing the movement proves almost impossible, at least for this performer: on the one hand, one should be aware of the larger forms and yet pay attention to very small details, which easily affects the tempo that becomes slower and slower (Riemann does not indicate a metronome marking, but I doubt he would have wanted to play it as fast as Czerny wished). What his notation does reflect, however, is the rubato-filled performance style found at the turn of the century. Indeed, the notation is reminiscent of the kinds of agogic twists and turns found in the music of Brahms or Mahler.

Hans von Bülow (1830–1894) was the first pianist who performed all of Beethoven's piano sonatas in a concert cycle and he also made an edition of the sonatas with Sigmund Lebert. Like Riemann, von Bülow heavily annotates the score with dynamic and agogic markings (Figure 8). In addition, we can also see the sonata-form events, such as the indication of themes and sections. Interestingly, we find accents on the first notes in measures 1 to 4, presumably with the idea that the actual downbeat will be perceived in performance. This is also in line with Reinecke's performance instructions:

If a Subject begins with an incomplete bar (up-beat), the player has to take the greatest care that the hearer is clear about the time signature, by means of the necessary accents. [...] The b must receive the first, of course weak, accent, and the entry of the left hand must also be very soft, because otherwise the hearer might take the second quaver for the first (Reinecke 1898, 11).



Figure 8. Hans von Bülow's and Sigmund Lebert's edition (New York: G. Schirmer, 1895).

Reinecke's notated example includes the same accents as found in the von Bülow-Lebert edition; as such, they reflect nineteenth-century theories of rhythm and meter in which the music became rather beginning-accented (sometimes referred as "German barring").⁴ What is also important is how so many theorists take the listener as the most important measure. This is also evident with Heinrich Schenker, whose editions of the Beethoven sonatas were published between 1918–1921 (Figure 9).

In strong contrast to Riemann, von Bülow and Lebert, Schenker's edition stands out for its sheer lack of editorial overlay. As is well known, Schenker was a keen advocate of the *Urtext* edition (or the way it was understood in his time). Therefore, we only find fingering instructions, although they are slightly odd with their detailed changes between

⁴ See for instance Rothstein 2008, 115.

The image shows two systems of musical notation. The top system is for the right hand, marked 'Allegro.' and 'p legato'. It features a melodic line with four red circles highlighting notes in measures 1, 2, 3, and 4. The bottom system continues the piece, marked 'cresc.' and 'sf', with a circled '10' at the end. Fingerings are indicated by numbers 1-5 above notes.

Figure 9. From Heinrich Schenker's edition (Vienna: Universal Edition 1918–1921).

fourth- and fifth-finger beginnings in mm. 1–4 (right hand).⁵ Like with von Bülow-Lebert and Riemann, mm. 5–7 fingering of the right hand includes different fingers on repeated notes, and Schenker's fingering is a combination of both previous editions.

The final example comes from pianist Artur Schnabel's (1882–1951) edition, which relies on many previous editions in their annotation, especially those of Riemann and von Bülow-Lebert: again, we find the accent suggestion on the downbeat of measure 1 (although this time only in parenthesis), added dynamic markings, and phrasing instructions, which Schnabel calls “the binding archs” (Figure 10):

The binding archs as well as the accents and manners of touch were indicated by the composer in such an obvious and confusing flightiness and carelessness—especially in his early works,—that the Editor held it to be not only within his right, but in duty bound to change them occasionally according to his best judgement, sense and taste: to abbreviate, to lengthen, to supplement, to interpret (Schnabel 1924, Preface).

5 For Schenker's considerations of *Urtext*, see for instance Schenker 1924, 25–29: “Felix Mendelssohn's Venetian Gondola Song, op. 30, no. 6.”

Like Riemann, Schnabel labels a sub-phrase division at m. 6 as we reach the imperfect authentic cadence; after that, a new cadential motion begins from *ii*⁶, ending with a perfect authentic cadence in m. 8 (see the brackets in Figure 10).

The image shows two systems of musical notation for the first system of Beethoven's Piano Sonata in G major, Op. 14 No. 2. The tempo is marked **ALLEGRO** with a quarter note equal to 104 (♩ = 104). The key signature is one sharp (F#) and the time signature is 2/4. The first system (measures 1-5) features a treble clef with a melody and a bass clef with accompaniment. Annotations include a red box around the first measure, a red box around the second measure with a bracketed fingering (4)2 3, a red box around the word *p dolr*, and a red box around the word *ligato*. A blue arrow points to the end of the first system. The second system (measures 6-10) includes a red box around the dynamic *mf*, a red box around the dynamic *mf* in measure 7, a red box around the dynamic *cresc.*, and a red box around the dynamic *sf*. A blue arrow points to the beginning of the second system. Below the second system, harmonic analysis labels are provided: V, (IAC), II6, V⁶⁻⁴, -5₃, and m¹¹(PAC). The score also includes various fingering numbers (1-5), slurs, and a trill (tr) in measure 10.

Figure 10. From Artur Schnabel's edition (Berlin: Verlag Ullstein, 1924).

Beethoven's performative present— or reinventing Beethoven?

Despite the many differences between these editions, there is common ground to be found in the way each editor grapples with both analytical and interpretative questions. The choice of fingering, tempi, pedaling, phrasing marks, dynamics and accents clearly illustrate the will of the editors to have an impact on the sounding outcome. A twenty-first-century performer in fact has the luxury of examining and comparing these readings, without needing to cling to one interpretation only. The question is, however, to where does the pluralism lead us in Beethoven performance scholarship? What are we to do with all these divergent readings?

Beginning in the 1980s, analysis and performance research has become more liberal exploring options (or posing articulated questions)

instead of limiting the analysis to a singular interpretation.⁶ More recently, the traditional way of analytical examination has been critically reviewed by music scholars. For instance, Beethoven's music has been examined with the help of interdisciplinary historical scholarship, phenomenology, and practice-based research. For instance, Doğantan-Dack investigates Beethoven's use of dynamics, arguing that the occasional unconventional dynamic markings can be interpreted as disturbing the performer's automatic, reflexive way of playing (2020). In her examination of Beethoven's E♭ major trio op. 70 no. 2 (Figure 11), she points out how a crescendo with rising motion would normally lead to *forte*. However, here the crescendo in mm. 6–7 suddenly changes to *subito piano* in m. 8 and therefore creates a friction to the performance (which might have been Beethoven's motivation to write the dynamics in the first place). In other words, rather than being a "strictly musical" choice, the dynamic marking is performative, something that strikes us as utterly modern, rather more associated with contemporary composers (Doğantan-Dack 2020, 14&16).

And yet, performance scholars such as Leech-Wilkinson justly ask that, despite our pluralism and freedom in almost any other area of life, why aren't classical performances much more varied? He discusses an experiment made together with pianist Ji Liu (Leech-Wilkinson 2020, chapter 1) where Liu plays Beethoven's C sharp minor sonata op. 27 no. 2 with a radically faster tempo than is usually performed at.⁷ Even though the performance surely raises eyebrows and pianists would never play it in such a way in a competition, from a purely structural or harmonic perspective, the music itself still makes perfect sense. This interpretation, although far from any discussed edition, nevertheless takes its inspiration from the historically weighted Beethoven performance tradition, not by following but by going against everything we have been taught—or does it? As I see it, every generation will reinvent,

6 As pioneering examples, see especially Schmalfeldt 1985, Rink 2002, Lester 1995, and Rothstein 1995.

7 Link to Soundcloud: https://soundcloud.com/user-741379440-742582982/new-moon-sonata?utm_source=clipboard&utm_medium=text&utm_campaign=social_sharing.

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Drift, and the Aging of New Music

MIEKO KANNO

Music is new when it is created. But the listeners, after a while, become used to what was new at the time of its premiere, and the music starts life as an existing entity in circulation. But musical works age differently from each other. Some of them retain their newness and stay in the repertoire as new music for a long time; some quickly turn into classics of a particular era; some age rather poorly and become forgotten and replaced by more recent new music. The term “contemporary music” has varied definitions too, though the use of the alive-or-not status of the composer is most often used as a fair criterion.¹ Obviously, musical works themselves do not change over time, unless they are designed to do so, and it follows that changes take place in either the performance practice or the reception, or the combination of both. The topic of this essay is the effect of the passing of time on contemporary art music, primarily from the viewpoint of performance practice.

The aging of contemporary art music is not a straightforward issue. Unlike other genres of art music, contemporary music is defined by time (being contemporaneous) rather than aesthetics.² Hence, contemporary music industry is constantly after new works, as commissioning and premiering are the main activities and features of the genre. The

1 Osmo Tapio Räihälä defined contemporary music as music composed by living, active composers in his widely disseminated book *Miksi nykymusiikki on niin vaikeaa* (2021); cited in Puusaari (2024). Richard Steinitz used the same definition when running the Huddersfield Contemporary Music Festival as Founder and Director (1978–99).

2 Patrick Valiquet, associate editor of *Contemporary Music Review*, describes that “[U]nlike other historical periods, the contemporary needs neither beginning nor end. Once invoked, the contemporary can simply persist; it is less a specific place in time than an abstract relation with time, the coordinates, capacities and tensions of which interpellate an observer with a particular perspective on time” (2020, 187).

preservation, maturity, and wider dissemination are processes often left to the stakeholders such as performers and publishers (for producing semi-permanent materials in digital formats), much in the same way in which older art music is enjoyed and maintained. While contemporary art music is often presented alongside established classical music in orchestral concerts, contemporary works often come and go in contrast to the classical repertoire. The aesthetic experience of musical work—what makes a particular symphonic work for example interesting and listenable—may differ between the contemporary and classical repertoires as a result of the industry practice. However, it is not the simple case of contemporary music being enjoyed as a one-off novelty while classical counterpart offers repeated enjoyment to the audience. For example, Kaija Saariaho's music continues to be performed frequently in Finland, and it is enjoyed almost as part of the classical music canon.

But some works of contemporary art music sound old or even dated. It is perplexing when something new—or what we thought was new—sounds old. Sometimes it bears the zeitgeist of the 1990s, for example, which we view historically today; or we listen to something from the last ten years but it feels passé.

I was reminded of this oft quoted passage by Edward T. Cone:

Although for practical purposes [analysis] cannot ignore compositions of the recent past, its pronouncements must be considered preliminary. Analysis today should ideally concern itself with works of no less than a decade ago. Works of art need that much time to begin taking their place in history and tradition; analysts need it in order to be secure from both the shock and the seductiveness of novelty. (Cone 1989, 7)

Cone's view was much criticized at the end of the twentieth century when analysis of new music became a lively field of scholarship.⁸ However, I wonder if there is some truth in this statement, if we change the perspective. I suggest that we should understand the definition of "works of art" differently; that they were made not only by the named

⁸ Dunsby (1994). I'm grateful to Dunsby for reminding me of this quotation.

few individuals (composer, conductor, musicians) but much greater number of people; and that the works transform themselves through contact with more people, hence the need for a longer period of gestation.

My inquiry focuses primarily on the performing and listening people and their temporal involvement: the people reflect and project the years of their personal and collective experience (of performing and listening) to the enjoyment of a musical work. I suggest that the passage of time since the premiere is a significant ingredient in the making of works of art in contemporary music, because we the contemporary cultural stakeholders all participate in the manufacturing of aging.⁴ Hence I ask: how does time influence the qualitative nature of a musical work during the decades immediately after the premiere?

Drift

Drift is a concept that describes a slow continuous movement from one place or moment to another, of air or water for example, resulting in a shift or expansion. When it takes place in sound, it is called audio drift and often used to describe a slow and gradual displacement of a sound from its initial position in time and space, or in its quality. It refers often to a phenomenon of natural or unintended displacement over a duration. The most common usage of the term describes a problem that occurs when the audio and video tracks of a long recording become out of synchronisation. These phenomena relate to one idea of drift as perceived movement, but there is another idea for drift: drift as action. Drift is not only a natural or accidental phenomenon to be observed, and it can be an action with an agent, as in a sentence “people drift around”. Drift as action can take place in space (spatial drift) and in time (temporal drift). It can be both transitive and intransitive, as in causing something to drift, or in drifting themselves. In music,

4 I acknowledge readily that the passage of time is significant to *any* music. The present essay takes a position against a particular notion that a musical work is complete when the composition ends.

drift can be composed as part of a musical work (composed drift) and performed as new interpretations (performative drift), but performative drift can also be produced by listeners.

The two ideas of drift, drift as perceived movement and drift as action, are often confused, because the latter requires the identification of agents. My argument is that performing and listening people drift through a musical work, and effect a drift on the work as a consequence, despite the perceived idea that a musical work is a complete entity at the time of the premiere and that music analysts need only to wait for the allure of the “new” to subside to make a proper aesthetic judgement of the work (which is assumed to remain unchanged since the completion of the composition). I argue that participatory drift as action can radically transform the musical work itself during this period.

The geographer Michael Gallagher (2015) uses audio drift as a tool for participatory action, going well beyond the conventional understanding of drift as a passive phenomenon. In his work, audio drift is both the title of his experimental environmental sound work and the research method, which he has produced and employed in a geography research project on Kilmahew, Scotland. Kilmahew has preserved modern buildings in dilapidated state, and Gallagher’s project is about getting the landscape and buildings therein a new lease of life. The environmental sound work gathers stories and memories of the area, and is designed to be listened to on an MP3 player or equivalent at the level where outside noises are still audible, so that the listeners are not sure where the noises and voices are coming from.⁵ Unlike the traditional audio guide, people simply wonder around the landscape, as there are no signs for guided walks. Kilmahew’s history renders it a contested site for many people and attracts divergent opinions. The audio juxtaposes these voices spatially, and the result for the listeners can be confusing and disorientating. But Gallagher says “that’s the nature of the landscape and you wanted to work with it rather than against it”.⁶

Gallagher’s project aims to generate a new understanding and ap-

5 Radio Scotland made a short programme at the time of the project (Gallagher 2013).

6 Transcribed from the radio programme.

preciation of the Kilmahew site, by shifting and producing a drift from the existing understanding (or lack of it) about the site. In order to achieve it, he uses drift as action to make the shift (and a new understanding) happen. The agent is the participants, who wander around the site listening to the audio work. Hence, his audio drift is both drift as action (method) and drift because of the action (outcome).

As in the work of Gallagher, audio drift can be a creative strategy in experimental sound art.⁷ It commonly uses effects in digital audio-work software, where a large number of their combinations (echos, phasing, panning, convolution reverbs, drones, etc.) is readily available. The result often creates a haunted or uncanny atmosphere. Audio drift of this kind is a technically controlled and controllable dimension. Gallagher emphasises, through his software use, the layering voices, noises, and torrential rains (reportedly the most characteristic feature of the site, given its West coast location) for the strollers of the site to perceive what makes the site. But what makes his work original to me, and inspirational, is his participatory action methodology, and its overarching aim of giving the site a new lease of life by engaging people's imagination and bringing the regeneration of a site to take place in the community. The implied message is that visiting the site is not a passive activity: the stroller/listener participates in the *making* of a place, as Gallagher points out: "audio geography can shape listeners' attention and bodily movements, thereby reworking places, albeit temporarily" (2015, 467). Drift is not simply what happens inside the sound work: it is also a participatory action of drifting, whereby participants engage their imagination in new ways and contribute to the regeneration in the character and quality of the site.

Gallagher's project shows that the composed drift in the sound file can trigger *experiential* drift in the listener as a result, between the ac-

7 Budhaditya Chattopadhyay uses audio drift as a creative and discursive technique, and he has extensively documented the practice as artistic research (2013 for example). Laura Menard (2023) creates sound art with a similar approach but for a more educational purpose. Her presentation at the ISME Conference 2024 referenced Gallagher, which brought my attention to the wider implication of the drift concept, for which I am grateful to her.

tual site and imagined site, reality and interpretation, between related but distinct sounds, feelings, people, emotions, times and places. It is this interaction as experience, for which the technique of audio drift serves as an effective tool.

Audio drift is prevalent in a wide variety of musics of the last thirty years. For example, hauntology is an electronic music genre and one example of music-making that places the collapsing of the timeline at the heart of its aesthetics. Hauntology blurs distinctions between past, present, and future, in which nostalgia and “lost futures” play a significant role.⁸ Audio equipment from the 1940s onwards often features in hauntology music, and as such the drift is clearly aimed as a composed aesthetic effect. Hauntology music also frequently features drones and reverbs as key musical materials, aiming at productive disorientation of space and time in the listener.

My contention, however, is that drift takes place in contemporary art music, with or without electronics, not only within a musical work but also beyond the musical work, through participatory action of the performers and listeners, often independently from any design or intention by the creator/composer. Drift as such is often a slow incremental process of phasing away from the time of its creation, away from the expectations or conventions established. The performers and listeners contribute, through drift, to the nature and direction of works of art and sometimes revise them completely. Below I attempt to capture drift, both as action and phenomenon, taking place in and around pieces of contemporary art music, and show in how drift as action affects our understanding of the pieces today. I trace this process with the examples of *Fratres* and *La lontananza*.

Case study: *Fratres*

Fratres is a composition by Arvo Pärt (1935) and exists in a number of versions by the composer. It was initially composed as three-part mu-

8 Hauntology is best known as a (popular) music genre in the UK. Marilyn Coverley (2020) has produced a comprehensive book on the topic.

sic without fixed instrumentation and the first performance was given by the early music group Hortus Musicus (1977). *Fratres* for violin and piano (1980) is the first version written for fixed instruments, commissioned by Salzburg Festival for Elena and Gidon Kremer. Subsequently many versions were published and *Fratres* has become one of the best-known works by Pärt.⁹ This essay focuses on the history of the version for violin and piano.

Fratres is in variation form, and it presents nine variations of a six-bar theme.¹⁰ It is in Pärt's signature tintinnabuli style. Tintinnabuli as a technique has very clear principles, which are very audible (and followable in performance) to the listener, in the manner comparable to its contemporary works in Minimalist music. Every variation is followed by a two-bar cadence that is repeated throughout the piece (including the last variation), typically unaltered. The six-bar theme comprises materials in two halves, with three bars of main material and its inversion. The main three-bar material has three phrases, one in each bar, whose melodic line expands in length from 7/4 time in the first bar, 9/4 in the next and 11/4 in the last. The same pattern repeats in the inversion. This structure is consistent over all the nine variations. Against the backdrop of the formal consistency, *Fratres* produces kaleidoscopically varied melodic materials for the violin. The variety in registers, intensities, dynamics, characters and articulations create the dramatic narrative in the piece.

Kremer performed works by Pärt at many occasions throughout the world in the 1980s. In recitals he programmed *Fratres* alongside the standard repertoire, and the public's familiarity with the work in the 80s and 90s owed to a considerable extent to his performances. Aesthetically *Fratres* has a wide range of references for violinists and listeners. Perhaps the most striking passage in the piece is its open-

9 The most representative information about Pärt's works is available from Arvo Pärt Centre in Estonia, which has a comprehensive website: <http://www.arvopart.ee/en/>

10 Performing and analysing *Fratres* has often been chosen as a small-scale project by performer students at the end of the undergraduate or Master's degree course in Music. For this essay I have accessed one such thesis by Zivanovic (2012).

ing. The first exposition of the theme is played with continuous, fast arpeggiated chords over the four strings of the violin, slowly moving from one chord to the next, starting from *ppp* and gradually increasing in both amplitude and power with a *crescendo* all the way to the end of the theme. The musical trope is a passage from Mendelssohn's Violin Concerto: the cadenza comes to a close with an ebbing energy, and when the music is about to stop, the rhythmic arpeggio starts in tonic leading to the recapitulation, fuelling energy to it with a gradual *crescendo*.¹¹ For violinists and listeners of contemporary art music there are further references from the late twentieth century. The fast, soft arpeggio trope is a prominent material in Salvatore Sciarrino's Caprice No. 1 (part of Six Caprices, 1976), and of Saariaho's violin concerto *Graal Theatre* (1995, also written for Gidon Kremer, who's playing Saariaho acknowledges as inspiration for the work).

Besides Kremer's effort in the dissemination of the piece, *Fratres* has been performed and recorded consistently since the premiere by well-known violinists in major recital and concert halls and for commercial recording labels, by young artists in their graduation concerts, as part of a very classical recital, a programme of late-twentieth century music, or a thematically-selected programme of spiritual or ambient music. It is probably one of the most often performed and heard violin music from the last fifty years.

The performance history of *Fratres* also shows some unusual characteristics for a work of contemporary art music from the latter part of the twentieth century. First is the exceptional number of orchestrations made of the work: there are currently eighteen different versions of *Fratres* listed in the catalogue, the latest of which dates from 2017 for trombone, string orchestra and percussion. The ever-growing exposure of *Fratres* includes appearances as a soundtrack in films.

Another unusual characteristic is the ways in which it has been disseminated as scholarly publications. Pärt's music has been studied

11 The reference is apparent for any trained violinist in classical music. This is outside of the question of whether the composer intended or not. However, as I show in the proceeding section, the performer's understanding can affect the work's aesthetics.

in musicology in parallel to its growth in popularity in the public arena for topics such as how tintinnabuli technique works, how and why Pärt's music contrasts with the dense and complex music of his contemporaries, to cite a few examples.¹² One of the most influential scholarly publications is Paul Hillier's 1997 book *Arvo Pärt* which, given Hillier's artistic profile as a member of the vocal group Hilliard Ensemble (who performed Pärt's music extensively), supported the dissemination of Pärt's music.

The dissemination was also helped by the CD production. *Fratres* became known not only through the premiere and subsequent performances by the Kremers but also by the record company ECM's CD *Tabula Rasa* released in 1984.¹³ In this disc Gidon Kremer is partnered by the jazz pianist Keith Jarrett in a production that was epoch-making:

Many things were unusual about the *Tabula rasa* disc, and they each contributed to the template for Pärt's subsequent recordings for ECM [...] and shaped the reception of what would become known as spiritual minimalism. For a start, this was more than simply a portrait or recital disc, a more or less random anthology of a composer's works, a tacitly second-rate substitute for hearing them live in concert. This was a release that was conceived from the start as a recording, an album designed to be heard in one sitting, in conjunction with its supplementary materials—line notes, illustrations, and cover art (Rutherford-Johnson 2017, 31).¹⁴

The recording by Kremer and Jarrett still sounds fresh: played with clear tones and articulations from both musicians, phrasing is flexible

12 Recent examples include: Shenton, A. (ed.) (2012). *The Cambridge Companion to Arvo Pärt*. Cambridge: Cambridge University Press.

13 Kremer and Jarrett (1984).

14 Rutherford-Johnson's book (2017) provides valuable insight into the cultural and technological environment against which new music was created and practiced in the last forty years.

and spontaneous.¹⁵ This is a performance presented as contemporary art music, radically new and exciting.¹⁶

Anne Akiko Meyers and her team made a documentation project of performing Pärt's violin music in 2018, at the occasion of the opening of the Arvo Pärt Centre.¹⁷ Her approach and performance can be seen as a positive example of how not-so-new musical works may be performed today, revealing the cumulative effect of drift as a cultural practice.¹⁸ Meyers is a first-class world-touring soloist from the USA with a performance career spanning over thirty years, performing traditional repertoire with additional contemporary music. As one might expect, her musicianship is based on the traditional repertoire, yet she amply demonstrates her aptitude and imagination in the newer repertoire too. Her approach towards Pärt's music reveals the traditional reverence towards composers as she describes Pärt as an "icon" alongside Bach and talks about the poetic and profound qualities of his music. Yet, her performance demonstrates her own style of violin playing, which is very honest, communicative, and accomplished. It is a performance style you see in her Beethoven, Bach, and numerous others. It is deeply personal, serious, and classical in manner. She starts the opening of *Fratres* with a small intentional wavering, taking a moment as we enter the piece, similar to how she would start the afore-mentioned passage in Mendelssohn; she places vibrato on the last note (but not earlier) in the second variation and warms it as the last resonant sound to be heard for a while. Many small nuances are intuitive but deliberate, and beautifully executed, making the performance very much her own.

15 The recording is available on YouTube: <https://www.youtube.com/watch?v=DmUE8b-5kAQ4>

16 It has directness and spontaneity comparable to the recording of Elliott Carter's *Duo for violin and piano* (1973) played by Paul Zukofsky and Gilbert Kolish in 1975, though the works are very different in style.

17 The project consisted of performing and recording several of Pärt's music for the violin over a couple of years. The recording discussed here is from 2017 with the pianist Akira Eguchi, released in the Phillips Collection. Information and videos are all available on her website: <http://anneakikomeyers.com>

18 Indeed discovering her performance and recording project inspired me to consider *Fratres* as a case study for this analysis.

I am not discussing here whether these nuances are what the composer intended or whether they are necessary part of the interpretation. Those are beside the point. What I wish to emphasise is the degree of commitment Meyers displays in the delivery, and the deliberate risks she takes in the personalisation. This may sound exaggerated, however, small nuances are large enough deviations in a piece of music like this, whose score is not suggestive of these details. She interprets it. Saying so may sound utterly ordinary, given that she is an outstanding classical music soloist. Yet, this is precisely the point that is striking to me, that she plays it like an old masterpiece. And her interpretation is the most representative style in which many violinists interpret *Fratres* today.

The discussion above shows some manifestations that contribute to a larger drift phenomenon in and around *Fratres*, through participatory actions of performers and cultural stakeholders who have come after the premiere. First, the multitude of versions in different instrumental combinations can be understood as a drift expanding in colour, texture, and sound images; the work allows many violinists access to the iconic sound image of the late twentieth century violin music via its wealth of references to the past and present repertoires, creating space for their personal interpretation; Pärt's music has not only been performed, listened to and talked about, but also written about both in popular and academic publications; and ECM's CD presented Pärt's music in an innovative way that changed the way we listened to new music on CDs. These shifts have contributed collectively to the larger conceptual and aesthetic drift outside of the work itself over the years, each of them containing something unusual or original compared to the established norm or practice. In so doing, many people have participated in the musical production of *Fratres* and influenced how the piece is enjoyed and understood. *Fratres* has experienced many different kinds of drift, sometimes blurring its own delineations but remaining always attractive to many performers and listeners.

Case study: *La lontananza*

The technique of drift has a long history in composition, well before audio drift became a tool in digital sound art. Origins of spatial drift may go back to antiphony and hocketing in Western medieval music. Charles Ives may be considered one of the initiators in introducing temporal drift as an expressive strategy in composition.¹⁹ *La lontananza nostalgica utopica futura: madrigale per piú “caminantes” con Gidon Kremer* (*La lontananza* for short) is a work for violin and eight channel pre-recorded tape by Luigi Nono (1924–1990), composed in 1988–89, and may be considered as one of the extreme examples of composed drift. The work comprises a written-out notation, the six sections of which can be performed by the violinist in any order, and a tape part which a sound projection co-performer controls by deciding which channel(s) should be brought forward or muted at any given moment of the piece, and with what shape, amplitude, and duration.

La lontananza is not only a piece written for Kremer. The piece *contains* Kremer: the tape part consists of Kremer casually playing the violin, walking around and talking, and chairs being moved around, as if Kremer’s fingerprints are all over the tape material. The work was conceived as live Kremer interacting with his *doppelgänger* on the electronics. Listening to his Deutsche Grammophon recording and to the recorded materials at the Archivio Luigi Nono, the Kremer & Kremer combination presents a tantalising prospect.²⁰ Kremer spent more than 60% of the time on the tape material playing soft. His range of quiet and soft playing is infinitely varied. It is in this range of playing where I think his playing excels: he handles the complexity and density of overtones by adjusting different bow positions between *sul tasto* and *sul ponticello*, and produces an extremely varied and rich range of sounds that most violinists can only dream of. This quality is central to the conception of the work.

19 The literature is rich on this subject. One of the more recent publications on the subject is Matthew McDonald’s book, aptly titled *Breaking Time’s Arrow: Experiment and Expression in the Music of Charles Ives* (2014).

20 Kremer (violin), Gubaidulina, Haller, Kremer, and Nono (tape) (1992).

The work may last anything between 30 to 70 minutes, where the upper limit is that of the longest pair of channels (72 minutes). The notated violin part is a fragmentary rearrangement of older works by Nono, including *Varianti* for violin, strings and woodwinds (1957). The tape part comprises four stereo channels, where the material distribution is uneven between the pairs of channels. The resulting collage is often described as Nono looking back at his own life and era:

The work sits between and articulates several simultaneous folds of history: that of its creation, that of its performances, that of the specific performance taking place there and then. The violinist Aisha Orazbayeva describes it as “a piece at the end of a century, a piece at the end of a life where one is looking back all the way to the very beginning, but imagining and thinking of the future at the same time.” Each moment echoes the great historical fold between the 1980s and the 1990s [...] (Rutherford-Johnson 2017, 234).²¹

Although this understanding is largely supported by the majority stakeholders and can be seen at the core of continuing fascination with Nono’s music, I offer an alternative reading. I don’t think *La lontananza* presents compositional control at the suggested level. The material looks and sounds sketchy, and the composer does the minimum to let it hang together.²² The played part and the tape part are very different materials, as if they are two distinct pieces of music. The tape part does convey something of the 1980s and 90s, which I see as mostly dependent on the audio production quality. As for the materials of Kremer’s playing, it does reflect his concert repertoire of the time as he casually

21 Orazbayeva’s quotation is reported as private email correspondence in Rutherford-Johnson (2017).

22 I carried out a study of the material related to *La lontananza* (1988/89) at the Archivio Luigi Nono (ALN) in 2011, hosted by the Cini Foundation. The present discussion is based on information gathered then, including analysis presented by Stefan Dress’s (1998) PhD thesis *Architektur und Fragment: Studien zu späten Kompositionen Luigi Nonos*. Regarding *La lontananza*, Dress’s thesis offers detailed studies on the chronological development, reconstructing the violin part for each stage of the composition, tracing how Nono’s “copy-and-paste” practice evolved from one stage to the next, and mapping out how the various fragments travelled and arrived at the next configuration.

played sections from it.²³ But I find it difficult to see how “each moment echoes the great historical fold”.

While the materials appear scattered around, the craft of composition lies in the manner of fragmentation and distribution of the recorded material. Most samples used in *La lontananza* are quite long, over one minute each. But the fragmentation varies infinitesimally—sometimes the material is used for a fraction of a second, barely long enough for us to recognise it. The combination of duration and material is particular in each case: gestural sound and voice produce a sense of presence in a sample of one second, giving the impression that you have been suddenly transported to Kremer’s living room. The high-register *flautando* melody can last for a long time in the background without becoming very noticeable. Nono combines material and duration in such a way that the resulting collection of fragments is varied, rich and unpredictable.

The material distribution on the other hand has two operational aspects to it, one internal and the other external. The internal aspect is the part that is already realised and fixed by Nono. There is a signature style of Nono’s electronics composition, that he creates a wave effect by periodically moving between left and right in stereo or sending the sound around the speakers. His wave effect is almost invariably combined with the same periodic shape in the amplitude parameter (many *crescendo-diminuendo* pairs in succession). He varies both speed and size of the wave. Rapid waves sound agitated, while slow gentle waves are lulling. In *La lontananza* Nono adds the wave effect to a considerable

23 The sample recording sessions represent a mixture of Kremer’s improvisations and Nono’s requests. Nono had ideas for these sessions (ALN 59.02.02. contain a series of ideas and a “wish list” of sounds to be collected). There is a note dated on 14th February 1988 (ALN 59.03.01/02), a few days before the start of the recording, that shows a plan Nono made for these sessions. You can also hear Nono making tentative requests in the recording sessions. He asks for fifths using open strings—the fundamental sound-palette for Nono’s conception of sound for stringed instruments. He then asks for fingered double-stops, in fifths but also expanding to minor sixths and diminishing to tritones via microtonal deviations from the fifths, using varied timbres and articulations. Nono and Kremer both like harmonics and bow-tremoli, and there is a substantial quantity and variety of these in the recording. The complete recorded unedited materials are archived as ALN CDs 97-101, the finished stereo channels are available as ALN CDs 113-116.

proportion of the tape material to the extent, that when listening to recordings of performances, you recognise the sound of the live violinist by the static presence, meaning not having the spatial pulsation.

The handling of the other aspect of material distribution, the external aspect is left to the performers. The performers' influence is such that *La lontananza* can sound completely different each time because of the pacing determined by the live violinist, and the selection made by the sound projection co-performer on which material, when and where to bring up or down in the tape. It is as if Nono left the final part of composing to the performers. But this is typical of late Nono: *La lontananza* exists as a concept that has many possibilities for realisation. At the same time, the task of realisation is not exactly as that of "composing" as the word suggests. The material is already chosen and subjected to processes in such a way that it has gained its own structuring force. In other words, the material has its own disposition towards certain patterns for realisation. Understanding this disposition, combined with an awareness of context, suggests a limited number of possible realisations. The dramatic space of *La lontananza* is not something to put on, but something to be drawn out of the material's disposition. While there is open-endedness to *La lontananza*, the piece is not an unfinished work.

Regarding drift, *La lontananza* affords more than one kind: the composed drift with all the technical features associated with causing drifting effects, and performative drift that results from the choices made at each performance. But the work also inspires a further kind of drift. The imaginations of Rutherford-Johnson as a listener and of Orazbayeva as a violinist to feel and imbue "folds of history" into the work are precisely the evidence of this other kind of drift, carried out in their listening. It is their active participation that makes the work special.

Significant contribution to the work has also been made by the violinist Irvine Arditti and the live electronic music specialist André Richard. Arditti is known for commissioning and premiering works, alone as well as with the Arditti String Quartet. Richard was Artistic Director of the Experimental Studios, the Heinrich Strobel Foundation, the Südwest Rundfunk (SWR) in 1989–2005, where Nono worked on the

tape material during the composition. The Arditti & Richard recording project was undertaken in 1991 for Disques Montaigne. The CD notes describe clearly the materials and their characteristics, where and how latitude in performance may arise and why.²⁴ This recording does not try to emulate the *doppelgänger* effect. Rather, it is like an installation featuring different spaces and time-zones, by articulating the separation between the recorded and live sounds. Their recording testifies that they have established a new network of relations in the material components. This presents a conceptual reinvention of the work, albeit within the framework of the composition, and it is Richard's solution to the challenges left by Nono's death in 1990.²⁵ The intervention of Arditti and Richard is imaginative and courageous, and I argue that acknowledging their contribution is important for the future of the work. It has paved the way for other performers to perform and record the work, establishing a performance practice that is alternative to the original intention.

Another recording is worth mentioning in the context. The disc by Melise Mellinger (violin) and Salvatore Schiarrino (sound projection) generates a very different image of the piece.²⁶ Schiarrino is a well-established composer himself. His link to the piece originates from the fact he is the dedicatee of the work. By undertaking the recording of *La lontananza*, he is infusing his own musical sensibilities to the sound projection: his choice of sounds from the tape material emphasises chairs moving around, people talking, and many other extraneous noises. It is generally quiet, and the recording is quite long (almost 62 mins). It deviates from any previous interpretations afar, beautifully, and deliberately.

The convention is to attribute positive perceptual qualities to the imagination of the composer. It is generous of Rutherford-Johnson and

24 Arditti (violin) and Richard (sound projection) (1992), 4.

25 This is a well-known story and also narrated in Arditti (2023, 205–8). Richard has been tireless in the dissemination of live sound projection strategies involved in Nono's music, by giving masterclasses and seminars.

26 Mellinger (violin) and Schiarrino (sound projection) (2000).

Orazbayeva to attribute the aesthetic experience to the composer, but I think we are missing yet another opportunity to understand the roles played by the contemporary stakeholders in the aesthetic experience if we continue to do so. While composed drift—drift internal to the work itself—is a prominent feature of the work, *La lontananza* provides many more layers of drift: performative drift as results of choices made by the performers (including radical interpretations of the tape as in the cases of Richard and Sciarrino), and personal and collective reflections and historical sensibilities that we project onto the piece. There exists evidence of drift between the work originally conceived and the work actualized in the present.

Drift over time

Fratres can be seen in many ways to stand in opposite to *La lontananza* as a composition. *Fratres* is simple and direct, very unlike the type of modernist new music of its contemporaries. It is not an overstatement to say that, because of the clarity, *Fratres* has triggered more drift for the stakeholders. The potent simplicity encourages it. On the other hand, *La lontananza* is a complex work, attracting a small number of dedicated performers and listeners. They exult in the drift that arises in each performance. This is the point that brings us to a particular feature of audio drift: audio drift encourages drift as action. This is self-evident in the case of *La lontananza*, as it is in Gallagher's. Yet, drift as action does not depend on composed audio drift and, to prove this point, I have focused on *Fratres* to show a different type of drift. *La lontananza* represents an example in which drift happens inside and outside of the work, but I caution that not all the drift should be attributed to the composer/composition. Also, both examples are slow moving music, but drift does not depend on the speed of the music. It is possible to identify drift in the performance practice of, for example, Luciano Berio's *Sequenzi*. The discussion may also give an impression that drift as action is a manifestation of human agency. But drift is less conscious than the changes afforded by the human agency which often comes with the feeling of control over action. Drift is somewhat more untidy,

less intentional, more like Jane Bennett's non-human agencies (2010) as she articulates vibrant materiality running alongside humans. Drift is not a fully controlled course of action, and though it results in a change retrospectively, it seems incorrect to attribute agency to humans alone. If drift must have a non-human agent for change, then it would be time.

My last task is to show how these drift phenomena feed into the aging of contemporary art music. Contemporary music comes with novelty, and also with striking singularity. It is a new work, the premiere is the first performance, and the first recording, all of which are singular. There are also exclusive rights to perform or record (usually time-limited). Expanding and transforming it to anonymous multiplicity seems like a difficult transition. The loss of singularity sometimes feels like a loss of identity. But this is the transition we have to make as a community, and the necessary part of the aging of new music. Drift is what happens ultimately, but I think it is also what has to happen if the music is to gain a new lease of life beyond its original timeliness.

I return to my earlier observation, that it is perplexing when something new, or what we thought was new, sounds old or dated. Musical works that are repeatedly performed over a long period of time sometimes share the same fate, sounding clichéd. Given the argument I presented in this essay, the observation of outdatedness comes with a question: are we making enough effort to drift, as performers and listeners, whenever we experience new music sounding old? Can we learn to hear it and enjoy it in the present tense, by drifting?

Musical work as a site

Finally, I come back to Cone's quotation. When he says "[w]orks of art need that much time to begin taking their place in history and tradition" I understand that he most likely means we should wait until dust settles. But I also wonder if he means that a certain amount of drift is necessary if the works are to join the history and tradition of Western art music. As his teacher Roger Sessions says, "music is not totally present, the idea of the composer is not fully expressed, in any single performance, actual or even conceivable, but rather in the sum of all

possible performances” (Sessions 1950, 85), the overflowing amount of what a musical work can be is precisely what makes it aesthetically satisfying. The analysis of musical work is perhaps more straightforward when a work is new, because the material under consideration is smaller in quantity and quality. But the complexity and complicatedness, drift and blurring through the lived experience, make the works of art more interesting. Gallagher’s aim of regenerating a site through audio drift becomes an apt metaphor when we think about musical work as a site: awaiting a new lease of life by engaging people’s imagination afresh and bringing the regeneration to take place in the contemporary community.

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Indications of Performer's Semiotic Space: Pianists on *The Spruce* op. 75 no. 5 by Jean Sibelius

JUHA OJALA

There is no hiding from the news: the current age of climate change and ecocrisis exposes many threats to our habitats worldwide. Among the victims is the Norway spruce, *picea abies*, as the warmer climate fosters outbreaks of the European spruce bark beetle, *ips typographus* (Neuvonen and Viiri 2017). Similar threats target North American forests (Pureswaran et al. 2018). The existence of the subarctic taiga is in jeopardy, calling for acute attention to sustainability in all its forms, environmental, economic, social, and cultural. Understanding cultural sustainability, in turn, entails not only the instrumental view of it as “driver and enabler of sustainable development” (Unesco 2023, 5), but with “even a more fundamental role”, “recognising culture as at the root of all human decisions and actions” (Dessein et al. 2015, 7).

In the North, the forest has been a ubiquitous, fundamental part of the human culture, and its cultural representations have been pervasive (e.g., Ramnarine 2019).¹ The long 19th-century project to construct the Finnish nation state embraced nature as a major source in the endeavor—and music and the arts as its tools (see, e.g., Mantere 2015; Kurkela 2012; Anttonen 2012). In 1853, forests covered 59% of the land area of the then Grand Duchy of Finland (Gylden 1853, 6; Ruuttula-Vasari 2004, 48). In 2020, Finland's relative forest area was 73.7% (Forest Europe 2020,

1 Beyond the taiga forests of the subarctic, there is of course the even more vulnerable tundra, sealife, and glaciers of the arctic. For Glenn Gould (1985 [1967]), for instance, the idea of the North referred more to the arctic than the subarctic.

265). Economic impacts and their consequences to nature aside, the forest remains an essential but vulnerable part of the Northern cultures.

In particular, *picea abies*, the Norway spruce—*metsäkuusi* or simply *kuusi* in Finnish and *gran* in Swedish—is a “mythical tree of the Finns,” as Tomi Mäkelä (2011a, 112) put it. Based on folklore studies, this seems warranted. The spruce is of course the main species for Christmas trees in Finland. However, that tradition is young, generally from 1870s and 1880s, and its prevalence has been helped by the existence of older, outdoor traditions (Vilkuna 1983, 340–341). The spruce has been one of the species for sacrificial trees (Fig. 1). The ritual trees may be older than agriculture as livelihood, i.e., from the hunter-gatherer era (Sarmela 1994, 46). According to Siikala (2012, 86), “[t]he holy tree was most often a big spruce, birch, or pine.” The trees have been revered as many stories told of misfortune if the tree was harmed. The destiny of the house (in the West) or the families and their members (in the East) has been associated with the destiny of the holy tree (Sarmela 1994, 46; Siikala 2012, 84–90). Whereas sacrificial sheds were destroyed as pagan, the same was not that easy for trees. Today, people continue to have an “admiring relationship” with large, old and charismatic trees in Finland (Vainio et al. 2024; see also Kovalainen and Seppo 2006).

Monumental figure in Finnish culture and music, and in the construction of the nation, Jean Sibelius’s relationship with nature and forest has been quite thoroughly described both in academia and other sources.² Erik Tawaststjerna (1988, 251) regarded it as “pantheistic”, the last large-scale work, tone poem *Tapiola* op. 112, being an epitome. The British composer George Dyson (1936, 989) romanticized this as follows:

He [Sibelius] has pondered much on the folklore of his native land and is extremely sensitive to its wild surrounding, its forests and lakes, untrodden wildernesses and bleak northern plains. Many of his works are

2 As Tomi Mäkelä (2011b, 140) pointed out, “Sibelius was, however, not only someone who could establish contact with nature and who saw through the trap of the supposedly unspoilt nature of the mythological but was also an elegant ‘homme civil,’ who moved about big cities like a ‘fish in water.’”



Figure 1. Known sacrificial stones (circles and equilateral triangles) and sacrificial trees (other isosceles triangles) in Finland, Karelia, Ingria, and Torne Valley. Black, hollow triangles: known sacred trees or groves; red solid triangles: sacred trees where sacrifices are known to have been made. Sarmela 1994, tradition map 3.

tone-pictures of these elemental forces and of the stark human dramas which the sagas of the north have fittingly placed in these settings.

Such utterances raise three critical questions on Sibelius's music. First, what really was the extent and character of Sibelius's pantheist relationship with nature? How is that relationship, or his *homme civil* side present in his music? The second is the traditional question of program *versus* absolute music. In conjunction to *Tapiola*, Erkki Salmenhaara (1970, 19) pointed out that particularly in older age, Sibelius emphasized the absolute character of his music, contradicting earlier statements of programmatic backgrounds. According to Salmenhaara (1970, 20–21), *Tapiola* does not follow an external program, written or other, despite the fact that Sibelius described "*Nordlands düstre Wälder*" for the quatrain motto that accompanies the title, and mentioned to Walter Damrosch, the conductor of the premiere, that *Tapiola* was based on these rows. Instead, continued Salmenhaara, it builds on "purely musical logic": "musical events following one another for reasons that are only of musical quality," which he then proceeded to demonstrate in his analysis.³ On the other hand, according to Tomi Mäkelä (2011b, 140, see also 228–237), Sibelius "also wrote a great deal of programme music," and

[t]he decisive thing is not the descriptive, linear narrative but rather the guiding idea—the theme of the language of the soul of a story that is not verbalised, which is sketched in a few lines of forms the abstract motto. (Mäkelä 2011b, 236.)

A subsequent, even more fundamental question is: Whence the signification in Sibelius's music that builds on "purely musical logic"? What *is* "musical logic"? What in the texture, sound, or delivery gives rise to meanings? What determines how a composition like *Tapiola* is

3 "Kysymys on yksinkertaisesti musiikillisesta, nimenomaan puhtaasti musiikillisesta logiikasta. Eri musiikin tapahtumat seuraavat toisiaan syistä, jotka ovat ainoastaan musiikillista laatua. Analyysin yhteydessä osoitan, että näin Tapiolassa todella tapahtuu. Jo tämä seikka eliminoi romanttisen ohjelmallisuuden mahdollisuuden."

perceived and interpreted by the listener, whether a regular member of the audience, a performer, or a researcher?

The questions are of course applicable to other works and composers as well, and clearly beyond the scope of this article. Yet such questions may be approached—with small steps. In comparison to his large-scale works, Sibelius's smaller works have been given less attention. Most of them are piano pieces, and starting from Cecil Gray (1931) rather dismissed as “for the most part completely undistinguished in conception and musical substance,” and as mere “economic necessity” (Salmenhaara 1984, 324). True, as Veijo Murtomäki (2004, 148) put it, “Sibelius almost wrote ‘too many’ sets of miniatures during the 1910s,” but the opp. 74–76, 85, 94, 97 and 99 “have often been bundled together with little awareness of their individual strengths and characteristics.” In this respect, the small piano pieces seem to well afford to examining how meanings may be represented and communicated in Sibelius's music.

Methods and Materials

Approaching those goals, this article is a case study of cultural representation of nature, the forest, and in particular the spruce, in three performers' interpretations of a composer's work as delivered to the audience. In Western art music (WAM), the performer's role is to mediate between the composer and the listener. The composer's determinative position tends to be taken for granted, but the composer's coding of the work is nevertheless weak, to put it in Umberto Eco's (1979) terms. The composer's code requires meaningful *interpretation*—or, rather than *translation*, a process of *transduction* from one semiotic system to another (see Grajter 2024, 20 and 43): from written-down Western practice notation to an auditory signal of sound.⁴ In WAM, the performer faces *the problem of performer's semiotic space*: the task is to *objectively* assess the composer's intended objectives conveyed by the

4 Here, I bypass issues of multimodality in music performance: the data comprises of digital sound recordings.

unavoidably incomplete and underdetermined instructions given by the notation, and to mediate, on one hand, the work as intended, and, on the other hand, with a performing artist's personal, *subjective* interpretation for the audience to experience (Ojala 2024, 46–47; see also, e.g., Goehr 2007; Navickaitė-Martinelli 2014; Ojala 2022).

The performers benefit from the music-analytic insights in their practice. According to Jonathan Dunsby (2002, 232), “structural analysis in some form simply must be part of the performer’s work, however hidden from the public gaze, however invisible in the final product.” Reversely, we could also question to what degree any music-theoretical analyst pursuing their analytic work with necessary methodological rigor can or should be void of perceiving and interpreting musical signs as a listener let alone as a performer not directly oriented to structural analysis. As Ian Sewell (2020, 415) observed, “despite the ideological, institutional and even ontological ... differences that are claimed to exist between performance studies and music theory, both have actually proven remarkably similar in their methodologies and aims.” Dialogue between performance analysis (such as analysis of recordings), performer’s analysis and theorist’s analysis could certainly help “transcending the dichotomy between performance and structure” for mutual benefit (ibid. 428; Suurpää 2016).

The present case deals in practice how the performers shape time in the piano miniature “The Spruce” op. 75 no. 5 by Jean Sibelius. The inquiry is here limited to the event and beat onsets in performance data, i.e., the outcome rather than the process of performers’ interpretation. More specifically, the focus is on temporal shaping of the patterning and de-patterning of Sibelius’s texture (see Alesaro 2015), both between and within the patterns. Clearly, aspects such as timbre and dynamics, balance and projection, and the nuances of articulation also carry toward shaping the composer’s message for the listeners to experience. However, insight into the temporal shaping may already reveal similarities and differences in the performers’ interpretations of the composer’s coding in the notational instructions, and their implementations for the representations to the audience.

The scope of this kind of multiple case study is not sufficient to ad-

dress matters of performance practice in Sibelius's piano works, nor is it the goal here. The goal is to describe the performance data of the temporal patterns in the selected corpus, and thereby to develop understanding of the similarities and differences in the signifying aspects of temporal shaping across the three recordings, and in relation to the score. Delving into the details of the performance data sheds light on the (attentive or non-attentive) decisions made by the performer in interpreting the composers code and recoding it for the audiences. This in turn helps us further understand the communicative process of the musical work and its meanings.

According to Salmenhaara (1984, 324), among others, op. 75 is the most significant of Sibelius's piano compositions. According to Murtomäki (2004), of the "Tree" pieces op. 75, "The Spruce" (no. 5) is unquestionably the most popular, powerfully" conveying "Sibelius's pantheism." Holding on to the claim of *not* having a programme, Salmenhaara (*ibid.*) stated that "excluding the darkness of the spruce, the composer does not really describe the trees musically. But in sympathizing with the topic of nature he distances himself from the salon style toward free impressions, that the traditional clavieristic ballast burdens in an unusually limited extent."⁵

Sibelius began composing op. 75, "with the tree motif," in September 1914 and finished the first version of no. 5 on 23 Sep 1914 (Kilpeläinen 2008, x).⁶ However, the Finnish publisher did not publish op. 75, probably because of the war. The current, second version of "The Spruce" was not completed until after the war in July–Aug 1919. Finally, in 1921, the publishing rights were transferred to Wilhelm Hansen (Kilpeläinen 2008, x–xi). According to Kilpeläinen (2008, xi), pianist Sigrid Schnéevoigt performed the "tree" pieces op. 75 in Helsinki on 27 March 1917. However, that has obviously been the first version, not

5 "... kuusen tummuutta lukuunottamatta säveltäjä ei varsinaisesti kuvaile puita musiikillisesti. Mutta eläytyessään luonnonaiheeseen hän etäännyy salonkityylistä kohti vapaita impressioita, joita perinnäinen klaveristinen painolasti harvinaisen vähäisessä määrin raskauttaa."

6 A facsimile of the first version is included in the JSW edition (Sibelius 2008, facsimile VII, pp. 147–151).

the current. The piece has been recorded and publicly released tens of times. The earliest known recording is the direct disc recording by Erik Tawaststjerna, broadcast by the Finnish Broadcasting Company Yle 4 Dec 1949 (*Hufvudstadsbladet* 1949).

The three pianists and their audio recordings are Izumi Tateno (1971), Marita Viitasalo (1993) and Eero Heinonen (2015). The two 22-year intervals between the three selected recordings cover the CD era. The Tateno recording is an early ADD re-release of an LP; the Heinonen recording is a late DDD release when CD distribution was declining due to the advent of music streaming services.

The AIFF stereo files of the three recordings were analyzed for their event onsets using Sonic Visualiser 4.5.2 (Centre for Digital Music at Queen Mary, University of London). First, the onsets were automatically extracted with the built-in onset detector. Second, the onset tags were manually adjusted: false positives were discarded, false negatives corrected, and onset tags of right positives adjusted based on repeated listening of the perceived attack onsets in varying playback speeds. This yielded a total of 1442 data points⁷ ($N = 3 \times 480 + 2 = 1442$). The adjustments were visually confirmed with the help of synchronized sonograms with a variety of settings. The scores consulted during the data production were the first edition by Wilhelm Hansen (Sibelius 1922) and the JSW edition (Sibelius 2008). The onset times were plotted against score positions and used to determine the temporal inter-onset intervals (IOIs) and the tempi in different time resolutions (such as event, pattern, and section). The data and the plots were then compared across performances and in relation to the score.

In figures below, the events are primarily displayed as *event curves*, that is, as plots of score positions over event onset times, either by section *in toto*, or with the patterns of a section together, locked to a joint origin. The onset times of the patterns are set to start from zero at the first downbeat. The horizontal axis displays the performance time, and the vertical axis the score position. Due to the irregular measures in the

7 For the two additional onsets, resulting in the peculiar number, see Results below.

piece, the score positions are given in beats (quarter notes). Hence, the tempo at each given moment can be inferred from the slope of the lines between events: the steeper the curve, the faster the tempo, whether momentary or general; a straight line indicates a steady tempo, a curvature to right a *ritardando* and a curvature to left an *accelerando* (see Ojala 2021). Tempi are indicated as quarter beats per minute (BPM), measures “m.”, and beat “b.”. In what follows, the piece is divided to *Stretto* (m. 1), *Lento* 1 (mm. 2–39), *Risoluto* 1 (m. 40 until the forte D#1 with fermata, m. 40^{III}), *Risoluto* 2 (until the tenuto D1, m. 40^{VI}), *Risoluto* 3 (recap of *Stretto*, m. 40^{VI}), *Lento* 2 (mm. 41–55) and a *codettina* (mm. 55–56).⁸

Results

Stretto

The Spruce opens with a *stretto* of prelude-like ascending arpeggios in sex- and quintuplets. It has a stepwise descending soprano line, going through a quasi-cycle of fifths with a pairwise descending bass line before resolving D: vi⁷-ii⁷-V⁷-I_Δ⁷ into m. 2. The double beams instead of triple does not seem a mistake: the irregular m. 1 has six beats despite the time signature of 3/4, similar to the end of the irregular m. 40, which recapitulates the opening (see Kilpeläinen 2008, 176).

The pianists' mean tempi in *Stretto* are very similar: Tateno's and Viitasalo's *Stretti* last 4.883 and 4.888 seconds (73.7 and 73.6 BPM), respectively; Heinonen plays it slightly faster, in 4.737 sec. (76.0 BPM). Opening with a *stretto* invites to examine the temporal shaping closely—a *stretto* being more typically an indication of “a faster tempo at the climactic *concluding* section of a piece” (Bullivant 2001, emphasis added).

Tateno's and Viitasalo's event curves in the *Stretto* resemble the standard logistic function, although modified (Fig. 2). The logistic curve and its later modifications have been taken to model organic, natural growth (see Verhulst 1845 and, e.g., Tsoularis and Wallace 2002): initial

8 Register-specific pitches are given in the scientific (C4) notation (Young 1939).

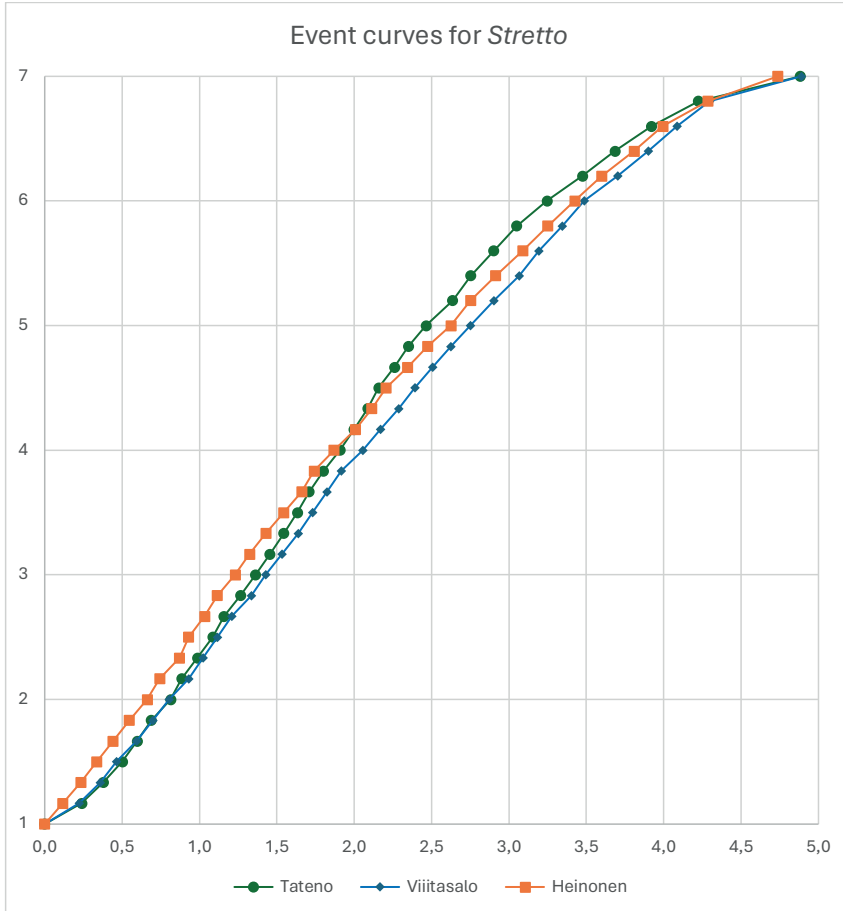
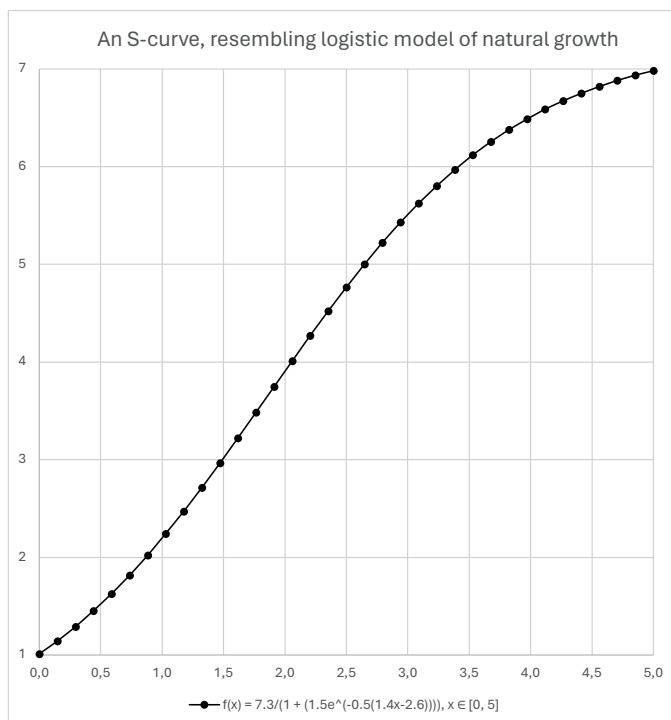


Figure 2a. Event curves of *Stretto*, m. 1, with ascending arpeggios of the four sextuplets and two quintuplets. Horizontal axis gives onset time in seconds, vertical axis the score position in beats.

exponential growth, slowing to linear growth and finally to a declining growth rate when saturated toward a limiting value of sustainability. Heinonen's very opening is more linear, but similarly leads the *allarg.* on b. 4 till b. 7, the beginning of *Lento* 1.

Comparison of inter-onset-intervals (IOIs) within and between the patterns of *Stretto* (Fig. 3) shows differences in the opening beat and the *allargando*, such as Tateno's broader range of tempo in the first and last pattern, and small individual variance within and between patterns:



likely not unwanted unevenness, but temporal stress given to different tones within the patterns and taking slightly different strategies for the patterns. Tateno gives more time to the first and last tones in pattern 1, keeps patterns 2–4 very steady, slows down a bit in pattern 5, and makes a notable *ritardando* at the end of pattern 6. Viitasalo does quite the same, but patterns 2–4 are more different from one another. A nuance, Viitasalo implements the *allarg.* with a linear hinge on beat 4 while Tateno makes a small *accelerando* on the first tones of beat 4 before curving the tempo more widely down toward b. 7 (downbeat of m. 2). Heinonen starts off directly, and handles each pattern even more individually.

Lento 1

The first *Lento* section builds on patterns of a slow waltz (*a*, mm. 2, 4–6, 8–10 etc.), interspersed with an accented single-line motif (*b*, mm.

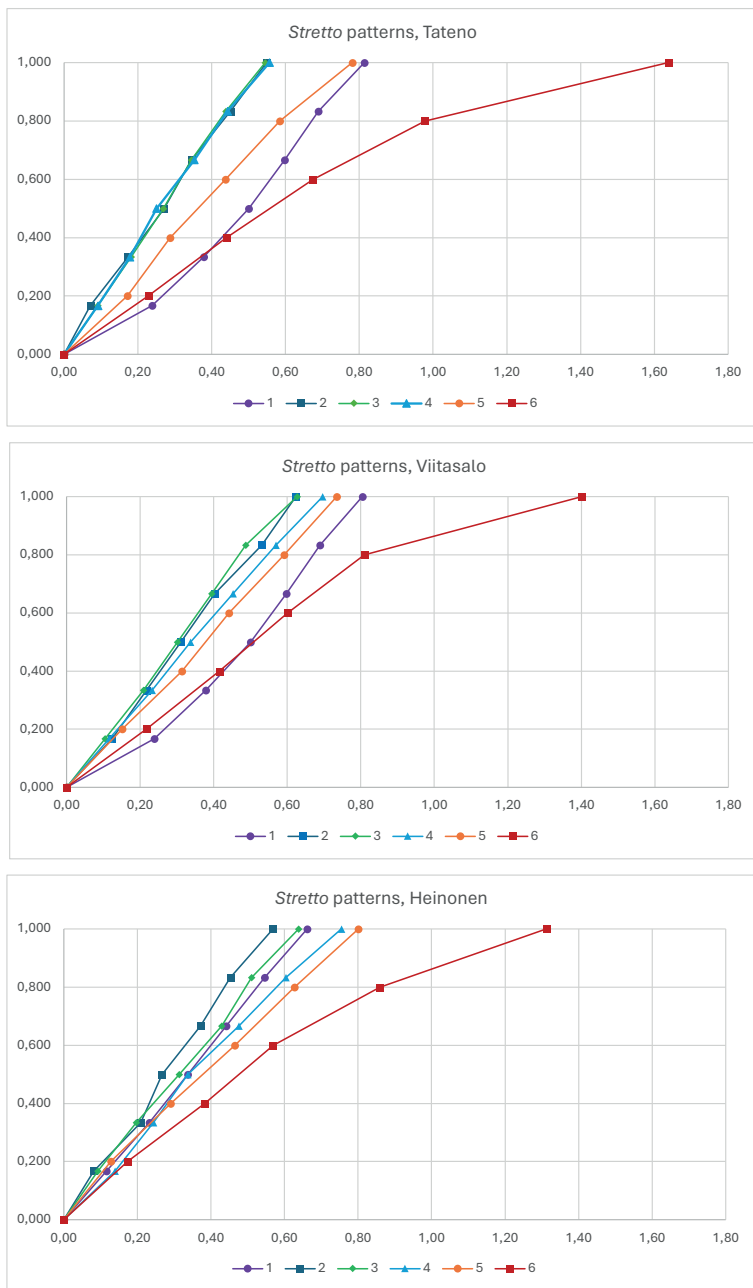


Figure 3. Event curves for the patterns in *Stretto*, the 4 sextuplets and 2 quintuplets. Horizontal axis: onset time within the pattern (seconds); vertical axis: score position within the pattern (fractions of beat). The last point of each curve (score pos. 1.000) is the start of the next pattern (0.000), including the downbeat of m. 2 (b. 7) in pattern 6.

3, 7, 11 etc.). Pattern *a* is briefly introduced (m. 2) but left hanging in the air as pattern *b* takes over, leading to the relaunching of pattern *a*. Without now going deeper to harmonic or structural analysis, “The Spruce” navigates between D major and B minor.⁹ The cadential structures of *a* play with open vs. closed ones, e.g., with an unsurprising half cadence in m. 6 vs. full in m. 14, but more interestingly with D: V²-iii⁷ and its delayed, momentary resolution to I⁶ (mm. 17–19). The harmonic pattern is repeated with modifications, e.g., as B: V²-III⁺_Δ-i⁶ (mm. 21–23; see mm. 33–35, 37–39). Temporally, the *sustaining* of pattern *a* is resisted by five *breaking patterns* that alter the newly established pattern by omitting downbeat (mm. 3, 11), omitting also the *trois temps* leaving only duple beats (mm. 7, 15), or by accented syncopation (on two or three) and subsequent duple beat (mm. 18–19 and 34–35, 22–23 and 38–39), or, finally, with a clear cadence on the duple (mm. 29–30) before a *link* to motif *b* (mm. 30–31).

In Fig. 4, the onset data of the nine patterns in *Lento* 1 are plotted together into event curves. The origin (the intersection of axes) is at the end of patterns *b*, i.e., at the launching of patterns *a*, in their varied forms.¹⁰ First, note the similarities between the recordings in both *a*⁰ (opening of *Lento* 1, m. 2–3) and *b*⁸ (end of *Lento* 1, transition to *Risoluto*, mm. 39–40). Time is given to the ringing of the last chord in the initial waltz pattern (*a*⁰)—observing the *con suono*. There is a fermata at barline 40 before the *Risoluto*: the section change translates into a clear *ritardando* curvature (*b*⁸).

However, the recordings differ in the temporal shaping of patterns *b*¹*a*¹, *b*²*a*² and *b*¹*a*³ (mm. 3–7, 7–11, and 11–15, respectively) vs. those starting in higher register in *dolce* (m. 15), i.e., *b*³*a*⁴, *b*⁴*a*⁵, *b*⁶*a*⁷, and *b*⁷*a*⁸ (mm. 15–23, 31–40; for *b*⁵*a*⁶, mm. 23–31, see below). In the first three, the temporal shaping of patterns *b* resembles the S-curve in miniature: zoomed in, the event tempi (IOIs relative to notated duration) are slow at the beginning and end, and faster going into the 3rd and 4th eighths of

9 The first version of 1914 had six flats (Sibelius 2008).

10 The data for each pattern includes the onset of the subsequent pattern, showing the IOI from pattern to pattern.

the pattern. The same applies to the subsequent waltz patterns *a*: the phrase is sped up early on, and then slowed down. Affecting the waltz's lilting, both Tateno and Heinonen peak the tempo in all three patterns going to the first duple beat (mid-measure LH; mm. 4, 8, 12), Viitasalo right thereafter. However, the changes are not big, as also indicated by the relatively straight lines for patterns b^1a^1 – b^1a^3 in Fig. 4.

Starting *dolce* an octave higher, the latter patterns b^3a^4 , b^4a^5 , b^6a^7 , and b^7a^8 (mm. 15–23, 31–40, Fig. 4), show more distinct curvatures, i.e., there are wider *accelerandi* and *ritardandi* within the patterns.¹¹ Also, the tempi in general are faster, as indicated by the steeper curves (and Fig. 6 later). The patterns make pairs in that back in mid-register b^6a^7 and b^7a^8 are modified repeats of b^3a^4 , b^4a^5 , and the D major patterns b^3a^4 and b^6a^7 are sequenced a third down to B minor patterns b^4a^5 and b^7a^8 . Between the four patterns, the three performances on the recordings vary, but all observe the pairwise coupling. In Tateno's recording, the four vary the most, but there is a *shaping pattern*: the end of b^3a^4 speeds to b^4a^5 which follows the S-curve more; b^6a^7 and b^7a^8 do the same but are a bit faster. In Viitasalo, the four are remarkably similar, only the pattern ends differ in that the first patterns in the pairs slow down less than the second ones. Likewise in Heinonen, the pairs' latter patterns similarly form an S-curve; former ones less so, ends of b^3a^4 and b^6a^7 leading more directly to the latter ones.

In between these pairs of patterns, there is the extended pattern b^5a^6 with chords *en trois temps* broken to eighths (mm. 23–30), followed by a link (mm. 30–31) to b^6a^7 . Figure 5 gives the *event tempi plots* for b^5a^6 . Again, there is the overall trend of early rise of tempo followed by decline. Tateno varies the most, and his tempo peaks at the last eighth of m. 25 (D: V⁷), Heinonen's already at the last two eighths of m. 24, while Viitasalo's tempo peaks both at 2nd eighth of m. 26 and m. 28. Within each measure, all take time before the downbeat, compared to the eighths; Tateno gives time also before the eighths, Heinonen almost systematically increases the tempo through the measure, while

¹¹ The original declamatory motif *b* is here diminished into an stepwise ascending tetra-chord.

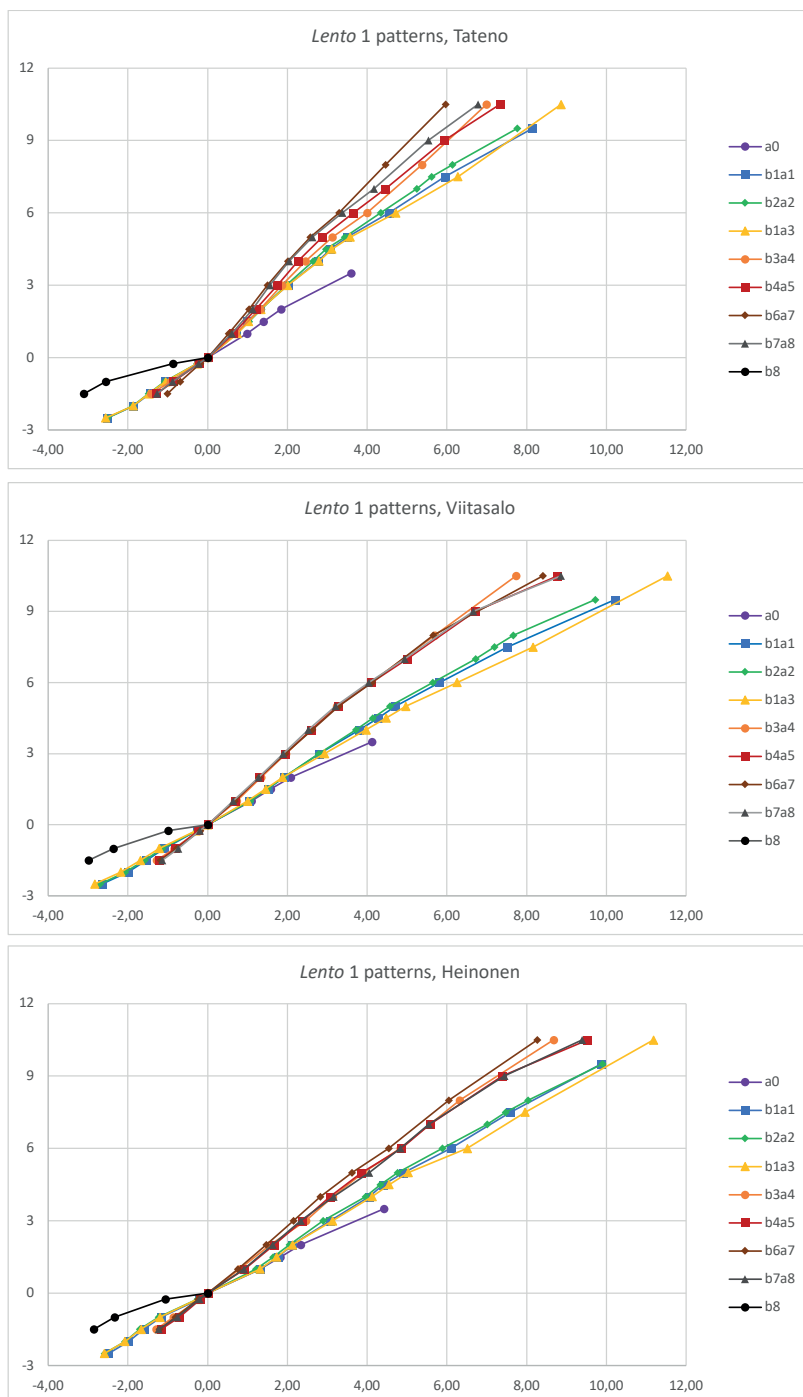


Figure 4. *Lento 1* patterns. Horizontal axis: performance time; vertical axis: beats; origin at end of *b*, start of *a*.

Viitasalo makes a curve within the eighths. Within the short link (mm. 30–31), too, the event tempi start slow, peak, and decline: Heinonen going to the downbeat of m. 31 (D3), Viitasalo to the second eighth of m. 31 (F#3); Tateno’s shaping has two peaks (C#3 and the B3–D4 third).

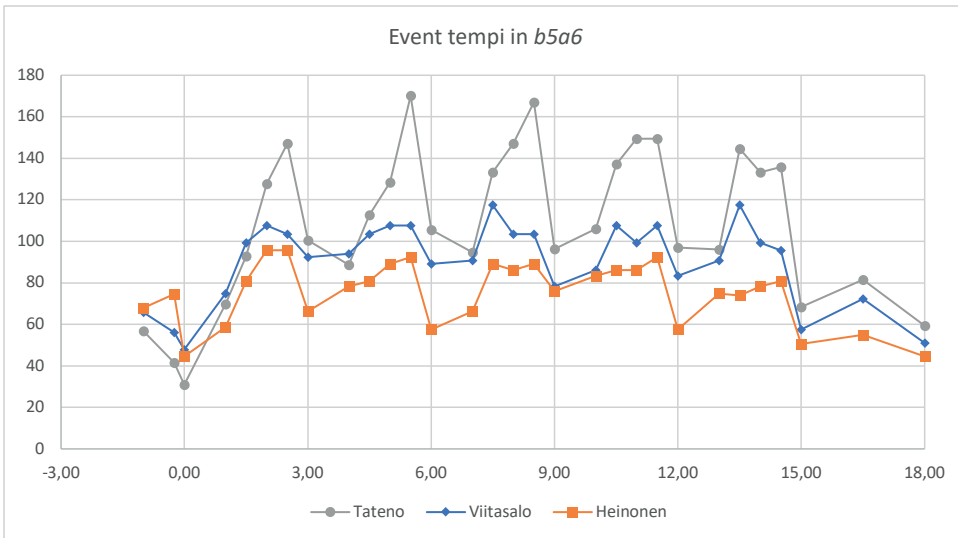


Figure 5. Event tempi for patterns b^2a^6 , mm. 23–30. The axes are different here: the horizontal axis gives beats, zero being the downbeat of m. 24; the vertical axis gives the tempo (BPM), based on IOI to the previous event.

Figure 6 sums up the mean tempi of the *Lento* 1 patterns, and the differences across the performances and between the first and second parts of the section (mm. 2–15, 15–39). On average, the slowness of the waltz varies from Tateno’s 77.7 BPM to Heinonen’s 63.0 BPM. As the event curves (Fig. 4) and event tempi (Fig. 5) show, Tateno’s tempi within the patterns in *Lento* 1 tend to vary more than Viitasalo’s and Heinonen’s. Yet his mean tempi are faster in all patterns, except the final b^8 . For all three, when the patterns are sequenced to major–minor pairs (b^3a^4 – b^4a^5 and b^6a^7 – b^7a^8), the minor patterns are slower than the major ones. More generally, the patterns cadencing into minor tend to be slower than those ending in major. Transitions between sections are clearly observed in the temporal shaping, as evidenced, e.g., by the

time (in secs.) given to the low B2 in m. 30 and the preceding $F\sharp^7$ chord which add up 2.96" (Tateno), 3.52" (Viitasalo), and to 3.88" (Heinonen).

Pattern	a0	b1a1	b2a2	b1a3	b3a4	b4a5	b5a6	link	b6a7	b7a8	b8	mean
Measures	2–3	3–7	7–11	11–15	15–19	19–23	23–30	30–31	31–35	35–39	39–40	2–40
Tateno	58.4	67.5	70.1	68.3	85.6	83.6	89.7	69.7	103.2	89.4	29.0	77.7
Viitasalo	51.0	56.0	58.0	54.3	79.9	72.1	82.1	69.7	75.1	72.0	30.2	65.9
Heinonen	47.5	58.3	57.6	56.6	72.3	67.3	68.9	69.7	76.0	67.8	31.5	63.0
Ending on	D: I_3^7	B: V	D: I_3^7	B: i	D: iii^7-I^6	B: $III^7_\Delta^7-i^6$	B: V^7-1	(B: i)	D: $iii^7-I_3^6$	B: $III^7_\Delta^7-i$	(B: iv^7)	
Markings	Lento, <i>con suono</i>			<i>dolce</i>			<	>	<i>p</i>			> <i>pp</i> , \wedge

Figure 6. Mean tempi in the patterns of *Lento* 1 (mm. 2–39), BPM, and the mean tempi for the section.

Risoluto

The *Risoluto* section is a striking contrast to the slow waltz. The precipitation of the toccata-like spinning patterns span in the long irregular measure 40. Is *risoluto* here a marking for tempo, expression, or both?¹² The textural change is dramatic, but at least in these recordings (and others), there is no systematic change in the mean duration of beat between *Risoluto* 1 and *Lento* 1 (see mean tempi for the section in Figures 6 and 7). Overall, Tateno's *Risoluto* 1 is slower than *Lento* 1, Viitasalo's faster, and Heinonen's almost the same.

Pattern	1	2	3	4	5	6	7	8	9	10	11	12	mean
Tateno	31.4	50.0	61.2	69.0	74.1	77.9	78.9	83.3	85.7	87.0	81.1	57.7	64.3
Viitasalo	48.4	73.2	75.9	81.1	80.0	85.7	75.0	82.2	84.5	89.6	88.2	72.3	76.1
Heinonen	36.6	53.6	61.9	78.9	82.2	87.0	85.7	85.7	80.0	87.0	74.1	49.6	66.9
Markings	<i>Risoluto, mp e cresc. poco a poco, legato sempre</i>										<i>forte</i> , \wedge		

Figure 7. Mean tempi, BPM, in the one-beat patterns of *Risoluto* 1 (m. 40^{I-III}, until the D \sharp 1 with forte fermata), and the mean tempi for the section.

However, the temporal shaping between the patterns—without the composer's direct instructions for tempo changes in notation—is again

12 Cf., e.g., *Valse triste*, rehearsal marks H vs. K vs. L. Here, the Hansen and JSW editions (Sibelius 1922 and 2008) give different indications at start of *Risoluto*: Hansen a *mfz* (sic!), JSW a *mp*. See Kilpeläinen 2008, 177.

quite drastic (Fig. 7).¹³ Now at the section level, the slow start is followed by rising tempi, culminating in all three recordings in the 10th pattern (which breaks the stepwise descend of the bassline and starts another descend), decrease of tempo, and the cadence on D#1. Both Heinonen and Viitasalo make a second tempo peak, both in pattern 6, around where the harmony is complicated by the delaying of the bass.

Within the patterns, there is a tendency to give more time to the bass, which can be seen as the tilting to the right in top and bottom sections of the curves in Figure 8. Without the outlier patterns 1 and 12, the mean IOIs to onsets 3 through 8 in the patterns is .08 seconds (Tateno .086, Viitasalo .077, and Heinonen .084). In contrast, the mean IOI to the beat (with the bass) is .12 seconds (Tateno .130, Viitasalo .123, and Heinonen .122), and off the beat to the first 32nd is up to .17 seconds (Tateno .181, Viitasalo .156, and Heinonen .168 seconds).¹⁴ The ratio is roughly the same when including the outliers (.09 versus .15 and .20).

Approaching and leaving the forte D#1 (m. 40^{III}) makes only a momentary notch before the *risoluto* is continued. The fermata is observed: the mean beat tempi drop from 88 BPM in pattern 11 (m. 40^{III}, F#2 in bass) to 41 BPM on the fermata (Tateno 37, Viitasalo 38, Heinonen 49) before climbing back to 86 in pattern 16 (m. 40^{IV}, C2 in bass; Tateno 90, Viitasalo 81, Heinonen 87).

The 11 patterns in *Risoluto* 2, before the almost chromatically descending bassline reaches the tenuto D1 (m. 40^{VI}), are notated somewhat irregularly. The beat is usually divided to ten (without number symbols), but once to eleven (pattern 22, m. 40^V, starting with F#2), and—according to both editions—once to nine (pattern 19, m. 40^V, starting with A2). However, in the introduction to the JSW edition, Kilpeläinen (2008, 177) asked, “did Sibelius forget the 10th note (c#)?” There is an answer to that in two of the three pianists recordings: both Viitasalo

13 An indirect one might be, e.g., the difference in notating the bass as quarter vs. a 32nd; see *Risoluto* 1 vs. 2.

14 Please note, that the resolution of the onsets is in the ballpark of 10 ms, and in this kind of fast texture, particularly in reverberant and richly pedalled recordings, distinguishing the exact onset time is a challenge.

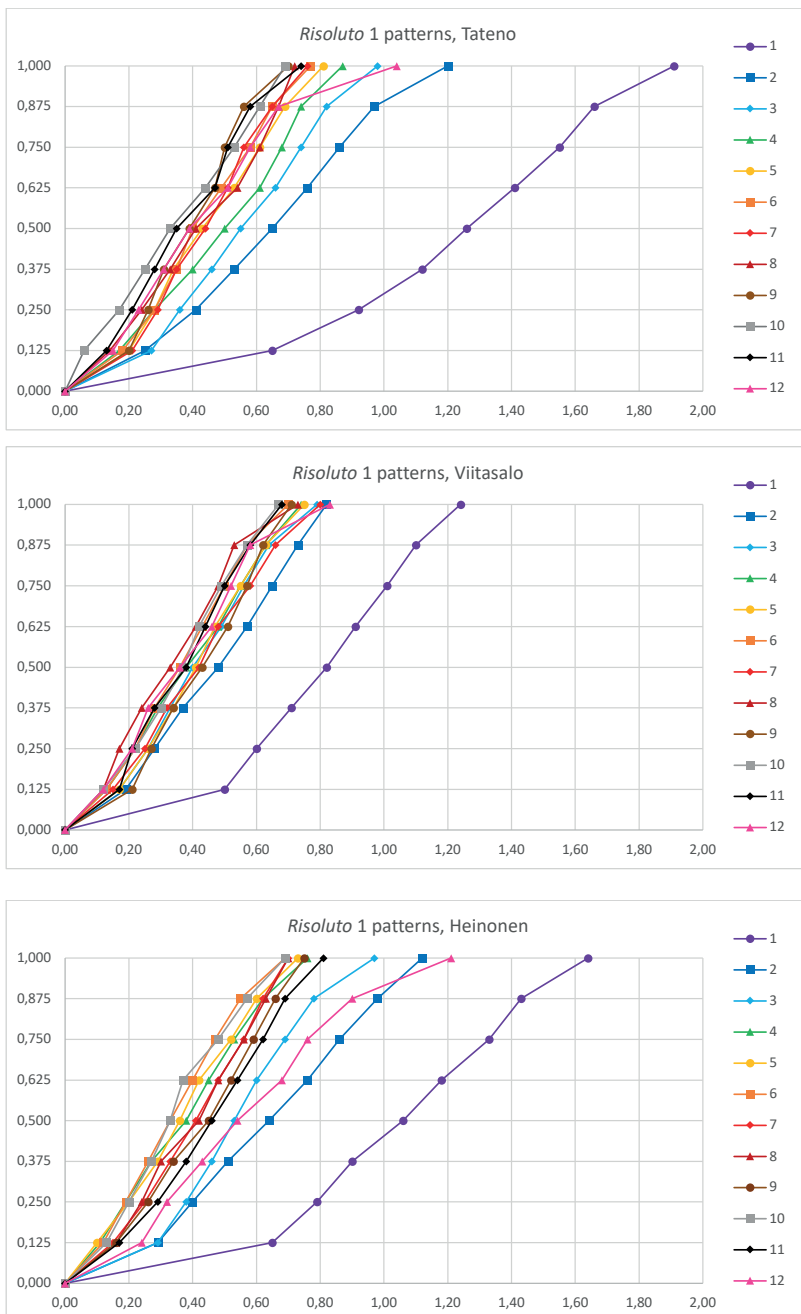


Figure 8. Event curves for patterns in *Risoluto 1*, m, 40^{l-III}. Horizontal axis: performance time; vertical axis: score position, i.e., position within the beat (grid corresponds to the 32nds). The starts and ends of lines correspond to onsets of the bass tone starting the pattern and bass tone of the next pattern.

and Heinonen seem to have included the C#4 at the end of the pattern (at 2:05.6 and 2:11.6, respectively), keeping the consistency of the undulating pattern.

Again, the mean tempi at pattern level are slower in the beginning and end (Fig. 9). In between, the patterns precipitate incessantly, and the nuances of temporal shaping may be challenging to notice (and certainly for the automated onset detection to detect). In closer look, Heinonen shapes the section in two by dropping the tempo momentarily to ca. 60 BPM in patterns 19–20 (F#m⁷/A and G#^{o7}); Tateno and Viitasalo make a slight drop to tempo in the previous pattern 18 (E^{o7}/Bb), Tateno more so in pattern 21 (C#^{o7}/G).

Pattern	13	14	15	16	17	18	19	20	21	22	23	mean
Tateno	61.9	77.9	89.6	88.2	90.9	83.3	88.2	88.2	76.9	85.7	56.6	78.1
Viitasalo	60.0	75.9	81.1	83.3	83.3	76.9	84.5	82.2	75.0	75.9	59.4	74.4
Heinonen	52.2	63.8	87.0	88.2	80.0	80.0	59.4	62.5	87.0	80.0	51.7	68.6

Figure 9. Mean tempi, BPM, in the one-beat patterns of *Risoluto 2* (m. 40^{III-VI}, until the tenuto D1), and the mean tempi for the section.

Within the patterns, the bass tone initiating the pattern—now notated as a 32nd instead of a quarter—is again given time, both before and on it, but not as much as in *Risoluto 1*. Excluding Tateno’s pattern 19 for the moment, in the temporally regular patterns 15–21, there are slight differences between the pianists. On the average, Heinonen takes time on the first of the group (.12 seconds), that is, the bass, but leads the pattern directly to the next one (.07 on the last of the group, and mean of .07 on all others). Viitasalo does the same but takes even less time on the first tone (.09). Tateno, in contrast, gives the initiating bass tone .11 sec, .09 before the next pattern, and .06 on the inner tones of the patterns, on average. Figure 10 displays these temporal nuances, how the first patterns pick up tempo, vary within the more regular patterns, and slow the tempo down in the last patterns.

The remainder of the long m. 40, *Risoluto 3*, recapitulates the opening *Stretto* material, verbatim, but an octave lower and *allarg.* marked already on the 2nd pattern (or, in Hansen, also the 3rd) instead of the 4th. Quite un-

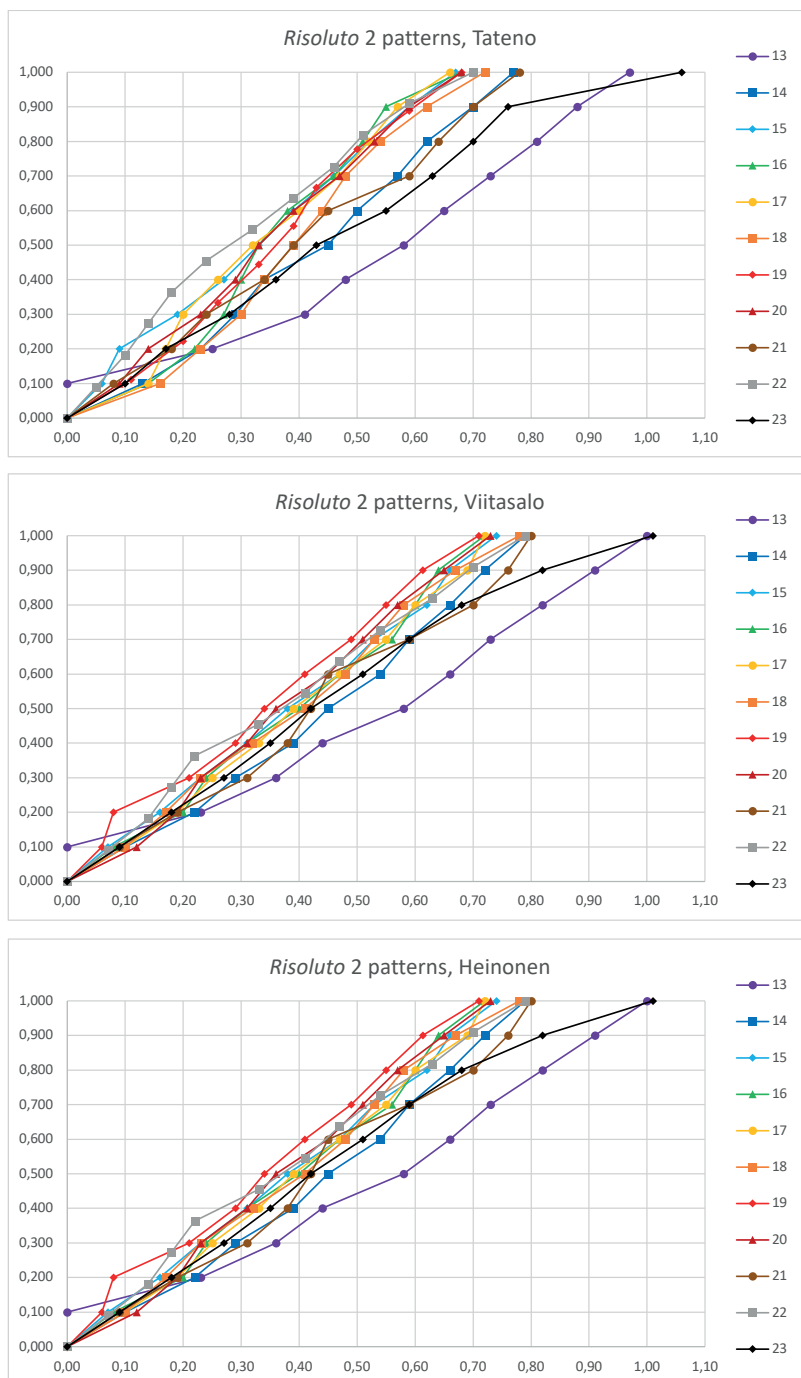


Figure 10. Event curves for patterns in *Risoluto 2*, m. 40^{III-VI}. Horizontal axis: performance time; vertical axis: score position, i.e., position within the beat. The starts and ends of lines correspond to onsets of the bass tone starting the pattern and the bass tone of the next pattern, except for pattern 13 which starts off-beat after the fermata D \sharp 1.

surprisingly, the temporal shaping again resembles the S-curve (Fig. 11), but between the pianists, the implementations of the recapitulation and its *allargando* vary. Heinonen and Viitasalo stretch the event curve of the *Stretto* material, i.e., play the material slower throughout. Heinonen also accelerates a bit on the 3rd pattern before a slower tempo on the 4th and 5th pattern. Tateno plays the first three patterns very similarly to the opening and only then starts the wide, round *allargando*.

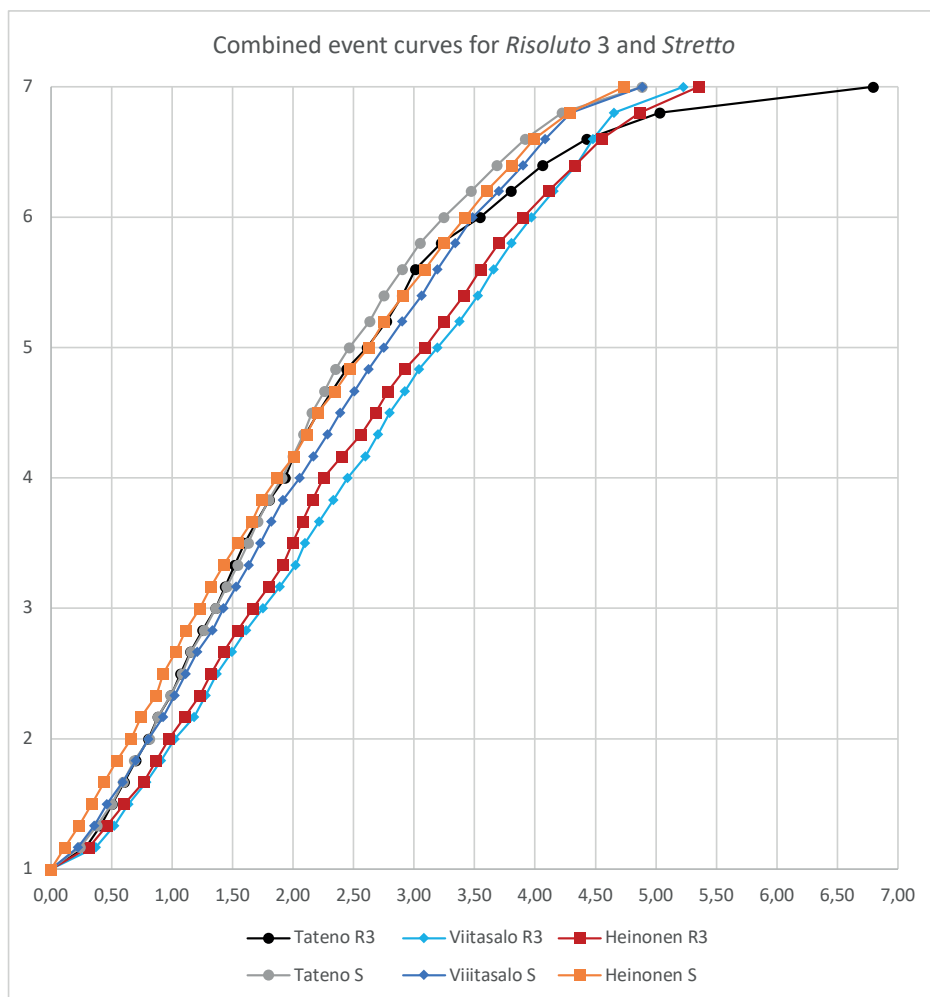


Figure 11. Event curves for *Risoluto 3* ("R3", m. 40^{VI}), the recapitulation of the *Stretto*, combined with the event curves for *Stretto* ("S", m. 1). Cf. Figure 2.

Lento 2

Lento 2 starts (m. 41) the recapitulation of *Lento 1*, but gets interrupted amidst pattern b^1a^{12} (m. 52), corresponding to b^1a^3 of *Lento 1*. Until then, the differences in the score are minor: the initial pattern a^9 (m. 41) ends with fermatas. The mean section tempi in *Lento 2* are clearly slower than in *Lento 1*, and again, the patterns start slow (Fig. 12, cf. Fig. 6).

Pattern	a ⁹	b ¹ a ¹⁰	b ² a ¹¹	b ¹ a ¹²	a ^{12'}	mean
Measures	41–42	42–46	46–50	50–53	53–55	41–55
Tateno	45.6	62.6	66.7	59.3	52.2	57.5
Viitasalo	45.0	58.9	57.3	47.4	37.3	49.0
Heinonen	44.5	58.3	57.1	49.0	38.5	49.5
Ending on	D: I _A ⁷	B: V	D: I _A ⁷	B: V ⁷	B: V ⁷	
Markings	Lento, <i>con suono</i> , ◊				◊, pp, poco rit. ◊	

Figure 12. Mean tempi, BPM, in the patterns of *Lento 2* (mm. 41–55).

However, the section tempi in *Lento 2* peak somewhat differently: Tateno in b^2a^{11} , Viitasalo and Heinonen already in b^1a^{10} (Fig. 12). In *Lento 2*, Tateno keeps the pattern tempi slower than in *Lento 1*, but Viitasalo plays the first full pattern b^1a^{10} faster (58.9 BPM) than b^1a^1 in *Lento 1* (56.0); Heinonen plays them in exactly the same tempo (58.3). Earlier, it came up that Tateno tends to make wider tempo changes within the patterns. In *Lento 2*, Viitasalo and Heinonen make greater tempo changes at sectional level than Tateno, going down to 37.3 and 38.5 BPM, respectively, vs. Tateno's 52.2 at $a^{12'}$ (mm. 53–55).

Within the patterns, the pianists seem to hold on to their strategies (Fig. 13). Tateno's event curves again resemble the S-curves. Viitasalo's and Heinonen's do, too, but less so, as they keep stricter tempo, e.g., in the 2nd and 3rd pattern, b^1a^{10} and b^2a^{11} . However, they take more time between the patterns, in particularly at the end of b^1a^{12} and $a^{12'}$, i.e., the fermatas surrounding mm. 53–54, as can be seen in the last segments of the last curves extending to the right.

Finally, the *codettina* in mm. 55–56 recapitulates the link in mm. 30–31, concluding the piece on the third D4–F#4. One last time, plotting

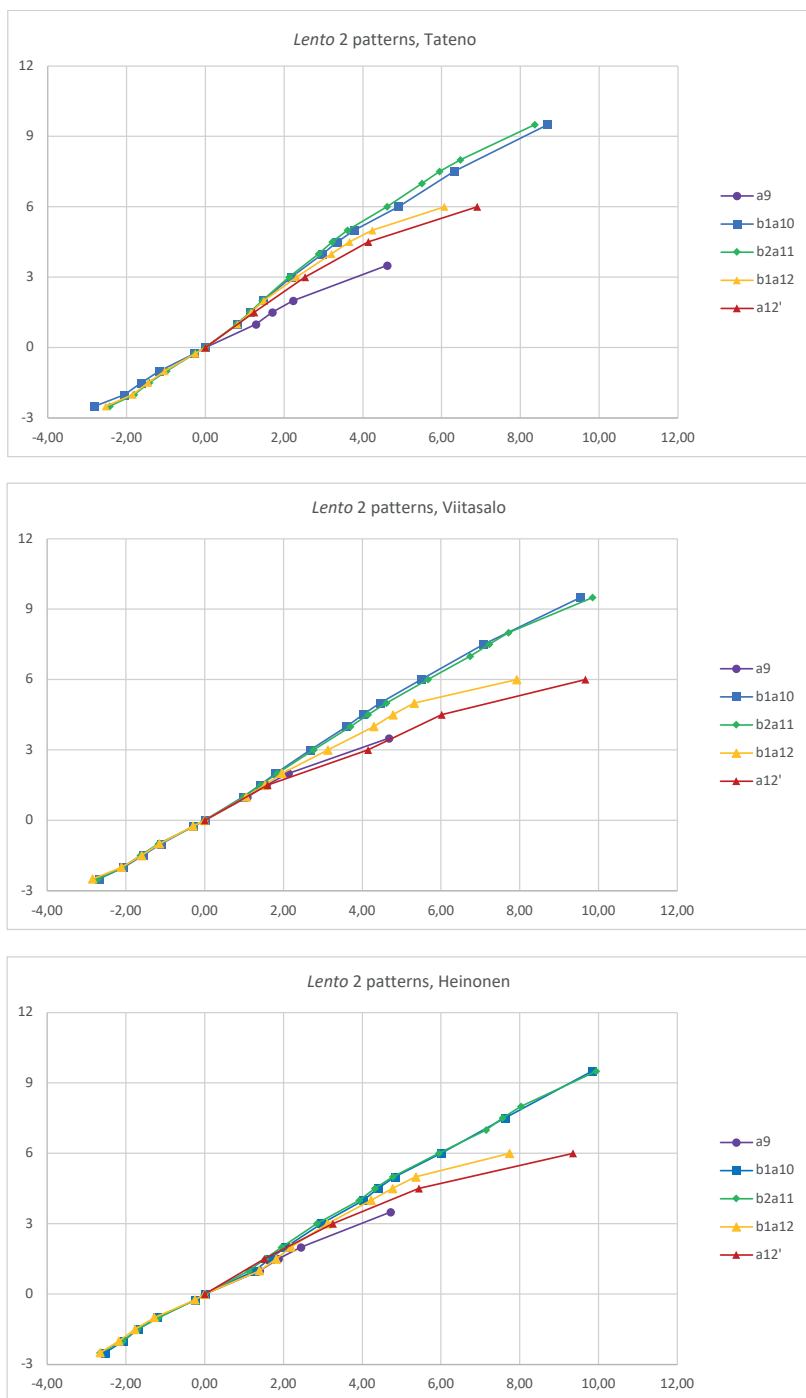


Figure 13. *Lento 2* patterns, mm. 41–55. Horizontal axis: performance time; vertical axis: beats; origin at end of *b*, start of *a*. The data for each pattern includes the first onset of the next pattern.

the score position against the onset data of the recordings demonstrates an S-curve, now broader and with wider curvatures than in the link (Fig. 14): within the 9 events, there is a short exponential growth in speed, transition to linear tempo, and a terminating deceleration to a sustained pianissimo.

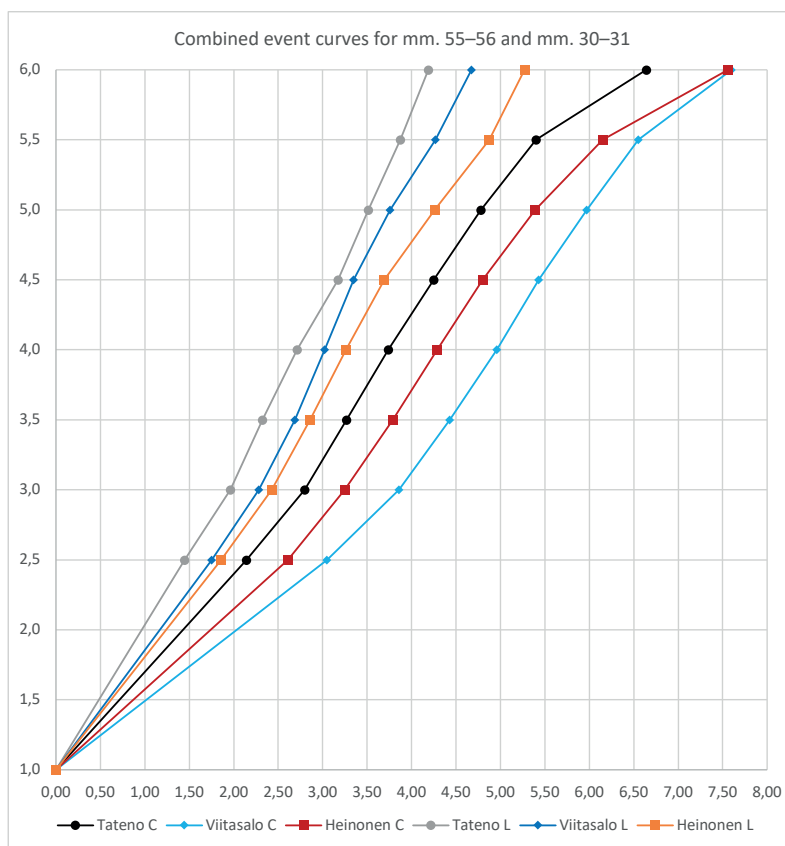


Figure 14. Combined event curves for the *codettina* (“C”, mm. 55–56) and the link between patterns *b5a6* and *b6a7* (“L”, mm. 30–31), the former recapitulating the latter. Horizontal axis: performance time; vertical axis: beats. The data for each pattern includes the first onset of the next pattern.

Discussion

The piano miniature op. 75 no. 5 by Jean Sibelius is a case of a cultural representation of the spruce, the forest, and the Finnish nature. The

performance data of the three recordings reveals individual decisions and tendencies—perhaps deliberate strategies—in the temporal shaping of “The Spruce.” Regardless of the individuality of the performers or the 44-year span of the recordings, a joint strategy appears to be a more or less analogous to the general modeling of natural growth, manifesting in the S-shaped forms of the event curves and in varying degrees in the piece, its sections, and patterns. Now, this may be no news to any musician, in that the performers tend to phrase the phrases in the very manner. The S-shape may result from the principle that “each phrase is normatively expressed through a temporal and dynamic arch profile” (Cook 2013, 178), in which there is “the tendency to get faster and louder as you play into a phrase, and slower and softer as you come out of it” (ibid. 61). Yet, this does not mean the performers would produce such arcs mechanically. Rather the opposite: the temporal decisions are shaped and reshaped during the rehearsing process to contribute to the intended experience—as interpreted by the performer based on the underdetermined instructions of the composer. Heinrich Neuhaus (1973, 32) warned:

The constant and unjustified acceleration and deceleration of some performers, their rubato (in quotation marks!) give an even greater impression of monotony and boredom than an excessively metric execution although it is obvious that the performer is striving to give an “interesting” performance.

This gives rise to two points. First, the principle of shaping temporality in ways that model organic growth appears to be partly implicit, partly explicitly coded in the communication between the composer and the performer—regardless of the principle having been expressed in both research and pedagogy. As the current case exhibits, in addition to the explicit temporal instructions the performers heed to and interpret, such as *allarg.*, *poco rit.*, or the fermatas, they also interpret codings of timbre and other domains into the time domain. Indications such as *con suono*, *dolce*, the dynamic markings affect the temporal shaping, as does harmony.

Elaborating this, the *dolce* marking, for instance, labels and supports the transition to a higher register (mm. 16–23) and to a texture where the block chords are broken into faster texture (mm. 24–28). These can cognitively blend with experiences of small and light, as opposed to big and dark. It does not seem coincidental that this latter half of *Lento* 1 section was performed faster than the first half, as were the patterns associated with the “lighter” major vs. “darker” minor mode. The gist is that the “standard model” of phrasing might not only be a result of the natural process of activating and terminating the human sound producing machinery. Rather, it—and the variety it exhibits—may come about from how the meanings intended by the composer are coded into the instructions and interpreted by the performer for the realization, based on shareable embodied knowledge, that is, based on largely similar but individually differentiated experience of the performers as human beings (cf. Ojala 2024). The composer’s instructions necessarily underdetermine the delivery of the work to the listener unless the performer is altogether removed and the communication model of Western art music built anew. Consequently, as far as the analyst’s task is to analyse the delivered work rather than underdetermined instructions for it, it seems natural to include the performer’s input. In fact, even if perhaps naïve in certain situations, might not programmatic music rather well afford to the study of musical meanings? This in turn takes us again to the question of what today is the stance of music analysis to examining “purely” musical structures or “purely musical logic” vs. analytic endeavors that engage with how embodied meanings are present in musical processes. Is there “purely musical logic” without references to the embodied mind and our being in the natural world?

Second, how the “standard model” in this case is implemented has to do with how the performers have interpreted the “spruceness” in their experience in general, and in “The Spruce” as mediated by Sibelius’s instructions in the notation. Does Sibelius after all “describe the trees musically,” contrary to Salmenhaara’s stance (1984, 324)? It is good to recognize the dangers of overanalysis and the support proper structural and topical analysis could give here. Yet, based on the onset data and its analysis, it seems much of the musical narrative here operates with

juxtapositions of stability and instability, permanence and volatility, and stature and other characteristics that afford to be interpreted as representations of “spruceness”. Leaving Salmenhaara’s remark about depictions of “darkness” in “The Spruce” and the notion of “purely musical logic” aside (and for future), purely from the temporal viewpoint, the stability and permanence vs. the instability and volatility come readily across, e.g., from the contrasts of the steady, even stationary patterns in the *Lento* sections vs. precipitative patterns of *Risoluto* that, especially with a good amount of pedalling, become a chaotic counterpart to the clarity of the waltz. With the unavoidably programmatic title given, and boldly resorting to a “descriptive, linear narrative” (Mäkelä 2011b, 236), one may easily associate, e.g., the *Risoluto*, to a rising gust of wind, followed by a thunder shower, eventually clearing out, leaving the big old trunk and drooping branches prevailing after the storm, standing still in its noble solitude amidst the timeless forest. Coincidence or not, the S-curve seems to be a sign shared by the temporal performance data, and by the meanings suggested by the title of the work and the composer’s known relationship with nature, as well as the ideals of natural growth and sustainability.

Some parts of the performers’ outcome are directly determined by Sibelius’s instructions (such as the notated pitch and rhythm) and, apparently, what Sibelius coded in them about his thought of spruces or a specimen of it. Some are a result of the inference by the performers, based on their reading of the instructions and interpreting how the “spruceness,” in their mind, ought to be re-presented. In their semiotic spaces, the performers have actively taken slightly different approaches—two of them even adding to the instructions on pitch and rhythm. Further study could address the processes of the performers and, e.g., the conscious decisions made on temporal shaping. Clearly, the analysis could be developed further, by including other perceptual features, such as timbre, dynamics, harmony and, subsequently, how the blendings of the features might function as *metaphors* of our experience—of spruces, forests, nature, culture, and our sustainable relationships with them.

Connecting to people’s lives, here and there, then and now, that could pave way for advancing the awareness of the cultural representa-

tions of not only the spruce, but of forests and nature, and the challenges we have with sustainability—or other topics, matters, issues that we deal with in music, be they acute or eternal (Fig. 15).



Figure 15. A sonogram as an icon. Primed for spruces, forests and nature during the process, the researcher encountered a moment where the performance data evoked an experience of a memory of a spruce forest, under aurora, fading away.

References

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Heinrich Schenkerin vaikutus suomalaiseen musiikintutkimukseen

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Suomalaisen musiikintutkimuksen rikkaan oppihistorian ja transnationaalisten yhteyksien selvittely on suurelta osin vielä kesken. Ala alkoi institutionalisoitua Manner-Eurooppaan verrattuna muutaman vuosikymmenen viiveellä reilut sata vuotta sitten. Ensimmäisenä maamerkinä tästä mainitaan useimmissa kommentaareissa Ilmari Krohnin (1867–1960) vuonna 1899 Keisarillisessa Aleksanterin yliopistossa (nyk. Helsingin yliopisto) puolustama väitöskirja, joka oli ensimmäinen musiikkitieteen alaan sijoittuva opinnäyte Suomessa.¹ Koska yliopistossa ei tuolloin ollut vielä musiikkitieteen oppiainetta eikä Suomessa muodollisesti päteviä asiantuntijoita arvioimaan Krohnin työtä, Robert Kajanus toimi Krohnin vastaväittäjänä. Kajanuksen merkittävät musiikilliset saavutukset eivät toki esittelyä kaipaa, mutta väitösprotokollan on muilta osin täytynyt olla varsin joustava, sillä akateemisilta ansioltaan hän ei ollut edes ylioppilas. Seuraavaa musiikkitieteen väitöstä, Krohnin oppilaan Armas Launiksen (1884–1959) suomalaista, karjalais- ja virolaista runolaulua käsittelevää väitöskirjaa saatiin odottaa yli vuosikymmen, ja vielä ennen toista maailmansotaakin musiikkitieteen väitöksiä oli niille tuolloin mahdollisissa instituutioissa Helsingin yli-

1 Jätän tässä yhteydessä huomiotta Turun Akatemian (1642–1828) aikana puolustetut kaksi musiikki-aiheista väitöskirjaa, Henricus Munckin *De usu organorum in templis* (1697) ja Samuel Prytzin *Rhetor musicus, seu specimen academicum, de vi & usu musices in rhetorica* (1703). Kuten Ilkka Oramo (2020) toteaa, nämä työt eivät vastaa modernia väitöskirjakäytäntöä, ja niitä ohjanneet professorit käyttivät usein hyväkseen tilaisuutta julkaista omia tutkimuksiaan oppilaittensa nimissä. Krohnin väitöskirjan kiinnostavista vaiheista ks. Vainio 2010.

opistossa ja Åbo Akademiassa tarkastettu vain yhteensä viisi.²

Vaikka ensimmäinen musiikkitieteen tutkinto-ohjelma käynnistyi Helsingin yliopistossa Krohnin professorin oppituolin mahdollistamana vuonna 1923, musiikintutkimus ei ollut vielä ennen toista maailmansotaa edeltäneinä vuosikymmeninä eriytynyt omaksi saarekkeeseen musiikkielämässä, mistä tietysti myös mainittu Kajanuksen toimiminen yliopistollisen väitöskirjan vastaväittäjänä osaltaan kertoo. Musiikintutkijat olivat useimmiten myös muusikoita, säveltäjiä, musiikkikirjoittajia ja musiikin järjestömiehiä. Musiikkitiede oli osa muuta suomalaista musiikkielämää, ja sillä oli myös usein kansallinen funktio. Musiikintutkimus oli osa ns. kansallisia tieteitä (ks. Herlin 2000), joiden avulla oli tarkoitus perustella Suomen pitkää ja itsenäistä kulttuurihistoriaa ja tätä kautta tuoda itsenäistymispyrkimyksille legitimitteettiä. Suomen musiikkitieteellinen seura on perustettu 1916, mutta senkin varhaisten vuosikymmenten toimintaa tarkasteltaessa huomionarvoista – ja vuosisata myöhemmin tarkasteltuna omasta mielestäni myös kahdettavaa – on se, kuinka laajasti seuran toiminta kiinnosti muitakin kuin tuolloin vielä harvoja, ammatikseen tutkimukseen syventyneitä musiikin ammattilaisia. Tutkimus ja tieteellinen järjestötoiminta nähtiin yleisemmin osaksi myös muiden kuin musiikkialan yliopistoihmisten ammatillista toimintaa.

Musiikinteorian suomalaisen oppihistorian kannalta Krohn on erittäin keskeinen hahmo. Hänen musiikinteoreettinen päätyönsä, 5-osainen *Musiikin teorian oppijakso* iskosti moniin häntä seuranneisiin muusikkosukupolviin omintakeisen musiikkiterminologian – samoin kuin joidenkin myöhempien kommentaarien kuvaaman kaavamaisen, epäselvän, epäjohdonmukaisen ja absolutistisen analyysikäsitteilyksen, kuten Hannu Apajalahti (1998, 28) kuvailee Krohnin jättämää perintöä. Hänen mukaansa Krohn ei ”tarjonnut hyvää tapaa sen paremmin teosten kuulemiselle kuin niiden käsitteellistämisekään” ja tämän vuoksi

2 Helsingissä Armas Launis väitteli 1910, Åbo Akademiassa Otto Andersson väitteli joulukuusta vuonna 1923, Toivo Haapanen väitteli Helsingissä yliopiston kirjaston keskiaikaisista kirkkosävelkokoelmista vuonna 1924, ja A.O. Väisänen Obinugrilaisista kansansävelmistä juuri sodan alla 1939.

hänen musiikinteoriansa onkin ”vain historiallisesti mielenkiintoista”. Näihin Apajalahden huomioihin on toki helppo yhtyä omasta nykyajan näkökulmasta, mutta anakronismin tai kontrafaktuaalisen oppihistorian kirjoituksen vaara on siinä mielessä ilmeinen, että tarjokkaita musiikinteorian lipunkantajaksi ja pedagogisen kirjallisuuden laatijaksi ei Krohnin aikana ollut ylipäättäen joukoksi asti. Tarmokkaan ja monilla saroilla aikaansaavan Krohnin musiikinteoreettiselle työllekin, kaikkine puutteineenkin, oli selvä tilaus ja sen pohjalle rakentui koko suomalainen musiikinteorian opetus vuosikymmenien ajan maamme musiikkioppilaitoksissa. Tälle vaihtoehdoisen menneisyyden kuvittelemisen on spekulatiivista menneisyyteen katsomista, ja varmaa lopulta on vain se, että ilman Krohnin työpanosta Suomen akateeminen musiikintutkimus olisi todennäköisesti kehittynyt vuosikymmenien viiveellä.

Musiikinteoria muusikon taitona

Tässä katsauksessa siirryn kuitenkin selvästi Krohnin jälkeiseen aikaan suomalaisessa musiikinteoriassa. Suomalaisten musiikkioppilaitosten opinto-oppaita 1950-luvulta eteenpäin tarkastelemalla voi helposti päätyä sellaiseen yleiskuvaan, että musiikin teorian opetus oli tarkoitettu palvelemaan käytännön muusikkouden tarpeita ja opintokokonaisuudet ovat tyypillisesti pitkälti opettajansa näköisiä. Musiikkioppilaitosten opintosuunnitelmat ovat tarjonneet yleiset kehykset, joiden puitteissa opetustarjonta on suunniteltu. Opetus ei tyypillisesti ole perustunut ainakaan akateemiseen tutkimukseen, koska sellaista ei oikeastaan suomalaisen musiikinteorian alalla ole ennen 1990-lukua laajemmin ollut. Käytetyt oppimateriaalit musiikkioppilaitoksissa ovat olleet usein sellaisenaan varsin vanhoja: Knud Jeppesenin *Kontrapunkt*, alun perin julkaistu vuonna 1930, samoin kuin 1940-luvun lopulla julkaistu Wegelius-Linnalan *Kenraalibasso* sekä Jeanson-Raben musiikin historia – alun perin ruotsiksi julkaistu jo vuonna 1927 – olivat musiikin ammattiopinnoissakin käytössä ainakin omissa opinnoissani vielä 1990-luvun puolessavälissä. Jälkikäteen tarkasteltuna voisi jopa väittää, että musiikinteoria ja yleiset aineet nähtiin suomalaisessa musiikkikoulutuksessa perustasolta ammattiopintoihin saakka enem-

män etukäteen määriteltynä praktisena *taitona* kuin tutkimuksen ja tieteellisen keskustelun kautta rakentuvana, päivittyvänä ja muuttuvana *tietona*. Palaan tähän ”taidon” ja ”tiedon” väliseen rajankäyntiin vielä myöhemmin tässä katsauksessa.

Erityisesti ennen ammattikorkeakoulu-verkoston syntymistä Sibelius-Akatemia maamme ainoana musiikkikorkeakouluna, myöhemmin osana Taideyliopistoa, oli tutkimukseen perustuvan musiikinteorian alalla lähes monopoliasemassa. Tilanne ei tästä ole myöhemminkään juuri muuttunut. 1980-luvulta lähtien musiikinteorian alaa Sibelius-Akatemiassa leimasi kasvava kansainvälistyminen, mikä tietysti sopii myös laajempaan kuvaan suomalaisten yliopistojen ja korkeakoulujen kansainvälistymisestä erilaisten vaihto-ohjelmien ja kahdenvälisen sopimusten myötä. Kansainvälisyys sinänsä ei toki ollut uutta: jo Krohnin aikana musiikkitieteen ylijärjestyminen ja transnationaaliset yhteydet erityisesti Manner-Eurooppaan olivat alusta alkaen osa toiminnan perusluonnetta, mutta toisen maailmansodan jälkeen musiikinteoria ja yliopistojen musiikintutkimus olivat jo varsin erillisiä toisistaan. Ei ollut mitenkään poikkeuksellista, että musiikkitieteellinen väitöskirja hyödynsi musiikinteoreettista metodologiaa,³ mutta näillä töillä ei ollut pedagogista tavoitteellisuutta eikä vaikutuksia teorian opetuksen käytäntöihin.

Viime vuosituhaten loppua lähestyttäessä erityisesti amerikkalainen musiikinteoria nousi tärkeäksi vaikuttimeksi Sibelius-Akatemiassa ja tutkimuskontakteja alkoi syntyä. Esimerkiksi Allen Forten joukkoteoria alkoi saada vahvaa jalansijaa 1980- ja 1990-luvuilla (ks. esimerkiksi Castrén 1989 ja 1994). Toinen joukkoteoriaakin seurauksellisemmaksi osoittautunut opillinen vaikutte oli Schenker-analyysin rantautuminen Suomeen samoin 1990-luvun alussa ja hieman jo tätä aiemminkin.

Teen seuraavassa lyhyen katsauksen ensimmäisiin suomalaisten tutkijoiden tekemiin Schenker-analyyttisiin väitöskirjoihin sekä siihen, miten Schenker-analyysi näkyi musiikinteorian opetusohjelmissa. Tieteenhistoriasta kiinnostuneena historiantutkijana tarkastelen suo-

3 Ks. esim. Salmenhaara 1969; Tolonen 1969; Oramo 1976.

malaisen musiikinteorian tutkimusparadigman⁴ muutosta ja diversifioitumista, joten en niinkään kiinnitä huomiotani itse analyysin kohteena olevaan musiikkiin tai sen analyysin onnistuneisuuteen.

Pääkysymykseni on lyhyt ja yksinkertainen: millainen ”Schenker-analyysi” täällä omaksuttiin tutkimuskäyttöön eli väitöskirjojen metodologiaan? Mitä laajemmin Schenkerin ajatteluun ja hänen historialliseen kontekstiinsa liittyvää jätettiin omaksutun paradigman ulkopuolelle kenties tiedostamatta tai ilman pidempiä reflektioita? Tämän kysymyksen jälkeen pohdin kirjoitukseni lopussa lyhyesti, jälleen itse musiikinteorian tutkimuksen ulkopuolelta käsin ja osittain myös viime vuosien Philip Ewellin työstä syntyneen kohun (ks. Ewell 2020 sekä *Journal of Schenkerian Studies* Vol. 12) siivittämänä sitä, olisiko Schenkerin työn ja vakiintuneen analyysimallin hyödyntämisessä täydennyksen ja historiallisen kontekstualisoinnin tarvetta. Tällainen tarve voi ilmaantua monelta suunnalta, ja musiikinteorian oppihistorian liepeillä käytyä keskustelua on alettu käydä varsinkin angloamerikkalaisessa tiedeyhteisössä varsin aktiivisesti. Tämä on tiedeyhteisöille tyypillistä ja myös positiivista: kaiken moniäänisyyden, läpinäkyvyyden ja intersektionaalisuuden painottamana aikanamme mikään akateeminen tieteenala ei voi sulkeutua ideologiakritiikiltä ja joskus myös uudistumisen vaatimuksilta. Ainakin alan suomalaisen oppihistorian kannalta Schenkerin musiikillisen ajattelun kulttuurinen ja filosofinen tausta on tärkeä tiedostaa. Toisaalta taas epistemologiselta kannalta on olennaista pohtia teoreettista perustaa laajasti ja omassa historiallisessa kontekstissään: mitä siitä omaksutaan kyseenalaistamatta ja toisaalta suljetaan ulkopuolelle?

Tämän juhla­kirjan päähenkilöä, kollegaani professori Lauri Suurpää­tä, voi hyvällä syyllä pitää kaikkein merkittä­vimpänä toimijana Schenker-analyysin vakiintumisessa suomalaiseen kontekstiin sekä alan vireydelle maassamme. Samoin Suurpää­llä on tärkeä asema suo-

4 Paradigmalla tarkoitan Thomas Kuhnin (1962) klassista määritelmää myötäillen asemansa vakiinnuttanutta, tutkimusta ohjaavaa teoreettis-metodologista viitekehystä ja tutkimusmallia. Paradigma ohjaa tutkimusta myös tietynlaisiin tutkimuskohteisiin ja tutkimusmetodeihin. Schenker-analyysin kohdalla tämä näkyy esimerkiksi siinä, että sen avulla voidaan analysoida lähinnä tonaalista musiikkia.

malaisen musiikinteorian tieteellistymisessä ja tutkimuksellistumisessa – erityisesti oman työnsä kautta asettamansa esimerkin ja tuottamansa tutkimuksen seurauksena. Näkökulmani ja tarkasteluni rajautuu erityisesti loppupäästään lähes yksinomaan Sibelius-Akatemiaan: kuten aiemmin on jo todettu, musiikkioppilaitoksissa ja ammattimaisessa muusikkokoulutuksessakaan musiikinteoriaa ei ole nähty erityisen tutkimuksellisenä koulutuksen osa-alueena, koska opetuksen tavoitteena on ollut pääasiassa välittää tarpeelliseksi nähty musiikinteoreettinen *taito* soiton opiskelijoille. Schenker-analyysi puolestaan on kansainvälisesti aktiivinen tutkimusala, ja sen harjoittaminen on luonteeltaan tutkimuksellista toimintaa.

Musiikillisesta maailmankuvasta metodiksi

Minkälaisena Schenker-analyysi sitten Suomeen omaksuttiin? Heinrich Schenkerin historiallisen hahmon huomioiden tämä kysymys on oppihistoriallisesti erityisen kiinnostava, sillä hänen musiikillinen ajattelunsa taustalla on hyvin rikas saksalaisen idealismin perinne sekä häntä konkreettisesti ympäröinyt mannermainen musiikkikulttuuri, jonka pinnallistumiseen, musiikillisen ymmärryksen rappioon ja historiattomuuteen hän pyrki työnsä kautta korjaavasti vaikuttamaan. Schenkerillä itsellään oli teoriaansa selkeä eettis-moraalinen motivaatio – hän halusi saada aikaan parannusta ja muutosta musiikkia koskevaan ymmärrykseen (ks. Cook 2007). Esimerkiksi *Harmony*-teoksessaan (*Harmonielehre*; engl. käännös 1954) hän ilmaisee vahvasti tyytymättömyytensä häntä ympäröineeseen musiikin teoriaan ja pedagogiikkaan, yhteiskunnan sosiaalista ja poliittista kritiikkiä unohtamatta.

Tällaisena puhtaasti Schenkerin ajatuksiin ja teksteihin rakentuvana paradigmana Schenker-analyysi ei kuitenkaan ole kansainvälisesti levinnyt, vaan useimmiten hyödynnetään hänen luomaansa ja hänen kirjoituksistaan abstrahoitua musiikin analyysimetodia. Martin Eybl (2019) on tarkastellut Schenker-analyysin rantautumista Yhdysvaltoihin 1900-luvun ensimmäisellä puoliskolla *kulttuurisen vaihdon* näkökulmasta. Tässä prosessissa on isolta osaltaan kyse natsi-

Saksasta emigroituneista säveltäjistä, tutkijoista ja muusikoista, joiden vaikutus amerikkalaiseen musiikkielämään oli huomattava. (Katso yksityiskohtaisemmin Josephson 2005.)⁵

Kulttuurisen vaihdon näkökulmasta on oleellista tarkastella tätä indoktrinaatioprosessia vuorovaikutuksena ja uuden paradigman kotouttamisena ja modifioimisena uusiin tarpeisiin ja konteksteihin. Schenkerin kirjoitusten kääntäminen englanniksi ja amerikkalaisten oppilaitosten erilaiset olosuhteet (mm. opiskelijaryhmien koot) antoivat mahdollisuuden synnyttää ”amerikkalaisen version” Schenker-analyysistä, jossa Schenkerin alkuperäisten kirjoitusten metafysiset pohdinnat, austrogermaanisen musiikin hegemonia ja antimodernistinen agenda jätettiin käännoksistä joko pois tai vähintään taka-alalle (ks. Josephson 2005; Rothstein 1986). Schenkerin laajan ja helposti saatavilla olevan kirjallisen tuotannon rinnalla esimerkiksi *Der freie Satz* -oppikirjan⁶ kääntäminen englanniksi (*Free Composition*) vuonna 1979 teki hänen työtään tunnetuksi Yhdysvalloissa ja mahdollisti metodin leviämisen ja paradigman syntymisen. Teos oli ensimmäisen kerran julkaistu pian Schenkerin kuoleman jälkeen vuonna 1935, ja Ernst Osterin englanninkielinen käännös perustui Oswald Jonasin vuonna 1956 toimittamaan toiseen, vielä saksankieliseen painokseen. Kummassakin vaiheessa Schenkerin alkuperäistä tekstiä on leikattu ja osa leikkauksista löytyy käännöksen liitteistä. Liitteiden viiteen sivuun

5 Tällaisia Saksasta tai Itävallasta emigroituneita Schenker-analyytikkoja olivat esimerkiksi Viktor Zuckerkandl (1896–1965), Ernst Oster (1908–1977), Oswald Jonas (1897–1978) sekä Felix Salzer (1904–1986). Heistä kaikki olivat opiskelleet itse Schenkerin johdolla. Tärkeä henkilö, joka emigroitui Yhdysvaltoihin hieman mainittuja aiemmin, jo vuonna 1931, oli Hans Weisse (1892–1940). Ennen emigroitumistaan Weisse oli kysytty opettaja sekä Berliinissä että Wienissä, ja on todennäköistä, että siellä vierailneiden amerikkalaisopiskelijoiden kautta avautui työmahdollisuus Mannes School of Musiciin, josta tulikin ensimmäinen amerikkalaisen Schenker-analyysin keskus. Esimerkiksi Allen Forte (1926–2014), amerikkalaisen musiikin joukkoteorian luoja ja Schenker-analyytikko, opiskeli Schenker-analyysiä Oswald Jonasin oppilaan Ernst Osterin johdolla, ja hänen kauttaan tämä metodi levisi Yale-yliopistoon Forten saatua siellä professuurin vuonna 1959. Metodologian kehittymisen ja tohtorikoulutus-ohjelmien perustamisen myötä musiikinteorian ala alkoi tieteellistyä ja institutionalisoitua.

6 Teos on kolmas ja viimeinen osa Schenkerin *New Musical Theories and Fantasies* -kokonaisuudesta, jonka aiemmat osat *Harmony* ja *Counterpoint* on käännetty englanniksi 1954 ja 1987.

mahtuu 1800-luvun musiikinestetiikan saksalaisen idealismin lyhyt oppimäärä: genius-estetiikka, Hegeliltä peräisin oleva teleologinen historiakäsitys, saksalaisen musiikin ylivertaisuus ja musiikin ja metafyy-sisen todellisuuden toisiinsa kytkevä musiikin ontologia löytyvät kaikki muutaman sivun profeettamaisen julistavassa kokonaisuudessa. On silti vaikeaa ymmärtää, miksi vaikkapa Schenkerin esittämä analogia Jumalan ja hänen luomakuntansa välisestä suhteesta musiikkiteoksen syvä- ja pintarakenteen välillä (1979, 160) olisi niin toisarvoinen ajatus, että se olisi ansainnut tulla poistetuksi alkuperäisestä asiayhteydestään kirjassa. Schenkerin (1979, 161) argumentti saksalaisen musiikin yliver-taisuudesta verrattuna italialaiseen on tuttu jo Eduard Hanslickilta ja heijastaa väitteenä hyvin omaa ajallista ja kulttuurista kontekstiaan.

Kuten Nicholas Cook (1989) on esittänyt, Schenkerin teoreettinen ajattelu tarjoaa analyysimenetelmän lisäksi laajan, kulttuuriseen ja historialliseen kontekstiinsa sidoksissa olevan teorian musiikin etiikasta, ja sen alkuperäinen eetos oli reparatiivinen: Schenker pyrki lukijoidensa syvempään musiikin ymmärrykseen tilanteessa, jossa todellinen musiikin kokeminen ja tulkitseminen oli hänen silmissään rappioitunut. Tämän lisäksi Schenkerin ajattelussa, ainakin hänen myöhemmissä teoksissaan ilmentyneenä, on sisäänkirjoitettuna vahva antimodernis-tinen ja nationalistinen agenda, mikä yhdistää häntä vahvasti Eduard Hanslickin absoluuttisen musiikin estetiikkaan. *Der freie Satz* -teoksessa Schenker toteaa italialaisen musiikin olevan vain ”esiaskel kohti sak-salaista musiikkia” ja lähtökohtaisesti ”sidoksissa sanoihin” (Schenker 1979, 161) – eli siis hanslickilaisittain ei-absoluuttista musiikkia.

Schenkerin Saksa-hegemonista ideologiaa ja sen potentiaalisesti mukanaan tuomaa implisiittistä rasismia on viime vuosina kritisoi-tu erityisesti amerikkalaisessa keskustelussa (ks. esimerkiksi Ewell 2020). Oppihistoriallisesta perspektiivistä katsoen Schenker-kuohua ja vilkasta keskustelua voi pitää jonkinlaisena myöhästyneenä reaktiona alun perin valikoivalle ja Schenkerin ajattelun hankalia piirteitä siistivälle luennalle, mikä amerikkalaiselle Schenker-analyysin insti-tutionalisoitumiselle oli tyypillistä. Kohu on kuitenkin kovin ylimitoi-tettu ja sen kohde itsessään perusteettoman kapeasti valikoitunut: jos Schenkerin kirjoitusten edustama saksalainen idealismi, 1900-luvun

alun eurosentriinen kulttuurikäsitys ja näistä juontuva käsitys austrogermaanisesta musiikkikaanonin ylivallasta on anakronisesti nähtävä moraalisesti tuomittavana – kuten vaikkapa Philip Ewell itse tuntuu ajattelevan – joutaa samalla kertaa sivuun koko joukko länsimaisen taidemusiikin oppirakennelman suuria nimiä: Eduard Hanslick, Hugo Riemann, A.B. Marx, ja niin edelleen. Ilmari Krohnkaan ei selviäisi puhtain paperein: koko 1900-luvun alun vertailevan musiikkitieteen (Vergleichende Musikwissenschaft) tutkimusparadigma – jossa myös Krohn oli tärkeä edustaja – perustui käsitykseen eurooppalaisen musiikkiperinnön ylivertaisuudesta ”primitiivisiin” ja alempiarvoisiin ”puoli”- tai ”raakalaiskulttuureihin” nähden. Tästä näkökulmasta katsoen koko länsimaisen musiikkitieteen historia on saman eurosentrisen ja kolonialistisen maailmankuvan leimaamaa, mutta tämä ei ole mitenkään erityisesti Schenkerille ainutlaatuinen piirre, vaan seurausta vuosisata sitten vallinneesta tieteellisestä ajattelusta rotuteorioineen ja kulttuurievolutionistisine piirteineen. Tällainen historiallinen kontekstualisointi ei tee tällaisesta ajattelusta puolusteltavaa, mutta asettaa sen kuitenkin laajempiin kehyksiin.

Tieteenhistoriallisesti on tärkeää huomioida Schenker-analyysin historiallinen tausta, mikä osaltaan vapauttaa hänen analyttisistä ajatuksistaan kiinnostunutta tutkijaa hyödyntämään teoriaa laajemmalla skaalalla kuin oppikirjamaisena ja dogmaattisena kokonaisuutena, mikä joidenkin kommentaarien mukaan (esim. Josephson 2005) leimasi varhaista 1970- ja 1980-lukujen amerikkalaista Schenker-reseptiä. Todellisuudessa Schenker itse muutti kantaansa monesta teoriasta käsitteestä (esimerkiksi Umlinie; ks. Oinas 2017, 63) uransa mittaan, ja nykyperspektiivistä katsoen tietynlainen joustavuus ja tutkimuksellisuus hänen ajattelunsa hyödyntämisessä on hyvin tervetullutta. Tällaista avoimuutta ja Schenkerin käsitteitä hyödyntävää tutkimusta sovellettuna hänen itsensä määrittelemän musiikillisen kaanonin ulkopuolelle löytyykin erityisesti 2000-luvulta varsin paljon. Schenker-analyysin selitysvoimaa on testattu myös ei-klassisissa musiikillisissa konteksteissa, esimerkiksi jazzin parissa.

Schenker-analyysi on varsin normatiivinen myös musiikillisen ohjelmiston suhteen. Schenkerin musiikillinen maailmankuva, siten

kun se heijastuu hänen analysoimassaan repertuaarissa, rakentuu miltei yksinomaan austrogermaanisen kaanonin varaan, ja paikoitellen hänen teksteissään heijastuu vahva ennakkoluuloisuus sen ulkopuolisen musiikin arvosta ja pettämätön varmuus Bachin, Mozartin, Beethovenin, Schubertin ja Brahmsin sävellysten universaalista arvosta. Tämä Schenkerin ideologinen konteksti on esimerkiksi hänen kirjoitustensa englanninkielisissä käännöksissä pyritty häivyttämään miltei näkymättömiin (ks. Rothstein 1986), mutta Suomessa tilanne on hieman erilainen, koska saksankielinen alkuperäinen materiaali on alusta alkaen ollut täällä tunnettua ja toisaalta yksittäisten tutkijoiden töissä Schenkerin saksankielisiin teksteihin viitattiin jo ennen varsinaista paradigman muutosta 1950- ja 1960-luvuilla. Suomalaiseen kontekstiin Schenker-analyysi rantautui laajemmin 1990-luvulla erityisesti Yhdysvalloista, mutta täysin tuntematonta hänen ajattelunsa ei suinkaan Suomessakaan aiemminkaan ollut, kuten tuon esille Olavi Ingmanin ja Olavi Kaukon esimerkkien kautta. Kaukon kohdalla tosin Schenker-oppi saatiin samoin Yhdysvalloista, mutta perusopintojensa osalta hänen koulutuksensa oli Sibelius-Akatemiasta.

Varhaista Schenker-analyysiä Suomessa

Olavi Ingmanin väitöskirja *Lineaarinen rakenneanalyysi Mozartin G-mollisinfoniasta K. V. N:o 550* (1959) on ensimmäinen Schenkerin ajattelua hyödyntävä musiikkianalyttinen tutkimus Suomessa. Teoksensa esipuheessa Ingman kritisoi yhtäältä aiempaa kotimaista musiikinteoreettista tutkimusta hahmopsykologian avaaman ongelmakentän sivuuttamisesta ja toisaalta taas liiallisesta vertikaalisesta tai ”rytmillis-metrisestä” orientaatiosta kohteeseensa (s. 11). Esimerkiksi Tauno Karilan väitöskirjaa *Vesimaisemat Jean Sibeliuksen, Oskar Merikannon ja Yrjö Kilpisen yksinlaulujen melodiikassa* (1954) Ingman kritisoi siitä, että tämä tarkastelee sävellysten melodiikkaa ”maisemakuvien ja melodiapiirteiden isomorfioiden mosaiikkina” eikä riittävällä hahmopsykologisella analyyttisyydellä. Toisaalta Ingman moittii aiempaa musiikkianalyysiä siitä, että sen musiikillisiin muotoihin keskittyvä orientaatio tuottaa näkökulman, jossa ”muotoanalyysiä kiinnostaa enemmän poi-

kittais-viiltainen jäsennys, muotoyksiköiden rytmirajojen toteaminen kuin [...] pitkittäisviiltainen, yhdistävän, sitovan melodiakaaroksen linjaerittely” (s. 11).

Ingman soveltaa siis Schenkerin teoriaa aikaansa nähden varsin liberaalisti, ja voidaan kenties jopa kyseenalaistaa hänen työnsä status varsinaisena Schenker-analyysinä. Sen epistemologinen eetos kuitenkin työssä on läsnä, minkä voi päätellä Ingmanin kirjoittaessa esimerkiksi musiikin tekstuurin pintatason suhteesta rakenteen syvempiin kerroksiin. Ingman toteaa tästä asiasta varsin selvästi:

Perinnäisen musiikkiopin erittelemien rytmillisten ja tonaalisten teki-
joiden lisäksi on analyysimme kohdistunut uutta, osittain Schenkeriin
perustuvaa menetelmää käyttäen puhtaasti melodiseen, lineaariseen,
kuviolliseen elementtiin, ja eriteltävässä teoksessa on ollut todetta-
vissa tämän aineksen hämmästyttävän rikas, säännöllinen ja syvälle
porrastuva organisaatio (Ingman 1954, 158).

Ingman on opiskellut Schenker-analyysiä – tai omaa synteesiään sen aineksista – Wienissä, pianonsoiton opettajansa Paul Pischierin johdolla. Ingman ei kuitenkaan seuraa Schenkeriä kyseenalaistamatta. Eniten Ingman näyttää kritisoivan Schenkerin teorian Urliniekäsitettä, sillä se on hänen mukaansa ”psykologisesti hämärä ja sävellypsykologisesti ilmeisen virheellinen, ettemme sanoisi nurinkurinen” (Ingman 1954, 12). Analyysinsä johtopäätöksissä hän tulkitseekin esimerkiksi kohteenaan olevan Mozartin sinfonian ensimmäisen osan esitelyjakson osalta olevan Urliniensä osalta nouseva, minkä hän toteaa tietoisena Schenkerin teorian vastakkaisista perusaksioomista (ibid. 175). Ingman näkee laajemmin Schenker-analyysin ongelmana sen, että analyysin painopiste harhautuu liian paljon musiikin syvärakenteeseen, eivätkä musiikin melodiset ilmiöt ja tematiikka saa riittävästi huomiota osakseen (ibid. 24). Ingmanin mukaan – Schenkeriä vastakarvaan tulkiten – sävellyksen perimmäinen syvärakenteen abstraktio, kadenssi I-V-I ei todellisuudessa voi olla ”mikään apriorinen, staattinen kaavio, vaan tietyn prosessin lopputulos, joka riippuu toiselta puolen hahmolaeista, toiselta puolen musiikin materiaalisista mahdollisuuk-

sista” analyysiin⁷ (ibid. 25).

Toinen varhainen Schenker-tietoisuutta osoittava tutkielma suomalaisessa musiikintutkimuksessa on Olavi Kaukon vuonna 1958 Eastman School of Musicissa puolustama musiikinteorian väitöskirja *The Development of A Phenomenological Approach to Music As Seen In Selected Theories of Tonal Organization* (Kauko 1958). Nykyperspektiivistä katsoen Kaukon väitöskirja on tutkimuksellisilta tavoitteiltaan hämmäntävä: hänen tutkimuksensa pyrkii selvittämään musiikin teorian historian Antiikin Kreikasta aina 1900-luvun puoleenväliin asti. Kauko käyttää kartoituksessaan paljon sekundäärilähteitä ja tuloksena tästä pitkälti yleiskatsauksen tasolle jäävästä tutkielmasta on varsin pinnallinen kuvaus musiikinteorian yleisistä linjoista kahden vuosituhannen ajalta. Kaukon huomio on pääasiallisesti harmoniassa, mikä hänen kohdallaan pitkälle keskiajalle asti tarkoittaa lähinnä konsonanssi- ja dissonanssi-käsitteiden tarkastelua.

Schenkerin työ, kuten muukin 1900-luvun alkupuolen musiikinteoria, on Kaukolle selvästi tuttua, mutta erityisen tarkkanäköisiä tai analyttisiä hänen huomionsa eivät aineistostaan ole. Schenkerin teoriaa Kauko luonnehtii näin:

Schenker’s basic idea was that a work of art is achieved as a totality that is more than the sum of its parts, indeed, as a dynamic Gestalt. Therefore, motifs, themes, etc., shall not be considered as separate ideas (Kauko 1958, 151).

Kaukon Schenker-kommentaari on referoivuudessaan varsin pinnallista ja toteavaa, ja mitään erityisen huomionarvoista oman tutkimuksellisen kontribuutionsa suhteen Kauko ei tunnu Schenkerin tekstistä löytävän. Tämä näky erityisen vahvasti hänen referoidessaan

7 Väitöskirjansa jälkeen Ingman ei julkaissut pienimuotoisempia musiikinteoreettisia tutkielmia, ja ylipäätään hänen julkaisutuotantonsa on melko suppea. *Die klassische Sonatenform als Feld des thematischen Prozesses* (Ingman 1968) on toinen ja samalla hänen viimeinen työnsä musiikinteorian alalla. Siinä hän jatkaa väitöskirjansa epistemologisista lähtökohdista Schenker-analyysiä soveltaen. Sonaattimuoto on Ingmanin analyysissä abstraktio ja lopputulos musiikin melodisesta pintatasosta ja temaattisesta prosessista, ei siis abstrakti ja apriorisesti olemassa oleva kehys.

Schenkerin käsityksiä musiikin ja luonnon suhteesta. Schenkerin musiikkikäsitys painottaa musiikin orgaanisuutta: hän näkee sävelet ja niistä rakentuvat muodot ikään kuin elävinä organismeina, joilla on oma ”tahto” ja liike-energia. Samoin Schenkerin käsitys tonaalisuudesta juontaa juurensa yläsävelsarjasta, eli tässä mielessä ”luonnosta”. Kauko ei kuitenkaan millään tavoin kommentoi Schenkerin tekstin filosofisia ulottuvuuksia tai sen selviä yhteyksiä saksalaisen idealismin perinteeseen, mitä tutkijan odottaisi Schenkerin ajoittain varsin vaikeaselkoisen tekstin suhteen tekevän. Kauko (1958, 151–165) toki selvittää neljäntoista sivun Schenker-osuudessaan työssään tämän keskeisimmät käsitteet (Ursatz, Urlinie, Auskomponierung, jne.), osin myös nuottiesimerkein sanottavaansa havainnollistaen, mutta yllättävänä johtopäätöksensä ja synteesinään koko analyysistään hän toteaa vain, että ”Schenkerin teoria on yhteensopiva [in accord with] musiikinteorian psykologisen perustan [psychological basis of musical theory] kanssa.” Kaukon mukaan Schenkerin teoria on siis perimmältään itse asiassa hahmopsykologinen [Gestalt] teoria (ibid. 165).

Ingmanin ja Kaukon 1950-luvun väitöskirjat todistavat kumpikin perehtyneisyydestä Schenker-analyysiin ja sen peruslähtökohtiin, mutta kumpikaan heistä ei varsinaisesti käytä Schenkeriä musiikkianalyytisiin tarkoituksiin. Ingmanilla tuo tavoite on lähempänä: hän tarkastelee, hieman yksinkertaistaen, musiikin struktuuria sen lineaarisen elementin funktiona, ja tässä hän tarkastelee Schenkerin musiikin pintatason ja syvärakenteen välistä suhdetta olennaisena peruslähtökohdantana – tosin Ingmanin mukaan Schenkeriin nähden päinvastaisilla prioriteeteilla, koska Ingman näkee sävellyksen orgaanisena lähtökohdantana melodisen motiivin, ja tulkitsee Schenkerin priorisoivan virheellisesti syvärakennetta musiikin generoivana perusjännitteenä. Kauko ei varsinaisesti sovelle Schenkerin teoriaa musiikkiin lainkaan, vaan se toimii yksinomaan yhtenä hänen kahden vuosituhannen mittaisen musiikinteorian oppihistoriallisen tarkastelun esimerkkinä. Kumpikin tutkija kuitenkin toimi väitöskirjansa jälkeen pitkään akateemisella uralla – Kauko toimi lähes kolmen vuosikymmenen ajan Sibelius-Akatemian musiikin teorian lehtorina (1960–1989) ja Ingman Jyväskylän yliopiston musiikin lehtorina (1949–1968), ja tästä johtuen on mahdollista, että

Schenker-analyysi on ainakin jollain tavalla kuulunut opetettavaan musiikinteorian oppisisältöön. Opinto-oppaiden kautta tästä ei kuitenkaan valitettavasti ole ollut mahdollista saada tietoa.⁸

Myöhempää Schenker-reseptiota Suomessa

Tämän juhlakirjan päähenkilön, professori Lauri Suurpään ura musiikinteorian alalla sai alkunsa vuonna 1990 julkaistusta pienoistutkimasta *Sonaatti ja sinfonia Mozartin jousikvartetton K. 387 ensiosassa* (Suurpää 1990). Kyseinen tutkielma on solistisella osastolla suoritettujen kitaraopintojen kirjallinen lopputyö, ja se on julkaistu lähes sellaisenaan vuonna 1993 (Suurpää 1993a). Kyseisessä työssä Suurpää hyödyntää työkaluna Schenker-graafia havainnollistamassa Mozartin kvartetton harmonista koherenssia, säerakenteiden ja metriikan analyysin tarkastelun ohella.

Syvemmin Suurpää kuitenkin reflektoi Schenker-analyysin epistemologiaa ja luonnetta samana vuonna julkaistussa lisensiaatintyössään (1993b). Työn alkupuoli sisältää perehdytyksen tähän tuolloin Suomessa vähän käytössä olleeseen analyysiteoriaan, ja kirjoittaja itse ilmaisee vakuuttuneisuuttaan jo työn avauksessa toteamalla, että Schenker

on vaikuttanut tämänhetkiseen tonaalisen musiikin analyysiin mahdollisesti syvemmin kuin kukaan muu. [...] Schenker-analyysi on saavuttanut aseman, jossa analyytikon on sitä vaikea täysin ohittaa; vaikka ei kannattaisi Schenkerin esittämiä ajatuksia, tulee Schenker-analyysista tuntea ainakin perusteet, jotta voisi ymmärtää suuren osan tonaalisesta musiikista nykyisin kirjoitettavaa analyyttistä tekstiä (1993b, 4).

8 Ensimmäisen kerran Schenker-analyysi ilmestyy Sibelius-Akatemian opinto-oppaaseen vasta lukuvuonna 1995–1996, mutta varttuneempia kollegoita haastateltuani olen kuullut, että erilaisia lyhytkursseja on amerikkalaisten vieraiden toimesta tarjottu kohtalaisen säännöllisesti jo 1980-luvun loppupuolelta lähtien. Ensimmäinen tämänkaltainen opetusvierailu oli joko 1982 tai 1983, jolloin David Beach vieraili Sibelius-Akatemiassa. (Eero Hämeenniemen suullinen tiedonanto 14.2. 2025.)

Kiinnostava yksityiskohta jo näissä Suurpään varhaisimmissa analyttisissä töissä on niiden rakennehistoriallinen pohjavire: jo vuoden 1990 tutkielma sisältää pohdiskelua Mozartia ympäröineen ajan sosiilihistoriasta, estetiikasta (mm. J. A. Scheibe) ja muotoajattelun oppihistoriasta (mm. H. C. Koch, J. G. Sulzer). Tämä muun muassa Carl Dahlhausin ajattelusta muistuttava rakennehistoriallinen ideaali kunkin tarkasteltavan kohteen henkisen, materiaalisen ja sosiaalisen elementin tärkeydestä muodostamassa tutkimuksessa tarkasteltavan musiikin historiallista totaliteettia istuu hyvin ajan musiikkitieteelliseen ajankuvaan Suomessa. Samalla tällainen holistisempi tarkastelu on ollut myös Suurpään myöhemmälle tutkimukselle leimallista. Historiallinen konteksti, kirjallisuus ja aikakausien teoreettis-esteettinen ajattelu ovat tarkasteltavan musiikin rinnalla – ei taustalla – olennaisia sen analyysin ja kulttuuristen merkitysten kannalta. Tämän kulttuuri- ja historia-sensitiivisen näkökulman juuria voisi Suurpään kohdalla kenties etsiä hänen tärkeimmän opettajansa Carl Schachterin työstä, mutta myös Schenkerin itsensä laajasta näkökulmasta musiikkiin osana sitä ympäröivää kulttuurista matriisia. Omassa ajallisessa kontekstissään Schenker näki musiikissa heijastuksia ja rakenteen isomorfoita ympäröivästä maailmasta – olihan jo hänen musiikissa korkeimmalle arvostama esteettinen ominaisuus, orgaanisuus, luonnosta peräisin oleva kvaliteetti.

Suurpäälle leimallinen kiinnostus kirjallisuuden, filosofian ja musiikin leikkauspisteisiin ja vuorovaikutukseen on jo hänen väitöskirjassaan selkeästi esillä. Tutkimuskohteeksi valittujen Beethovenin alkusoittojen analyysiin Suurpää hyödyntää Schenker-analyysin lisäksi strukturalistista kulttuuriteoriaa, esimerkiksi venäläisen folkloristin Vladimir Proppin (1895–1970) narratologista tarinamallia. Proppin teoriassa on kyse tietynlaisesta näkökulmaltaan universaalista kansantarinoiden, satujen ja myyttien arkkityyppien ja aktanttimallien analyysistä. Musiikin tekstuurin osalta Suurpää kuitenkin pitäytyy työssään Schenker-analyysissä, ja Proppin ja Roland Barthes'n teoriaa hyödyntävä analyysi löytää paikkansa musiikin narratiivisen elementin alueella (Suurpää 1997).

Työnsä johdannossa Suurpää tarkastelee tätä strukturalistisen tekstianalyysin ja Schenker-analyysin eroja ja yhtäläisyyksiä.

Molemmat tarkastelevat tekstejä rakenteellisessa suhteessa toisiinsa olevien tapahtumien jatkumoina [sequences of events structurally related to each other]. Siinä, missä Suurpään siteeraama Gerald Prince on kuvannut tarinan vähimmäisvaatimuksia kolmen tekijän kautta – alku-tilanne, toiminta, ja paluu alkuun verrattuna erilaiseen tai muuttuneeseen asetelmaan – myös Schenker-graafin kautta hahmoteltu laskeva Urlinie voidaan tästä näkökulmasta katsoen nähdä musiikin narratiivisen syvärakenteen kuvauksena (Suurpää 1997, 17). Kirjallisuuden ja musiikin välillä on kuitenkin myös eronsa, mistä Suurpää huomauttaakin. Kirjallisen tekstin analyysissä ollaan tekemisissä semanttisesti merkitsevän materiaalin kanssa, kun taas musiikin pintarakenteella, josta syvärakenne analyysissä abstrahoidaan, ei sinänsä ole semantiikkaa. (Ibid. 18.) Näin ollen epistemologisesti tekstin ja sävelvirtailun analyysi on erilaisella pohjalla: musiikin syvärakenteen tapahtumat ovat sinälään jo tutkijan analyyttisen prosessin tuloksia, kun taas tekstin suhteen kielen semantiikan vuoksi samankaltaista abstraktiota ei tarvita.

Jo Suurpään väitöskirjassa vahvasti esillä ollut, tarkasteltavan musiikin kirjalliseen ja aatehistorialliseen kontekstiin viritäytynyt Schenker-analyysiä hyödyntävä tutkimus on suomalaisessa kontekstissa ollut 2000-luvulla varsin poikkeuksellista, vaikka kansainvälisessä Schenker-tutkimuksessa – ja musiikkitieteessä ylipäätään – musiikin kontekstualisointi on ollut tutkimuksen valtavirtaa viimeistään 1990-luvulta lähtien. Jo hieman Suurpäästä aiemmin Schenker-analyysiä sovelsi musiikin tyylihistorian alaan sijoittuvassa väitöskirjassaan Veijo Murtomäki (1993). Myöhemmällä musiikinhistorioitsijan urallaankin Sibeliuksen tutkijana profiloitunut Murtomäki tarkasteli tohtorintyössään Sibeliuksen sinfonioissa heijastuvan muotoajattelun kehittymistä teoksesta toiseen.

Tutkimuksessaan Murtomäki kysyy, mikä on ”sinfonisuuden”, ”organisuuden”, ”ykeyden” ja ”syklisyyden” merkitys Sibeliuksen seitsemän sinfonian muotoajattelussa, ja toisaalta missä määrin Sibeliuksen työ on jatkumoa eurooppalaiseen sinfoniatraditioon nähden, jossa näillä käsitteillä on tärkeä merkitys (1993, 2). Tutkimusmetodinaan Murtomäki hyödyntää Schenker-analyysiä, minkä tavoitteena ei kuitenkaan ole redusoida Sibeliuksen sinfonioita vain niiden piilevään

syvärakenteeseen, vaan Schenkerin tarjoaman ”tonaalis-lineaarisen analyysin” avulla hän pyrkii tuomaan esille ”jotain Sibeliuksen musiikin monimuotoisuudesta [”something of the multiplicity of Sibelius’s music”] (1993, 9). Vaikka Murtomäki vaikuttaakin olevan tietoinen Schenkerin jälkikuvan ”ideologisista ja poliittisista” piirteistä ja hänen teoriaansa kohdistuvista kritiikeistä liiallisesta reduktiivisuudesta, hän kuitenkin mainitsee työnsä rakentuvan ”vakuuttuneisuudelle siitä, että Schenkerin metodi perustuu syvälliselle intuitiolle, musiikin ’ymmärrykselle’ ja syvälliselle musiikillisen kirjallisuuden tuntemukselle, ja metodi on hyödyllinen ja käytännöllinen työkalu tonaalisen musiikin analyysiin.” (Ibid.) Tämän enempää Murtomäki ei Schenkerin teoriaa työssään reflektoi, ja myös hänen mainintansa Schenkeriin kriittisemmin suhtautuvista kommentaareista ovat ilman lähdeviitettä, joten on vaikea tietää mihin hän maininnallaan viittaa.

Schenker-analyysiin on alusta alkaen suhtauduttu suomalaisessa keskustelussa varsin vahvalla lähdekriittisyydellä, ja teorian metodologista potentiaalia on korostettu sen ideologisen painolastin jäädessä vähemmälle keskustelulle. Olli Väisälä, toinen suomalainen kansainvälisesti tunnettu Schenker-analyysiä hyödyntävä musiikinteoreetikko, on ollut tšekäläisessä kontekstissa kenties kaikkein aktiivisin Schenker-analyysin tieteenfilosofisten perusteiden keskustelija. Väisälän tutkimukselle on ollut ominaista pyrkimys kehittää Schenker-analyysin teorian ja metodologian selitysvoimaisuutta sille lähtökohtaisesti vieraampien musiikkityylien parissa. Tästä yhtenä esimerkkinä on hänen väitöskirjansa *Prolongation in Early Post-Tonal Music: Analytical Examples and Theoretical Principles* (Väisälä 2004), jossa hän soveltaa yhtä Schenker-analyysin peruskäsitettä, prolongaatiota, post-tonaaliseen musiikkiin (Debussy, Skrjabin, Schönberg, Berg ja Webern). Väisälä etsii teoreettista perustaa, jolla prolongaatioon⁹ nojaava, Schenker-analyysin työkaluja hyödyntävä musiikkianalyysi on mah-

9 Allen Forte ja Steven Gilbert (1982, 142) määrittelevät prolongaation seuraavasti: “Prolongation refers to the ways in which a musical component – a note (melodic prolongation) or a chord (harmonic prolongation) – remains in effect without being literally represented at every moment.”

dollista post-tonaalisen musiikin suhteen. Hänen myöhemmässäkkin julkaisutoiminnassaan 1900-luvun musiikilla on hyvin keskeinen merkitys.

Väisälä on ottanut kantaa myös Schenkerin musiikki-ideologiaan ja sen mukanaan tuomiin epistemologisiin kysymyksiin. Artikkelissaan ”Schenkerin haitallinen vaikutus schenkeriläisyydelle” Väisälä (2009, 85–86) kirjoittaa Schenkerin ”kyseenalaisesta ideologiasta” ja hänen analyttisen apparaattinsa puutteellisesta orientoituneisuudesta sen ”evidentiaalistien periaatteiden” perusteluun Schenker-analyysin potentiaalisina heikkouksina. Evidentiaalisilla periaatteilla Väisälä viittaa periaatteisiin, ”joiden perusteella musiikillisten tapahtumien katsotaan osallistuvan eri rakennetasoille”, jotka puolestaan kuuluvat Väisälän erittelyssä Schenkerin huolellisesti erittelemiin ja perustelemiin ”systeemisiin periaatteisiin”. Evidentiaalistien periaatteiden perustelutakaan piiriin kuuluvat myös kysymykset itse systeemisten periaatteiden oikeutuksesta – millä epistemologisella oikeutuksella tonaalisesta musiikista voidaan erottaa löytyvän kolme tasoa, Hintergrund/Ursatz, Mittelgrund ja Vordergrund, kaikki teorian olettamine hierarkioineen? Artikkelinsa päätännössä Väisälä kirjoittaa myös Schenkerille olleen ”ominaista kompastella sävelteoksiin syventyvän empirian ja omiin apriorisiin käsityksiin takertuvan hybriksen välillä” (ibid. 106), mikä viittaa juuri jälkimmäisen autoritääriseen ja austrogermaaniseen musiikkikaanoniin ankkuroituvaan analyytikkoprofiiliin.

2000-luvun Schenker-analyysiä hyödyntävästä suomalaisesta musiikintoreettisesta tutkimuksesta on vielä nostettava esiin Timo Virtasen (2005) väitöskirja Jean Sibeliuksen kolmannesta sinfoniasta, Anna Pulkkinen (2014) Sibeliuksen yksinlauluja käsittelevä väitöskirja, sekä Cecilia Oinaan (2017) väitöskirja, joka käsittelee musiikin analyysin ja esittämisen välistä vuorovaikutusta aineistonaan Felix Mendelssohnin ja Robert Schumannin pianotrio-ohjelmistoa. Virtaselle Schenker-analyysi on Sibeliuksen sinfonian analyysin metodologinen työkalu, mutta samalla sen lähtökohta nimenomaan tonaalisen musiikin tutkimuksen työvälineenä antaa mahdollisuuden tarkastella Schenkerin kautta kysymystä Sibeliuksen sinfonian suhdetta tonaalisuuteen ja romanttiseen sinfoniatraditioon. Pulkkis yhdistää omassa työssään Schenker-analyysiä uusriemannilaiseen analyysiin. Hänen

tutkimuskohteenaan ovat Sibeliuksen 21 yksinlaulua, joissa tekstuurin sävellajillisuus on häilyvää tai moninaista. Mainituissa lauluissa perinteisestä 1800-luvun monotonaalisuudesta poiketaan esimerkiksi siten, että sävellyksen alku ja loppupuoli rakentuvat eri tonaalisten keskusten ympärille. Sävellyksen mittaan eri tonaliteetit voivat myös vuorotella tai toinen johtaa toiseen. Pulkkis hyödyntää Schenkerin graafista työkalupakkia erityisesti analysoidessaan sävellysten Vordergrund- ja Mittelgrund-tasoa ja näillä ilmenevää tonaalista sidoksisuutta.

Oinas puolestaan on tähänastisista suomalaisista Schenker-tutkijoista ainoa, joka on tarkastellut Schenkerin teorian käyttökelpoisuutta musiikin esittämisen ja analyysin välisen vuorovaikutuksen tutkimiseen. Oinas ei kuitenkaan ota Schenkerin teorian julistavaa sävyä ja sen ”ilmeistä positivismia” (2017, 52) kritiikittä, vaan argumentoi teoreettisen ja metodologisen pluralismin hengessä: Schenkerin omat luennat teoksista, kuten myös hänen yleisesti musiikin tulkintaa koskevat ajatuksensa, on otettava yhtenä olemassa olevana mahdollisuutena mutta ei kiveen kirjoitettuna lopullisena totuutena (ibid. 54). Tällainen epistemologinen näkökulma tutkimukseen heijastaakin modernia 2000-luvun musiikintutkimusta laajemminkin, ja tässä mielessä Oinaksen Schenkeriin, mutta yhtä lailla James Hepokosken ja Warren Darcyn sonaattiteoriaan nojaava työ kommunikoi laajalla rintamalla sekä musiikin teoreetikoiden että esittämisen analyttisistä kysymyksistä kiinnostuneiden muusikoiden suuntaan.

Suomalainen Schenker-analyysi?

Olen edellä tarkastellut lyhyiden esimerkkieni kautta Schenker-analyysin rantautumista suomalaiseen musiikintutkimukseen. Katsaukseni rajautuu musiikinteorian alan väitöskirjoihin. Muiden musiikinteorian alan julkaisujen sisällyttäminen mukaan olisi laajentanut otosta, mutta kokonaiskuvaa se ei olisi muuttanut. Uusia, tässä kirjoituksessa mainitsemattomia tutkijanimiä suomalaisten schenkeristien joukkoon ei esimerkiksi *Musiikki*-lehden julkaisuista sen viiden vuosikymmenen ajalta löydy. Kuten jo alussa totesin, musiikinteoria tutkimuksellisenä, kansainvälisesti verkottuneena alana maassamme

paikallistuu lähes yksinomaan Sibelius-Akatemiaan. Musiikin alan muu korkeakoulutus ammattikorkeakouluissa opettaa musiikinteoriaa enemmän *taitona*, ennalta määrittäneiden ammattivalmiuksien hallintaan tähtäävänä oppiaineena kuin tutkimuksellisenä, sisällöltään, teorioiltaan ja metodeiltaan muutoksille alttiina alana, joka on verkottunut muuhun suomalaiseen ja kansainväliseen musiikintutkimuksen kenttään. Tähän kuvaamaani tilanteeseen vaikuttaa toki myös se, että Sibelius-Akatemia on musiikin alan tohtorikoulutuksen tarjoajana monopoliasemassa Suomessa. Schenker-analyysi on leimallisesti tutkimuksellinen kenttä myös kansainvälisesti. Sillä on oma vertaisarvioitu lehti (*Journal of Schenkerian Studies*) ja sille fokusoituja konferensseja ja tieteellisiä tapahtumia järjestetään säännöllisesti. Suomalaiset Schenker-analyytikot ovat aktiivisesti verkostoituneita tähän tieteelliseen yhteisöön.

Thomas Kirkegaard (2022) on tarkastellut Schenker-analyysin reseptiota muiden pohjoismaiden osalta yksityiskohtaisemmin. Kirkegaardin hahmottelema kuva on pääpiirteiltään selvä: Schenker-analyysi toisen maailmansodan jälkeen on saanut Skandinaviassa, Suomea lukuun ottamatta, osakseen lähinnä kriittisen vastaanoton, ja sitä on kritisoitu, usein melko pinnallisilla argumenteilla, dogmaattisena, miltei esoteerisena musiikinteoreettisena lahkona. Schenkerin persoonan – tai pikemminkin hänen historiallisen jälkikuvansa – rasismi, misogynia ja austrogermaanisen musiikin yliveritaisuutta julistava maailmankuva on nähty useissa kommentaareissa esteenä myös Schenkerin teorian hyödyllisten ominaisuuksien käyttämiselle. Suomalaisessa Schenker-reseptiossa kiinnostava piirre on kuitenkin mielestäni se, kuinka vähän tähän Schenker-analyysin oppihistorialliseen taustaan ja itse hänen analyttisen työkalupakkinsa epistemologiseen perustaan on toistaiseksi kiinnitetty huomiota. Suomalainen Schenker-analyysi on, useimmiten eksplisiittisesti ja ilman reflektiota, sivuuttanut Schenkerin ”ideologian” ja hyödyntänyt ja kehittänyt edelleen sen metodologista antia, pääosin pohjoisamerikkalaisen tutkimustradition mallin mukaisesti.

Tämän Schenker-analyysin suomalaisen konsensuksen ei sinänsä tarvitse kuitenkaan tarkoittaa sitä, etteikö uudelleenlaisillekin avauk-

sille olisi musiikinteoriassa tai sen liepeillä tilaa, kenties tarvettakin. Kirkegaard (2022, 35) päätyy omassa puheenvuorossaan suosittellemaan Schenkerin ideologiakriittistä, historiallisesti kontekstualisoivaa lähilukua, jonka kautta teorian ideologisempiin elementteihin on mahdollista suhtautua lähdekriittisesti ja teorian epistemologiset rajat – mutta myös mahdollisuudet – tiedostaen. Schenker-analyysia ei ole käsitykseni mukaan tarpeellista pitää sellaisena lukkoon lyötynä ja joustamattomana oppikappaleena kuin millaisena sitä on esimerkiksi amerikkalaisessa reseptiossa rakennettu. Nicholas Cook (1989, 439) on omassa Schenker-kommentaarissaan johdonmukaisesti tuonut esille tätä laajemmin, Schenker-analyysin filosofista ja kulttuurihistoriallista taustaa huomioivan tulkinnan olennaisuutta. Muuten uhkana voi olla se, että hänen teoriasensa epistemologinen tausta ja sitä kannatteleva musiikillinen maailmankuva jää analyytikolle tarpeettoman ohueksi.

Suomalaista Schenker-reseptiota voikin, sen toistaiseksi melko vähäisestä oppihistoriallisesta reflektoinnista huolimatta, kiittää alusta alkaen uusista metodologisista tulkinnoista ja avauksista hänen teoriasensa suhteen. Tätä lyhyttä puheenvuoroa yksityiskohtaisempi tarkastelu suomalaisen musiikinteorian oppihistorian suhteen olisi mielestäni kuitenkin varsin tervetullutta. Tälle asialle on helppo kannustaa myös musiikinteorian ulkopuolelta: esimerkiksi musiikinhistorian tutkimus ja suomalaisen taiteentutkimuksen aatehistoria ovat hedelmällisiä tulokulmia aihepiiriin.

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PART IV: REMINISCENCES

Juhlan aika

MINNA HOLKKOLA

On juhlan aika – on kulunut 25 vuotta siitä, kun Lauri Suurpää (s. 1964) aloitti musiikinteorian professorina vuonna 2000. 25 vuotta on pitkä aika, siinä ehtii tapahtua paljon: Lapsi ehtii varttua aikuiseksi ja kaksivuotias yliopistontaapero Sibelius-Akatemia osaksi asemansa vakiinnuttanutta Taideyliopistoa; markka vakiintua euroksi, Suomi EU:n kiinteäksi osaksi ja kansainvälisyys kiinnittyä erottamattomaksi osaksi koulutuksen arkea. Aateympäristö ja yhteiskunta ympärillämme muuttua, tekniikka kehittyä, ravintolatarjonta monipuolistua. Ehtii kokea pari lamaa ja yhden ennennäkemättömän pahan kulkutaudin.

Myös suomalainen musiikintutkimuksen kenttä, Sibelius-Akatemia toimintaympäristönä ja ympäröivän yhteiskunnan asettamat vaatimukset ja reunaehdot ovat muuttuneet. Voi perustellusti kysyä, onko edes musiikki pysynyt ennallaan: kanonisoituneen historiallisen ohjelmiston entisten raja-aitojen yli virtaa alati uusia teoksia ja uutta musiikkia syntyy joka päivä. Näinä vuosina Laurin Suurpään vaikutus Sibelius-Akatemiassa on ollut monitahoinen. Tutkijana hän on näyttänyt esimerkillään, että suomalaisen musiikintutkijan on mahdollista tehdä merkittävä kansainvälinen ura. Koulutuksen kehittäjänä hän on tasapainoillut onnistuneesti muuttuvan ajan vaatimusten ja perinteen ristipaineissa. Opettajana hän on kasvattanut kokonaisen uuden tutkija- ja opettajapolven.

Sävellyksen ja musiikinteorian koulutusohjelman (SäTe) näkökulmasta Laurin keskeisin ansio lienee tutkimuksellisuuden juurruttaminen osaksi koulutusta. Laurin aloittaessa musiikinteorian professorina SäTe oli koulutusyksikönä virkeä, mutta villi. Musiikinteorian koulutuksen kulmakivi oli laajan ja syvällisen musiikkiymmärryksen kehittäminen – tässä satsiopin opinnoilla oli keskeinen rooli. Tutkimuksellisuus nähtiin ennen kaikkea opiskelijan oman ymmärryksen laajentamisena.

Tässä viitekehyksessä muodollinen tutkimus menetelmiseen näyttäytyi usein vaivalloisena oheistuotteena, joskus jopa riippakivenä. Laurin professorivuosien aikana musiikinteorian koulutus on muuttunut merkittäväällä tavalla: musiikillisen ymmärryksen kehittäminen on edelleen koulutuksen keskiössä, mutta tietoisuus musiikinteoriasta tutkimusalana on läsnä koulutuksen alusta asti. Koulutus on onnistunut pitämään kiinni siitä, mikä sen perinteessä on arvokkainta, mutta samalla reagoimaan ajan muutoksiin.

Kitaristista musiikinteoreetikoksi

Laurin tie musiikinteorian ja -tutkimuksen pariin kulki kitaransoiton kautta. Sibelius-Akatemian nuoriso-osastolla alkaneet kitaraopinnot jatkuivat ammattiopintoina korkeakoulun puolella aina diplomikonserttiin ja maisterintutkintoon asti. Kitaraopintojen rinnalla SäteTen tarjoamat opinnot vetivät kuitenkin yhä enemmän puoleensa. Kiinnostus musiikin rakenteita ja musiikkianalyysia kohtaan kasvoi vähitellen siihen mittaen, että kitaradiplomien jälkeen vuonna 1989 Laurin opinnot jatkuivat miltei saumattomasti tohtoriopintoina musiikinteorian pääaineessa.

SäteTellä 1990-luku oli Amerikka-suhteen aktiivisen viriämisen aikaa. Useat silloiset jatko-opiskelijat (Laurin ohella mm. Hannu Apajalahti, Marcus Castrén ja Tiina Koivisto) opiskelivat Yhdysvalloissa. Samoina vuosina myös merkittävät amerikkalaiset tutkijat, kuten Carl Schachter ja Edward Laufer, vierailivat Töölössä T-talon neljännessä kerroksessa pitämässä pitkiä, jopa useamman viikon mittaisia kursseja. Ajan angloamerikkalaisen musiikintutkimuksen keskeiset analyyttiset suuntauokset, ennen kaikkea Schenker-analyysi ja joukkoteoria juurtuivatkin tämän vuorovaikutuksen myötä keskeiseksi osaksi SäteTen musiikkiteoreetikkojen koulutuksen geeniperimää. Erityisesti schenkeriläinen, musiikin rakenteita hierarkisesti tarkasteleva näkökulma asettui luontevasti täydentämään SäteTen musiikinteorian koulutuksessa keskeisen satsiopin tyylitietoista, musiikkianalyysia ja musiikin kirjoittamisen käsityötä yhdistävää työkentelytapaa.

Opintovuosi New Yorkissa oli tärkeä vaihe Laurin opinnoissa: hän hankki tuolloin vankan teknisen perustan Schenker-analyysin metodologiaan. Lauri on usein muistellut New Yorkin -aikaansa antoisana, mutta työntäyteisenä. Vuoden kauaskantoisin anti olivat viikoittaiset musiikkianalyysin yksityistunnit Carl Schachterin kotona. Työmäärissä tai ajankäytössä ei säästely – tunnit saattoivat venähtää melkoisesti ja graafitehtävänä oli yleensä teos per viikko, joskin kokonaiseen sinfoniaan saatettiin joskus uhrata peräti kaksikin viikkoa.

Laurin väitöskirjan *Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Tonal Structure* (1997) aiheessa ovat jo näkyvissä hänen tutkijanuransa keskeiset kiintopisteet: tonaaliset rakenteet, musiikin elementtien väliset jännitteet ja näiden jännitteiden suhteet, ohjelmallisuus, kerronnallisuus ja draama, musiikin suhde (kon)tekstiin ja klassis-romanttisen aikakauden ohjelmisto.

Tutkija, opettaja, koulutuksen kehittäjä

Lauri Suurpää on tehnyt professuurinsa aikana huomattavan kansainvälisen tutkimusuran. Hänen julkaisuluettelonsa on mittava ja pääosin englanninkielinen. Siihen sisältyy kymmeniä vertaisarvioituja artikkeleita, vierailuluentoja ja konferenssiesitelmiä alan arvostetuimmilla foorumeilla. Erikseen mainittakoon kirjat *Death in Winterreise: Musico-Poetic Associations in Schubert's Song Cycle* (2014) sekä viimeistelyvaiheessa oleva *Haydn in the Concert Hall and in the Chamber: Public and Private Modes of Musical Discourse in the London Symphonies and Late String Quartets* (2025). Hän on myös toiminut muuan muassa useiden kansainvälisten tieteellisten lehtien toimitusneuvostossa (*Eighteenth Century Music, Journal of Schenkerian Studies, Music Theory and Analysis, Music Theory Spectrum*) sekä jäsenenä Sibeliuksen koottujen teosten (*Jean Sibelius Works*) toimituskunnassa.

Keskeisen osan Lauri Suurpään opetustyöstä muodostavat kymmenien maisteritutkielmien ja väitöskirjatutkimusten ohjaaminen. Erityisesti Laurin työllä tohtoriopiskelijoiden ohjaajana on laajat heijastusvaikutukset suomalaisen musiikintutkimuksen ja -opetuksen kenttään. Laurin lempeästi tarkka ja kärsivällinen ohjaus on tuottanut

sukupolvellisen erinomaisia tutkijoita. Hänen ohjauksessaan 2000-luvulla väitelleet musiikinteoreetikot Olli Väisälä, Timo Virtanen, Lotta Ilomäki, Sakari Ylivuori, Kai Lindberg, Anna Pulkkis, Tuija Wicklund, Cecilia Oinas ja Inkeri Jaakkola työskentelevät Sibelius-Akatemiassa ja Sibeliuksen teosten kokoomahankkeessa Helsingin Yliopistossa. Lauri on myös ohjannut useita taiteellisen tohtorintutkinnon kirjallisia töitä (mm. Matthew Whittall, Tapio Tuomela, Ilpo Laspas, Antti Auvinen).

Opetus- ja ohjaustyössä Laurin laaja musiikillinen ja humanistinen yleissivistys pääsevät oikeuksiinsa. Lauri on tukenut tohtoriopiskelijoita itsenäisyyteen tutkimusaiheen ja -metodien valinnassa. Toisinaan väitöskirjatöiden aiheet ovat asettuneet Laurin omimmalle alueelle, mutta toiset aiheista ovat olleet hänelle tutkimuksellisesti kaukaisempia (post-tonaalinen ohjelmisto, esitystutkimuksen näkökulmat, musiikki-filologia, pedagogiikka). Aiheesta ja valitusta metodista riippumatta Laurin ohjauksen ytimessä on kuitenkin pyrkimys tiukan loogiseen etenemiseen, metodologiseen ja käsitteelliseen yksiselitteisyyteen sekä kirkkaaseen verbaaliseen ilmaisuun – kaikki tutkimuksellisia hyveitä, jotka ovat sovellettavissa tutkimustyöhön ja kirjoittamiseen laajasti.

Professorina Lauri on osallistunut aktiivisesti musiikinteorian koulutusohjelman kehittämiseen. Muutokset koulutuksen rakenteissa ovat olleet kohtuullisen pieniä, mutta mitoituksen, sisällön ja fokuksen muutokset ovat olleet sitäkin merkittävämpiä. Opiskelijoiden omat kiinnostuksen kohteet ovat saaneet tilaa musiikinteoreetikon peruskoulutuksen rinnalla ja kandidaatin- ja maisterin tutkintojen profiilit ovat eriytyneet. On etsitty tapoja kirkastaa musiikinteoreetikon profiilia ja huomioida erilaisia mahdollisia työnkuvia. Lauri on myös Sibelius-Akatemian DocMus-tohtorikoulun kautta osallistunut instrumentalistien ja säveltäjien jatkokoulutukseen. Laurin ja Mieko Kannon vuonna 2018 alkanut, etäyhteydellä toteutettava yhteistyökurssi 'Analysis, Theory, Performance' Eastman School of Music -yliopiston ja professori Jonathan Dunsbyn kanssa on ollut tärkeä avaus niin etäopetuksen kuin kansainvälisen opetusyhteistyön saralla. Kurssi on mahdollistanut taiteellisia jatko-opintoja tekeville uudenlaisen kansainvälisen opiskeluympäristön ja samalla jatkanut SäteT:n nyt jo perinteikästä tutkimuksellista Amerikka-yhteyttä.

Moninaisten tutkimus-, opetus- ja ohjaustöiden rinnalla urkupisteenä Laurin opetuksessa on jo vuosikymmenten ajan ollut keskiviikkoiltapäivien Syventävä tonaalisen musiikin analyysi, tuttavallisemmin Schenker-analyysi. Ohjelmistoltaan vuosittain uudistuva musiikinteorian pääaineopiskelijoiden opintojakso on ollut vuodesta toiseen myös instrumentalistiopiskelijoiden suuressa suosiossa. Tämä kertoo Laurin opetuksen ydinvahvuudesta: musiikinteoria kiinnittyy aina musiikin praktiikkaan, esittämiseen ja tulkintaan.

Kollega ja ystävä

Vaikka Sibelius-Akatemian asema Suomen ylimmän musiikkikoulutuksen antajana on ollut kiistaton sen perustamisvuodesta 1882 lähtien, metamorfoosi ensin musiikkiopistosta konservatorioksi, sitten korkeakouluksi ja yliopistoksi on nimenmuutosten ohella tarkoittanut perustavanlaatuista laajentumista taiteen käsityöläisyydestä kohti laaja-alaista tutkimuksellista ajattelua. Oman tutkimus- ja opetusuransa ohella Lauri on ollut mukana luomassa nykyaikaista tohtorikoulutusta ja vaikuttanut osaltaan musiikintutkimuksen kulttuurin syventymiseen koko Sibelius-Akatemiassa.

Suurin osa SÄTen nykyisistä opettajista on Laurin entisiä tai nykyisiä oppilaita: tämä itsessään on jo merkittävä saavutus. Lauri kantaa oppi-isän asemansa vaatimattomasti, itsestään numeroa tekemättä – hän ei vetäydy professorin roolinsa taakse, vaan kohtaa ihmiset ihmisinä ja tarttuu tarvittaessa niin pieniin kuin suuriinkin tehtäviin. Kun Lauri tulee puheeksi kollegoiden tai opiskelijoiden kanssa, samat positiiviset luonnehdinnat toistuvat yhä uudestaan: hieno kollega ja opettaja, empaattinen ja hienotunteinen, oikeudenmukainen ja sovitteleva, huolellisesti asioihin paneutuva ja tarkkakin; kärsivällinen ja pitkämielinen, tasapuolinen ja lojaali. Vakaasti arvopohjainen, johdonmukainen, avulias, myötälävä, humaani.

Kun työryhmään etsitään sovittelevaa ja tasapainottavaa vastavoimaa tai rekrytointiprosessiin oikeudenmukaisuutta vaalivaa ääntä, tulee mieleen Lauri. Me kollegat ihailemme Laurin vankkumatonta työtahtia. Vaikka kitara soi ehkä nykyisin harvemmin, Lauri yhä myös

harrastaa musiikkia: hän on tuttu näky Musiikkitalon orkesterikonserpteissa ja resitaaleissa. Lounaskeskustelussa vilahtelevat usein niin Laurin laaja ja lavea sivistys kaikissa muodoissaan kuin hänelle rakkaat perhe, matkailu ja kirjallisuus.

Sydämellinen kiitos merkittävästä työstä ja hienoista 25 vuodesta koko Sävellyksen ja musiikinteorian koulutusohjelman puolesta.

Minna Holkkola

Musiikinteorian lehtori

Sävellyksen ja musiikinteorian koulutusohjelman johtaja 2015–2025

Professori Suurpään tohtoriohjattava 2012–15, 2025–

Contributors

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Jonathan Dunsby is Professor of Music Theory at the Eastman School of Music. A former international prize-winning pianist, for some years he collaborated with violinist Vanya Milanova. Author of books such as *Schoenberg Pierrot Lunaire* (CUP), *Performing Music: Shared Concerns* (OUP), and *Making Words Sing: Nineteenth- and Twentieth-Century Song* (CUP), his articles have appeared in many of the major journals. In 2017 he was co-editor and -translator of *Pierre Boulez’s Music Lessons: The Collège de France Lectures*. Founding Editor of the journal *Music Analysis*, he is Life President of the (UK) Society for Music Analysis and a Past President of the Music Theory Society of New York State.

Robert S. Hatten is Professor Emeritus and Emeritus Holder of the Marlene and Morton Meyerson Professorship in Music at The University of Texas at Austin. He served as President of Society for Music Theory in 2017–19 and President of the Semiotic Society of America in 2008. *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (1994) received a Wallace Berry Award from the Society for Music Theory. *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (2004) helped launch the book series “Musical Meaning and Interpretation” (Indiana University Press), for which he served as general editor until 2020, shepherding the publication of over 35 books by musicologists as well as theorists. *A Theory of Virtual Agency for Western Art Music* appeared in the series in 2018.

Minna Holkkola is Lecturer of Music Theory at the Sibelius Academy, her alma mater. She is also currently Head of Department (Department of Composition and Music Theory, 2015–2025). In addition to music analysis and post-tonal music, her central research interests include vocal music and music theatre reflecting her background as classical singer and vocal coach. She is active in university administration and development of pedagogical practices as well as university education.

Julian Horton is Professor of Music Theory and Analysis at Durham University. He is author of *Bruckner's Symphonies: Analysis, Reception and Cultural Politics* (Cambridge 2004), *Brahms' Piano Concerto No. 2, Op. 83: Analytical and Contextual Studies* (Leuven 2017), and *Schumann: Piano Concerto* (Cambridge 2023), editor of *The Cambridge Companion to the Symphony* (2013), and co-editor, *inter alia*, of *Schubert's Late Style* (Cambridge 2016), *Rethinking Schubert* (Oxford 2016) and *British Musical Criticism and Intellectual Thought 1850–1950* (Boydell 2017). He has published on topics in the analysis of nineteenth-century music in *Music Theory Spectrum*, *Music Analysis*, *Music Theory and Analysis* and *Music & Letters*. A recipient of the Westrup Prize for his work on Field's piano concerti, he has twice served as president of the Society for Music Analysis and is currently the Society's Vice-President. He is now writing *The Symphony: A History* for Cambridge University Press and is engaged in research projects surveying nineteenth-century sonata practice with Steven Vande Moortele, Benedict Taylor and Peter H. Smith.

Doctor of Music **Inkeri Jaakkola** completed her studies at the Sibelius Academy of the University of the Arts Helsinki. Her doctoral dissertation *Beneath the Laurel Tree: Text-Music Relationships in Paavo Heininen's Opera Silkkirumpu (The Damask Drum), op. 45* was published in 2020. Jaakkola's scholarly interest focuses on music analysis and on interdisciplinary studies combining approaches of various arts and research fields. Jaakkola works as a permanent Lecturer of Music Theory at the Sibelius Academy. In addition, she is a composer, and her works are available either published or in the Music Finland Sheet Music Library.

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Thomas H. Kirkegaard holds a PhD in musicology and is currently postdoc at Aarhus University. His PhD dissertation focused on Schenkerian and post-Riemannian traditions of music theory and analysis, and his research extends to the history of Scandinavian music theory, Danish women composers at the *fin de siècle*, and Danish singing culture. He has been awarded the Patricia Carpenter Emerging Scholar Award (2018) and is the author of the first-ever monograph on the Danish composer Tekla Griebel Wandall (2022). Additionally, he serves as editor-in-chief on the publication series *Danish Classical Music* which aims to publish modern, practical-scholarly editions of sheet music by Danish women composers whose works have remained hidden in various archives until now.

Daphne Leong's work, which focuses on rhythm, relations between analysis and performance, and music since 1900, appears in her book, *Performing Knowledge: 20th-Century Music in Analysis and Performance* (Oxford University Press); in journals such as *Journal of Music Theory*, *Perspectives of New Music*, and *Music Theory Online*; and in edited collections. Leong is an active pianist and chamber musician, whose performances and recordings include premieres of current music. She has held residencies at such institutions as the Sibelius Academy (Finland) and McGill University (Canada), and spearheaded two international conferences on "Rhythm in Music since 1900," featuring leading performers and scholars as keynotes. Leong is the recipient of the Excellence in Teaching Award of the University of Colorado Boulder, where she is Professor of Music Theory.

Markus Mantere is Professor of Music History at Sibelius Academy. His current research interests include the intellectual history of academic music research in Scandinavia, the history of piano in Finland, as well as music and critical theory. During the academic year 2024–

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Cecilia Oinas is a Lecturer of Music Theory, music scholar and classically trained pianist from the University of the Arts Helsinki Sibelius Academy. Her research focuses on music analysis, performance, various modes of communication, and performativity in chamber music. Between 2018-2019 she worked as a post doc/senior scientist at the University of Music and Performing Arts Graz. She has also been a visiting scholar at the Orpheus Institute in Ghent (2011) and at the CUNY Graduate Center in New York (2009). Dr Oinas has published peer-reviewed articles in *Music Theory Online*, *Music & Practice*, *SMT-V*, and *Music Performance Research* and actively given presentations and lecture recitals on analysis and performance interaction in various seminars, colloquiums, and conferences throughout Europe and US, and Asia.

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Anna Pulkkis (b. 1977) studied music theory, piano, and recorder at the Sibelius Academy in Helsinki. She graduated as Master of Music in 2005 and as Doctor of Music in 2014. The title of her music-analytical doctoral dissertation is *Alternatives to Monotony in Jean Sibelius's Solo Songs*. Since 2006, Pulkkis has worked as an editor on the Jean Sibelius Works complete critical edition project at the National Library of Finland. Her publications in the JSW series include five volumes of piano and chamber music. She is also a freelance music writer and a singer in the Helsinki Music Centre Choir.

Timo Virtanen completed his doctoral (DMus) studies at the Sibelius Academy with a dissertation on Jean Sibelius's Third Symphony in

2005. He joined the editorial staff of the complete critical edition *Jean Sibelius Works (JSW)* in 1997, and since 2004 he has worked as the editor-in-chief in the project in the National Library of Finland. Virtanen has been appointed as Docent (adjunct professor) of music philology at the Sibelius Academy, where he also teaches music history. In the series of Sibelius's collected works, he has edited Symphonies Nos. 1 and 3, the two versions of the Violin Concerto, and other orchestral works. His edition of Symphony No. 5 (1915 and 1919 versions, two volumes) is forthcoming in 2025 and 2026.

Olli Väisälä (born 1964) studied music theory, composition, and piano at the Sibelius Academy, earning his doctorate in 2004 with the dissertation *Prolongation in Early Post-Tonal Music: Analytical Examples and Theoretical Principles*. He has taught music theory and analysis at the Sibelius Academy since 1992. Väisälä has published various theoretical and analytical papers in international and Finnish journals and anthologies, analyzing music, e.g., by Bach, Sibelius, Debussy, and Schoenberg. Apart from post-tonal prolongation, his theoretical work has focused on the evidential basis of Schenkerian theory and analysis.

Sakari Ylivuori received his doctorate from the Sibelius Academy in 2013 (the title of the dissertation: *Jean Sibelius's Works for Mixed Choir. A Source Study*). Ylivuori works as an editor in the complete critical edition *Jean Sibelius Works* in the National Library of Finland. Ylivuori's main research interest lies in the Finnish choral music of the 19th century. In 2024 he published *Värföreningin lauluja* containing the songs of the first Finnish female choir in critical edition. Ylivuori also works as a singer and choir conductor and writes for several magazines.

L. Poundie Burstein
**“But First, I’ll Have a Snack!”:
Beethoven’s Inter-movement Finale Parodies**

At times, underlying connections between two separate movements within a multi-movement work are so strong that the movements seem to comment upon one another. Particularly fascinating instances of this may be found in various works by Ludwig van Beethoven in which important features of a sober opening movement are revisited in a jocular manner within the finale. Such a maneuver often yields what may be regarded as an ironic narrative structure, as serious elements within the first movement seem turned on their head within the last movement. This essay explores the theoretical underpinnings of such a strategy and analyzes examples of this scheme as witnessed in Beethoven’s String Quintet op. 29, Piano Sonata op. 10/3, and Trio op. 11.

Jonathan Dunsby
To be a Saint: Domenico Scarlatti’s K. 87

Scarlatti’s Sonata in B minor, K.87, for keyboard, composed we know not when in his lifetime, has fascinated performers and theorists in the last century or so. Popularized above all by Vladimir Horowitz, it has been commercially recorded many dozens of times, mostly on piano. The slowest recorded performances are, strange as it might seem, at about 50% of the tempo of the fastest ones. Yet that is only one of the many mysteries about its affordances. Mystery was indeed the underlying trope of José Saramago’s 1987 portrayal of Scarlatti himself, in a typically playful fictional scenario to which my title refers. Factual and interpretive questions arise about the entire genre of “sonata” in Scarlatti. General and largely still unanswered questions, posed in W. Dean Sutcliffe’s mighty 2003 monograph about all Scarlatti’s sonatas, undermine the long-standing mythologies about this repertoire, such

as whether Scarlatti played his own works as a young virtuoso, which is the impression often given in the Scarlatti literature; or whether, as is so often suggested, they were ever performed at all in the Spanish court and, if so, where, when, and by whom.

In this study, I explore and develop that historiographical backdrop. The exploration inflects my analysis of the compositional features of K.87, such as its motivic saturation with a figure evoking the “lament” bass; its stylistic mix of the quasi sacred and profane, the first half’s learnedly extended primary tone (in Schenkerian jargon) dissolving into a quasi-fandango; and formal sophistication, for instance in the second half’s steady move through the prolonged stages of a fundamental line supported by a pre-dominant bass arpeggiation (more jargon). The lesson is to strip down centuries of historiography to the nearest we can come to musical fact, to build a music-analytical interpretation in the resulting healthy atmosphere, however thin it may be. Theory, we conclude, can thrive best in the snatched oxygen of historical validity.

Robert S. Hatten

**Texture as Premise in Haydn: Developing Variation of Thematic
Texture in the First Movement of the Piano Sonata in C Major
(1794/5)**

The main theme from the first movement of Haydn’s late Piano Sonata in C Major (Hob. XVI/50; Landon no. 60, 1794/95) appears to be conceived with a focus on its textural evolution. Melody and harmony are initially merged through the splaying of the opening melodic line into chordal outlining. But the initial solo line quickly acquires a *galant* accompaniment with a hint of learned dialogue, as provided by a broken-octave, pedal point response from the end of m. 1. The staccato hocketing between the hands thus supports a division into two motivic strands. With subsequent imitation of a broken interval in mm. 3–4, each strand also reveals a compound-line contrapuntal structure, sug-

gesting a four-voice broken texture. The texture further thickens with slurs, then parallel thirds, and finally parallel sixths.

This progressively enhanced, *galant* texture features an interaction of voices that has been *thematized* from the start. The ongoing textural development works alongside motivic developing variation to create an expressively dramatic discourse in an otherwise monothematic sonata. For example, this theme in the second key area features textural inversion (mm. 20ff.) and thickening in thirds (mm. 30ff.). Remarkably, the thematic texture also receives reverberant blurring in the development section, with the instruction to play with open pedal for two bars (mm. 73–74). The recapitulation (m. 108) features both massive chordal doubling and embellished responses; and the pianissimo resolution of the second key area to tonic (m. 120) returns, now with four measures of open-pedal blurring, featuring a mirror-hocketing, contrapuntal texture above the theme in the bass. This moment of textural *plenitude* (Hatten 2004) may also be interpreted as fulfilling the structural *premise* of *textural developing variation*. Charles Rosen (1995, 16) describes Haydn's progression from dry to ultimately saturated sonority, but I will argue that the invention is fundamentally a textural one.

Julian Horton

Bruckner, the New *Formenlehre* and the Problem of Cadence

Following on from an aspect of sonata-type composition that Lauri Suurpää has explored in Haydn's music, this essay examines Bruckner's treatment of cadences in the first-movement expositions of his eleven symphonies, comparing it with the paradigms offered for classical expositions in William Caplin's form-functional theory and the sonata theory of James Hepokoski and Warren Darcy. I chart the development of Bruckner's practice, from the more conventional deployment of perfect authentic cadences in the earlier symphonies, through the techniques of replacing or deferring cadential closure with which Bruckner began to experiment from the first version of the Symphony

No. 3, composed in 1873. I employ the evidence of this survey to adjudicate the longstanding question of whether Bruckner composes three themes in his expositions, in tandem with addressing terminological problems in the analysis of closure in nineteenth-century sonata forms.

Inkeri Jaakkola

**Stylistic Conventions and Individual Fingerprints in
Erik Tulindberg's String Quartets op. 1 and op. 2**

This article concerns the String Quartets of Erik Tulindberg (1761–1814), who was the first known Finnish composer. Tulindberg was musically active primarily in the late 1770s and early 1780s, when he was studying at the Royal Academy of Turku. He was respected as a skilful violinist, cellist and a chamber musician, playing in the Academy's orchestra on ceremonial occasions and giving public concerts. Tulindberg's large personal archive, which includes 44 items of chamber music, concertos, symphonies and operatic scenes, is a fruitful source of information about his repertoire and about the cultural life in Turku.

Tulindberg's compositional oeuvre consists of two Violin Concertos, six String Quartets and a few works for solo violin. The handwritten copies of the parts for String Quartets op. 1 (nos. 1–3) and op. 2 (nos. 4–6) were found in the archives of Helsinki University in 1925, but the part for the second violin is still missing. Performances of the string quartets are thus based on various reconstructions, the latest of them being Anssi Mattila's complete edition of scores and parts, published by Fennica Gehrman in 2023.

In this article the corpus of Tulindberg's string quartets is approached from two perspectives, namely the conventions and stylistic constraints of the late eighteenth century on the one hand, and Tulindberg's recurrent choices, "fingerprints" that become attributes of his personal style, on the other. The quartets are compared with works that originate in the same period and reside in his archive; meaning,

with works that he assumingly had studied and performed. After giving a brief overview of the works and their structures, I focus on 1) the expositional strategies in the opening movements; 2) specific harmonic practices; 3) the expressive means such as topics and textural features. The theoretical framework includes writings that focus specifically on describing the compositional strategies used in early Classical and high Classical styles, the authors including James Hepokoski and Warren Darcy, Graham Hunt, William Caplin, Poundie Burstein and Danuta Mirka, among others.

The examination affirms that Tulindberg adopted commonly used strategies and main expressive means of the Classical style. However, as attributes of his personal musical language appear traits such as frequent use of minor mode dominant in his three-key expositions, constant use of extended modal mixture, enthusiasm for a varied rondo-form and frequent violoncello solos in the upper register. Although the String Quartets are conventional in structure, comprising four movements, each one is individual in its construction, as if showing the composer's willingness to experiment with various ideas and inventions. The stylistic correspondences between his works and those of composers such as Joseph Haydn, Luigi Boccherini and Ignace Pleyel in his archive show his thorough understanding of the music written by his contemporaries.

Mieko Kanno

Drift, and the Aging of New Music

This essay undertakes historical analysis of the performance practice of new music, and studies how new music ages. I apply the concept of drift, informed by Michael Gallagher's use of the term, to the works of contemporary art music, and formulate a theoretical framework for how the works that have appeared with singular novelty transform themselves following the premieres. In particular, I focus on how participant action affects our enjoyment and understanding of a musical

work, and how the cumulative effect of such actions causes drift in the nature of the work. Two works from the latter part of the twentieth century are examined as case studies, *Fratres* (1978) by Arvo Pärt and *La lontananza* (1989) by Luigi Nono. *Fratres* has been disseminated widely and has become a staple repertoire item in classical music concerts, while its post-composition history also shows unusual features that have propelled its drift. *La lontananza*, on the other hand, contains a different variety of drift. In addition to showing drift within the musical work, I explain how the work has attracted a series of violinists and sound projectionists who produced further drift and influenced how we know and enjoy the work today. In each case study I trace qualities that have changed since the composition by examining how people have participated in and contributed to the regeneration of the musical work through their actions, and how the musical work has consequently been affected and transformed itself over time. These observations lead me to suggest that drift is part of a necessary passage for the aging of contemporary art music, and that musical work becomes a site for it.

Thomas H. Kirkegaard

**Tonal Irony in Tekla Griebel Wandall's
*Saphire sind die Augen dein***

The Danish composer Tekla Griebel Wandall (1866–1940) achieved remarkable success in the 1890s but faded into almost complete oblivion already during her own lifetime. In this article, I analyze her fascinating setting of Heinrich Heine's *Saphire sind die Augen dein* (1901). Advocating for a methodologically pluralistic approach, I begin by disentangling the Schenkerian and Riemannian concepts of *Stufen* and functions. I argue that these concepts are not irreconcilable but instead operate on distinct temporal strata, both integral to music and thus analytically compatible.

Next, I discuss Heinrich Heine's poem in the light of Romantic irony and his characteristic *Stimmungsbruch* ("breaking of the mood"): What

initially appears to be a love poem expressing desire for a sapphire-eyed woman transforms into a murder fantasy directed at the man she loves. Inspired by Lauri Suurpää (2014), I discuss the Greimasian structure that underlies the poem, and the irony that emerges when the true object of desire is revealed to be a different one than expected.

Subsequently, I analyze Tekla Griebel Wandall's setting in a combined Schenkerian-Riemannian perspective. The analysis proposes that Tekla Griebel Wandall's setting musically interprets Heine's Romantic irony in two ways: First, she *translates* the poem's ironic narrative into a musical narrative, where tonal desire is violently disrupted in a way that mirrors the Greimasian structure of the text. Second, she *transfers* the irony to the tonal realm by charging the tonic *Stufe* (representing the musico-poetic subject) with non-tonic *function* (representing the subject's unsta- bleness and desire). By redirecting attention away from the immediate surprise of the *Stimmungsbruch*—the revelation of the unexpected object of desire—towards the subject's internalized and delirious yearning, Tekla Griebel Wandall deepens the Romantic irony of the piece.

Daphne Leong

A Metric Puzzle in Sibelius's Violin Concerto

The lyrical second theme in the first movement of Sibelius's Violin Concerto presents a metric conundrum: it is notated and barred in two distinct ways. One measure of 6/4 in the exposition corresponds to two measures of 2/2 in the recapitulation. This essay explores the meaning of the metric distinction, considering Sibelius's sketches, 1904 and 1905 versions of the concerto, and correspondence; performances, performers' commentary, and performing editions; and form and metric ground, tempo and sense of time, and elements of resolution. A shift in metric ground, change in the way tempo is slowed down, and homecomings in key, rhythm, and instrumental color all point to a recapitulatory second theme that flows differently—more spaci- ously and freely—than its expository twin.

Markus Mantere
**Heinrich Schenkerin vaikutus suomalaiseseen
 musiikintutkimukseen**

Heinrich Schenkerin (1868–1935) musiikinteoria ja analyysimetodi on vakiinnuttanut suomalaisessa musiikinteoriassa asemansa pääosin 1990-luvulta lähtien, mutta myös joitain aiempia esimerkkejä hänen vaikutuksestaan on löydettävissä, muiden muassa Olavi Ingmanin ja Olavi Kaukon väitöskirjoissa 1950-luvulla. Kumpikin heistä tunsi Schenkerin musiikillista ajattelua ja viittasi siihen väitöskirjoissaan.

Schenker-analyysin valtavirta tuli Suomeen kuitenkin Pohjois-Amerikasta ja tämän indoktrinaatioprosessin opillinen pääpaino nähtiin analyysimetodissa, ei niinkään Schenkerin ajattelun filosofisissa ja kulttuurihistoriallisissa aspekteissa. Tässä mielessä suomalainen Schenker-reseptio muistuttaa amerikkalaisen Schenker-tradition rakentumista 1970-luvulla, jolloin hänen kirjoituksiaan alkoi vähitellen olla saatavilla englanninkielisinä käännöksinä.

Tässä artikkelissa tarkastelen Schenker-analyysin näkyvyyttä suomalaisissa musiikinteorian väitöskirjoissa. Lopuksi esitän, että myös Schenkerin ajattelun filosofisia ja aatehistoriallisia aspekteja tulisi tutkimuksessa huomioida aiempaa enemmän. Tämä palvelisi sekä suomalaisen musiikintutkimuksen oppihistoriallista tarkastelua että myös itse musiikinteorian tietoteoriaa.

Cecilia Oinas

**Beethoven's Performative Past: A Case Study on Interpreting the
 Editions of the Piano Sonata in G major op. 14 no. 2**

In this brief analytical vignette, I discuss the ways in which performance and performativity in Beethoven's music have been discussed in theoretical literature over the years. As a case study, I shall compare editorial markings in the opening phrase of Beethoven's G major Piano Sonata op. 14 no. 2, originally published in 1799. The motivation for

making this comparison comes from a simple question: that is, given all the information about Beethoven that we can so easily access nowadays, have we achieved more variety in performing his music—and by extension of any of the other “classics” that are part of the standard repertoire in concert halls? The article suggests that by looking at different editorial interpretations we can widen our performance choices and come closer to interpretative questions that concerned the generation immediately after Beethoven.

Juha Ojala

**Indications of Performer’s Semiotic Space:
Pianists on *The Spruce* op. 75 no. 5 by Jean Sibelius**

This article is a case study on how pianists shape time in the piano miniature “The Spruce” op. 75 no. 5 by Jean Sibelius. The three pianists and their audio recordings are Izumi Tateno (1971), Marita Viitasalo (1993) and Eero Heinonen (2015). The data comprises of the temporal onset data extracted from the CD recordings. The analysis focuses on the temporal shaping in the patterning and de-patterning of Sibelius’s texture.

The performance data reveals individual decisions and tendencies in the temporal shaping, and a joint strategy—deliberate or not—analogue to a general modeling of natural growth. The strategy manifests in the S-shaped forms of the *event curves* in patterns and in sections. The tendency of temporal arch profiles is not surprising. However, it is only partly explicit in composer’s instructions, and partly interpreted from codings of timbre, harmony, and other domains into the time domain.

Composers’ instructions necessarily underdetermine the delivery of the work to the listener—unless the performer is removed from the communication model of Western art music. Consequently, if the analysts’ task is to analyse the delivered, experienced work rather than the underdetermined instructions, input from the performers or performances seems warranted.

Based on the analysis of the 1442 onset data points here, much of the musical narrative in this case operates with juxtapositions of stability and instability, permanence and volatility, and stature and other characteristics that afford to be interpreted as representations of “spruce-ness”. However, touching upon the question of “purely musical logic” vs. the programmatic in Sibelius’s music, the narrative may even be revealed as descriptive, even naïve, linear depiction of programmatic nature.

A future study incorporating structural and topical analysis and more performance data could further address how the blendings of the perceived features might function as representations—as metaphors of our experience—of spruces, forests, nature, culture, and our sustainable relationships with them.

Anna Pulkkis

**“Ich hab’ im Traum geweinet” by Schumann and Bronsart:
Dreams of Reality and Illusion**

This article examines from a music-analytical perspective the relation between music and text in two settings of Heinrich Heine’s poem “Ich hab’ im Traum geweinet,” those of Robert Schumann and Ingeborg von Bronsart. Schumann’s setting belongs to the song cycle *Dichterliebe*, which he completed in 1840, whereas Bronsart’s “Ich hab’ im Traum geweinet” appeared in print in the early 1870s as the last in a collection of three songs.

My analysis highlights harmonic, motivic, and voice-leading features in the music, viewing them against a Schenkerian backdrop. Further, I discuss the ways in which these selected features interact with the contents of Heine’s poem, saturated with Romantic imagery of dream, love, and death. Lauri Suurpää’s book *Death in Winterreise: Musico-Poetic Associations in Schubert’s Song Cycle* (Bloomington: Indiana University Press, 2014) has provided inspiration for my approach regarding both methodology and interpretation.

The article brings together two musical works of different premises. Schumann's song belongs to the canon of Western art music, whereas Bronsart's song—and her entire oeuvre—is (re)claiming its place in the repertoire of performers as well as analysts. Pairing these songs gives rise to brief considerations about influences from Schumann to Bronsart, the role of biographical factors in the formation of these songs, and possible gender-related dimensions in the music-text relationship.

Timo Virtanen

Notes on Heinrich Schenker's Views on Notation and Editing

Although Heinrich Schenker's editions of music may not represent the best-known, most central or most fundamental part of his output—he published editions of some of C. P. E. Bach's keyboard works, J. S. Bach's chromatic fantasia and fugue, and all of Beethoven's piano sonatas—his work as an editor was far-reaching in its impact: he has been considered one of the pioneers of modern text-critical editing, if not the leading one.

In this article, the views Schenker held on notation and editing of music are examined. The starting point for this discussion is his late, sketchy and fragmentary treatise on the performance of music, *Die Kunst des Vortrags*, published in 2000 as an edition in English entitled *The Art of Performance*. Also, some of Schenker's music-analytical interpretations in relation to issues of notation and editing are discussed.

Olli Väisälä

Schenkeriläinen äänenkuljetus ja ”mekaaniset” operaatiot Bachin C-duuri-inventiossa

Kirjoitus tarkastelee toisaalta Bachin inventiota Schenker-analyysin valossa, toisaalta analyysin kriteereitä ja selitysvoimaa invention ha-

vainnollistamana. Luonnostellut analyysikriteerit eli rakenteen määrittämisen periaatteet perustuvat – kirjoittajan aiempien kirjoitusten tavoin – pitkälti sellaisiin *rakenteellisiksi indikaattoreiksi* kutsuttuihin hahmotustekijöihin kuin metri, muotoilu ja rekisteri. Näillä tekijöillä on hiukan erilaisin painoarvoin keskeinen merkitys sekä harmonisen hierarkian että sen kannattelemien ylä-äänikulkujen määrittämisessä. Tärkeä kysymys koskee sitä, missä määrin rakenteelliset indikaattorit eri rakennetasoilla tukevat Schenkerin teorian mukaisia hahmoja, erityisesti asteittaisia äänenkuljetuslinjoja, ja missä määrin teorialla siten on empiirisesti todennettavaa selitysvoimaa Bachin musiikille.

Kirjoitus tarkastelee tuota selitysvoimaa erityisesti suhteessa sellaisiin ”mekaanisiin” operaatioihin – Laurence Dreyfusin ilmaisua käyttäkseni – kuin materiaalin transponointiin ja kontrapunktisiin käännöksiin. Toisin kuin Dreyfus näyttää olettavan, ”mekanistinen” ja schenkeriläinen lähestymistapa eivät ole ristiriidassa keskenään, vaan niiden selitysvoimat pikemminkin täydentävät toisiaan. Invention avauksessa tahdin 1 materiaali toistuu transponoituna tahdissa 2, mutta tahtien 2 ja 3 pääiskujen sävelet (d^2 ja e^2) jäävät mekaanisten operaatioiden ulkopuolelle ja yhdessä avautahdin rekisterillisen päämäärän (c^2) kanssa muodostavat arkkityyppisen $\hat{1}-\hat{2}-\hat{3}$ -linjan I-V-I-rungon ylle. Laajemmissa yhteyksissä toinen taite perustuu pitkälti ensimmäisen taitteen kontrapunktiseen käännöksen, mutta erinäiset poikkeamat tarkasta mekaanisesta operaatiosta sekä sen ulkopuolinen materiaali selittyvät laajasti tavalla, jolla ne tukevat I-V-VI-harmoniarungon kannattelemaa $e^2-d^2-c^2$ -linjaa.

Vaikka näissä tapauksissa rakenteelliset indikaattorit tukevat melko suoraviivaisesti analyttisiä tulkintoja ja Schenkerin teoreettisia periaatteita, invention kokonaisrakenteelle ei vastaavaa tukea ole löydettävissä. Pääatöskadenssissa sijaitsevan rakenteellisen dominantin sekä sen tukeman $\hat{2}$ -ylä-äänisävelen asema perustuu pikemminkin *Ursatz*-mallin normatiivisuuteen kuin johonkin erityisesti havaittavaan musiikin piirteeseen. *Ursatzin* sävellyksellinen merkitys saa kuitenkin empiiristä vahvistusta tutkittaessa 15 invention muodostamaa laajempaa corpus-ta. Rakenteellisen dominantin sijainnissa ilmenee se kirjoituksessa *penultima-periaatteen* nimellä kuvattu yleisempi ilmiö, että tärkeään

päämääräsointuun johtava sointu saa usein sekin huomattavan rakenteellisen merkityksen. *Urlinie*-kulun asemesta päähuomio viimeisen taitteen analyysissä kohdistuu tahdissa 3 esitellyn inversiokuvion a-f-e-rungon toistumiseen eri rakennetasoilla, joten Schenker-analyysin kuvausvoima tässä tapauksessa koskee pikemminkin teoskohtaista motiivista erityispiirrettä kuin arkkityyppistä äänenkuljetuslinjaa.

Sakari Ylivuori

**A Hero Despite of His Flaws—the Narrative in
Sibelius's *Sandels* (op. 28)**

By deciding to set to music the epic poem *Sandels* by Johan Ludvig Runeberg (published in 1848), Sibelius chose to work with a subject-matter considered problematic by many. At the time, Runeberg's role as the national poet of Finland was undisputed, and his *Fänrik Ståls sägner* (The Tales of Ensign Stål) in which *Sandels* was included was an important part of the Finnish schools' curriculum, but the poem's main character was a center of a serious academic literary debate both in Finland and in Sweden. In my article, I will discuss the work's close text-music relationship by presenting a reading of Sibelius's narrative devise in the context of the academic literary debate of the late 19th and early 20th century. My contextualisation thus differs significantly from the primarily patriotic readings given by most the scholars writing about *Sandels* after the Second World War.

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Modern music theory scrutinizes its subject matter not only as pitches, rhythms, and structures. Instead, the narrativity, referentiality, and cultural context of music are all aspects of music’s ontology that link music theory to other disciplines within academic music research. The potential applications of music theory are very broad: the knowledge generated by music analysis is not only indispensable for editorial research, but also a natural part of the methodology of artistic research.

This research anthology celebrates Lauri Suurpää’s 25-year career as Professor of Music Theory at the Sibelius Academy.

The Festschrift brings together key research themes and theoretical perspectives in his work, including narrativity, New *Formenlehre* and Schenkerian analysis. The relationship of classical music to the world around it and the internal coherence and logic of music are key areas of Suurpää’s research, which the authors of this anthology address from their own perspectives. The articles cover the entire tonal period of instrumental and vocal music, from Scarlatti and J. S. Bach to Anton Bruckner and Jean Sibelius.



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