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ORGANICISM, MOTIVIC PARALLELISM, AND PERFORMANCE IN BEETHOVEN'S PIANO SONATA OP. 2 NO. 3

By

Hamish James Alexander Robb.

A thesis
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ABSTRACT

This thesis summarises the important ideologies and concepts of musical organicism in the late eighteenth century and applies them to motivic analysis and performance.

Much has been written about the organic nature of Beethoven's later works, but less has been written about the organic coherence found in his earlier compositions. This study involves a motivic analysis of his Op. 2 No. 3 sonata (1795), for which little or no significant research has been carried out. This musical work is used as an illustration of ways in which musical organicism, motivic analysis, and performance can interrelate.

The thesis is in three parts. Part one presents a review of late eighteenth-century ideologies of unity and their musical applications. In the search for an effective means of comparing motivic development with organicism, it is then argued that Schenker's 'motivic parallelism' or 'concealed repetition' is considerably undervalued in his analytical framework. Drawing on the insights of Richard Cohn, I endorse a more autonomous treatment of the motivic parallelism in analysis, so that it is an independent unifying tool in its own right and not only a by-product of tonal analysis. Several approaches are applied to the motivic parallelism in order to illustrate how the parallelism can be used in ways normally only associated with the surface motif.

Part two of the thesis consists of a detailed motivic analysis of Beethoven's Op. 2 No. 3 sonata. It is argued that the motivic parallelisms contained in this sonata reflect late eighteenth-century ideals of organicism. I propose that there are several motivic cells found in the opening four bars of the sonata, which recur (or are 'paralleled') within all structural levels and over all four movements, unifying the sonata organically as one whole. In this way, I show that the Op. 2 No. 3 sonata can be seen to foreshadow the organic treatment of motifs by later composers, who were influenced by Goethe's complex prototype (1802) as an organic model.[1] I also offer an 'organic narrative' for the sonata, using motivic parallelisms as the guiding forces in the discourse.

[1] The sonata can also be seen to foreshadow the highly seminal treatment of motifs that was to become more widely used in Beethoven's later works (such as the Eroica Symphony).

The third and final part relates the motivic parallelisms and other analytical findings to performance. Techniques of ‘performing’ motivic parallelisms are discussed and applied to the Op. 2 No. 3 sonata. The organic perspective is proposed as one avenue through which to understand and enhance a performance of a work.

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INTRODUCTION: ANALYSIS, UNITY, AND THE ORGANIC MODEL

This thesis is primarily a study of organicism. It might also be seen as a defence of musical analysis and of the technique of finding unities between different parts of a work. Since this approach has been widely questioned in recent musicological scholarship, it seems appropriate to begin by addressing some of these issues.

German organicists, such as Heinrich Schenker, have been criticised for their circular argument, which involves validating the Austro-German canon of tonal instrumental music through its inherent organicism, and validating organicism through its application to this select canon of works.[2] While Schenker unashamedly promoted anything German and organic, other analysts have been criticised for *not acknowledging* organicism as their ideology.[3] Like organicist analysts, however, other musicologists also have agendas. The agendas of new musicologists, for example, which are socially, racially, and politically motivated, might be seen to be more pronounced than those of the analysts. The difference, some new musicologists claim, is that in the past, analysts have taken their ideology (organicism) for granted.[4] Yet if this is true, then the exposure of this agenda should not necessarily question the validity of analysis today.

While Schenker and other organicists used their analyses and theoretical writings to promote this canon of works over other canons (atonal music, popular music, or jazz, for example), we shouldn't use this as a weapon against today's analysts. Comparing the level of organic unity in different musical styles leads to judgments of difference, but these

[2] For example, see Joseph Kerman, 'How We Got into Analysis, and How to Get out', *Critical Inquiry*, Vol. 7, No. 2, 1980, p. 315.

[3] Joseph Kerman was one of the major voices to argue that the concept of organicism has remained important to analysts well after its heyday and that the continued use of this ideology has remained unquestioned. He writes that 'organicism began to lead a charmed existence. The ideological resonance of organicism continued long past the time of its historical impetus'. (Kerman, 'How We Got into Analysis', p. 315). Interestingly, however, he never mentions the types of music in which organicism plays a lesser role. This point is raised in Reed J. Hoyt, 'In Defense of Music Analysis', *The Musical Quarterly*, Vol. 71, No. 1, 1985, pp. 45-6.

[4] Ironically, it could be argued that these same new musicologists also rely on traditional analytical concepts (not necessarily organicism) and that they *disguise* their methodology by placing emphasis on human or social meaning. Kofi Agawu points out how Susan McClary uses traditional analytical techniques in her interpretation of Beethoven. He writes: 'Rather than develop new methods for analysis, methods that are free from conventional biases … new musicologists often fall back on conventional methods. The props of

differences of nature need no longer connote differences of value, as they did with Schenker. It no longer has to be that, as Jim Samson puts it, 'music analysis proceeds from a premise…that objects of art share certain characteristics which define them as art and make them valuable to us'.[5] Likewise, it is no longer the case that, as Joseph Kerman wrote in 1980, 'analysis exists for the purpose of demonstrating organicism, and organicism exists for the purpose of validating a certain body of works of art'.[6] The analyst must realize that musical organicism arose from cultural and political influences of a specific era.[7] As Janet Levy has made clear, musical organicism has been used to display economy in music, and unity and economy have historically been set up as '*a priori*' values. To assume such values to be valid is to enter into controversial territory, since many might argue that diversity, variety and disunity are qualities of equal value to unity and economy.[8] The present thesis, therefore, aims not to make value judgments regarding Beethoven's piano sonata Op. 2 No. 3, but to illustrate the unity contained within it in order to help understand the work. Clearly, the ideologies prevalent at the time that a work was composed are not the *only* valid frameworks which give music its meaning to a modern-day listener. The argument - that once a work is completed and released to the public sphere, the author's intention is no longer important – is certainly valid. This argument would assert that today's listener, potentially having no knowledge of late eighteenth-century organicist theories, holds a modern-day view just as valid as one that tries to recreate the ideology of the time. One can not deny, however, the importance of historical aesthetic values which form the context of a work. As Carl Dahlhaus so bluntly puts it, 'aesthetic

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insight-formation are considered self-evident' (Kofi Agawu, 'Analysing Music under the New Musicological Regime', *Journal of Musicology*, Vol. 15, No. 3, 1997, p. 302).

[5] Jim Samson, 'Analysis in Context', in Nicholas Cook and Mark Everist (eds.), *Rethinking Music*, Oxford: Oxford University Press, 2001, p. 43.

[6] Joseph Kerman, 'How We Got into Analysis', p. 315.

[7] Part of recognizing the ideology that one is using involves an awareness of the vocabulary inherent in that ideology. One argument used against the organic model in music analysis is that the language involved in such analysis has become so widely learned, that the language itself affects the analyst's way of thinking. Ruth Solie points out that 'as linguists have been telling us…language is not merely reflective but actually constitutive of our awareness, constellations of language like that surrounding the figure of the organism tend to shape and control the observations of the analyst using them'. (Solie, 'The Living Work: Organicism and Musical Analysis', *19th Century Music*, Vol. 4, No. 2, 1980, p. 147). Janet Levy notes that the organic trope in music is engrained in today's society because 'the seed metaphor is sown early in music education'. (Janet M. Levy, 'Covert and Casual Values', p. 5). It is important therefore, that the analyst is aware of when and in what way he or she is using organicist terms.

[8] Janet Levy, 'Covert and Casual Values in Recent Writings about Music'. *The Journal of Musicology*, Vol. 5, No. 1, 1987, pp. 3-27.

autonomy is not merely a methodological principle which an historian is free to take or leave, but an historical fact that he has to accept'.[9]

Some musicologists criticize organicist analysts for being narrow-minded and blinded from the *real* subject-matter of music in their attempt to make works fit with organic models. Lydia Goehr, for example, believes that 'analysis has been designed not to treat different sorts of subject-matter, but rather to capture only the pure ontological character – the so-called "logic" – of any given phenomenon'.[10] This is a simplistic view, however. Firstly, analysts are not the only group of musicologists to base their work on a given model. As Dahlhaus points out, the biographical approach 'proceeds from the assumption that we cannot understand a piece of music without first having studied the life of its composer, which it was meant to express in musical form'.[11] The 'biographical method' is, as Dahlhaus points out, simply 'one variant of positivism'.[12] In fact, it is also based on organicist ideals. As James Webster notes, the organization of Beethoven's *oeuvre* into periods is based on the belief that the totality of his works constitutes an organic-like structure.[13]

Secondly, Goehr makes an assumption that the so-called 'logical' factor of a work is in opposition to the subject-matter of the work. Yet, as Lewis Lockwood points out, 'the "subject matter" of many of his [Beethoven's] instrumental works is virtually synonymous with their formal structures and emotional content'.[14] Dahlhaus observes that the logical

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[9] Carl Dahlhaus, *Foundations of Music History*, p. 28.
[10] Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music*, Oxford: Clarendon Press, 1992, p. 86.
[11] Dahlhaus, *Foundations of Music History*, trans. J. B. Robinson, Cambridge: Cambridge University Press, 1983, p. 26.
[12] Dahlhaus, *Foundations of Music History*, p. 26. This type of biographical method has also been criticised by Donald Francis Tovey, who argues that 'to study the lives of great artists is often a positive hindrance to the understanding of their works, for it is usually the study of what they have not mastered, and thus it undermines their authority in the things which they have mastered'. (Quoted in Lewis Lockwood, *Beethoven: The Music and the Life*, New York: W. W. Norton & Company, 2003, p. 17).
[13] James Webster, 'The Concept of Beethoven's "Early" Period in the Context of Periodizations in General', in Glenn Stanley (ed.), *Beethoven Forum 3, 1994*, London: University of Nebraska Press, 1994, p. 18. Webster also makes the comparison between the biographical method and the rhetorical model. He writes that 'almost all historical writing, including the "newest", remains organizationally and rhetorically dependent on plot and "stage narratives", that is, on periodizations…And of course, periodizations remain prominent in studies of individual composers'. (Webster, 'The Concept of Beethoven's "Early" Period', p. 5).
[14] Lewis Lockwood, *Beethoven: The Music and the Life*, New York: W. W. Norton and Company, 2003, p. 15.

factor (thematic-motivic work) of late eighteenth-century music 'is the compositional aspect of a process which appears in aesthetic terms to be the individualization of form'.[15] Thematic development was all the more important in the late eighteenth century since the public concert was becoming an established institution, and audiences needed a plan to follow in their listening. Dahlhaus notes that in order to justify listening to instrumental music 'for its own sake' (i.e. as an autonomous work in a concert setting), instrumental music was understood as 'tonal speech'.[16] Listening to the development of principal motifs in a work was one way in which listeners could interpret music in this manner. A motivic analysis of a work such as the Op. 2 No. 3 sonata illustrates formal and logical aspects which, along with hermeneutic interpretations, make up an important part of the work's 'subject-matter'.

Some musicologists, such as Ruth Subotnik, have promoted a 'moment-by-moment' type of listening, as opposed to structural listening which might involve listening for subcutaneous motivic parallelisms over wide spans of music. The argument generally used by such musicologists is that musical experience should be sensed as immediate and intimate. However, as Pieter van den Toorn points out, 'moments of aesthetic [and immediate] contemplation' are followed by 'periods of reflection, periods that yield an image of aesthetic pleasure, of that which is sensed and felt in immediacy. Reflection serves … to capture and sustain immediacy'.[17] This type of reflection might involve retrospectively associating earlier musical events with the musical events being heard at a particular time. To realize, for example, that the prominence of an earlier heard note or harmony forms part of a motivic enlargement helps sustain the sense of immediacy originally experienced with that earlier event. As van den Toorn writes, 'in the discovery and rediscovery of their [details'] significance in relation to an imagined whole … the relationship is sustained, a sense of immediacy renewed'.[18] Analysis can help renew immediacy in the same way. Van den Toorn points out that 'an extension of the reflective process, analysis, too, follows experience in an effort to sustain immediacy …. Reflection

[15] Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton, Cambridge: Cambridge University Press, 1987, p. 42.
[16] Dahlhaus, *Schoenberg and the New Music*, p. 221.
[17] Pieter van den Toorn, *Music, Politics, and the Academy*, Berkeley: University of California Press, 1995, p. 54.
[18] van den Toorn, *Music, Politics, and the Academy*, p. 55.

and analysis act to kindle and, if possible, intensify the aesthetic presence or "presentness" of a given work'.[19]

Analysis is often seen to serve the traditional concept of the work, in which the autonomous and definitive essence of the music supposedly lies in the score. Goehr writes that 'even the apparently harmless belief that all or many kinds of music can be spoken of in terms of works can serve as evidence for the inappropriate stance of analysis. Generally, it seems not to have occurred to theorists (at least until recently) that the work-concept might not function in all musical practices of whatever sort'.[20] The year of composition of the Op. 2 No. 3 sonata, 1795, is right on the brink of the move to what modernist scholars would later term 'musical autonomy'. This consisted of the writing of autonomous *works* - the composing of music for its own sake rather than for specific social, courtly or ecclesiastical occasions. Goehr dates the shift around 1800, and notes that Beethoven was the paradigmatic composer in this respect, demanding creative and artistic autonomy and freedom.[21] Seeing the Op. 2 No. 3 sonata as an autonomous artwork might give credence to an organic analysis of the work. However, Jim Samson argues that even though the ideology of organicism was linked to that of aesthetic autonomy, analysis can still be useful within a revised conception of the work, in which the essence of the music is seen to be embodied to a large extent in performance.[22] As the third part of this thesis will show, analysis and performance can effectively inform each other in a bi-directional discourse. Indeed, one often finds that performance knowledge – including that of historical performance practice techniques, and more general 'instinctive knowledge' – supports analytical findings. Within a revised conception of the work, analysis remains one important aspect of knowledge, which can inform and be informed by performance knowledge. Goehr's rigid association of analysis with only the autonomous conception of the work is thus limiting and unfair on analysts.

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[19] van den Toorn, *Music, Politics, and the Academy*, p. 55.
[20] Goehr, *The Imaginary Museum of Musical Works*, p. 79.
[21] Goehr, *The Imaginary Museum of Musical Works*, p. 207. In his move to Vienna in 1792, Beethoven broke with his ecclesiastical ties, and even though he received patronage from Prince Karl Lichnowsky, the relationship to the prince was by no means a traditional one. Prince Lichnowsky treated Beethoven as an equal, acknowledged his creative genius, and encouraged his artistic freedom. Between the years of 1795 and 1798, Beethoven gave no less than ten concert performances in Vienna. In 1796 he made a tour of northern Germany, and by 1799, Beethoven's works were being published by five publishing companies (Maynard Solomon, *Beethoven*, New York: Schirmer Books, 1998, pp. 77-87).

What might be a reasonable compromise between the different approaches of formalist analysts and new musicologists? It seems fair to say that if analysis is to be respected, it must take into account the historical context surrounding the creation of the work. Dahlhaus discusses this issue in relation to the analytical and 'socio-historical' schools, and notes that 'it is unlikely that this reconciliation [of the two approaches] will ever take place unless an interpretation arises that allows us to see the place of an individual work in history by revealing the history contained within the work itself'.[23] I argue that this is precisely what an organicist analysis of a late eighteenth-century work can achieve. It would be incredible to suggest that music itself, particularly music that embodies aesthetic ideals of its time, does not form a major part of music history. As Dahlhaus writes, the 'socio-historical' school's attacks against analysts' work 'generally fall short of the mark'.[24] He makes the seemingly obvious point that 'it is quite defensible in methodological terms for us to isolate an object so long as we do not question the reality of the connections from which it has been extracted'.[25] Indeed, this current thesis, like any analytical study should, goes to great lengths to establish those historical and philosophical connections applicable to the work being analysed.

The power of analysis is in its treatment of the music itself. Scott Burnham argues that with music theory, 'music can act, viably, as a description of itself',[26] since 'the thing doing the describing is also the thing described'.[27] Burnham is thus echoing Hegel's belief that 'the keynote of Romantic art is *musical*',[28] since 'music is emancipated from external reference'.[29] Burnham continues:

> If we wish to grant music the power to speak of other things, we inherently need to understand music as music, as an autonomous voice: we couldn't reasonably expect something without its own voice to comment on anything…The case for music's autonomy is not simply the default result of its lack of definable moorings

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[22] Samson, 'Analysis in Context', p. 39.
[23] Dahlhaus, *Foundations of Music History*, p. 29.
[24] Dahlhaus, *Foundations of Music History*, p. 27.
[25] Dahlhaus, *Foundations of Music History*, p. 27.
[26] Scott Burnham, 'Theorists and "The Music Itself"', *The Journal of Musicology*, Vol. 15, No. 3, 1997, p. 319.
[27] Burnham, 'Theorists and "The Music Itself"', p. 325.
[28] Quoted in Andy Hamilton, *Aesthetics & Music*, London: Continuum International, 2007, p. 74.

in the world of referential denotation; rather, any claim about music meaning something presupposes that it has its own voice. In short, precisely because music is musical it can speak to us of things that are not strictly musical.[30]

Burnham's point that music theory and analysis very precisely aim to understand music's own 'voice' and let it speak for itself is an important one in analysing a late eighteenth-century instrumental work, since along with the aesthetic of autonomy came an important change in musical appreciation. Namely, absolute or instrumental music came to be valued over vocal music, as it was seen to be able to transcend the phenomenal world and unite the listener with a higher reality.[31] No longer did philosophers and composers follow Rousseau's aesthetic philosophy which specified that music best expresses the *idée* through words. As Dahlhaus remarks, 'if instrumental music had been a "pleasant noise" *beneath* language to the common-sense estheticians of the eighteenth century, then the romantic metaphysics of art declared it a language *above* language'.[32]

Van den Toorn summarises these ideas in observing that the general musical aesthetic of the late eighteenth century 'stressed the indefiniteness of musical expression, music's appeal to the infinite, and, paradoxically, to the inexpressible' and that 'inner and outer worlds were joined in a unity of experience'.[33] Hanslick takes this view of absolute music one step further. Not only does he agree with the idea of 'music being musical' and being inexplicably connected to its own techniques, but he also believes, as Hamilton points out, that 'music is fully autonomous and self-referential and cannot express feelings such as joy

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[29] Hamilton, *Aesthetics & Music*, p. 74.
[30] Burnham, 'Theorists and "The Music Itself"', p. 326.
[31] This was the perspective of most German philosophers and musicians of the German high-art tradition. There were, of course, many composers who continued to esteem opera more highly than instrumental music, particularly French and Italian composers. This is one reason why Beethoven's reception in France was initially unfavourable. (For a detailed discussion on this subject, see Leo Schrade, *Beethoven in France: The Growth of an Idea*, New Haven: Yale University Press, 1942).
[32] Carl Dahlhaus, *The Idea of Absolute Music*, trans. R. Lustig, Chicago: Chicago University Press, 1989, p. 9. It should be remembered, however, that romantic poetry (which clearly involves language) was *also* seen to be indefinable and have transcendent powers. As Abigail Chantler points out, Friedrich Schlegel believed that '"words often understand themselves better than do those who use them"…[This] underpinned his conception of 'romantic poetry', not as a specific literary genre, but as an expression of spirituality which "embraces everything that is purely poetic" and the meaning of which "should forever be becoming and never be perfected"'. (Abigail Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', *International Review of the Aesthetics and Sociology of Music*, Vol. 33, No. 1, 2002, p. 6).
[33] Van den Toorn, *Music, Politics, and the Academy*, pp. 3-4.

or grief even indefinitely or in the abstract'.[34] He does, however, believe that *listeners* can experience such emotions, but that these emotions are felt through association with life experiences; the music itself does not convey emotion.[35] As Nicholas Cook summarises, Hanslick believes 'that music is highly ineffective as a means of conveying emotion, but what it *does* convey is nuance. Or even more succinctly: music conveys not unnuanced emotion but emotionless nuance'.[36] This is slightly different from the view of Hegel, Marx, Dahlhaus, and Burnham, who believe very deeply in music's ability to express emotions (often of a high order), but who doubt the feasibility of translating music into specific human meaning.

Dahlhaus observes that the concept of absolute music grew out of the *empfindsam* aesthetics of music of the 1780s, and became firmly established in the 1790s with spiritual discussion of music.[37] Christian Gottfried Körner, a respected musicologist and close friend of Schiller, stated in 1795 that 'the objective towards which music moves does not…symbolize anything in the visible world. It symbolizes the unknown something … the external world in its entirety'.[38] In 1798 Schlegel wrote that music should 'be regarded less as a representational art than as philosophical language'.[39] Certain qualities that absolute music was seen to represent, such as the longing and striving for the infinite and the transcendental, were also being expressed in literature of the time.[40]

Analysis can effectively help in offering various interpretations of absolute music. As van den Toorn writes, 'why should we trust a facility of words, poetic expression, or socio-

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[34] Quoted in Hamilton, *Aesthetics & Music*, p. 81.
[35] Nicholas Cook quotes Hanslick: 'Love cannot be thought without the representation of a beloved person, without desire and striving after felicity, glorification and possession of a particular object. Not some kind of mere mental agitation, but its conceptual core, its real, historical content, specifies this feeling of love….Music can only express the various accompanying adjectives and never the substantive, e.g., love itself'. (Nicholas Cook, 'Theorizing Musical Meaning', *Music Theory Spectrum*, Vol. 23, No. 2, 2001, p. 180).
[36] Nicholas Cook, 'Theorizing Musical Meaning', p. 180.
[37] Dahlhaus, *The Idea of Absolute Music*, pp. 61-2.
[38] Christian Gottfried Korner, 'Ueber Charakterdarstellung in der Musik', in Peter le Huray and James Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, p. 238.
[39] Quoted in Andrew Bowie, 'German Idealism and the Arts', in Karl Ameriks (ed.), *The Cambridge Companion to German Idealism*, Cambridge: Cambridge University Press, 2000, p. 242.
[40] The character of *Faust* in Goethe's closet drama displays such traits in the first published installment of the play in 1790.

political comment rather than the methods of music theory and analysis, methods presumably more germane to the matter at hand'?[41] Indeed, musical unity was seen as one means through which a composer could express a work's unification with eternity or infinite. If music was to symbolize 'the external world in its entirety', as Körner puts it, then all the diverse musical elements in a work were to function as an expression of one larger whole. Dahlhaus notes that musical form in the early nineteenth century was understood as an objectification of spirituality.[42] As we will see in part one of this thesis, musical unity in the late eighteenth century was already seen to represent God's divine and universal network. Intramusical connections, only realizable via analysis, are therefore important if we want to understand music in the same way that these late-eighteenth century writers did. Even in E. T. A. Hoffman's famous 1810 review of Beethoven's fifth symphony, which is often cited for its hermeneutic approach, the main concern remains with the organic links between themes and movements. The work's structural unity is discussed in terms of thematic relationships, and hermeneutic interpretations remain mystical and vague. Hoffman talks of 'the realm of the infinite', 'an unknown realm'.[43] In Dahlhaus's words, Hoffman's 'hermeneutic model … in no way ... was imposed upon musical thought "from without". More to the point, it served to "give voice" to something that would otherwise have remained mute'.[44] Hoffmann's awareness of thematic references in and between movements helps channel his hermeneutic representations of the music. Chantler points to 'Hoffmann's identification of the opening four-note "fate" motive … out of which the symphony develops into an organically unified structure'.[45] She points out that for Hoffman, the organic unity contained in the Symphony represents both Beethoven's 'rational awareness' and his divine inspiration and yearning. More importantly, she writes that 'Hoffmann viewed the organic unity of a work as the source of its metaphysical meaning….The organic unity of an art work represented a tangible embodiment of the

[41] Van den Toorn, *Music, Politics, and the Academy*, p. 1.
[42] Carl Dahlhaus, 'Some Models of Unity in Musical Form', *Journal of Music Theory*, Vol. 19, No. 1, 1975, pp. 4-5.
[43] Quoted in Ian Bent, 'Plato-Beethoven: a hermeneutics for nineteenth-century music?', in Ian Bent (ed.), *Music Theory in the Age of Romanticism*, Cambridge: Cambridge University Press, 1996, p. 118.
[44] Dahlhaus, *The Idea of Absolute Music*, p. 57. Chantler echoes this point, when she stresses that Hoffman's aim was not to decipher the definitive meaning of Beethoven's Fifth Symphony but rather to 'enable the listener to actively engage with the composer of genius's "infinite yearning"'. (Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 11).
[45] Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 12.

kinship between art and nature'.[46] Clearly, organic unity is vital to Hoffman's understanding of absolute music. As Mark Evan Bonds writes, 'for Hoffman, the relationship of parts within a whole is a matter not merely of artistic economy, or even of artistic coherence, but of a striving toward the Absolute, for only through an all-embracing whole in which every element plays an essential function can the nondifference of opposites be realized'.[47]

My motivic analysis of the Op. 2 No. 3 sonata will suggest an interpretation based on an 'organic narrative'. With music of the enlightenment period and the nineteenth century, which aimed to find resonance with the noumenal, rather than the phenomenal world, drawing parallels between analytical findings and hermeneutic significance can be, as Lockwood writes, 'a distant and elusive task'.[48] Nevertheless, an analysis can offer *one* interpretation.

Although music can never be fully explained, we can attempt to assign values, emotions and concepts to it. This is where new musicology can be particularly effective. It attempts to make music of all ages meaningful to today's listener through a variety of approaches and through the use of social, political, and racial dialogue. Metaphors used to describe music include, amongst others, those of gender and sexuality. The analyst might well argue, however, that the organic metaphor is in no way less compelling than these two metaphors. All three are 'natural' and universally comprehensible. Furthermore, some of the metaphors that new musicologists use are ones that were also used in the nineteenth century. Sonata form as gendered discourse, for example, is a concept that has its roots in nineteenth-century theorists' descriptions of sonata form, such as Marx's description of 1845.[49] It appears that a small number of new musicologists take up these older descriptions of gender in sonata form in their work because they are intriguing and appealing to a wide

[46] Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 21.
[47] Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven*, Princeton: Princeton University Press, 2006, p. 56.
[48] Lockwood, *Beethoven: The Music and the Life*, p. 15.
[49] Marx wrote: 'The main theme is the first one...the decisive one in freshness and energy...constructed more energetically, more vigorously...the dominant one and the decisive one. The subsidiary theme...serves as contrast...[and is] necessarily the gentler, cultivated more flexibly than vigorously – the feminine, as it were, to that preceding masculine. In this sense each of the two themes is different and only with the other becomes

audience. The organic aspect, however, they often choose to discard. Attacking organicism but unquestioningly accepting an alternative metaphor from the same period is hypocritical.[50] These musicologists' insistence on open and social concepts, rather than closed and specialist ones, not only supports their populist campaign but conveniently allows them to shift their stance along with changing philosophical and aesthetic ideals. Agawu notes that 'an essential part of their [new musicologists'] strategy is to deny any stable, collective identity, to insist on the impossibility of anchoring the first signifying relationship ... But could such denial also be a trick aimed at ensuring that new musicologists are always able to shift their identities in order to, as it were, remain on top'?[51] It must be acknowledged that Agawu's article was written eleven years ago, and that there no longer exists such a clear division between analysis and new musicology. Indeed, the majority of work carried out under the name of 'new musicology' is insightful, vital, and necessary in an age where we are reevaluating music's human relevance and meaning. Nevertheless, Agawu's message is still relevant today. Just as we must question old ideologies, we must also question the motivation behind the replacement of these ideologies with new methodologies and frameworks.

Perhaps organicism in music is something from which we can never escape. Although writing several decades ago, Adorno points out that 'even the … extreme inconsistency and dissonance in non-conformist modern art cannot hide the fact that these moments belong to a unity. Without oneness they would simply not be dissonant'.[52] Referring to modernist atonal music, he writes that 'the "inner strife" of Expressionism is a result of its organic

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something higher, more perfect'. (Quoted in Marcia J. Citron, *Gender and the Musical Canon*, Cambridge: Cambridge University Press, 1993, p. 135).

[50] Citron, who might herself be considered a new musicologist actually argues that gendered discourse in sonata form is closely tied to organicist ideals. Her view is not representative of the majority of new musicologists. She remarks that 'Marx's conclusion seems to suggest a model of organicism'. She then compares this to Vincent D'Indy's essay written in 1909. She writes, 'his is a kind of organicism too; the themes take on human qualities that follow the laws of behaviour...Like his predecessors, D'Indy still makes use of opposition as a fundamental relationship'. (Citron, *Gender and the Musical Canon*, p. 136). It must be said that Citron's argument here is rather tentative, for it is hard to see what exactly is 'organic' in Marx's or D'Indy's statements of gendered discourse in sonata form.

[51] Agawu, 'Analyzing Music under the New Musicological Regime', *Journal of Musicology*, Vol. 15, No. 3, 1997, p. 299.

[52] Quoted in Alan Street, 'Superior Myths, Dogmatic Allegories: The Resistance to Musical Unity', *Music Analysis*, Vol. 8, No. 1/2, 1989, p. 80.

irrationality. The strife is definable in terms of opposites'.[53] As Alan Street remarks, 'Adorno offers a salutary reminder that the difference between such antithesis [unity and disunity] is inscribed in each of them; one cannot exist without the other'.[54] Even amongst the most deconstructionist tendencies of postmodern music, the perspective of unity vs. disunity is still useful. Dahlhaus illuminates this point:

> Even the negation of musical coherence as practiced by Cage is dependent on that which is negated. For the fact that a listener attempts to link and relate musical details – and they are already "musical" by virtue of the situation itself – is the usual norm of acoustical perception in a concert (as opposed to everyday life). Thus lack of coherence is not so much something that can be taken for granted as a goal which can be reached by disturbing and destroying coherence. Formal disintegration is a procedure which requires renewal. It is not a given state of affairs *per se*.[55]

Even if we do see musical disunity as completely independent from musical unity, organic analysis still remains a useful tool, for as Fred Everett Maus points out, 'if analysis can display musical unity, then it must also have the capacity to display disunity…If one wants to display, and perhaps praise, the heterogeneity of a composition, analysis could provide valuable descriptive tools'.[56] One could still pose the question, 'why should we be concerned over the debate between unity and disunity'? The answer to this question lies in Dahlhaus's above quotation. Whether a work is highly unified or highly disunified, many listeners attempt to make sense of a work by relating or comparing different musical events to each other. Unity is thus a category of both reception and composition, and the study of organicism in music helps us to explain our responses to music, and elucidates new options for performance.

The question of the validity of organicism in analyses of pre eighteenth-century and post-twentieth-century musical works could form the basis of another thesis.[57] Considering the late eighteenth-century organic influences on music that I am about to describe, however,

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[53] Theodor W. Adorno, *Philosophy of Modern Music*, trans. Anne Mitchell and Wesley Bloomster, New York: Seabury Press, 1973, p. 51.
[54] Street, 'Superior Myths', p. 80.
[55] Dahlhaus, *Schoenberg and the New Music*, pp. 227-8.
[56] Fred Everett Maus, 'Concepts of Musical Unity', in Nicholas Cook & Mark Everist (eds.), *Rethinking Music*, Oxford: Oxford University Press, 2001, p. 171.
[57] Much twentieth-century music demonstrates a reaction against unity, as is outlined in Stephen Kostka, *Materials and Techniques of Twentieth-Century Music*, Englewood Cliffs: Prentice Hall, 1990.

few could deny the relevance of organicism to the study of Beethoven's Op. 2 No. 3 sonata of 1795. The mentality of the late eighteenth-century musical world, heavily influenced by philosophical and scientific organicist models, would have had a profound influence on the music Beethoven produced.

PART I: MUSICAL ORGANICISM AND THE MOTIVIC PARALLELISM

1.1.1. Music in the Late Eighteenth Century: From a Mechanical to an Organic Metaphor of Unity

Several metaphors or models were used by theorists to explain and describe musical unity throughout the eighteenth century.[58] Syntactical/rhetorical models of analysis were primarily used early on. Johann Mattheson, for example, discussed in 1737 how a musical analysis should organise the parts of a piece into syntactical units, like paragraphs, phrases and colons in a text. As an alternative approach, he suggested that the musical sections of a piece be compared to the 'phase schema' of an oration.[59] Koch's later theory of phrase structure provided a theoretical basis for syntactical/rhetorical analyses. His *Versuch einer Anleitung zur Composition* (1782-93), which foreshadowed Riemann's theory of phrase structure, was relevant to the study of musical unity because the focus was on balance, coherence and symmetry. Two-bar segments form four-bar phrases which create periods of eight bars, every part thus depending on the parts surrounding it for its sense of logic.

The model of the mechanism, which in many respects encompassed compositional processes inherent in the syntactical/rhetorical models, involved musical rules and grammar, which in turn formed part of a model, or *langue*. Sonata form, in and of itself, is one example of a mechanistic model.

From the 1740s, experimental physiology became more and more concerned with growth, regeneration and change.[60] Emphasis was placed on process and interaction rather than on mechanical form. Scientists developed a conception of the living body 'as both a physical system … and a chemical system',[61] and these same approaches began to be applied to

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[58] I will use the term 'metaphor' and 'model' interchangeably. After quoting George Lackoff, who points out that 'the locus of metaphor is not in language at all, but in the way we conceptualize one mental domain in terms of another', Michael Spitzer concludes that 'a metaphor, therefore, is a kind of model'. (Michael Spitzer, *Metaphor and Musical Thought*, Chicago: The University of Chicago Press, 2004, p. 15).
[59] Ian Bent (ed.), *Music Analysis in the Nineteenth Century, Volume 1: Fugue, Form and Style*, Cambridge: Cambridge University Press, 1994, pp. 5-6.
[60] Daniel K. L. Chua, *Absolute Music and the Construction of Meaning*, Cambridge: Cambridge University Press, 1999, p. 95.
[61] Bent, *Music Analysis*, pp. 7-8.

music. Mark Evan Bonds discusses the shift from the rhetorical or mechanistic model to the organic model in music as one that moved from a 'conformational' towards a 'generative' perspective.[62] Meyer Abrams writes that 'only in a "mechanical" unity are the parts sharply defined and fixed; in organic unity, what we find is a complex inter-relation of living, indeterminate, and endlessly changing components'.[63]

The mechanistic and the organic metaphors were used side by side during the period in which the organic metaphor was gradually replacing the mechanistic one (from around 1770 – 1820). Charles Burney's 1784 account of an orchestral performance, for example, discusses the orchestra as both a mechanism and an organism.[64] Indeed, it can sometimes be difficult to distinguish between organic and earlier models of unity. As Bonds observes, in *both* the organic and the rhetoric model, 'the process of growth shares with the process of elaboration the basic premise of internal motivation, with one thought or part leading or growing into the next'.[65] The organic metaphor was beginning to replace the mechanistic one, however. In fact, Daniel Chua notes that 'the mechanical became the butt of a great deal of Classical joking. Instrumental music managed to have the last laugh at an old ideology that had branded it as a "mechanical doll"…Sometimes it even smashed the mechanism to pieces, as with the unexpected hammer blows in Haydn's "Surprise" Symphony'.[66] The extremists of the mechanistic and organic schools continued to inscribe the other metaphor into their own frameworks. The mechanists conceived of organisms as more sophisticated forms of machines, and the organicists understood all things and systems to be lower forms of organisms.[67]

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[62] Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration*, Cambridge: Harvard University Press, 1991, pp. 141-2. The organic metaphor was not only applied to the arts at this time. In another book, Bonds points out that the metaphor was used in politics. 'Inspired by the ideals of personal liberty that had driven the storming of the Bastille but horrified by the social chaos that had ensued, most of the early Romantics embraced an ideal of government based on the metaphor of the state as an organism rather than a machine, its constituent parts functioning in a system of mutual interdependence'. (Mark Evan Bonds, *Music as Thought: Listening to the Symphony in the Age of Beethoven*, Princeton: Princeton University Press, 2006, p. 71).

[63] M. H. Abrams, *The Mirror and the Lamp: Romantic Theory and the Critical Tradition*, London: Oxford University Press, 1979, p. 220.

[64] John Spitzer and Neal Zaslaw, *The Birth of the Orchestra: History of an Institution, 1650-1815*, Oxford: Oxford University Press, 2005, p. 519.

[65] Bonds, *Wordless Rhetoric*, p. 143.

[66] Chua, *Absolute Music*, p. 92.

[67] Abrams, *The Mirror and the Lamp*, p. 186.

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Vital to the organic model of music is the idea that form, unity and growth are self-generated, rather than conformities, as in the mechanistic model. Organisms in the late eighteenth century were conceived, to a certain degree, as self-contained entities that manage their own developmental processes, and this conception was applied to music.[68] As early as 1770, Christoph Gluck wrote that 'the main forms of music…are products neither of chance nor convention; they derive from the laws of nature, in other words from our organic structure which makes them necessary, unchangeable and universal'.[69] The idea that the precomposition of the fully developed form of an organism was found in the germ cell was outlined in 1762,[70] and was taken up as an organic idea in the arts near the end of the eighteenth century. Music was seen to be imbued with seminal purpose. As Mark Evan Bonds summarises, 'the shape of an organic whole is often held to be inherent in its germinal unit, with the whole existing in the part just as the part exists in the whole. The oak, to use one of the favorite images of this line of thought, grows out of the acorn'.[71] In 1808, Schlegel stipulated that 'form is mechanical when it is imparted to any material through an external force …. Organic form, on the contrary, is innate; it unfolds from within, and achieves that for which it was destined simultaneously with the fullest development of the seed'.[72] Anything that was 'imposed externally upon a [musical] work' was seen to 'destroy' its organic quality.[73] This is one reason why the idea of the 'autonomous artwork' emerges around the same time as the organic metaphor (around 1790). Earlier music, which was primarily composed for social, courtly or ecclesiastical functions, involved external considerations or demands in its composition.[74] The 'organic' musical work was promoted as an autonomous work, the external restraints less publicly acknowledged.[75]

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[68] Bent, *Music Analysis*, p. 12.
[69] Hedwig and E. H. Mueller von Asow (eds.), *The Collected Correspondence and Papers of Christophe Willibald Gluck*, New York: St Martin's, 1962, p. 14.
[70] Bent, *Music Analysis*, p. 11.
[71] Bonds, *Wordless Rhetoric*, p. 142.
[72] Quoted in Bonds, *Wordless Rhetoric*, p. 146.
[73] Bonds, *Wordless Rhetoric*, p. 142.
[74] For example, Bonds notes that A. B. Marx did not consider Beethoven's first two 'Razumovsky' quartets to be unified organically, since the prince had asked Beethoven to include Russian folk-song themes within them. (Bonds, *Wordless Rhetoric*, p. 142).
[75] Bonds, *Wordless Rhetoric*, p. 145.

The organic model was seen to be based not on rules or grammar (as in the mechanistic model) but on inspiration, perhaps even divine inspiration. This concept was associated with the emerging idea of the musical genius. The genius was considered a gift from nature. In Kant's own words, '*Genius* is the talent (natural endowment) which gives the rule to art. Since talent, as an innate productive faculty of the artist, belongs itself to nature, we may put it this way: *Genius* is the innate mental aptitude (*ingenium*) *through which* nature gives the rule to art'.[76] The genius was supposed to be able to reveal higher truths that were linked with nature and that could not be found through rational thinking alone.[77] Schopenhauer writes that 'the composer reveals the innermost nature of the world, and expresses the profoundest wisdom in a language that his reasoning faculty does not understand'.[78] The genius's compositions were seen to be unified with the natural, or even the ideal world. The concepts of divine inspiration and genius were important because, as Tarasti comments, 'if too much deliberation goes into the composition, then the resulting music is no longer organic. Only when composition takes place in a trance or under inspiration is the result organic'.[79] An organic work was believed to be transmitted through the unconscious of the genius.[80] This might be seen to reflect the unconscious process of growth which occurs in an organism.[81] There are a number of popular images of Beethoven that illustrate the idea that he composed in a dream-like state, almost unconsciously, either at his keyboard or out amidst nature.[82] In reality, however, we have much evidence to suggest that Beethoven was very much 'awake' whilst composing.

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[76] Immanuel Kant, *The Critique of Judgement*, trans. James Creed Meredith, Oxford: Clarendon Press, 1952, p. 168.

[77] It is not necessary, however, that the work of a genius be always organic or unified. Genius can just as easily lead to mannerist eccentricity, which can equally credit the genius composer as having a revelatory function.

[78] Lockwood, *Beethoven: The Music and the Life*, p. 16.

[79] Tarasti, *Signs of Music*, p. 94.

[80] Daniel Chua remarks that 'only the genius is able to discover the organic universe within himself and to deposit its form as art' (Chua, *Absolute Music*, p. 201). How much one believes in the relevance of hidden thematic or harmonic relationships depends, to some extent, on the degree to which one considers the possibility of 'unconscious intention'. For a summary of the problems associated with seeing hidden musical relationships as meaningful, and considerations of conscious and unconscious intention, see Stephen Davies, 'Attributing Significance to Unobvious Musical Relationships', in Stephen Davies, *Themes in the Philosophy of Music*, Oxford: Oxford University Press, 2003, pp. 233-244.

[81] Abrams, *The Mirror and the Lamp*, p. 222.

[82] See Alessandra Comini, *The Changing Image of Beethoven: A Study in Mythmaking*, New York: Rizzoli, 1987. Figure 131 (p. 269) shows an engraving of Beethoven from 1863 by Aimé de Lemud. Beethoven is asleep over his keyboard, next to his paper and ink, and dream-like figures float in the background. Figure 50

Organicism was inextricably linked not only to the concept of the unconscious of the genius, but also to that of the autonomous composer, as Lydia Goehr explains:

> What seemed to matter most to composers [who had gained creative independence] was their freedom from worldly demands. Their romantic role willingly adopted, composers enjoyed describing themselves and each other as divinely inspired creators – even as God-like – whose sole task was to objectify in music something unique and personal and to express something transcendent. Bizet described Beethoven not as human, but as a God.[83]

Organicism was also linked to the concept of the autonomous artwork. The ideas of inner/generative form and internal laws of an individual composition that were essential to the understanding of the autonomous work were based, to a large extent, on the seminal and organic laws of nature. Morrow remarks that '[the] conception of an autonomous art that should be judged on its own internal rules of unity and form, which were analogous to – but not identical with – the rule of order in nature, delicately bridged the gap between eighteenth- and nineteenth-century aesthetic philosophy'.[84]

1.1.2. Philosophies of Organicism in the Late Eighteenth and Early Nineteenth Centuries

After scientists had begun to conceive of a living body as both a physical and a chemical system, they were confronted with a deeper question: 'whether the body could be explained purely as a physico-chemical system…or whether it possessed some property exclusive to living organisms – a special vital principle'.[85] Philosophers, in particular the idealists, wrote about an 'essence' or *Geist* to be found in organisms and in nature. Bent remarks that 'what had been a physiological search for prime cause now became a philosophical search for an understanding of living wholes as imbued with Spirit, or Will'.[86] Hence, along with

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(p. 165) is a drawing of Beethoven from 1833 by Johann Peter Lyser. Beethoven is depicted composing the *Pastoral* Symphony down by a brook. He is composing music whilst actually looking upwards, away from the score, in a distant gaze. Finally, figure 51 shows the famous color lithograph from 1834, by an anonymous artist. Beethoven is sitting down by the brook with paper and ink in hand. He has a contemplative expression and is amidst an 'inspired' country setting.

[83] Goehr, *The Imaginary Museum of Musical Works*, p. 208.

[84] Mary Sue Morrow, *German Music Criticism in the Late Eighteenth Century*, Cambridge: Cambridge University Press, 1997, p. 147.

[85] Bent, *Music Analysis*, pp. 7-8.

[86] Bent, *Music Analysis*, p. 11.

organicist biology, organicist philosophy became a powerful influence on the development of musical organicism.

The idealists pursued the belief that the unification between the phenomenal and the ideal worlds could be achieved in art. Like Plato, they considered the idea that reality existed outside of the material world, that all things were interconnected, and that all things were simply representations of the parts of a higher whole.[87] The movement was led by Kant and Schelling, before reaching its culmination with Hegel in the nineteenth century.[88]

Kant's idealist philosophy of aesthetic contemplation offers one way in which an artwork can bring about unity between the phenomenal and noumenal worlds. Kant believed that our senses were limited in their ability to understand things as they really were. What something really *is*, Kant called the 'thing-in-itself', and believed it to exist in the ideal world. Kant's theory of aesthetic contemplation credited the viewer or listener with the ability of 'sensing' the unification between the two worlds through his or her imagination. A unity of experience was thus able to be achieved.[89] What is important, as Alan Street summarises, is the 'reciprocating process between consciousness and artifact that fulfills the expectation of unity-in-variety and leads to the interpretation of each successful artwork as a complete structure'.[90] Street's application of this aesthetic idea to music may seem

[87] Ruth A. Solie, 'The Living Work: Organicism and Musical Analysis', *19th-Century Music*, Vol. 4, No. 2, 1980, p. 149.

[88] The idealist and organicist concept – concerning the relationship of man with nature and the eternal – had earlier been dealt with by Goethe in his ode *Grenzen der Menschheit* (1775-80). The poem outlines the fundamental difference between the individual man, who is earth-bound, and the Gods, who are linked with infinite and eternity. Only as a race can men find unity with eternal nature. (James Boyd, *Notes to Goethe's Poems, Volume 1 (1749-1786)*, Oxford: Basil Blackwell, 1948, pp. 151-5). Goethe's poem *Gesang der Geister über den Wassern* (1779) also describes men's relationship with eternity, via nature.

[89] It is also vital to remember that for Kant, the human mind was, like the senses, an autonomous structure that was limited in its ability to understand the world. Hence, while subjective imagination may provide one path through which to link music with the ideal world, listeners may never be able to fully understand such a higher reality. This supports the concept of the poetic *Idee* in absolute music as non-translatable, indescribable, and devoid of explicit reference.

[90] Street, 'Superior Myths', p. 86-7. The writings of Edmund Burke, and other mid-century philosophers who discussed pathetic sublimity, might be seen as forerunners of the concepts of 'unity in variety' and 'unity of experience'. Pathetic sublimity was mostly discussed in relation to paintings which displayed extremes of emotions or states side by side. Goya's use of violent, bloody images framed within tranquil countryside settings is one example. Discussing the fine arts in general, Burke writes that 'in the infinite variety of natural combinations we must expect to find the qualities of things the most remote imaginable from each other *united* in the same object'. (Edmund Burke, 'A Philosophic Enquiry into the Origin of our Ideas of the Sublime and the Beautiful', in P. Le Huray, and J. Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, p. 71. Italics are my own). The

slightly forced, however, since Kant himself believed that music 'does not … leave anything to reflect on …. The formative arts create lasting impressions, music creates only transient ones'. Nevertheless, we can take Kant's aesthetic idea, separate from his view on music, and use it to explain the organic link between the two worlds, which was an important part of musical organicism with other philosophers.[91]

Kant's enlightenment philosophies, which first appeared in 1781 in the *Kritik der reinen Vernunft* ('Critique of Pure Reason'), can also be linked to music. The idea that understanding can be directed by reasoning is a simple enough concept to apply. Logic, order, and reasoning can be compared to organic growth, especially to thematic working and development. Dahlhaus describes the 'logical' factor of eighteenth-century music as 'the development of themes and motifs whose distribution over a whole movement imparts an inner coherence to the musical process'.[92] This logical type of thinking and listening can be seen to reflect the enlightenment values of logic and reason.

For Friedrich Schelling, whose key works began being published at the same time as Beethoven's Op. 2 No. 3 sonata (1795), total reality was embodied in nature. Schelling likened art to the organism because, as Bent puts it, 'in both, the parts serve the whole, and the whole is purposive',[93] this purposive whole being the Spirit, Will, or man's self-awareness of his integration with nature. Schelling saw art as an attempt to understand man and the world he lived in. Because he believed that man's creative mind was an integrated part of nature, it followed that man's art was also a means to attain self-awareness in nature. Through art and through man, nature discovers its true reality. Schelling was not the first

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idea that unity could be *experienced* in this way was later discussed in music in 1801. As Keith Chapin has pointed out, Christian Friedrich Michaelis insisted that an apparently disjointed musical work could indeed demonstrate unity, using the sublime effect on the listener as an *a posteriori* proof of this unity.[90] (Keith Chapin, 'Classicist Terms of Sublimity: Christian Friedrich Michaelis, Fugue, and Fantasy', *Ad parnassum: A Journal of Eighteenth and Nineteenth-Century Instrumental Music*, Vol. 4, No. 8, 2006, p. 130).

[91] Although Kant thought that music 'communicates by means of mere sensations without concepts'(Kant, *Urteilskraft*, pp. 221-3), he still believed in a sense of musical unity that overrode these transient emotional states. One mood, one unity was expressed in music. He wrote in 1790: The form (harmony and melody) in which the emotions are arranged serves not so much as the framework of a language, but as the means by which an aesthetic idea may coherently be shaped in all its inexpressible fullness, in conformity with a specific theme constituting the dominant emotional mood of the piece…Impressions, both simultaneous and successive may be balanced so that they may be grasped as a whole (Kant, *Urteilskraft*, p. 222).

[92] Dahlhaus, *Schoenberg and the New Music*, p. 222.

[93] Bent, *Music Analysis*, p. 12.

philosopher to observe links between music and nature. In 1730, Johann Christian Gottsched's *Versuch einer critischen Dichtkunst*, for example, had specified that music 'should imitate natural phenomena' via mimesis.[94] Throughout the later part of the eighteenth century, however, mimesis, which has its roots in the philosophical movement of naturalism,[95] was replaced by a focus on the inner essence of nature.[96] Goethe's 1798 article entitled '*Einfache Nachahmung der Natur, Manier, Stil*' makes distinctions between simple imitation of nature, manner, and style in art. He writes that 'simple imitation depends on a quiet regime and comfortable surroundings…Manner has a facility for grouping superficial appearances…Style is based on the profoundest knowledge, on the essence of things'. These distinctions are important because 'the whole point would be lost if we stayed timidly with the details rather than keeping the idea of the whole in the forefront of our minds'.[97] Goethe suggests that art can incorporate general unifying and logical structures that are found in nature without imitating nature precisely. As Morrow writes, 'art should manifest its own logical structure, which could be inspired by the observation of the order of nature, without having to copy that order exactly'.[98] The order of nature was seen as providing the basis for organic unity in art. These ideas reached their culmination in Schelling's *System of Transcendental Idealism* (1800) and his *Philosophie der Kunst* (1802-3), in which he saw nature, or reality, as both an organic unity and an organic developmental process. Nature is a unity because it is *eternal* and *infinite*. It is a

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[94] Ian Biddle, 'F. W. J. Schelling's *Philosophie der Kunst:* an emergent semiology of music', in Ian Bent (ed.), *Music Theory in the Age of Romanticism*, Cambridge: Cambridge University Press, 1996, p. 25.
[95] The naturalists believed that music which imitated nature invited the listener to experience true and 'natural' emotions. (Mark Evan Bonds, 'Idealism and the Aesthetics of Instrumental Music at the Turn of the Nineteenth Century', *Journal of the American Musicological Society*, Vol. 50, No. 2/3, 1997, p. 391).
[96] In 1772, Herder writes that '*Rousseau*, and others were half on the right track here in that they derive the meter and song of the oldest languages from the cry of sensation', but that 'something more is still needed in order to produce this song….Song was born, but neither a nightingale's song…nor a mere animal's cry of sensation: an expression of the language of all creatures within the natural scale of the human voice' (Johann Gottfried von Herder, 'Treatise on the Origin of Language', in Michael Forster, ed. and trans, *Herder: Philosophical Writings*, Cambridge: Cambridge University Press, 2002, p. 104). This quotation reflects Herder's general belief in 'worldly unity' as an ideal in art. In his article on Shakespeare (1773), Herder expresses his great admiration for the playwright's skill of combining 'the estates and the individuals, the different peoples and styles of speech, the kings and fools….into a splendid poetic whole' (quoted in Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 16). Herder defends Shakespeare's dramas against French critics by arguing that Shakespeare's dramas are indeed unified. In his words, 'one main feeling prevail[s] in each drama, pulsing through it like a world soul'. Herder believes Shakespeare is 'true to nature' and to 'the soil of the age'. (quoted in Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', pp. 16-17).
[97] Johann Wolfgang von Goethe, 'Simple Imitation of Nature, Manner, Style', in John Gage (ed. and trans.), *Goethe on Art*, Berkeley: University of California Press, 1980, p. 22.
[98] Morrow, *German Music Criticism*, p. 147.

developmental process because countless numbers of new life forms come into existence every second of the day.

For Schelling, organic unity and organic development in music are almost one and the same thing. He writes that 'the essential form of music is *succession*, for the idea of eternity assumes form as duration by expanding into time, form being regarded as something abstracted from substance. A subject that becomes aware of its own continuity becomes aware of *itself*'.[99] For him, the horizontal, developmental aspect of music is essential not only for organic growth, but also for organic *unity*, because unity is expressed through the idea of eternity or the infinite. Musical time is used as a link between real time and a higher framework of time which governs the universe.[100] The temporal aspect inherent in music is representative of infinite, of endless continuity. In Schelling's own words, 'melody is in music the absolute informing of the infinite into the finite, and thus the entire unity'.[101]

Schelling's organization of music into pulses, phrases, and sections that depend on their surroundings for their meaning reflects the then current organicist ideal that if one takes a part away from the whole, one risks destroying the whole. He writes that one musical unit 'is not accidentally or arbitrarily separated from others'.[102] Ian Biddle discusses 'the organic credentials of this system of ever larger units, each referring to both its smaller sub-units and the larger unit of which it is a sub-unit' noting that 'there lies in Schelling's organic model a hidden depth, a kind of *Gestalt* structure'.[103]

The poet August Wilhelm Schlegel had a significant influence on late eighteenth-century musical organicism. Central to Schlegel's philosophy of organicism in the arts is his belief that 'a work of art is a living, continually growing organism with an eternal, unaltering soul. An organic unity is a substance whose parts cannot be separated from the whole; if the

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[99] Friedrich W. J von Schelling, *Philosophie der Kunst*, in P. Le Huray and J. Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, p. 275.

[100] As Biddle remarks, 'time in the musical sense is not time *in actuality* but merely a proportional representation of universal linear time. Thus musical time is linear time *as form*, somehow abstracted from reality and presented in its formal essence' (Biddle, 'Schelling's *Philosophie*', p. 30, Italics are in original).

[101] Friedrich Schelling, *The Philosophy of Art*, trans. Douglas Stott, Minneapolis: University of Minnesota Press, 1859, p. 113.

[102] Quoted in Biddle, 'Schelling's *Philosophie*', p. 31.

parts are separated, the parts and the whole die'.[104] Clearly, this 'eternal, unaltering soul' is similar to Hegel's 'idea', but what is it exactly? According to Schlegel, it is in a large part indefinable, and yet it is quintessential to the beauty of the work. For this reason, Schlegel calls it his 'mystic principle'.[105] Schlegel's theory holds that the most easily defined mystic principles are held in low regard, in terms of their superiority and beauty. The more obscure or amorphous a mystic principle, the higher it is held in esteem.[106] When the mystic principle is related to God, it is the highest ranked of all. Fichte and Schelling also believed in the spiritual power of God in all things, and the three philosophers agreed that the ideal organic artwork should be based on a 'single absolute principle (i.e. God)'.[107] Schlegel asserted that modern (eighteenth-century) art was superior to Greek art since 'Christianity had added the dimension of eternity to the whole of human life, including art'.[108] Schlegel saw Christianity as providing the most important dimension – eternity – for a work to be organic. His method of using the highest guiding principles as the starting points in art was reflective of the organicist's holistic approach, and was demonstrated in music through the development of one basic idea. The belief that unity in music represented God's divine and universal network was also expressed in Wilhelm Heinrich Wackenroder's *Phantasien uber die Kunst* (1799). As Biddle summarises, Wackenroder asserted 'that music evokes the grandeur of God through a process of structural resembling, by somehow evoking God's divinity within the internal structures of music….Music's structural resembling, as evoked by Wackenroder, emerges…as *organic structure*'.[109] Chantler argues that it was Wackenroder's theory of art that led Hoffmann to assign 'metaphysical meaning' to the organic unity of a musical work.[110]

A. W. Schlegel's criticism of representational or sensual art was shared by many musical theorists in the late eighteenth century. Schiller's view, similar to Schlegel's, was that good art should be judged on inner cohesion, and not on the fleeting, sensual elements that often

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[103] Biddle, 'Schelling's *Philosophie*', p. 32.
[104] John Baron, 'A. W. Schlegel's Mystic Principle and the Music of Beethoven', *The Journal of Aesthetics and Art Criticism*, Vol. 31, No. 4, 1973, p. 532.
[105] Baron, 'Schlegel's Mystic Principle', p. 532.
[106] Baron, 'Schlegel's Mystic Principle', p. 532.
[107] Baron, 'Schlegel's Mystic Principle', p. 532.
[108] August Wilhelm von Schlegel, *Die Kunstlehre*, in P. Le Huray and J. Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, p. 265.
[109] Quoted in Biddle, 'Schelling's *Philosophie*', p. 27 (Italics are in original).

appealed to the public.[111] Karl Wilhelm Friedrich von Schlegel (the brother of A. W. Schlegel) agreed, and in 1798 wrote that one should 'mistrust the dull idea that the arts are based on the concept of so-called "naturalness". According to this, music is supposed to be merely the language of the emotions…Must not purely instrumental music create its own text? And is not the theme developed, confirmed, varied and contrasted, just as is the object of a sequence of philosophical speculations'?[112] It was Christian Gottfried Körner, a recognized theorist in the Weimar circle, and a friend of Friedrich Schiller, who applied this organicist view of art to music. In 1795, believing in something more constant and continuous than changing emotions in music, he wrote that music 'should be differentiated from the effects of blind chance by evidence that it has been properly constructed. This is the basis of the law of unity… [If the composer] recognises the need for unity, he will seek it in vain in a series of emotional states…If he wishes to capture and to sustain an individual mood, his work will become monotonous, dull and drawn out. If he wishes to portray change, something constant must be implied against which to project change'. For Körner, as with Schelling and A. W. Schlegel, music must also represent the Infinite, 'an Infinite that can otherwise come to us only by intuition'.[113]

Friedrich Schiller also believed that 'music in its highest refinement must be a *Gestalt*'.[114] Schiller's letters *Über die aesthetische Erziehung des Menschen* ('On the Aesthetic Education of Mankind') were published in 1795, and discuss ways in which unity and variety interact in life and in art. Schiller recognizes two principal sets of forces: those of matter, reason and the finite on the one hand, and those of form, divinity and the infinite on the other. He believes that a true man is one that 'does not stop short at what nature herself made of him, but has the power of retracing by means of Reason the steps she took on his behalf, of transforming the work of blind compulsion into a work of free choice'.[115] At the same time he insists that it would 'be wrong if the cultivation of individual powers involves

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[110] Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 22.
[111] Le Huray and Day, *Music and Aesthetics*, pp. 235-6.
[112] Karl Wilhelm Friedrich von Schlegel, *Fragments from Das Athenaeum*, in le Huray & Day (eds.), *Music and Aesthetics*, p. 247.
[113] Christian Gottfried Korner, *Ueber Charakterdarstellung in der Musik*, in le Huray and Day (eds.), *Music and Aesthetics*, p. 237.
[114] Neff, 'Schoenberg and Goethe', p. 410.
[115] Friedrich Schiller, *On the Aesthetic Education of Man*, trans. Elizabeth Wilkinson and L. A. Willoughby, Oxford: Clarendon Press, 1967, p. 11.

the sacrifice of wholeness', and makes a call to artists to 'restore by means of a higher Art the totality of our nature which the arts themselves have destroyed'.[116] Throughout the letters, Schiller uses the words 'Absolute', 'truth' and 'infinite' as representational of the unity and wholeness expressed in art. What is essential for Schiller is the dialectic between matter and form or between the phenomenal and the noumenal, because one can not exist without its opposite. He writes that 'if truth is to be victorious in her conflict with forces, she must herself first become a force and appoint some drive to be her champion in the realm of phenomena'.[117] Schiller distinguishes between a 'sensuous drive', which involves impressions as we sense them in real time, and a 'form drive', which involves retrospectively categorizing one's global experiences, independent of time. A fusion of the two drives within art leads to the 'play drive', which, as William Kindermann summarises, 'brings "life" and form (*Gestalt*) into conjunction as "living shape" (*lebende Gestalt*)'.[118] Finally, 'beauty results from the reciprocal action of [these] two opposed drives and from the uniting of [their] two opposed principles'.[119]Although Schiller does not discuss how one should listen to music, it is not difficult to conclude, therefore, that he might have endorsed both structural/architectonic listening (the type of listening encouraged by Adorno) and 'listening in the moment' (the type of listening promoted by new musicologists, especially Ruth Subotnik) simultaneously. For Schiller, unity in art, achieved via the form drive, is necessary in order to bring ourselves closer to nature and truth because 'during this operation [form drive] we are no longer in time; time, with its whole never-ending succession, is in us. We are no longer individuals; we are species'.[120] The form drive 'wants the real to be necessary and eternal…It insists on truth and on the right'.[121] The sensuous drive is also important because it reflects 'the variety of nature', a phrase Schiller uses throughout the letters.

[116] Schiller, *Aesthetic Education of Man*, p. 43.
[117] Schiller, *Aesthetic Education of Man*, p. 49.
[118] William Kinderman, *Beethoven*, Oxford: Oxford University Press, 1995, p. 5.
[119] Schiller, *Aesthetic Education of Man*, p. 111.
[120] Schiller, *Aesthetic Education of Man*, p. 83.
[121] Schiller, *Aesthetic Education of Man*, p. 81.

1.1.3. Musical Techniques Used to Reflect Organic Unity and Growth

Organicism in late eighteenth-century music was expressed in the composition's makeup. Firstly, the composition was seen as being unified with total reality or the ideal world; the whole composition found unity in its expression of one basic idea, or one poetic *Idee*, which gave the work its 'essence'. Secondly, the ongoing developmental process of the organism was to be reflected in the organic growth process of music, through means of motivic or harmonic development.[122] Thus two things are necessary for something to be labelled organic: unity and growth.[123] What is also essential is how the developmental process in organicism is explained in terms of its relationship to the whole. A work whose parts are derived *solely* from each other – i.e. entirely from the linear process – is not strictly organic. For the artwork to be organic, the whole must also act 'as a causal unit on its own parts'.[124] Ruth Solie compares a living organism to a machine.[125] She alludes to the fact that while the function of the parts of a machine follow the principle of organic growth or development (one function leads on to, and builds from another), the parts are not directly related to the whole, and so there is no organic unity. In other words, 'the whole *does not* act as a causal unit on its own parts'. In the case of musical organicism then, as long as a motivic or harmonic development is analysed both in terms of its relationship to what comes before and after it, *and* to the basic idea or whole, then that part (motivic or harmonic development) is an important organic feature. Goethe believed that both the independence of the parts and the holistic quality of the whole were important in organicism. He called his idea the 'harmony of the organic whole',[126] and his view held that

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[122] Unity and growth are the two defining features of organicism. More specifically, the features of musical organicism discussed so far can be summarized by Abrams's list (Abrams draws on Coleridge's treatises) of organic features in a plant. These are 1. the priority of the whole; 2. development and growth; 3. assimilation; 4. internality and self-regeneration; and 5. interdependence between the parts and the whole. (Abrams, *The Mirror and the Lamp*, pp. 170-6). Assimilation, the only aspect not discussed so far, involves an organism taking on external elements into its own body. As Abrams writes, 'as a plant assimilates the most diverse materials of earth and air, so the synthetic power of imagination "reveals itself", in Coleridge's famous phrase, "in the balance or reconciliation of *opposite* or *discordant* qualities' (Abrams, *The Mirror and the Lamp*, p. 220). This idea was incorporated into music through surface or sub-surface unification between apparently contrasting sections of music.

[123] William Pastille, 'Heinrich Schenker, Anti-Organicist', *19th-Century Music*, Vol. 8, No. 1, 1984, p. 32.

[124] Ruth Solie, 'The Living Work: Organicism and Musical Analysis', *19th-Century Music*, Vol. 4, No. 2, 1980, p. 150.

[125] Solie, 'The Living Work', p. 150.

[126] William Pastille, 'Music and Morphology: Goethe's Influence on Schenker's Thought', in Hedi Siegel (ed.), *Schenker Studies*, Cambridge: Cambridge University Press, 1990, p. 32.

'in an organism, the parts must remain relatively independent, while at the same time subordinating themselves to the whole …. Between the parts and the whole there exists an equilibrium'.[127] Of course, whether motivic or harmonic development is causal is debatable in the first place. The techniques were reflected by most composers of the time, however, as metaphorical representations (not strict representations) of biological growth and development.

The organicist ideal of an 'essence' was applied to the arts by Johann George Sulzer in the 1770s. He wrote that 'every individual part of a work that is conceptually ill-suited to the whole, that possesses no relation with the other parts and thus stands in opposition to the unity, is an imperfection and blemish that causes displeasure'.[128] The new aesthetic was applied to music in 1787 by Heinrich Christoph Koch, who believed that the whole expressed in a piece of music contained purpose (an organicist ideal), and that all the parts of that piece contributed to expressing that purpose.[129] Koch wrote:

> Not only the main ideas of a piece but also the subsidiary ideas that are brought into conjunction with them must be so constituted that together they form a beautiful whole in which each part not only corresponds to the purpose of the whole but also in no way contradicts its connections with the other parts. No parts must be present which deflect us from the central subject-matter, or from the affect that it arouses and sustains. All principal parts must have one and the same goal.[130]

Koch also prescribed a unified approach in planning a musical composition. He wrote in 1787:

> We must understand by the plan of a composition the main ideas of the piece already connected with one another which together present themselves to the composer as a complete whole….I require of a composition that its main sections be connected with each other, or that their sum not be considered a plan until these parts appear to the composer as an entirely complete picture.[131]

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[127] Pastille, 'Goethe's Influence', p. 32.
[128] Johann Georg Sulzer, *General Theory of the Fine Arts*, in Thomas Christensen & Nancy Kovaleff Baker (trans. & eds.), *Aesthetics and the Art of Musical Composition in the German Enlightenment*, Cambridge: Cambridge University Press, 1995, p. 45.
[129] Bent, *Musical Analysis*, p. 13.
[130] quoted in Bent, *Musical Analysis*, p. 13.

Koch's conception of sonata form was also based on unity and commonalities between parts rather than on contrast and dialectics as in Marx's later conception. This point is often forgotten. In the late eighteenth century, sonata form – a form we now consider to be based on contrasts and oppositions – 'was conceived in principle as a monothematic form'.[132]

The second main principle of organicism, organic growth, was expressed through harmonic, and especially motivic, development. In 1765, Joseph Riepel had already written about the multi-motivic developmental processes able to be used in improvising a cadenza.[133] Koch was in full appreciation of Riepel's work, and in 1793 developed Riepel's ideas into his own comprehensive theory of musical composition, which he entitled 'The Mechanical Rules of Melody'.[134] In this essay Koch once again stipulates that musical growth and development must not be considered separately from the overall musical unity of a composition.[135]

The motif has a strong role to play in the organic growth and development of a musical work. As Rosen remarks, 'Motivic relationship has been one of the principal means of integration in Western music since the fifteenth century…but motivic development takes on

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[131] Heinrich Christophe Koch, *Introductory Essay on Composition*, vol. 2, 'The Plan: 1. The Mechanical Elements', 1787, in Christensen & Baker (eds.), *Aesthetics*, pp. 161-3.
[132] Carl Dahlhaus, *Analysis and Value Judgement*, New York: Pendragon Press, 1983, p. 7. By the final decade of the eighteenth century, the concept of unity in variety had become widespread. Archibald Alison, in 1790, writes that 'in musical composition…sounds constitute a whole, and have all a relation to the key, or fundamental note in which they close, they not only afford us a satisfaction as parts of a regular whole,…they keep our attention continually awake and our expectation excited until we arrive at the fundamental tone which is both the close of the composition and the end of our expectation'. (Archibald Alison, 'Essays on the Nature and Principles of Taste', in P. Le Huray, and J. Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, p. 211). Also in 1790, Karl Heinrich Heydenreich writes: 'Any medium (*Zeichen*) capable of illustrating emotion and passion….must have the same potential constancy and consistency as the natural emotions and passions themselves have. It must none the less be potentially as variable as the passions and emotions themselves without losing the coherence that results from its constancy and consistency' (Karl Heinrich Heydenreich, 'System der Aesthetik', in P. Le Huray, and J. Day (eds.), *Music and Aesthetics in the Eighteenth and Early-Nineteenth Centuries*, Cambridge: Cambridge University Press, 1981, pp. 231-2).
[133] Bent, *Music Analysis*, p. 15.
[134] Bent, *Music Analysis*, p. 15.
[135] He writes that 'not all melodic sections can be properly joined into a whole', and suggests that the composer take into consideration '1. the unity of the underlying key of these sections; 2. their equality of meter and similarity of tempo; 3. a certain likeness in the movement of beats or further subdivisions of the measure, or a certain similarity of melodic figures'. (Heinrich Christoph Koch, *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker, New Haven: Yale University Press, 1983, pp. 63-4).

even greater importance in the classical period'.[136] Whereas the earlier Baroque movement was more concerned with 'spinning-out' the motif via simple developments, such as inversions, augmentations and chromatic alterations, the classical movement was concerned with using the motif as a means of articulating structure, and unifying material, often beneath the musical surface. David Montgomery states that 'as one century gave way to the next and as harmonic thinking gave way to thematic thinking …the concept of unity also underwent certain changes. If unity by harmonic means had been easily established, unity by thematic means proved even stronger.[137]

Montgomery suggests that two prominent organicist scientists and philosophers – Goethe and Jean Baptiste Robinet – influenced composers' organic treatment of motivic material. In 1790, Goethe began to develop his theory of prototypical life forms, or *Urtypen*. He believed that there existed one complex prototypical form for each of the species or life forms on the planet. His most well known example is his *Urpflanz* ('generating plant') which he believed to exist as 'a single giant bush replete with the seeds of every known botanical species'.[138] Whereas Goethe's complex prototype contained all possible variations of form for a species within it, Robinet's earlier prototype consisted of 'a small primal element, a cell possessed of a will to develop into higher forms'.[139] Both men eventually came to the realisation that their prototypes did not exist in the physical world, but their creative ideas were quickly taken up in the arts and had a strong influence on late eighteenth- and nineteenth-century music and literature.[140] Goethe himself used his organic study of plants as a formal model in his closet drama *Faust*, and the German literary culture of the *Bildungsroman* proceeded from the same organic models.[141] Indeed, Goethe's expertise in both art and nature made him 'uniquely qualified' to design a framework which involved and compared both academic domains.[142] The inner 'organic' qualities of art were

[136] Charles Rosen, *The Classical Style*, London: W. W. Norton & Company, 1998, p. 39.
[137] David Montgomery, 'The Myth of Organicism: From Bad Science to Great Art', *The Music Quarterly*, Vol. 76, No. 1, 1992, p. 41.
[138] Montgomery, 'The Myth of Organicism', p. 18.
[139] Montgomery, 'The Myth of Organicism', p. 18.
[140] Montgomery, 'The Myth of Organicism', p. 23.
[141] Lewis Rowell, *Thinking About Music*, Massachusetts: University of Massachusetts Press, 1984, p. 119.
[142] Neff, 'Schoenberg and Goethe', in C. Hatch and D. W. Bernstein (eds.), *Music Theory and the Exploration of the Past*, Chicago: University of Chicago Press, 1993, p. 410.

compared to the *Urtypen* and the infinite number of forms to which it could give birth.[143] It is probable that composers of the time were aware of such organic theories. As Montgomery points out, 'it is not difficult to draw direct analogies between such exotic biogenetic concepts as "generating cells" or "generating plants" and the motivic transformations one finds [in the music of this era]'.[144] Chantler argues that the aesthetic merits of Goethe's studies had a direct influence on Hoffmann. She writes that 'Goethe's comparisons of artworks to organisms enabled him [Hoffmann] to explore the artist's creative process, as the means by which an entire work is developed out of one component part or structure'.[145] Goethe's ideas were later also acknowledged in the writings of the second Viennese school.

In a Goethe-type complex prototype, a theme (normally an opening theme) contains several motivic entities within it, which are each separately developed, and which all serve the purpose of expressing the 'whole'.[146] Bent points out that in 1754, this type of treatment of motivic material had already been discussed, not only by Riepel (as already mentioned), but also by Wilhelm Marpurg (1718-95), who unknowingly foreshadowed organicist techniques and 'showed how fragments could be broken off from a theme already stated, and then used to initiate new sections. In this way, a single theme could serve as the sole source of an entire work, engendering all of its material, primary and subsidiary'.[147] Another example of Marpurg's organic treatment of motifs in this respect can be seen in his 1761 review of Johann Georg Nicolai's *Six Parties sur le Clavecin*, in which he advises the composer on suitable methods of treating motifs.[148]

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[143] As Chantler writes, 'just as he [Goethe] conceived the *Urpflanz* as a tangible representation of God's intentions…so he viewed art as "another nature, also mysterious like her" and as a manifestation of the infinite in the finite'. (Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 15).
[144] Montgomery, 'The Myth of Organicism', p. 24.
[145] Chantler, 'Revisiting E. T. A. Hoffmann's Musical Hermeneutics', p. 13.
[146] Montgomery, 'The Myth of Organicism', p. 40.
[147] Bent, *Musical Analysis*, p. 14.
[148] Marpurg writes that 'the motive may appear either at the beginning or in the first one or two lines and must be worked out with repetition, transposition, imitation, and division. The resulting passages help to maintain the piece's unity. When the main motive, or the ideas flowing from it, alternate with new subsidiary ideas according to an established, reasonable plan, and when the new ideas are likewise worked out in proper proportions, variety results from this connection of the main with the subsidiary motives'. (Quoted in Mary Sue Morrow, *German Music Criticism in the Late Eighteenth Century: Aesthetic Issues in Instrumental Music*, Cambridge: Cambridge University Press, 1997, p. 88).

Goethe's complex prototype explains to a large extent how apparently very different-sounding musical sections within a piece can, in fact, be unified. In his scientific work he came to the following conclusion:

> The less perfect the creation, the more its parts are alike or similar and the more they resemble the whole….The more similar the parts, the less they will be subordinated to one another. Subordination of parts indicates a more perfect creation.[149]

Goethe's concept of metamorphoses also allows for more complex scenarios. In organisms, separate parts or poles intensify independently, before reuniting as new higher entities. Goethe wrote:

> What enters the world of appearance must divide in order to appear at all. What has been separated seeks itself again, and it can find itself again and unite. The unification can…occur in a higher sense…in which what has been separated first intensifies, and through the combination of the intensified sides brings forth a third, new, unexpected entity.[150]

This phenomenon can also take place in music, and composers may have been directly influenced by the concept. Separate motivic cells, broken off from the main theme can intensify and become enlarged (as motivic parallelisms) before reuniting as what I will refer to as 'simultaneous motivic parallelisms'. Although Goethe's studies were not published until 1802, I will argue that Beethoven's Op. 2 No. 3 sonata embodies these types of organic processes that Goethe later described, and that would later be used to describe musical unity.

1.1.4. Beethoven and Organicism

Beethoven was an exponent of organicism in music. As John Baron puts it, 'Beethoven's influence, of course, is so overwhelming that his attitude toward musical organic unity becomes axiomatic to most other Romantic composers'.[151] One could say, therefore, that

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[149] Johann Wolfgang von Goethe, *Scientific Studies*, ed. & trans. Douglas Miller, Princeton: Princeton University Press, 1988, p. 64.
[150] Pastille, 'Goethe's Influence', p. 33.
[151] Baron, 'Schlegel's Mystic Principle', p. 532.

Beethoven's attitude is also axiomatic to organic analysts, since his music frequently involves the types of unity that organicist analysts are interested in.

It is very likely that Beethoven had read many of the philosophies on music of his time. His first important teacher of his Bonn years, Gottlob Neefe, who significantly contributed to Beethoven's intellectual development, belonged to a 'radical', politically progressive group called Illuminati, and later to a local 'reading society'.[152] In the years 1785-9, Beethoven studied philosophy in the Bonn Academy, which the Elector Max Franz had elevated to a university-type status.[153] In 1809, in a letter to Breitkopf & Härtel, Beethoven claimed that he had, since childhood, always aspired to familiarize himself with the intellectual writings and ideas of his own time.[154]

Lewis Lockwood observes a strong Kantian influence on Beethoven's musical ethics. Kant's idealist philosophy 'epitomizes Beethoven's whole sense of his artistic enterprise, whereby the artist – earth-bound, frail, and vulnerable but possessed of moral purpose – strives through art toward the transcendental world of the higher order of things'.[155] Later, in 1820, Beethoven would actually write down a quotation from Kant's work – 'the moral law within us and the starry skies above us'[156] – a quotation which clearly expresses the idealist value of striving towards a higher reality.

It is easy enough to draw comparisons between Schelling's view of nature as the all-encompassing unity of life, and Beethoven's own views. As Kindermann points out, Beethoven's 'heavily annotated copy of Christian Sturm's *Reflections on the Works of God in Nature*' is evidence of 'Beethoven's own nature worship'.[157] Goethe's belief in nature as a source of power (which can be observed as early as the 1770s in poems such as his *Kunstlers Abendlied*) also extends to Beethoven, who sought artistic inspiration in countryside promenades.

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[152] Lewis Lockwood, *Beethoven: The Music and the Life*, New York: W. W. Norton, 2003, p. 33.
[153] Lockwood, *Beethoven*, p. 37.
[154] Lockwood, *Beethoven*, pp. 35-6.
[155] Lockwood, *Beethoven*, p. 11.
[156] Quoted in Lockwood, *Beethoven*, p. 10.
[157] Kinderman, *Beethoven*, p. 6.

As for Schiller's influence on Beethoven, Lockwood believes that 'it seems beyond doubt that Schiller's *Letters on the Aesthetic Education of Man* informed Beethoven's view of the potential power of art (and music) to enlighten individuals and society in a new way'.[158]

In 1814, in a letter to Treitschke, Beethoven wrote, 'I always have the whole in my mind'.[159] What was this whole? Ernest Newman believes that it was 'a dim vision of the totality of what the movement was to express'.[160] According to Heuss, when Beethoven had an idea for a composition, he would look for a motif in his sketches, a motif which was suitable for the development of his idea.[161] This suggests that Beethoven may have used motifs as a way of expressing an already-formed idea of the whole. Once Beethoven had his motif, it seems that the compositional process of motivic development was easy for him. Beethoven once wrote that 'revising is a real strain, compared with which actual composing is easy'.[162] He writes, 'I must discharge melody in all directions; I pursue it, capture it again passionately; I see it flying away and disappearing…now I seize upon it again with renewed passion'.[163] Although we can not know whether Beethoven was referring to motivic development or large-scale melodic continuity here, it is highly possible that the motif had a germinal type of effect on Beethoven, an idea supported by his sketchwork.

Beethoven is reported to have said the following to Louis Schlösser in 1823: 'The underlying idea never deserts me. It rises, it grows tall, I hear and see the image in my mind in its entire extent, as if cast in a single mould, and all that remains is the task of writing it down'.[164] What did an 'underlying idea' in one of Beethoven's compositions consist of? Dahlhaus suggests that 'we can make an initial, abstractive approach by defining the "underlying idea" as the manner in which a specific association is made between the

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[158] Lockwood, *Beethoven*, p. 72.
[159] Alfred Kalischer (ed.), *Beethoven's Letters*, trans. J. S. Shedlock, New York: Freeport, 1969, p. 313.
[160] Ernest Newman, *The Unconscious Beethoven: An Essay in Musical Psychology*, London: Gollancz, 1968, p. 123.
[161] Quoted in Paul Squires, 'Beethoven's Concept of the "Whole"', *The American Journal of Psychology*, Vol. 48, No. 4, 1936, p. 687.
[162] Kalischer, *Beethoven's Letters*, p. 93.
[163] Alexander Thayer, *The Life of Ludwig van Beethoven*, New York: Beethoven Association, 1934, p. 188.
[164] Quoted in Carl Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, Oxford: Clarendon Press, 1991, p. 143. As Dahlhaus points out, however, there is a small doubt concerning the authenticity of this quotation.

development of the thematic material, the design of the tonal groundplan, the disposition of the formal functions, and the succession of the aesthetic characters: a manner of connection which can be traced back to a problem, to which the finished movement is the solution'.[165] Dahlhaus's definition supports the case for analysing the linear, motivic development and unity in Beethoven's works.

In the third volume of his *Die ganze Musikkunst* (1780), Johann Nepomuk Reichenberger recognizes the theme as the *musical idea* of a work. He writes that 'by the word "theme", we mean a brief musical passage consisting of a few notes, or a musical idea…presented in a few notes, much as one generally makes known the content or essence of a sermon with a word or two. This idea is subsequently the ongoing object…and goal of either the musical work or the oration'.[166] Other writers and composers of the time also stressed the importance of the theme or motif in a composition.[167] Could Beethoven's 'underlying idea' simply be the motif, ever present in the mind of the composer?

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Having outlined the development and relevance of musical organicism in the late eighteenth century, I will now turn to the musical analytical method itself. Schenker and Schoenberg were both committed to a vision of music as a living organism, and created different types of theoretical models of analysis to demonstrate organic unity in music. They developed their models through close examinations and analyses of works of the Austro-German canon of Bach through to Brahms. Schenker and Schoenberg are also the two most prominent theorists in the field of sub-surface motivic projection.[168] This thesis will now look closely at Schenker's model of musical organicism, in which harmony and

[165] Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, p. 145.
[166] Quoted in Bonds, *Wordless Rhetoric*, p. 165.
[167] In his *Dictionnaire de Musique* of 1768 Rousseau wrote : 'le motif principal doit être toujours présent à l'esprit du Compositeur, & il doit faire en sorte qu'il soit aussi toujours à l'esprit des Auditeurs' (quoted in Dahlhaus, *Ludwig van Beethoven: Approaches to his Music*, p. 144). ('The principal motif must always be present in the mind of the Composer, and it must function in such a manner that it is also always in the minds of the listeners'. Translation is my own). Beethoven could read French and may have been familiar with Rousseau's dictionary.
[168] The 'Schenkerian school' of motivic analysis has produced such theorists as Oswald Jonas, Felix Salzer, Ernst Oster (all students of Schenker) and Allen Forte, Charles Burkhart, Carl Schachter, and Roger Kamien.

tonal structure are the driving forces. I will then point out the limits of his restricted perspective, and suggest that his concept of the motivic parallelism is significantly undervalued in his theory. I will examine other musical frameworks, particularly Schoenberg's, that acknowledge the motif as equal to, or more important than, harmony as a unifying organic feature.

The 'Schoenbergian school' includes theorists such as Rudolph Réti, Hans Keller, Joseph Rufer, Alan Walker, and David Epstein.

1.2.1. Schenker's View of Tonal Structure as the Primary Unifying Force in Musical Organicism

Schenker's methodologies always aimed primarily to reflect organicism in music, but his early view of organicism differed significantly from his later view on the matter. At the beginning of his career, Schenker sought musical organicism to a large extent via the linear development of the motif. As Van den Toorn acknowledges, 'Schenker likened motives to human characters … the progress of a piece was judged to be the progress of its motives … just as with the life of such a personage, that of a motive was ultimately … a synthesis, a true whole'.[169] However, Schenker soon came to distrust the motif, and its development as a means to explain organicism. In *Geist* (1895), the first of seven installments of a larger published work, *Der Geist der musikalischen Technik* (The Spirit of Musical Technique), Schenker questions the motif as a tool in musical organicism. He writes, 'In reality, musical content is never organic, for it lacks any principle of causation. An invented melody never has a determination so resolute that it can say "Only that particular melody may follow me, none other"'.[170] Schenker's argument, as laid out in *Geist*, denies a musical event as being the one true consequence of the musical event preceding it. He sees the composer's 'subjective will' as an external 'nullifying force'.[171] Although Pastille claims that Schenker was an outright anti-organicist at this point of his career, Stephen Hinton makes a more subtle judgment. Hinton points out that Schenker believed in a constitutive, Kantian type of organicism (a concept discussed in section 1.1.1) as opposed to a regulative one. Schenker's conception of organicism is clearly similar to Kant's earlier definition of genius, as Hinton points out.[172] Schenker writes:

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[169] Pieter C. Van den Toorn, 'What's in a Motive: Schoenberg and Schenker Reconsidered', *The Journal of Musicology*, Vol. 14, No. 3, 1996, pp. 373-4.
[170] William Pastille, 'Heinrich Schenker, Anti-Organicist', *19th-Century Music*, Vol. 8, No. 1, 1984, p. 31.
[171] Pastille, 'Anti-Organicist', p. 32.
[172] As Hinton writes, 'geniuses are mediators because they create "organically"; that is, they maintain unconscious, unwitting contact with the *Ursatz*….such ability comes from the grace of God, who has elected those few as mediators, as prophets' (Stephen Hinton, 'Schenker in English: Theory, Aesthetics, and Politics', unpublished essay, p. 8).

That which is organic is of course only organic insofar as it remains *untouched by consciousness*: provided the composer had not willed a certain similarity then one can speak of its arising in his imagination in *a truly organic fashion*.[173]

Schenker's view later changed considerably when he began to consider organic growth as a linear and a spatial phenomenon.[174] It is at this stage that his views on organicism began to become more regulative. He saw musical form and motion as being analogous, in some respects, to nature and organisms. For Schenker, the chief means of establishing unity were now via harmony and tonal structure. He began to establish this new theory in 1906, with the appearance of his *Harmonielehre*, in which his *Stufe*, a 'higher, abstract unity',[175] functioned as a background unifying force.

In his later years, Schenker completed and refined his theory, in which he embraced organic unity in music. His revised theory, in which set rules of harmony and strict counterpoint worked together on all structural levels, aimed primarily at showing how a piece of music was unified through the 'composing out' of the tonic triad. It is not surprising that the tonic triad took on such an important role in Schenker's theory, for like Rameau, he saw the triad as belonging to nature. Schenker said that 'even the octave, fifth, and third of the harmonic series are a product of the organic activity of the tone as subject, just as the urges of the human being are organic'.[176] Schenker's *Ursatz* reduced a piece of music to the tonic triad and was the single most important unifying background force. His *Urlinie* (fundamental line) outlined notes of the tonic chord linearly or melodically, while his bass arpeggiation outlined the tonic chord triadically. The linear progressions, revealed in analysis, unified a musical work. Schenker believed that 'every linear progression shows the eternal shape of life - birth to death. The progression begins, lives its own existence in the passing tones, ceases when it has reached its goal - all as organic as life itself'.[177] In *Der freie Satz*, Schenker advises that 'instruction at least in the linear progressions, the primary means of coherence, is indispensable'.[178] Linear progressions are organic because they grow from a

[173] Quoted in Stephen Hinton, 'Schenker in English: Theory, Aesthetics, and Politics' (unpublished essay), p. 11.
[174] Pastille, 'Anti-Organicist', p. 32.
[175] Pastille, 'Anti-Organicist', p. 32.
[176] Quoted in Solie, 'The Living Work', p. 151.
[177] Quoted in Solie, 'The Living Work', p. 147.
[178] Heinrich Schenker, *Free Composition*, trans. and ed. Ernest Oster, New York: Longman, 1979, p. 9.

single note. Each single note in a linear progression on one level is able to 'give birth' to another linear progression on another level. The metaphor of procreation in nature is one that permeates Schenker's writing and reflects Schelling's theory of music. Schenker writes that 'every tone is possessed of the same inherent urge to procreate infinite generations of overtones. Also this urge has its analogy in animal life; in fact, it appears to be in no way inferior to the procreative urge of a living being. This fact again reveals to us the biological aspect of music'.[179]

Tonal structure, therefore, and in particular the 'composing out' of the *Ursatz* through means of linear progressions, was the primary factor in Schenker's later theory of musical organicism. As Richard Cohn summarises, 'no proposition is more central to Schenkerian theory than some form of the following: The *Ursatz* alone is the source of compositional unity'.[180] Overall, Schenker's theory holds strong in its agreement with the fundamental concepts of late eighteenth-century organicist philosophies.[181]

1.2.2. A Critique of Schenker's Focus on Tonal Structure in Musical Organicism

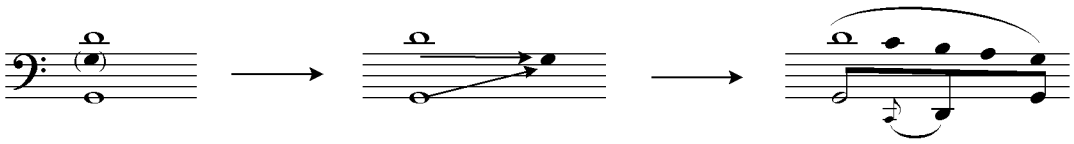
The main incongruity between Schenker's model of organicism and the late-eighteenth century view is that Schenker's *Ursatz* is composed-out over time, rather than developed as a unit. The organicist ideals, however, involve a 'working-out' of ideas in order to reach higher realities. To repeat Karl Schlegel, 'is not the theme developed, confirmed, varied and contrasted, just as is the object of a sequence of philosophical speculations'? The

[179] Quoted in Susan McClary, *Feminine Endings*, Minnesota: University of Minnesota Press, 1991, p. 12.
[180] Richard Cohn, 'The Autonomy of Motives in Schenkerian Accounts of Tonal Music', *Music Theory Spectrum*, Vol. 14, No. 2, 1992, p. 150.
[181] For example, Schenker's theory mirrors Schlegel's and other theorist's religious concept of eternity. For Schenker too, musical structure is representative of God's divine network. He writes that 'the whole of foreground, which men call chaos, God derives from His cosmos, the background. The eternal harmony of His eternal Being is grounded in this relationship'. (Schenker, *Free Composition*, p. xxiii). Schenker's *Ursatz* also bears obvious resemblances to Goethe's *Urtypen*. Moreover, Goethe's *Urtypen* were not able to be sensed solely through physical means – the mind and spirit were needed for their perception. This 'elevated form of perception'[181] Goethe called *Anschauung*, and was momentarily observed with a 'spontaneous and sudden flash of insight called the *apercu*, the apperception of the law underlying the varied appearances of similar [forms]'.[181] This sort of quasi-spiritual realization of the *Urtypen* is mirrored in Schenker's instinctual rather than rational perception of the *Ursatz*. Schenker wrote that 'religion, philosophy, and science all press toward the shortest formula. A similar instinct led me to comprehend that the musical work too arises solely out of the core of the *Ursatz*…I saw through to the *Urlinie*, I did not figure it out!'[181] One notes a similarity

motivic parallelism is certainly able to embody these ideas and must, for this reason, also be acknowledged as an important musical tool in organic unity and growth.

Pastille argues that Schenker's theory reflects Goethe's complex developmental process of metamorphoses. But on this point, I disagree. Pastille proposes that not only are Schenker's and Goethe's starting points the same (the *Urtypen* and *Ursatz*), but that 'the interaction of musical polarity and intensification gives rise to the several transformation levels – or, in Goethean terms, metamorphoses – of the *Ursatz*, which ultimately culminate in the foreground'.[182] The musical poles he sees as horizontalization and verticalization. As for the process of intensification, he states that 'the horizontal force seeks the greatest possible extension between the pitches [in linear progressions], whereas the vertical force seeks to strengthen its control over the distended simultaneity'.[183] He gives the following example of such a process (see example 1):

Example 1



However, I would argue that one cannot compare the equal active intensification of the two poles in Goethe's model with the very different musical poles (horizontal and vertical forces) in Schenker's. The horizontal force may be seen to be an intensification *of* the vertical force. Equally, the vertical force may be seen to be an intensification *of* the horizontal force. But these two forces intensify together, rather than independently, as in Goethe's model. More importantly, in order for the parts of a musical idea originating from the *Ursatz* (or in Goethe's case, the parts of an organism originating from the organism as a whole) to be separated, the *Ursatz* or organism must be present in one place and time to begin with. This is not the case in Schenker's model. Even in the Goethe-like musical motivic prototype proposed by Montgomery, the multi-motivic theme is presented *at once*,

between Plato's belief in human's rare glimpses of ideal forms, Schenker's perception of the *Ursatz*, and Goethe's *Anschauung*.

[182] Pastille, 'Goethe's Influence', p. 41.

[183] Pastille, 'Goethe's Influence', p. 41.

and at the *beginning* of the piece, whereas Schenker's *Ursatz* is not normally heard in one presentation before so-called 'development' takes place. I would suggest that Schenker's motivic parallelism better reflects the linear process of organic development, growth and transformation that Goethe's model puts forward.

Schenker's theory offers a very sophisticated model of both organic growth and organic unity. His theory of organic growth, however, focuses on the 'procreative urge' of every note to prolong itself via a linear progression, and on the forward descending motion of the fundamental line. It focuses much less on the motivic saturation over the various structural levels, i.e. it does not track motivic events that form a vital part of linear development. Schenker acknowledges the need for organic growth in music. He compares life with music in *Der freie Satz*: 'The origin of every life, whether of nation, clan, or individual, becomes its destiny…The inner law of origin accompanies all development and is ultimately part of the present. Origin, development, and present I call background, middleground and foreground; their union expresses the oneness of an individual, self-contained life'.[184] One thing is made clear by this quotation. Schenker primarily views organic growth as occurring throughout the layers, and not temporally as a series of musical events. For him, the background structural layer is the origin, the middleground the development, and the foreground the present. The middleground is born from the background as the foreground is born from the middleground. As Alan Street puts it, 'Schenker's theory of fundamental structure regards the unified masterpiece as an example of organic growth from background to foreground'.[185] Schenker sees origin and destiny as one and the same thing, and confirms this elsewhere: 'The hands, legs, and ears of the human body do not begin to grow after birth; they are present at the time of birth. Similarly, in a composition, a limb which was not somehow born with the middle and background cannot grow to be a diminution'.[186] As Solie points out, Schenker is confusing the spatial realm with the temporal realm. A baby, born complete with its human parts, cannot be compared to 'the unheard but ever-present background of a piece of music'.[187] In the case of the baby, all its organic origins are present in one space and time, and its life is a growth from these origins. In the case of

[184] Schenker, *Free Composition*, p. 3.
[185] Street, 'Superior Myths', p. 78.
[186] Schenker, *Free Composition*, p. 9.
[187] Solie, 'The Living Work', p. 153.

Schenker's musical background, however, the origin (the *Ursatz*) is in fact revealed through time at the same pace as its own growth and development through the layers. The musical origin (the *Ursatz*) is not heard or presented before developmental growth takes place. Schenker's concept of development thus risks being static on the page. As Tarasti points out, 'the idea of a surface that is gradually generated from a deep structure is based on hierarchies, and thus on something static and architectonic, which stops musical movement'.[188]Solie remarks that 'the growth direction [in Schenker's model of organicism] does not mirror the perceptual progress of the piece, but rather its conceptual progress from background to foreground'.[189]

Schenker's descending fundamental line allows for *one* important type of linear organic development. As Rosen states, Schenker's theory is primarily a linear one, which 'rests firmly on the direction of time – the movement towards the tonic, the tendency of resolution to go downward'.[190] The fundamental line is revealed in time throughout the composition and accounts for organic movement, growth, and procreation. As Spitzer points out, 'a head-tone generates lower-order notes, which then leads to emancipation when these notes achieve an independence from their parent'.[191] However, for Schenker, a composition is simply the 'composing-out' of the *Ursatz*, or the origin. In other words, the fundamental line is not a development of the principal structure, it *is* by definition the upper part of the principal structure. What happens between each one of the fundamental tones (that is, the prolongations of those tones) might be seen, to use Schenker's own words, as 'delaying'. He writes that 'in the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours…Therein lies

[188] Tarasti, *Signs of Music*, p. 101.
[189] Solie, 'The Living Work', p. 153. By viewing organicism throughout the layers, Schenker's theory also risks becoming self-justifying. This is because any *reductional* theory can justify its demonstration of organicism in music. Say, for example, I proposed a precipitant theory in which I took the first note of every bar from the musical score, placed them in the middleground, and then viewed each of those notes as belonging to the nearest note of the tonic triad, which I then placed in the background. Absurd as this theory would be, I could still claim that my theory demonstrated organicism throughout the structural layers, each note being linked 'organically' to the structural layer beneath it. Schenker's analytical process is extremely effective in explaining the underlying progressions beneath the musical surface, because it is based on strict rules of harmony and counterpoint. However, it could be argued that this process simply demonstrates the organic nature of the theory itself – or more precisely, of tonal music itself - and does not reveal organicism *within* a particular musical work.
[190] Rosen, *The Classical Style*, p. 41.
[191] Spitzer, *Metaphor and Musical Thought*, p. 41.

the source of all artistic delaying'.[192] The origin, or *Ursatz*, is never developed as an organic unit.

Furthermore, the fundamental lines in Schenker's later analyses always descend.[193] If Schenker's *Urlinie* was seen purely as a musical representation of melodic structure, then this would pose no problem. The difficulty arises in the fact that Schenker also intends the *Urlinie* to mirror the physiological responses of organisms, i.e. the tension and relaxation experienced through processes such as breathing. Schenker's early conception of the *Urlinie* (as a fundamental line that could ascend or descend by step) was, to quote Schenker, 'as regular as inhaling and exhaling'.[194] When Schenker later decides to give superiority to the descending line, he maintains that the line resembles the notions of tension and relaxation. In *Free Composition* he writes: 'To man is given the experiencing of ending, the cessation of all tensions and efforts. In this sense, we feel by nature that the fundamental line must lead downward until it reaches $\hat{1}$, and that the bass must fall back to the fundamental. With [$\hat{1}$ over I] all tensions in a musical work cease'.[195]As Spitzer puts it, this 'enshrines the venerable gravitational metaphor that associates musical resolution and closure with melodic descent'.[196] Schenker's descending fundamental line reflects the organic process of decay, or, as he puts it, of 'the cessation of all tensions and efforts'. It does not, however, reflect organic growth and the rise of tension. Certainly, these elements are reflected within the middleground and foreground levels, but these levels are themselves seen to be born out of the fundamental line, a line of descent and decay. The highest point of tension in the life of an organism or of a musical work is seldom at the very beginning. Another organic tool is needed to account for the physiological responses of

[192] Schenker, *Free Composition*, p. 5.
[193] This was not always the case in Schenker's earlier analyses. In his essay of Beethoven's Piano Sonata in A Major. Op. 101, Schenker writes: 'In examining the *Urlinien*, one should not be misled by the fact that they all resemble one another in their fixed lines of seconds, repetitions, and ascending and descending motion'. (quoted in David Neumeyer, 'The Ascending *Urlinie*', *Journal of Music Theory*, Vol. 31, No. 2, 1987, p. 276). Neumeyer notes that Schenker also incorporates an ascending fundamental line in his analysis of the first of J. S. Bach's Twelve Little Preludes. He concludes that 'there seems to be no fundamental distinction between the structural roles of rising and falling lines: both participate in the shaping of the *Urlinie* motions of a composition'. (Neymeyer, 'The Ascending *Urlinie*, p. 276). It is throughout the ten issues of *Tonwille* that Schenker gradually favours the descending line over the ascending one. (Neymeyer, 'The Ascending *Urlinie*, p. 277).
[194] Quoted in Neumeyer, 'The Ascending *Urlinie*', *Journal of Music Theory*, Vol. 31, No. 2, 1987, p. 276.
[195] Quoted in Neumeyer, 'The Ascending *Urlinie*', p. 278.
[196] Spitzer, *Metaphor and Musical Thought*, p. 335.

rest/motion, and tension/release. Barney Childs has proposed a 'narrative curve' as a representation of what one can expect in both life and music. It involves a very gradual rise, culminating in a climax near the end, before a final falling release of tension.[197] This might be seen to better reflect the rise in tension contained within a musical work.[198] The variety and scope of motivic parallelisms, I suggest, can efficiently reflect the general 'ups and downs' of organic life that Schenker wished to reflect in his theory. If motivic parallelisms are seen as autonomous organic tools, free from the *Ursatz* (I will return to this idea later), then both the growth and decay of an organism can be seen to be reflected in music. Growth is no longer seen as being subordinate to decay, and Childs's narrative curve of life is able to underlie the overall shape and motion of motivic parallelisms.

It is also important to consider the musical environment in Vienna at the time Schenker was formulating his mature theories (1910-1935). This was, of course, the same time that Schenker's rival Schoenberg was active in formulating his own theories. At the heart of the Schenker/ Schoenberg debate was the argument for and against 'incidental' and 'essential' dissonances.[199] The impact of Schoenberg's theory on music of the time was immense, contributing to the emancipation of dissonance and the eventual breakdown of tonality. For Schenker, a traditional tonal analyst, this must have been too much to bear. Certainly, one senses this in reading Schenker's many attacks on Schoenberg throughout his writings. As Kerman points out, Schenker's writings were 'obviously conceived as a defence against the new modernism'.[200] It is understandable that Schenker put all his focus into formulating a theory entirely based on traditional harmonic principles. The significance of this is that Schenker neglected his motivic parallelism in formulating his theory, due to the energy he put into defending the traditional tonal system.

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[197] Barney Childs, 'Time and Music: A Composer's View', *Perspectives of New Music*, Vol. 15, No. 2, 1977, p. 195. Manfred Clynes has also studied the psychic functions in music. His empirical tests involving human subjects show that people hear all types of music (his examples include music of Haydn, Mozart, Debussy, and Virgil Thomson) as containing definite 'ups and downs'. The resulting graphs nearly all *ascend* towards the three-quarter mark, rather than descend. (Shown in Tarasti, *A Theory of Musical Semiotics*, pp. 12-13.

[198] The only aspect of Schenker's mature theory that reflects a rise in tension in the overall line is his initial ascent, which leads very quickly to the establishment of $\hat{1}$ near the beginning of the piece.

[199] For Schenker, a non-chordal tone, such as a passing note, has no impact on the harmonic progression. It is merely a melodic dissonance. For Schoenberg, the dissonance created by the passing note is a harmony in its own right (Dahlhaus, 'Schoenberg and Schenker', p. 209).

Schenker believed that a feeling of improvisation was a necessary component for a work to sound organic. In *The Masterwork in Music II*, Schenker talks of improvisation as 'the chief characteristic, the improvisatory impulse, which gives coherence to the parts of the form by means of linear progressions'.[201] He believed that the improvisatory quality of a work gives it a feeling of naturalness, which was an essential element in musical organicism. Schenker saw the structural layers as improvisations of the *Ursatz*. As Dahlhaus points out, 'Schenker persists in his contention that the middleground and background are not merely artificial constructions, but matters of perception - intuitive perception….Schenker considered his theory as an instruction in musical listening'.[202] Around the turn of the century, Schenker and others bemoaned the lack of ability of listeners to hear important underlying harmonic progressions. As the quotation above suggests, his concept of improvisatory-like harmonic linear progressions over a given fundamental structure is perhaps an effort to retrieve a skill that was rapidly being lost around that time. The implication once more is that because of the then contentious issues of harmony and harmonic perception, Schenker committed himself to a theory of improvisation, centered round harmony rather than the motif. Yet, as we saw in the first section of this thesis, in late eighteenth-century musical practice (and a large body of Schenker's analyses *is* of music of this time), improvisation was based to a large extent on the motif. In fact, Schenker himself, at one point, seems to contradict his own philosophy, where he writes that 'without understanding motives in this sense [as sub-surface features], the scope and sweep of improvisation, which alone creates organic coherence in sonata form, would never be achieved'.[203]

1.2.3. Schenker's Motivic Parallelism

Let us now examine Schenker's use of the motivic parallelism (a term used occasionally by Schenker, and fully adopted by Charles Burkhart) in his later analytic theory. The basis of

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[200] J. Kerman, 'How We Got into Analysis, and How to Get out', *Critical Enquiry*, Vol. 7, No. 2, 1980, p. 316.
[201] Heinrich Schenker, *The Masterwork in Music*, ed. and trans. William Drabkin, New York: University of Cambridge Press, 1996, p. 30.
[202] Dahlhaus, 'Schoenberg and Schenker', p. 212.
[203] Heinrich Schenker, 'On Organicism in Sonata Form', in William Drabkin and Ian Bent (eds. and trans.), *The Masterwork in Music*, Cambridge: Cambridge University Press, 1996, p. 30.

the concept lies in the repetition of a motif, or of a series of pitches, in the same, or over different structural levels. Schenker himself was more interested in repetitions over different levels, however, since he distrusted the surface motif as a means of unifying a piece. Schenker mostly used the term *verborgene Wiederholung* (concealed repetition) to describe this motivic feature, that differed significantly from the earlier polyphonic period, in which 'repetition lay always on the surface; it was immediately and constantly perceptible to eye and ear as inversions, augmentations, contractions'.[204] What makes Schenker's motivic parallelism so fascinating is the way in which the motif is paralleled on a higher or lower structural level, and is therefore initially concealed both to the eye and to the ear. A surface motif may be augmented over several bars, or indeed over an entire movement, through the prolongation of its constituent notes via various means. Roger Kamien refers to this technique as 'progressive motivic enlargement'.[205] In their book *Analysis of Tonal Music: A Schenkerian Approach*, Allen Cadwallader and David Gagné present a clear example of this process occurring in the first movement of Beethoven's Piano Sonata Op. 2 No. 1, composed in the same year as the Op. 2 No. 3 sonata. Following Schenker's analysis of this piece, they illustrate how the descending sixth motif (C – E) of bb. 7-8 of the opening theme is enlarged over six bars (bb. 11-16). An even longer thirteen-bar enlargement of the motif occurs in the development section in bb. 69-81. As John Rothgeb points out, just the opposite can also occur: a concealed motivic entity can later be compressed into a surface motivic appearance.[206] Schenker gives examples of motivic parallelisms involving both augmentations and contractions in figures 118 and 119 of *Free Composition*.

Motivic repetitions can occur in all parts, and sometimes, as Eric Wen points out, 'motivic connections can occur across two separate parts through a voice exchange, and the integrity of the motive creates a linear connection'.[207] In some cases, the motive's enlargements are so significant to the tonal structure of the work that 'the opening theme of a piece or

[204] Schenker, *Free Composition*, p. 99.
[205] Roger Kamien, 'Aspects of Motivic Elaboration in the Opening Movement of Haydn's Piano Sonata in C Sharp Minor', in David Beach (ed.), *Aspects of Schenkerian Theory*, New Haven: Yale University Press, 1983, pp. 77-93.
[206] John Rothgeb, 'Thematic Content: A Schenkerian View', in David Beach (ed.), *Aspects of Schenkerian Theory*, New Haven: Yale University Press, 1983, pp. 50-53.

movement will often foreshadow in miniature the structure of an entire work'.[208] Oster points out, for example, in a footnote in Schenker's *Free Composition*, that Brahms avoids the dominant key in the development of the first movement of his Third Symphony in F major, and returns to the tonic key instead. He does this so that the opening F-A♭-F motif may be augmented as a large-scale I-III-I progression. Brahms thus 'presents the symphony's, and his own personal, motto in gigantic enlargement: frei aber froh ("free but glad")'.[209] Alternatively, a single, recurring note in an opening motif or theme might be tonicized later in the work. In this case, even a single note might be seen to be 'paralleled', so long as that note is structurally important in both repetitions. I will provide examples of most of these types of occurrences in my analysis of Op. 2 No. 3.

Compared to his early view of the motif, in which a series of tones must be repeated *immediately* in order to be termed a motif,[210] Schenker's motivic parallelism allows more freedom to the analyst, because motivic entities are valid even if there are long periods of music between them. Yet at the same time, there are new constraints introduced. Schenker conceives of the motif as an entity tied to its harmonic structure. His method of uncovering motivic parallelisms within all structural layers is based on strict rules of Fuxian counterpoint and harmony. Whereas Réti *sets out* to find motivic connections on and beneath the musical surface (and does so by finding similarities in general motivic shapes with frequent disregard of harmonic principles), Schenker's discovery of them is more a *by-product* of tonal reductional analysis, manifested in the appearance of motivic repetitions within the fluent linear progressions that underlie the musical foreground.[211] As Sylvan

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[207] Eric Wen, 'Bass-line Articulations of the *Urlinie*', in Carl Schachter & Hedi Siegel (eds.), *Schenker Studies 2*, Cambridge: Cambridge University Press, 1999, p. 281.
[208] Eric Wen, 'Bass-Line Articulations', p. 283.
[209] Schenker, *Free Composition*, p. 140. Max Kalbeck was the first person to suggest this significance of the F-A-F progression. The intentionality behind this progression has been questioned, however. Interestingly, John Daverio uses the same argument as Oster (that Brahms avoided expected tonal progressions) to argue *against* the authenticity of this motto. He writes that 'if Brahms did construct a musical cipher on F.A.F., then he broke his own [musical] rules every time he worked it into one of his compositions … Nowhere … does Brahms feature the putative cipher in its basic form (F-A-F). Rather, it appears in a number of "derived" versions that involve chromatic alteration (F-A♭-F in the Third Symphony)' (John Daverio, *Crossing Paths: Schubert, Schumann, & Brahms*, New York: Oxford University Press, 2002, p. 111).
[210] Cohn, 'The Autonomy of Motives', p. 153.
[211] Charles Burkhart, 'Schenker's Motivic Parallelisms', *Journal of Music Theory*, Vol. 22, No. 2, 1978, p. 146. It has often been claimed that Réti acknowledges only those notes in a musical passage that correspond to the motif he is trying to link them to, while discarding the other notes completely. As Frisch puts it, 'Réti's examples simply relegate to small print the notes which do not fit the shape he is trying to construe' (Frisch,

Kalib states, 'by picking out a pair of distantly separated tones from the upper voice – by this alone, nothing has as yet been proven; the tones must also withstand the test of the whole! Only that which is capable of being proven by voice-leading transformations is valid.[212] Schenker's motivic parallelisms are inexplicably linked to harmony,[213] and are seen as by-products of analysis. Although motivic parallelisms are often acknowledged in analysis by Schenker and other Schenkerian analysts, they are only ever seen as incidental products of the tonal and harmonic reductive process, and hence hold significance in Schenker's general theory of organicism, but are never seen as *independent* unifying agents. As Cohn summarises, 'the *Ursatz* alone is the source of motivic unity …. [This proposition] guides the treatment of motive not only in Schenker's mature writings, but also those of modern scholars working within the Schenkerian tradition'.[214] Although Schenker refers to the motivic parallelism at one point as a 'prime carrier of synthesis',[215] his occasional remarks like this one must be taken with a grain of salt, since the motivic parallelism actually holds relatively small importance in his theoretical framework. Rothgeb points out that 'Schenkerian theory nowhere specifies in an abstract way how or where such repetitions shall or must occur in a work, or how we are to look for them'.[216]

I believe that the motivic parallelism is a significantly more important unifying tool than the Schenkerian organicist framework might suggest, primarily because the motivic parallelism unifies the different layers *and* distinct successive musical events. It unifies material through the layers because each of its constituent notes is part of a tonally structural diminution of the material in the lower structural levels. On the horizontal plane

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'Brahms', pp. 228-9). The second criticism of Réti is that he uses very basic motivic elements that are found everywhere in music – the minor or major second, for example – to link material back to the motif. The downfalls of Réti's method do not necessarily reflect any weakness in the general analytical practice of motivic organicism, however. Réti's method of motivic analysis was not based on strict harmonic and contrapuntal principles, like those that govern Schenker's motivic parallelism.

[212] Quoted in Cohn, 'The Autonomy of Motives', p. 153. Harmonic context is certainly not the only consideration in deciphering motivic tones from non-motivic tones. Motivic analysis calls for a good sense of overall judgement, and is essentially a subjective process. David Epstein offers five criteria against which a set of pitches can be judged to be structurally and thematically significant. These are 1) 'points of contour'; 2) 'rhythm and meter'; 3) 'pattern: consistency and recurrence'; 4) 'degree position of pitches within a key'; and 5) 'harmonic context' (Epstein, *Beyond Orpheus*, pp. 37-8). A set of repeating pitches that fall on high or low points of a phrase and on strong metrical beats of the bar, for example, fulfills the first three criteria.

[213] Burkhart, 'Schenker's Motivic Parallelisms', p. 167.

[214] Cohn, 'The Autonomy of Motives', p. 150.

[215] Schenker, *Free Composition*, p. 101.

[216] John Rothgeb, 'Thematic Content: A Schenkerian View', p. 40.

(and diagonal plane, an idea I shall return to), the motivic parallelism grows, develops and transforms itself through means such as progressive motivic enlargement and motivic compression.

If it is taken to be a tonal unifying tool, then must the motivic parallelism be dependent on the *Ursatz*, the *primary* tonal unifying agent? I believe such is not the case, and that the motivic parallelism, an entity already derived from strict rules of harmony and counterpoint, and mirrored on the musical surface, should be seen as an agent free from the tonal ties of the *Ursatz*. Following Cohn's elaborations of Schenker's analytical method, I propose a model of analysis in which Schenker's motivic parallelisms no longer function directly within Schenkerian theory.

1.2.4. The Motivic Parallelism as an Independent Tool of Unification in Organicism

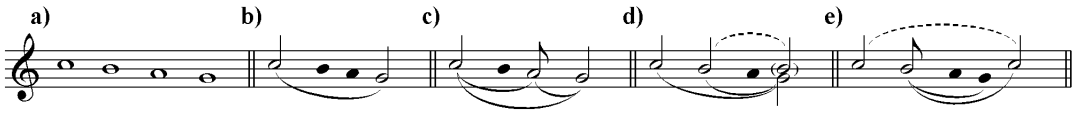
Cohn points out several discrepancies between the Schenkerian concept of motivic dependence upon the *Ursatz* and the treatment of the motivic parallelism in analyses by Schenkerians. He illustrates how the motif is treated significantly more autonomously by Schenkerians than the theory itself dictates. He observes, for example, how motivic parallelisms have been used by many Schenkerian analysts to support certain analytical readings over others.[217] The use of the motivic parallelism in this way suggests that some Schenkerians see it as holding a more influential role in musical organicism than Schenker himself has indicated.

Cohn also questions the Schenkerian notion evident throughout his writings that 'motivic entities must derive from the *Ursatz*'. As Schenker writes, 'all growth…finds its fulfillment only through the control of the fundamental structure and its transformations, through *constant* contact with background, middleground and foreground'. Cohn asks 'if an entity depends for its status on its mode of derivation, then does the mode of derivation become part of the description of the entity'?[218] What Cohn is referring to are the middleground structural descriptions of motifs, which themselves are linear expansions of the *Ursatz*. He

[217] Cohn, 'The Autonomy of Motives', p. 156.
[218] Cohn, 'The Autonomy of Motives', p. 158.

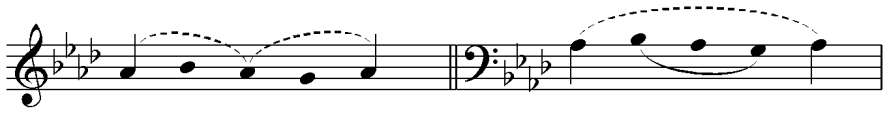
describes how, in Schenkerian analytical theory, a descending fourth line, for example, can be read structurally in at least six different ways, through the use of slurs, dotted lines, and through the structural importance given to different notes in the progression (see example 2).

Example 2



Cohn remarks that 'if identity depends at least on a partial account of origins….if the entities share surface characteristics [the same pitch series of notes] but have different structural descriptions…the hypothesized relationship would fail the test and be dismissed'.[219] Schenker's view of the motif as being dependent upon harmonic structure explains his reluctance to accept motifs as influential organic forces, because in each appearance of a motivic parallelism, the structural harmonic descriptions of those motivic entries are very likely to be different from one another. It follows that if, by his own definition, such motivic entities are not organically related due to the structural differences in their derivation, then they can not be viewed as organically unifying the work as a whole. Cohn interprets Schenker's view that 'to posit a connection between them would be to respond to surface distraction, to lose the contact with the *Ursatz*, to sever entities from the breath which sustains them'.[220] Yet Cohn goes on to illustrate how Schenker normally adheres to this idea, but how in several cases he actually *breaks* this rule. Using Schenker's analysis of the minuet of Beethoven's Op. 2 No. 1 sonata, Cohn illustrates how the structural description for the top voice is different from that of the lower voice (see example 3).

Example 3



[219] Cohn, 'The Autonomy of Motives', p. 159.

As he points out, 'in the top voice, the interior A♭ prolongs those at the exterior; in the tenor, the A♭ acts as a structurally inferior passing tone. Despite these different structural descriptions, Schenker considers this "motive" as an agent of unity'.[221] The implication here is that Schenker's notion that 'the *Ursatz* is the source of all motivic entities' impedes the potential usefulness of a wide variety of related motivic entries in explaining musical organicism. In brief, motivic parallelisms with different structural derivations must be acknowledged as possible unifying agents when explaining musical unity.

Cohn persuasively argues for a more inclusive view, in which motivic parallelisms are seen as independent unifying forces in musical organicism, their repetitions organically linked, even if their harmonic structural derivations are different. Jairo Moreno supports Cohn's view and proposes two different types of motivic parallelisms: structural and free. He does, however, raise the question of whether allowing freer associations amongst motivic parallelisms 'threatens to trivialize the notion altogether',[222] but responds that 'it is precisely the degree to which a foreground event partakes of deeper structural events that determines its significance within the system'.[223] In other words, a deep-lying (middleground or background) motivic entity – identical in its pitch-series of notes to a given motif – must be taken seriously in analysis because each of its notes has, in the first instance, passed tests of harmonic reduction in the lower layers.

Finally, Cohn points to another discrepancy between Schenker's view of the *Ursatz* as the sole source of organicism and the Schenkerian practice of motivic analysis. He draws attention to the problem of defining one motivic entity as more important or less important than another. Does one give precedence to the motif first heard, or to the motif on a deeper structural layer? Schenkerian theory dictates that the motif in the deeper structural layer should have 'precedence' because it lies closer to the *Ursatz*, yet Cohn notes that in practice the opposite is often true: analysts often give 'precedence' to the motif first heard, even if it

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[220] Cohn, 'The Autonomy of Motives', p. 160.
[221] Cohn, 'The Autonomy of Motives', p. 162.
[222] Jairo Moreno, 'Schenker's Parallelisms, Schoenberg's Motive, and Referential Motives: Notes on Pluralistic Analysis'. *College Music Symposium*, Vol. 41, 2001, p. 97.
[223] Moreno, 'Schenker's Parallelisms', p. 98.

is a surface motif.[224] He quotes the Schenkerian, Oster: 'one cannot even really understand the middleground of mm. 1- 10 unless one recognizes that it has its source in the foreground of mm. 1- 2'. This suggests (once more) that Schenkerian analysts are viewing motivic cohesion in a manner less dependent on the *Ursatz* than Schenker's theory puts forward, and that such descriptions of motivic relationships 'move neither toward nor away from the *Ursatz*, but cut laterally or diagonally across the prolongational hierarchy'.[225] These examples drawn on by Cohn from actual Schenkerian analyses call into doubt the dependence of the motif on the *Ursatz*.

In his highly persuasive article, Cohn argues for a modification of the conceptualization of the motif, and its dependence on the *Ursatz*, in order for it to be more in line with analytical practice. He calls for a view of Schenkerian organicism in which 'motivic relations create their own independent source of unity, interacting with the *Ursatz* hierarchy yet maintaining ultimate autonomy with respect to it'.[226] This does not entail, as I have already said, a rejection of Schenker's concept of tonal organicism in music. To acknowledge the independence of the motivic parallelism in organicism is simply to acknowledge the interaction between counterpoint and motivic structure *as much as* the interaction between counterpoint and harmony.[227]

1.2.5. Further Possible Roles of the Motivic Parallelism in Musical Organicism

As soon as one acknowledges the motivic entity as an important unifying force, independent of harmony, one is better equipped to account for dynamic and causal processes on the temporal plane. I will now examine how some other influential writers' (especially Schoenberg's) treatment of the motif in their theories of musical organicism reflects the organicist principle of growth, and how these ideas can convincingly be applied to the motivic parallelism. The approach taken, therefore, will be one that combines Schenker's and Schoenberg's understandings of organicism.

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[224] Cohn, 'The Autonomy of Motives', pp. 165-6.
[225] Cohn, 'The Autonomy of Motives', p. 166.
[226] Cohn, 'The Autonomy of Motives', p. 169.
[227] Cohn, 'The Autonomy of Motives', p. 169.

For Schoenberg, the motif is an important unifying tool over all musical levels, and motivic development is a fundamental aspect of a composition. He identifies the motif or, as he often refers to it, the *Grundgestalt* – a basic, fundamental shape – and the 'motif forms' which arise organically from that motif. Motif-forms are all the varied, worked-out reappearances of the compact motif, and are formulated and expressed through a process which Schoenberg calls 'developing variation'.[228] The means by which Schoenberg 'develops variation' of the motif include transposition, rhythmic alterations, intervallic adjustments, embellishments, chromatic alterations, harmonic changes in accompaniment, and changes in nuances of shape. In his *Fundamentals of Musical Composition*, Schoenberg gives numerous examples to show clearly how a motif is developed through such means. Sometimes, motif-forms are combined, creating a new musical thread or idea (this technique might be compared to Goethe's more complex concept of metamorphoses through division, intensification, and reunification, as explained earlier). In my analysis, I will illustrate how nearly all these processes also occur in the treatment of the motivic parallelism. It undergoes transposition, rhythmic alterations (especially important in middleground compared to foreground repetitions), chromatic alterations, and harmonic changes in accompaniment, all of which lead to Schoenberg's concept of unrest and eventual stability. Sometimes, different motivic parallelisms (of different motifs) are heard simultaneously in the two hands, an idea analogous to Schoenberg's combined motif-forms and Goethe's process of metamorphoses.

What is particularly interesting in Schoenberg's view is the way in which the evolution of his motif-forms accounts for organic growth. As Schoenberg states, 'in the succession of motive-forms produced through variation of the basic motive, there is something which can be compared to development, to growth'.[229] His motif-forms help explain causal processes in music, and look both ways – forwards and backwards – on the horizontal plane. The important aspect of musical composition which accounts for organic unity is not the motif

[228] This term must not be confused with the term 'variation' in the traditional musical sense. It does not refer to the improvisatory quality of variation found in, for example, the classical genre of 'theme and variations'. Nor does it refer to the simple reappearance, albeit slightly varied, of motifs as one comes across in the late German romantic school of composers such as Wagner or Bruckner. It refers to the essential working-out of the features of a motif, the evolution of which is seen as the principal element of organic growth.
[229] Schoenberg, *Fundamentals*, p. 8.

or the motif-form itself, but the interrelationship between the motif and motif-forms.[230] As van den Toorn summarises, 'It is by way of their successive appearances…of the connective thread that is woven as a result of those appearances, that motifs take shape and become memorable. They are identified by the specific manner of their "developing variation"…in reciprocal fashion, they both define and are defined by that development…from this too, a sense of the context as a whole can emerge gradually'.[231] Fred Everett Maus talks of 'Schoenberg's dramatic construal of motivic patterning' which 'construes pitches and harmonies as agents, struggling for supremacy'.[232] In brief, Schoenberg's theory of organicism is *dynamic*, rather than *static*, since each event depends on other events surrounding it for its meaning. As Dahlhaus summarises, for Schoenberg 'a musical idea only becomes an idea at all on account of the context in which it exists'.[233] This is not the case in Schenker's theory. Epstein points out that while Schenker's framework accounts for the 'forward *direction* of a work, it is not fully concerned with its *dynamics* of forward motion'.[234] In Schenker's organicist framework, the emphasis is placed on the *prolongation* of each part (a single note or harmony) of a set structure (the *Ursatz*), rather than on any temporal interaction between the parts.

By applying the dynamic, Schoenbergian perspective of organicism to the motivic parallelism in analysis (and this inevitably entails a more autonomous treatment of the motivic parallelism, free from the ties of the *Ursatz*), we are better able to reflect the organicist idea that by taking away a part, we risk destroying the whole. Clearly, if different and contrasting motivic parallelisms of a given motif are seen to define that motif, then each motivic parallelism takes on a more essential role in the construction of an organicist artwork. Motivic parallelisms seen in this way are also able to play a central role in Schelling's organicist conception of music as a succession of events representing eternity,

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[230] Van den Toorn, 'What's in a Motive', p. 372.
[231] Van den Toorn, 'What's in a Motive', p. 372.
[232] Fred Everett Maus, 'Music as Drama', in Jenefer Robinson (ed.), *Music and Meaning*, London: Cornell University Press, 1997, p. 130. Adorno expresses a similar point when he writes that Schoenberg 'was guided by the unconscious realization that in works of art above all, unity can be made substantial only as the result of a struggle; and only if it does not dourly assert itself, and run on automatically, without any countervailing resistance'. (Theodor W. Adorno, 'The Function of Counterpoint in New Music', in Theodor Adorno, *Sound Figures*, trans. Rodney Livingstone, Stanford: Stanford University Press, 1999, p. 129).
[233] Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett & Alfred Clayton, Cambridge: Cambridge University Press, 1987, p. 77.
[234] Epstein, *Beyond Orpheus: Studies in Musical Structure*, Cambridge: MIT Press, 1979, p. 11.

since a given motif or motivic parallelism is defined in terms of what comes before and after it. The listener is unaware of how a motif's journey through the many musical layers might end. In contrast, he or she is well aware of where Schenker's fundamental line will end. Furthermore, if the motivic parallelism is treated as free from any ties with the *Ursatz*, we are able to include more contrasting sub-surface repetitions of a motif in our analyses, and so are better equipped to reflect the organicist ideals of dialectics and thematic working, as well as those of variation and contrast. If we are to accept Cohn's more inclusive view of motivic parallelisms, free from the ties of the *Ursatz*, this immediately presents a new dimension through which the motivic parallelism can 'live' a journey like the one Schoenberg describes. As Moreno summarises, 'in Cohn's reconfigured Schenkerian terms, motivic analysis is primarily guided by the principle of association, a principle that also subtends Schoenberg's own notion of musical coherence'.[235]

An important aspect of Schoenberg's motif is the creation of tonal unrest and the reintroduction of tonal stability in a composition. He writes that 'with the motif simple repetition is unfruitful…in the motive there must be present a certain unrest that will give rise to further motion'.[236] The standard classical sonata form, in which the composition moves away from and back to the tonic, exemplifies this idea. Both Schenker and Schoenberg aim to reflect this concept in their analyses, but Schoenberg incorporates the motif into this idea. He states that 'every tone which is added to a beginning tone makes the meaning of that tone doubtful…In this manner there is produced a state of unrest, of imbalance which grows throughout most of the piece…The method by which balance is restored seems to me the real idea of the composition'.[237] As Patricia Carpenter succinctly puts it, 'the function of the *Grundgestalt* in effecting a coherent tonality in a work is to make manifest that process by which instability is brought about in a work and stability finally restored'.[238] Schoenberg himself writes that '[each composition raises] questions, puts up a problem, which in the course of the piece has to be answered, resolved, carried through. It has to be carried through many contradictory situation [sic]; it has to be

[235] Moreno, 'Schenker's Parallelisms', p. 99.
[236] Arnold Schoenberg, *The Musical Idea and the Logic, Technique and Art of Its Presentation*, ed. & trans. Patricia Carpenter and Severine Neff, Bloomington: Indiana University Press, 2006, p. 121.
[237] Quoted in Patricia Carpenter, 'Grundgestalt as Tonal Function'. *Music Theory Spectrum*, Vol. 5, 1983, p. 16.
[238] Carpenter, 'Grundgestalt', p. 16.

developed by drawing consequences from what it postulates…and all this might lead to a conclusion, a pronunciamiento'.[239] Schoenberg's understanding of thematic working clearly reflects the organicist ideal that music must, as K. W. Schlegel said, 'create its own text' as if it is 'the object of a sequence of philosophical speculations'.

In my analysis of Beethoven's Op. 2 No. 3 sonata, I will use Schoenberg's idea to illustrate how one single motif, through its parallelisms in all four movements, takes a harmonic journey away from and back to the tonic, reappearing in the final bars as an enlargement of the same pitch series of notes that was used to present the motif in the opening bars of the first movement. The motivic parallelism, through the course of its many transpositions, reflects Schoenberg's concept of the bringing about of tonal unrest and of eventual stability.

Another way in which Schoenberg uses the motif to explain or enhance compositional development is by linking the motif to the articulation of linear harmonic structure. For him, the motif is the 'motor' behind harmony, not the other way around.[240] Schoenberg relates particular elements of the motif to tonal relations between different sections of music. Patricia Carpenter points out the interaction between motif (*Grundgestalt*) and tonal structure in the first movement of Beethoven's piano sonata Op. 57 in F minor. She identifies the two elements of the *Grundgestalt* as being the major third (A♭ – C) and the upper semitone to that third (D♭). The harmonic significance of the third is its ambiguity of belonging to both F minor and A♭ major, while the harmonic significance of the upper neighbour note is its power to clarify that ambiguity through the treatment of the D♭ as either a 4-3 suspension in A♭ major, or as part of the diminished seventh chord (E - G - B♭ - D♭) in F minor. She remarks, "I take this procedure - the reinterpretation of a major third by means of the reinterpretation of the diminished seventh chord - to be the primary harmonic implication of the *Grundgestalt*. By means of it the basic tonal contrast, tonic minor and mediant major is achieved".[241] Carpenter goes on to offer many more specific examples – too detailed to mention here - of the harmonic implications of the motif on the tonal structure of this work. One of the conclusions she arrives at is that 'the crux of the work

[239] quoted in Moreno, 'Schenker's Parallelisms', p. 100.
[240] Carpenter, 'Grundgestalt', p. 16.
[241] Carpenter, 'Grundgestalt', p. 19.

lies, then, in the flat submediant [D♭], the simplest harmonic implication of the *Grundgestalt*'.[242]

In a similar example, van den Toorn describes, in a Schoenbergian manner, how the lowered mediant of the three-note motif (F^1 - $A♭^1$ - F^2) in the first movement of Brahms's Third Symphony facilitates and explains the subsequent tonal progression. We have already seen how Brahms achieves a large-scale structural statement of this motif via tonal means. Van den Toorn shows how repetitions of this same motif in different keys are related to the lowered-mediant of the motto via simple sequential repetition, or transposition. Hence, even in withstanding the process of 'developing variation', the motivic repetitions influence the tonal structure on a smaller scale as well. Van den Toorn writes:

> The transition to theme II consists of a model and its sequence, F major and a shift to D-flat for the sequence, followed to a similar shift to A, the key of the subordinate theme. And what renders these shifts integral to the context…is the motto and its inflection, the lowered mediant. Descending along a cycle of major thirds, the motto both implies and directs these successive turns to the lowered submediant, first from F to D-flat and then from D-flat to A. And in the course of these turns it becomes as much an instrument as a reflection of large-scale harmonic change, acquiring a significance far beyond that of an adjoining part.[243]

Using such an example, van den Toorn illustrates how motifs 'seem to pose questions at the outset of pieces…questions in need of answers', and in doing so, 'motives can become linked not only to their "developing variations" but to the whole thus built as well'.[244]

These examples illustrate Schoenberg's understanding of the *Grundgestalt* as the initial, form-generating idea of a work. They clearly reflect Robinet's linear conception of organic development and Schlegel's conception of music as a 'continually growing organism'. Now, as Schenker believes that form is derived from the background, it follows that his theory doesn't attempt to explain ways in which these types of foreground events might be used to engender form.[245] As Janet Schmalfeldt summarises, '[Schenker] would have rejected three formal concepts distinctly associated with Schoenberg and his school: 1) the

[242] Carpenter, 'Grundgestalt', p. 24.
[243] Van den Toorn, 'What's in a Motive', p. 378.
[244] Van den Toorn, 'What's in a Motive', p. 376.

Grundgestalt …as the concrete musical representation of the composer's vision; 2) the realization of a *Grundgestalt* through the technique of 'developing variation'; and 3) the concept of *formal function* of parts within the whole…Particularly untenable for the Schenkerian is Schoenberg's notion of the 'motive' as a generative element of form'.[246] While Schenker insists that the motif is *not* a form-generating element, musical dimensions other than tonality – such as phrase structure – have historically been considered in structural analysis. Schmalfeldt argues that due to the prevalence of phrase structure theory (in the writings of Kirnberger, Riepel and Koch) from the mid eighteenth century, thematic process and structure should be viewed seriously as a tool in formal articulation in music of this period. She writes that 'from the Schenkerian viewpoint, forms are determined by the composing-out of archetypal *linear progressions (Züge)*. It can be argued, however, that once the sentence type (for example) had become established in the mid-eighteenth century as a conventional formal model, the composer's choice of this phrase structure may very well have contributed towards determining how the linear progression would be elaborated'.[247] Schmalfeldt argues that phrase structure, of which motivic organisation forms a major part, *directly* influences the structure of middleground linear progressions. In my analysis of Beethoven's Op. 2 No. 3 sonata, I will illustrate how a study of phrase structure supports the idea that the motif/motivic parallelism *can* be a form-generating element.

1.2.6. The Importance of the Motif for Beethoven

The importance of the motif in composition is nowhere more apparent than in the works of Beethoven.[248] According to Adorno, Beethoven displays the quintessential logical system of late eighteenth-century compositional practice by 'composing music in which the formal

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[245] Janet Schmalfeldt, 'Towards a Reconciliation of Schenkerian Concepts with Traditional and Recent Theories of Form', *Music Analysis*, Vol. 10, No. 3, 1991, p. 234.
[246] Schmalfeldt, 'Reconciliation of Schenkerian Concepts', p. 234.
[247] Schmalfeldt, 'Reconciliation of Schenkerian Concepts', p. 235.
[248] Beethoven's use of motif develops from Haydn (the dedicatee of the Op. 2 sonatas) in many important ways. With both composers the motif is used to generate momentum and direction, and can be seen to account for what many theorists call 'organic growth'. However, Beethoven took the practice of motivic treatment to new heights. His motifs create form on a much larger scale, and his use of motif seems to represent more of the features commonly associated with organicism, including causality, assimilation, and self enlargement. For a more detailed comparison of Haydn's and Beethoven's treatment of motifs, see Charles Rosen, *Sonata Forms*, New York: W. W. Norton Company, 1988, pp. 177-228.

structure emerges organically and spontaneously out of the development of the melodic-thematic material'.[249] Although no sketches are available for the Op. 2 No. 3 sonata, the sketch books and loose sketch pages that Beethoven did leave behind are testament to the importance of the motif in the conception of a work. What is most interesting is how, in the earliest sketch drafts, Beethoven 'starts with rigid and even mechanical ideas which are only later smoothed into something more imaginative and fluid'.[250] Kerman notes this process in his analysis of the draft and final versions of Beethoven's Piano Trio in G, Op. 1, No. 2 (1794/95), where simple motifs from the draft are used as the basis for melodic elaborations in the final version. Kerman remarks that 'when Beethoven wrote the draft, either he had not yet thought of the tune, or else… he had, and nevertheless considered it less important than the motif underpinning it'.[251] He acknowledges the more subtle use of the motif in the final version. This type of handling of the motif between draft and final versions has been remarked on by numerous analysts, such as William Drabkin and even Schenker himself, and suggests that Beethoven's compositional process takes the motif and its reappearances as its starting point, before melodic elaboration takes place. As Max Unger notes, 'in these sketches he noted down only the thematic scaffolding'.[252] This supports the importance of the motif in musical organicism in Beethoven.

Schenker's study of Beethoven's sketches for the first movement of the Op. 111 sonata actually suggests that the motif has some sort of psychological hold on the composer. He proposes that after reworking a passage shown in his sketches, Beethoven gives in to his original motivic idea, only to resort to the use of a passage which is, without his knowledge, based entirely on the principal three-note motif (bb. 48-9). Schenker reproduces Beethoven's initial sketch and second sketch of the passage before comparing them to the final version. Schenker writes:

> He [Beethoven] was not satisfied with any of the sketches until he finally thought of placing the two low notes next to each other, so that they would have the effect of an interpolation to strengthen the bass line. And when he at last gave up the idea of repeating these bars he reached the definitive version, without, of course,

[249] Colin Sample, 'Review: Adorno on the Musical Language of Beethoven', *The Music Quarterly*, Vol. 78, No. 2, 1994, p. 381.
[250] Joseph Kerman, 'Beethoven's Early Sketches', *The Musical Quarterly*, Vol. 56, No. 4, 1970, p. 532.
[251] Kerman, 'Early Sketches', p. 537.
[252] Max Unger, 'From Beethoven's Workshop', *The Musical Quarterly*, Vol. 24, No. 3, 1938, p. 325.

having any idea that behind him lurked a secret power, pressing him on a roundabout course by which he was nevertheless to arrive at a construction which – like the very first sketch – originates motivically from the main theme.[253]

As Drabkin points out, we do not know if Beethoven was aware of the motivic link in his final version of this passage or not (the final F- D♭-D♮ figure is the three-note figure rearranged).[254] But Schenker himself, who later became almost exclusively concerned with tonality in organicism, is making a strong case for the motif as having a defining role – with its 'secret power' – in unifying this work.

Maybe such motivic links in Beethoven's works were purposeful after all.[255] Indeed, it is likely that a large number of the motivic parallelisms I am about to illustrate in the Op. 2 No. 3 sonata were intended to be subtle, unifying musical links.[256] As Cooper points out, Beethoven's music, as compared with the music of his contemporaries, 'is learned, difficult, complex, and noble …. To describe a work as "difficult" was in his [Beethoven's] view "the most lavish praise that can be bestowed", since "what is difficult is also beautiful, good, great and so forth". Music was for him a noble and elevating art and "deserved to be studied"'.[257]

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[253] Quoted in William Drabkin, 'Beethoven's Sketches and the Thematic Process', *Proceedings of the Royal Music Association*, Vol. 105, 1978, p. 30.
[254] Drabkin, 'Beethoven's Sketches', p. 30.
[255] From another perspective, maybe Beethoven's intent is irrelevant to the analyst and audience. Conclusive evidence of Beethoven's intentions concerning motivic treatment are not available, and even if they were, suggesting or hearing motivic links other than those intended by the composer is not necessarily unproductive. Advocates of the principles surrounding the intentional fallacy would argue that Beethoven's works belong to the public, not the composer.
[256] Rosen points out the value of unheard but present motivic connections. He remarks that 'if a composer wishes two themes to sound as if they belong together, it is natural to base both of them on similar musical relationships', but that 'a composer does not always want his developments …to take the form of a logical demonstration….A newly introduced theme may not be intended to sound logically derived from what precedes it, yet one may reasonably feel that it grows naturally out of the music' (Rosen, *The Classical Style*, pp. 38-9). Goethe's concepts of *Anschauung* and *apercu*, - which involve the idea that common similarities between entities or forms are not able to be observed by the senses alone – support this view. So too does Schlegel's view that the more the idea of an artwork is defined, the lower ranked it is. Hidden motivic connections may therefore contribute positively to the mystic, indefinable quality Schlegel sought in an 'organic' artwork.
[257] Barry Cooper, 'Beethoven's Beliefs and Opinions', in Barry Cooper (ed.), *The Beethoven Compendium*, London: Thames and Hudson, 1991, p. 143.

PART II: MOTIVIC PARALLELISM AND ORGANICISM IN BEETHOVEN'S OP. 2 NO. 3 SONATA

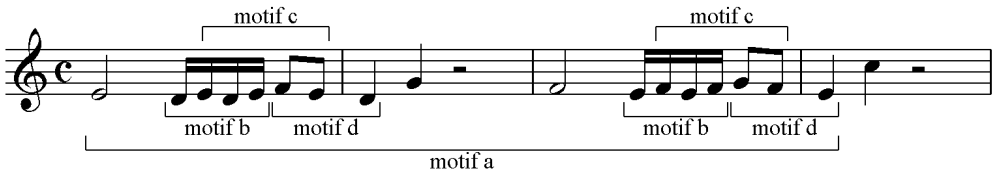
2.1.1. A Motivic Analysis of Beethoven's Op. 2 No. 3 Sonata

The motivic parallelisms in the Op. 2 No. 3 sonata are numerous and can be seen to reflect the various organicist concepts discussed in part one of this thesis. The clear motivic connections *between* the movements that the following analysis will illustrate might be seen as an extension of Schenker's own theory of organicism, for Schenker's analyses hardly ever comment on inter-movement connections.

I propose that there are five main motifs, four of which are contained within the opening four-bar statement of the sonata. Parallelisms of these motifs are used both separately and simultaneously to unify all four movements. Motivic unity is thus derived from a Goethe-type complex prototype. Although the technique of breaking off and developing separate motivic cells of an opening theme is normally associated with Beethoven's middle- and late-period works, the analysis will illustrate that this type of organic growth is already very apparent in his early compositions. This analysis aims to illustrate how motivic treatment in the Op. 2 No. 3 sonata foreshadows the techniques of later romantic composers who would incorporate Goethe's model of organicism (1802) in their works.

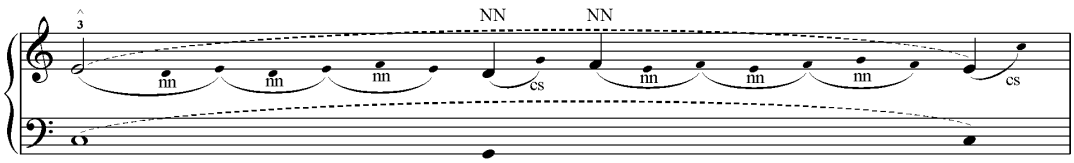
Motifs *a*, *b*, *c*, and *d* are found in the opening four-bar statement (see example 4).

Example 4



Motif *a* (E-D-F-E, the first notes of each of the four bars) is the sub-surface Schenkerian reduction of the theme, in which all other notes are either neighbour notes or consonant skips (see example 5).

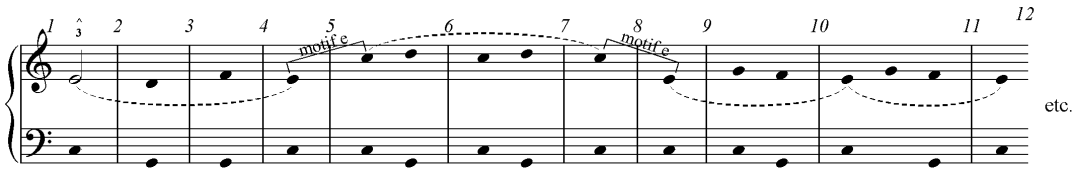
Example 5



This progression, based around the third degree of the scale (3-2-4-3), is a prototypical pitch progression in music of this era, as noted by Leonard Meyer and Robert O. Gjerdingen.[258]

Motif *b*, occurring as four semiquavers in bb. 1 and 3, will be referred to as the 'turning figure'. Motif *c* is mostly derived from motif *b*, and so will be referred to as the 'extended turning figure'. Motif *d*, again occurring in bb. 1 and 3, will be referred to as the 'descending third figure'. Finally, motif *e*, which we will refer to as the ascending or descending linear sixth figure, is the only motif not to be heard in its proper form in the opening four bars. Its importance as a motif is foreshadowed in the underlying middleground progression of the first twelve-bar statement, however, which constitutes a prolongation of E, followed by a prolongation of C a sixth above, before a return back down to E, a sixth below (see example 6).

Example 6



One could argue that the single sixth leap from E to C in bar 4 is significant. Accepting this argument would certainly make things very neat and tidy – all five motifs could then be identified in the first four bars of the sonata. As a two note motif, however, this sixth leap never attains a high degree of motivic importance. Rather, we can identify the motif's proper linear form in the dominant minor subject beginning in bar 27, the first note of

which (D) announces the beginning of both a surface ascending linear sixth, and a middleground descending linear sixth progression (see example 41).

* * * *

Before analysing each motif in the sonata separately, I would like to begin the analysis by examining the phrase structure of the opening themes to each of the four movements. In order to do so, I will first outline the principal types of phrase structure found in late eighteenth-century music.

The most traditional phrase structure is the eight-bar 'period', which contains two symmetrical, four-bar phrases – *antecedent* and *consequent*. The antecedent consists of two contrasting two-bar ideas. The consequent begins with the opening idea (i.e. bb. 1-2 and bb. 5-6 use the same idea), and the final two bars may or may not refer to the antecedent phrase. The second prevalent type of phrase structure found in eighteenth-century music is the 'sentence', also an eight-bar unit, but differing to the period in significant ways. The first four-bar phrase (the 'presentation') involves a two-bar idea followed by a two-bar repetition or sequence of that idea. The second four-bar phrase (the 'continuation') involves a compression of the rhythm and/or harmonic rhythm of the opening two-bar idea of the presentation into one-bar units.[259]

Although eight bars is the 'theoretical norm' for the length of these two types of themes, there are many examples in Classical music that contain more or fewer bars, due to processes of expansion and contraction and the like.[260] Caplin also observes that there are examples of eighteenth-century themes that follow neither of the strict models of the period or sentence types. He refers to these as 'hybrid themes'.[261] For example, 'many hybrids begin as though they were going to be constructed as a period, but end like a sentence; they

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[258] Robert Gjerdingen, *A Classic Turn of Phrase: Music and the Psychology of Convention*, Philadelphia: University of Pennsylvania Press, 1988, pp. 55-59.
[259] William Caplin, 'Hybrid Themes: Toward a Refinement in the Classification of Classical Theme Types', in Christopher Reynolds and Glenn Stanley (eds.), *Beethoven Forum 3*, London: University of Nebraska Press, 1994, pp. 155-6.
[260] Caplin, 'Hybrid Themes', p. 153.
[261] Caplin, 'Hybrid Themes', p. 156.

consist of a four-measure antecedent followed by a four-measure continuation'.[262] In another type of hybrid theme, 'a compound basic idea is followed by a consequent phrase rather than a continuation'.[263]

A background in the study of phrase structure, summarized above, is important in the analysis of motivic parallelisms in an eighteenth-century work for several reasons. Firstly, we often find that the function that a given motive is assigned within a specific part of a theme – whether in the antecedent, consequent, presentation or continuation parts – is retained by that motif throughout the rest of the work.[264] For example, the function that a motif serves in the continuation part of an opening sentence-type theme (i.e. to accelerate harmonic and/or rhythmic change) might well be retained in the appearances of that same motif in the following transition and development sections. As Caplin points out, 'these functions become significantly modified or "loosened" in formal expression'[265] when heard later in the work, but analogies can still be drawn.

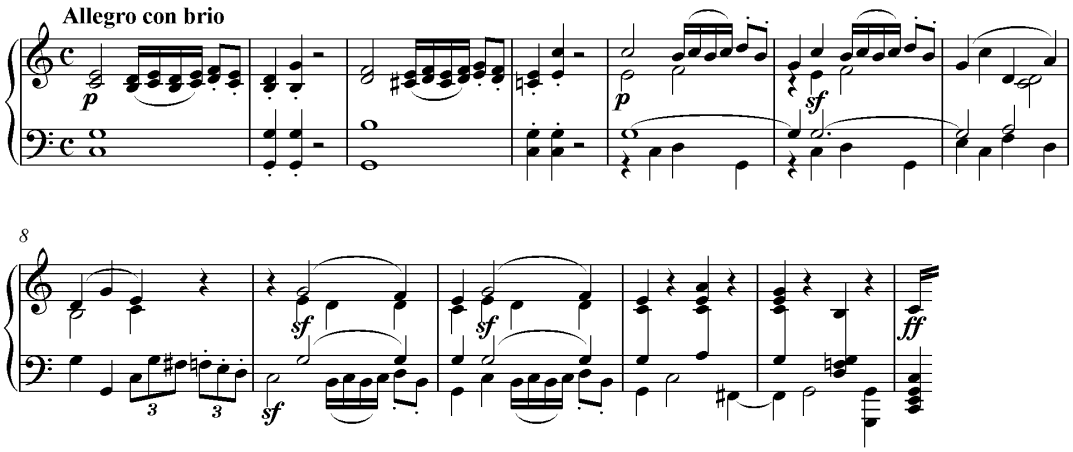
Secondly, phrase structure – and, directly or indirectly, the motifs involved – can influence tonal/linear progressions. Schmalfeldt argues that the composer's choice of model of thematic structure (such as the sentence or period model) provides a means by which he/she can project a given idea. The implication is that different motifs will be suited to different types of thematic treatment via different formal thematic models.[266] The motivic treatment within these models can directly affect the underlying linear progression. This idea is specifically applied to the motivic parallelism by Eric Wen. In explaining the imbalance of length sometimes seen between the two parts of a theme, he writes that 'sometimes a consequent phrase will expand specific motivic ideas presented in the antecedent', and, more importantly, that 'motivic expansions can sometimes affect the tonal framework of a phrase beyond what appears to be the tonic of a final cadence'.[267] I will illustrate this very point, by showing how a motivic enlargement in the consequent phrase of the opening

[262] Caplin, 'Hybrid Themes', p. 156.
[263] Caplin, 'Hybrid Themes', p. 159.
[264] Caplin, 'Hybrid Themes', pp. 164-5.
[265] Caplin, 'Hybrid Themes', p. 165.
[266] Schmalfeldt, 'Reconciliation of Schenkerian Concepts', pp. 242-3.

theme of the second movement affects the tonal framework of the passage and necessitates a second 'final' cadence.

We will begin with a detailed analysis of the first movement opening theme, for an analysis of the motivic material presented here provides the basis for a motivic analysis of the entire sonata. This approach follows Marx's view of sonata form. Marx believes that 'the formation of the *Haupsatz* [opening theme] is…the motivating impulse for the composition that is to take shape'.[268] Certainly, as this analysis will show, the rest of the sonata's ideas are taken from this opening theme. The opening twelve-bar theme of the sonata (see example 7) is really an eight-bar theme, with an extended four bars, which are based on bb. 5-8.

Example 7



The theme closely follows Caplin's criteria for a typical late eighteenth-century sentence-type thematic structure: the four-bar presentation involves a two-bar basic idea, which is then repeated up a second, prolonging the tonic harmony. The continuation part then involves an acceleration in harmonic change and rhythmic activity, and a compression of the opening two-bar idea into one-bar units.

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[267] Wen, Eric, 'Illusory Cadences and Apparent Tonics: The Effect of Motivic Enlargement upon Phrase Structure', in Allen Cadwallader (ed.), *Trends in Schenkerian Research*, New York: Schirmer Books, 1990, pp. 133-4.
[268] Quoted in Burnham, 'Marx and Sonata Form', p. 168.

So what are the implications of Beethoven's choice of the sentence model for the presentation of motivic material? Repetition is an important feature in the presentation part of the sentence structure. In Beethoven's Op. 2 No. 3 sonata, the repetition (bb. 3-4) allows for a sequence that completes the four-note figure (motif *a*), which is to be paralleled over large spans of music throughout the first movement. Sub-surface repetition of this four-note figure, which is created by the repetition of the basic idea in bb. 1-2, becomes the principal means by which Beethoven prolongs the fundamental tone, E ($\hat{3}$), throughout this movement, as we shall later see.

In the 'continuation' part of the sentence (bb. 5-8), Beethoven's acceleration of harmonic change (two harmonies per bar instead of one) and his compression of the opening two-bar idea into one-bar units creates a middleground parallelism of the turning figure (motif *b*) itself (see example 6, bb. 5-6). The descending progression from C back down to E (bb. 7-8) constitutes the cadential part of the continuation. It also creates symmetry, balancing the ascent from E to C (bb. 4-5), and foreshadows the importance of both the ascending *and* descending linear sixth progression to come, as explained earlier (see example 6, bb. 7-8). Bars 9-12 might be seen as an extension of the continuation part of the sentence, and serve to strengthen the final cadence: a further descending sixth from G to B outlines the dominant harmony of G major and prepares the strong perfect cadence into C major at bar 13.

Following Caplin's idea, I propose that the different motifs presented in this opening sentence-type theme loosely retain their given functions throughout the entire sonata. This embodies the organicist idea that every part of a whole serves a purpose. To understand the general function of each motif is to appreciate how different parts of an organic musical work contribute to the whole, just as different cells or organs contribute to the working of an organism.

Motif *a* (bb. 1-4) is first heard in the presentation part of the sentence, its function here being to prolong the tonic harmony. It maintains this function, amongst other functions, throughout the first movement (not through the entire sonata in this case). It is used as a motivic parallelism to prolong the fundamental tone, $\hat{3}$ (E), and to reinforce and articulate

important Schenkerian tonal divisions. Furthermore, the harmonies over which the motif is first heard (I – V – V^7 – I) are often retained in the parallelisms of the motif.

The motivic parallelisms of motif *b* retain a function similar to the function of the 'continuation' part of the sentence in which it is first enlarged; it becomes associated with both transitional material and the creation of new thematic material. Furthermore, the later parallelisms of this motif also often retain the same harmonic progression that accompanies the first enlargement in bb. 5-6 (I – V – I – V).

Although motif *c* is perhaps visually less obvious in the score, it is probably the most audible motif. In the first four bars, what the listener is most likely to be aware of is the turning around E from both sides (bar 1), followed by the turning around F in the same way (bar 3). Its function in the first four bars is primarily melodic, and its parallelisms often retain this function throughout the sonata, by creating new melodic, thematic material. Furthermore, the sense of direction given by the sequence of this motif (one can feel a sense of elevation from the first two bars, which circle around E, to the next two bars, which circle around F) provides the motif with its second function: The parallelisms of motif *c*, viewed chronologically throughout the sonata, represent a harmonic journey away from the tonic and back again. Its original pitch-series of notes are restated emphatically in the closing bars of the final movement.

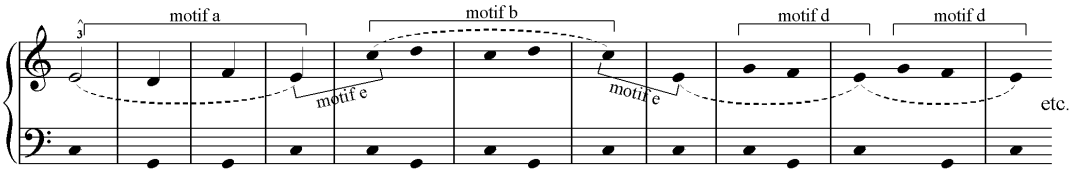
The descending-third figure of motif *d*, first heard in bb. 1-2 and then in bb. 3-4, leads us from one harmony to the next. It takes us from the tonic harmony in bar 1 to the dominant harmony in bar 2, before reversing the process in bars 3-4. The function it serves in this opening idea – to facilitate harmonic progression – is retained in the parallelisms of this motif throughout the sonata. As we shall see, the motif becomes an important means for creating tonal shifts and progressions in developmental passages of the work.

The final motif, motif *e*, is less audible in the opening sentence theme, as discussed above. Yet the primary function served by the foreshadowing of this motif in the opening twelve bars is, once again, retained by the motif in its motivic parallelisms to come. The middleground progression E-C-E in bb. 1-11 (see example 6) serves to strengthen the

establishment of the tonic key of C major. The descending sixth progression from G down to B, in bb. 9-12, further strengthens the tonal stability of this passage, providing for a strong perfect cadence into C major in bar 13. The function of motif *e* in the opening sentence theme is therefore to clearly establish the tonic key of C major. It is this tonal function that the motif retains throughout the sonata, as the constituent notes of its parallelisms often outline the key in which those parallelisms are heard.

What is most intriguing is how the middleground reduction of the first twelve bars is entirely made up of four of the five motifs, motif *c* not included (see example 8).[269]

Example 8

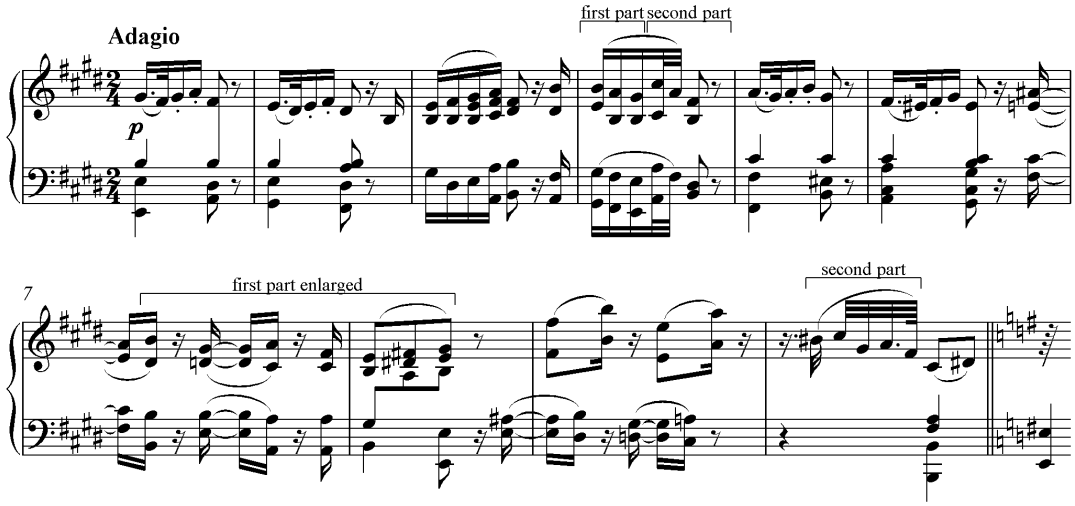


The important point here is that motifs may have an influence on the linear progression of these twelve bars. Since Schenker himself defines form in terms of linear progressions, one might argue that motifs directly engender form in this opening twelve-bar statement – an idea that Schenker opposes. Beethoven's use of the 'sentence' type of phrase structure allows him to construct these bars around a middleground progression that outlines important motifs. I therefore agree with Schmalfeldt's argument that motivic organization and phrase structure directly influence form through the construction of middleground linear progressions. Hence, I also argue, like Schmalfeldt, that a reconciliation of Schenkerian concepts with Schoenbergian ones – i.e. accepting form-generating motifs as part of a Schenkerian analysis – is a necessary adjustment when considering eighteenth-century compositional practice. This argument is supported through a phrase structure analysis of the opening themes of movements 2, 3, and 4.

[269] The middleground enlargement of motif *b* in bb. 5-6 could equally be seen as a C-B-C-B progression (and hence an inversion of motif *b*), depending on how much importance we place on the D in the bass part as a harmonic tone.

The opening theme of the second movement (see example 9) follows standard period structure:

Example 9

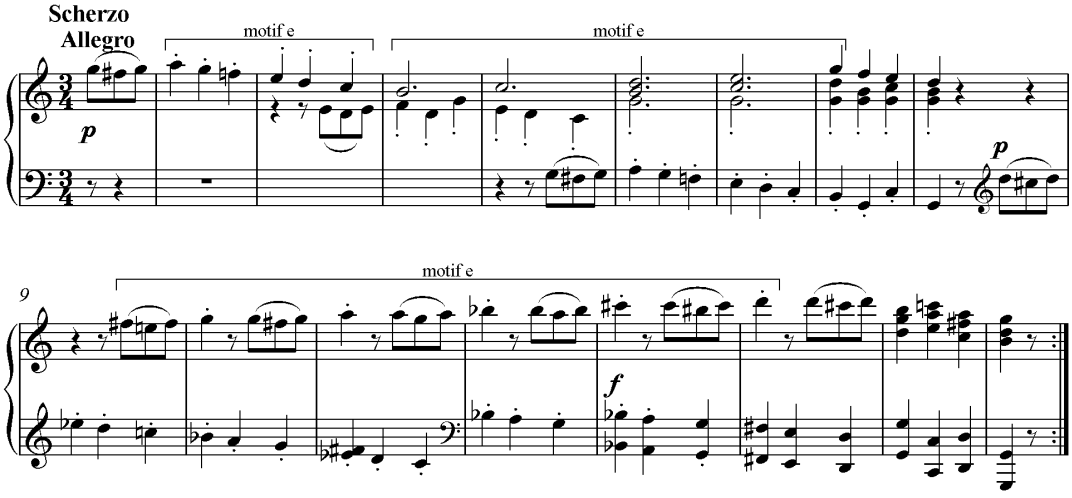


The antecedent phrase (bb. 1-4) involves a two-bar basic idea and a two-bar contrasting idea, which leads to an imperfect cadence. The consequent phrase (bb. 5-10) begins with the same basic idea presented in bb. 1-2.[270] New material based around bar 4 of the antecedent phrase then constitutes the remainder of the consequent phrase, which ends on a perfect cadence into E minor. The first obvious observation to be made here is that there is an imbalance of length between the antecedent and consequent phrases. The reasons for this imbalance can be made clear by an application of Eric Wen's idea presented earlier. His idea that the consequent phrase can involve motivic enlargement of an idea presented in the antecedent, and that this enlargement can alter the underlying tonal progression 'beyond what appears to be the tonic of a final cadence', is fully applicable here. The first two bars of the consequent phrase (bb. 5-6) follow the theoretical norm for period structure. They are a transposition of the opening two-bar idea of the antecedent. It is bars 7-10 that we are concerned with. The opening theme could very well have finished at the end of bar 8, for we have a perfect cadence into E major. But it does not; it continues for 2 more bars. By looking at the underlying linear progression of bb. 7-8, we can understand why Beethoven continues the phrase beyond the cadence in bar 8. The underlying linear progression in bb.

7-8 (B-A-G#) is a motivic parallelism of the *beginning* of the idea presented in bar 4 of the antecedent phrase (see example 9, bar 4 and bb. 7-8). In order to *complete* the enlargement or parallelism of this one-bar idea, Beethoven must continue the consequent phrase beyond what initially appears to be the final cadence in bar 8. The completion of the motivic enlargement of bar 4 (C#– A – F#) comes in bar 10, not immediately in bar 9 (since the basic phrase unit of this music is two bars, it is almost inevitable that Beethoven continues to ten bars, rather than stopping at nine). Bar 9 is thus based around bar 7 (the progression B – A) before the real completion of the motivic enlargement takes place in bar 10 (see example 9, bar 4 and bar 10). This example clearly illustrates how the motivic parallelism directly affects both the phrase length and the underlying linear progression of this theme. The importance of the motivic parallelism in eighteenth-century phrase structure analysis can therefore not be underestimated. If linear progressions create form (and Schenker believes they do), and motivic parallelisms influence linear progressions (as they do in this example), then it logically follows that motivic parallelisms engender form.

The opening theme of the third movement (see example 10) follows to some degree the form of the first type of hybrid phrase structure Caplin describes: it is a modified sentence.

Example 10

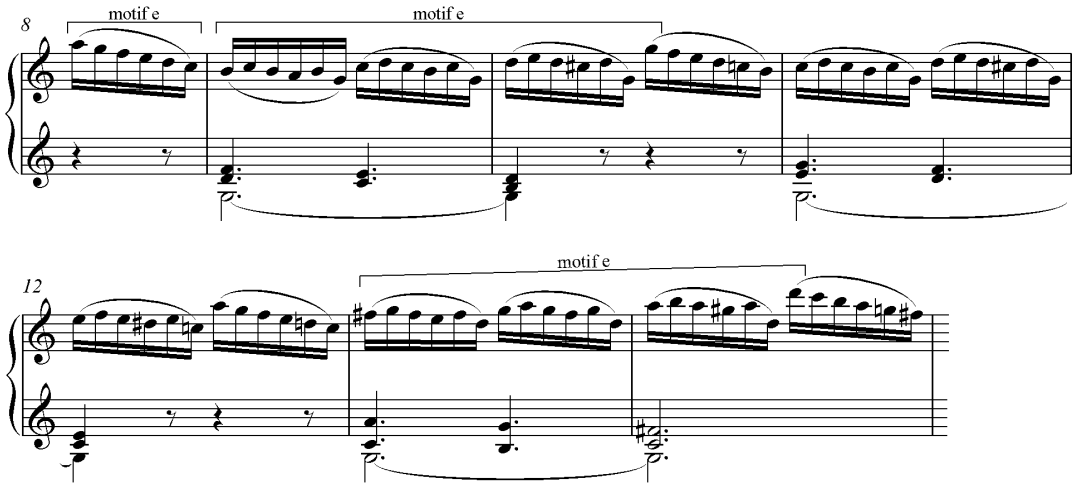


[270] The consequent phrase here is unorthodox, however, in that it begins in the supertonic, rather than the tonic, key.

There is no doubt that bb. 9-15 constitute a continuation section, as these bars are almost entirely compressions of the opening two-bar idea of the theme. The question lies in whether bb. 1-8 constitute a presentation (of a traditional sentence structure) or an antecedent borrowed from the period model. If we are to regard the bass part of bb. 4-8 as the primary melodic line, then bars 1-8 could be seen as the normal presentation expected within the traditional sentence form, since a basic idea is repeated. It is best, however, to view the theme as a hybrid structure, containing an antecedent and continuation, rather than as a traditional sentence structure. Following this format, the antecedent would consist of a two-bar idea followed by a six-bar contrasting idea. The reason for this is motivic, and is based on a simultaneous consideration of the fourth movement opening theme. If we regard bb. 1-8 of the third movement as an antecedent, consisting of two contrasting ideas, then we are more inclined to draw motivic divisions between bb. 1-2 and bb. 3-8 (following the sentence formula, a motivic idea would be seen to be repeated at the end of bar 4 in the bass, playing down the melodic line in the uppermost voice in bb. 3-8). It is important to draw these specific motivic boundaries, because bb. 1-2, bb. 3-8, and bb. 9-14 (the continuation) each outline different 6^{th} intervals of motif *e* (see example 10) which are then all paralleled in the middle part of the opening theme of the fourth movement.

Let us compare the opening themes of the third and fourth movements to elucidate this motivic connection. Bars 1-2 of the third movement theme outline the descending 6^{th} interval, A – C (the descending crotchet idea is repeated over and over in this movement). Bars 3-7 then outline the ascending interval, B – G. Finally, bb. 9-14 outline the ascending 6^{th} interval, F# – D. These three 6^{th} intervals are restated or paralleled in the central part of the opening theme to the fourth movement, in bb. 8-14 (see example 11 and compare with example 10).

Example 11



Bar 8 of the fourth movement theme begins with the descending interval, A – C. Bars 9-10 then outline the underlying ascending interval, B – G. Bars 11-12 then outline the underlying ascending interval, C – A (an inversion of the first descending interval, A – C). Finally, bb. 13-14 outline the underlying ascending interval, F# – D, completing the three 6th intervals we heard in the opening theme of the third movement. The pitches of the intervals and the order in which they appear are identical. Using a hybrid period/sentence formula in the opening theme of the third movement, Beethoven has managed to establish the three 6th intervals he will use in the fourth movement theme. If he had used the traditional sentence form, he would have had to repeat the opening four bars in bb. 5-8, and thus would not have been able to establish the three motifs. Furthermore, the irregularity in length of the 6th intervals (and phrase parts) of the third-movement theme is reflected in the fourth-movement theme. In both cases, the descending A – C motif is significantly shorter in length than the ascending B – G and F# – D motif. It can be argued that motivic considerations have influenced Beethoven's choice of phrase structure in the opening theme of the third movement. These motivic considerations have obvious effects on the underlying melodic progressions of the theme, and have further consequences for the phrase structure and melodic progressions of the fourth movement theme.

Through the above analysis of the opening themes of all four movements, we can begin to understand the impact of motifs and especially motivic parallelisms. Following Schmalfeldt's argument, and through a motivic analysis of phrase structure, I have illustrated that the motivic parallelism directly influences tonal linear progressions, and therefore – by Schenkerian definition – form. Already, in the opening themes of the four movements, before any real development has taken place, the motifs are having a germinal effect on the shape and length of these phrases.

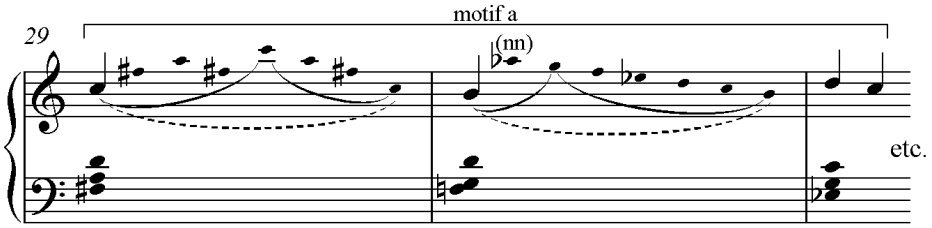
* * * *

The five presented motifs are used to achieve linear and vertical unity and coherence in this sonata. Each of these motifs has a primary – although not exclusive – function to carry out. The motivic parallelisms interact with the tonal and formal forces in this sonata, often coinciding with these forces at crucial points in the composition. I will present the motivic parallelisms of these motifs in five sections, motif by motif, and chronologically in each case.

Motif *a*

The four-note figure of motif *a* has a low middleground appearance within the dominant minor subject of the first movement in bb. 29-31 (see example 12), and again in bb. 35-37.

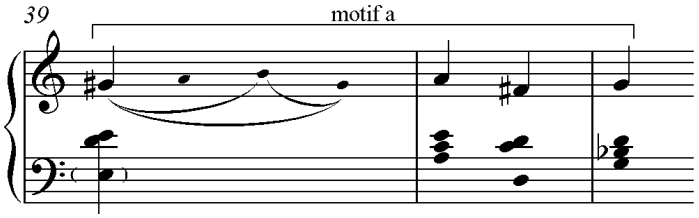
Example 12



The dominant-minor subject within which these parallelisms occur contrasts greatly with the opening theme, and yet the parallelisms occur inconspicuously in the very *middle* of the phrase. This might be seen to reflect the organicist idea of assimilation. Even though

external and apparently discordant elements are taken into the body of the organism, the genetic material remains intact at the core of the body. There is another low middleground appearance of an inversion of the motif in bb. 39-41 of the bridge section which leads to the dominant major subject (see example 13).

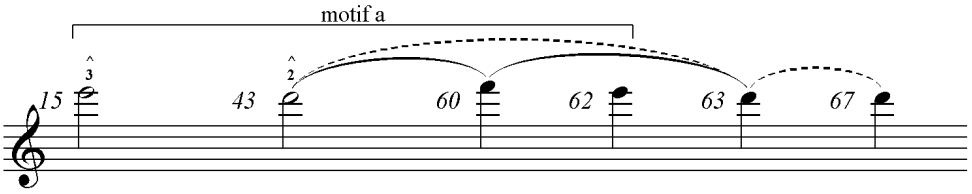
Example 13



In the new dominant major subject beginning in bar 47, the four-note figure is then heard in inverted form in the lowest bass voice (bb.48-51). When the theme is transferred to the upper bass voice in bb. 55-60, we see the four-note figure spelt out clearly as semibreves in the lowest bass voice in bars 56-59.

Perhaps the most impressive recurrence of this motif in the first movement is the background motivic parallelism which spans the first sixty-nine bars of the sonata. In *Free Composition*, Schenker identifies the E (two octaves and two notes above middle C) in bb. 15-16 as the fundamental tone ($\hat{3}$) of this movement, which descends to D ($\hat{2}$) in bar 43, signifying the beginning of the interruption expected in a sonata exposition. If we look closely at the middleground or background layers, we find that these two notes of the *Urlinie* form part of a motivic parallelism of the four-note figure which unifies the first sixty-two bars of the sonata (see example 14).

Example 14



This background example of motif *a* is representative of the function this motif serves: to create or reinforce formal or tonal divisions (the two being analogous from a Schenkerian perspective). Here, we see that all of the notes of motif *a* fall at important Schenkerian formal points: the first two notes of motive *a* establish $\hat{3}$ and $\hat{2}$, while the final two notes begin a prolongation of $\hat{2}$ through a reaching over (that ends in b. 63). Thus motif *a* reinforces the Schenkerian formal process of tonal structure. In analysing a motivic parallelism such as the one above, one can see that it could be conceived as generating form – paradoxically, a Schenkerian type of form – in exactly the same way as Schoenberg's *Grundgestalt*. Viewing the motif and its parallelisms in this way, we are able to track the organicist growth of an all-present but miniature germ cell into its mature manifestations.

Furthermore, since the four tones that make up this parallelism of motif *a* are the first four tones of the uppermost register in the first movement - E (b. 14) - D (b. 43) - F (b. 60) - E (b. 62) - Beethoven is also using register as a means to highlight a motivic repetition. The importance of register to Schenker became clear with his concept of 'obligatory register', and the importance of register in motivic design was reinforced by Ernst Oster in his article 'Register and the Large-Scale Connection'.[271] A very similar example of registral use can be seen in Schenker's analysis of Beethoven's Op. 109 sonata, in his article 'On Organicism in Sonata Form'. Here Schenker isolates the registral peaks of the development section – the G# in bar 21 and the B in bar 42 – as one long-range motivic repetition of the opening figure. He writes that 'the two notes of the initial upbeat are tracked down by the master's [Beethoven's] creative fantasy even in the development and coda. He must pursue them relentlessly: to him they signify a motive, the key to a world of unity and coherence'.[272]

The use of register is especially significant on the piano, an instrument with a limited palette of timbre and sounds.[273] Furthermore, as Gagné points out, 'the contrast of registers

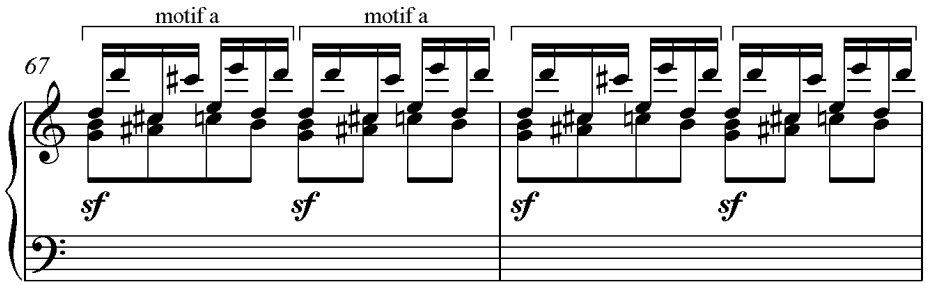
[271] David Gagné, 'The Compositional Use of Register in Three Piano Sonatas by Mozart', in Allen Cadwallader (ed.). *Trends in Schenkerian Research*, New York: Schirmer Books, 1990, p.23.
[272] Heinrich Schenker, 'On Organicism in sonata form' in *The Masterwork in Music*, Volume II, ed. and trans. William Drabkin, Cambridge: Cambridge University Press, 1996, p. 28. Schenker would have considered such long-range motivic connections more as inspired, unconscious improvisations than conscious manipulations.
[273] Gagne, 'The Compositional Use of Register', p. 23.

is more pronounced on Mozart's fortepiano than on the modern piano, enhancing the effectiveness of such structural articulations'.[274] A similar type of fortepiano would have been used in 1795, the year the Op. 2 No. 3 sonata was composed. This lends support to the idea that Beethoven may have consciously outlined this motivic repetition in the uppermost register in order to make it audible (perhaps for the more educated listener).[275] Indeed, an educated late eighteenth-century listener may have recognized the four-note figure from the opening phrase of the movement, and *expected* an enlarged repetition after they heard the first two notes in bb. 14 and 43. Leonard Meyer believes that certain stereotyped musical sequences (such as $\hat{1}$ - $\hat{7}$ …$\hat{2}$ - $\hat{1}$, or the figure involved in this case, $\hat{3}$ - $\hat{2}$ …$\hat{4}$ - $\hat{3}$) were recognized by educated listeners.[276] As Spitzer summarises, 'confronted by the initial event [the first two notes], a competent listener will expect the second [the final two notes]'.[277] The use of such a standard four-note figure in a motivic enlargement may thereby provide a sense of forward motion, as the listener anticipates the resolution of the figure. As Tarasti comments, in Meyer's theory of melody, 'the breaking or deficient fulfillment of [a melodic prototype]… causes the listener to remain waiting for the right solution, the correct design….The tension keeps the music in motion and produces the kinetic energy or catalyzing impulse'.[278] As David Epstein puts it, 'tension means energy unresolved and unresolved energy ultimately means forward motion'.[279]

Up until this point the instances of motif *a* have been a mix of middleground (bb. 1-4, bb. 29-31), background (bb. 14-62), and subtle surface repetitions (bb. 48-51, bb. 56-59). At bar 67 however, the music breaks out with a clear emphatic statement of the four-note figure, four times repeated as semiquavers (see example 15).

[274] Gagne, 'The Compositional Use of Register', p. 24.
[275] Once again, the intentional fallacy argument states that the composer's intentions here are irrelevant.
[276] Spitzer, *Metaphor and Musical Thought*, pp. 47-8.
[277] Spitzer, *Metaphor and Musical Thought*, p. 47.
[278] Tarasti, *Signs of Music*, pp. 95-6.
[279] David Epstein, 'Brahms and the Mechanisms of Motion: The Composition of Performance', in G. Bozarth (ed.), *Brahms Studies: Analytical and Historical Perspectives*, Oxford: Clarendon Press, 1990, p. 198.

Example 15

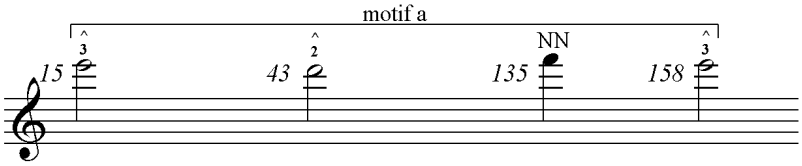


Given that the semiquaver is the smallest durational note value used in this sonata, this is a very clear example of a 'compressed repetition'. The figure is unleashed in a repetitive, virtuosic, and almost aggressive manner (given the constant use of sforzandi). The static but intense nature of these two bars suggest that motif *a* is 'refuelling' and confirming its sense of self-identity. We are reminded of Schelling's statement that 'a [musical] subject that becomes aware of its own continuity becomes aware of *itself*'. From a metaphorical perspective, these two bars might be compared to rapid cell division in an organism. Alternatively, the metaphor of procreation is easily applicable: one huge enlargement of motif *a* (see Example 14) gives birth to four tiny, consecutive repetitions of the figure. Motif *a*'s progression from middleground repetitions to surface repetitions in these bars also provides a sense of *motion* to the movement. Just as acceleration or compression of motivic units is often seen to represent forward motion (in the 'continuation' part of the 'sentence' type of phrase, for example), temporally separated motivic events can be seen to function in the same way.

The surface outbreak of motif *a* in bb. 67-68 also occurs at an important formal point in the exposition (see example 14 above), as it reinforces the confirmation of $\hat{2}$ (D) and firmly establishes the dominant key (G major) through a succession of G major chords, before a codetta concludes the section. This emphatic motivic outburst of motif *a* hence reinforces an important formal division as did the earlier background parallelism. In this case, it strengthens both key (the movement to the dominant) and the fundamental line, and is therefore representative of motif *a*'s primary function.

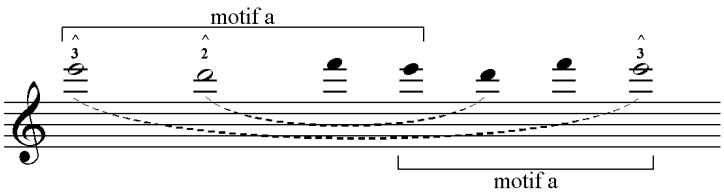
There is yet another longer-range, background motivic parallelism of the four-note figure that takes us through the exposition and development sections to the re-establishment of the head-tone E (3̂) in the recapitulation. Within the wider tonal picture of the movement, the D (2̂), after being established in bar 43, is prolonged through the remainder of the exposition and through the development section, before the expected re-establishment of the E (3̂) in the recapitulation (the registral E of the fundamental line is first reheard in bar 158). Four bars before the recapitulation (bar 135) the retransition prolongs the registral F as the seventh of a dominant seventh chord on G. These emphatic four bars outline the upper neighbour note to the head-tone E (3̂), and form part of the sub-surface motivic entity of the four-note figure, which has unified a significant portion of the first movement (see example 16).

Example 16



This long-range motivic parallelism therefore also fulfils the primary formal and tonal functions of motif *a*. The four notes of the motif each lie at crucial formal/tonal points; after the establishment of E (3̂) and D (2̂), the placement of the two remaining notes announce first the climax of the retransition and secondly the recapitulation. From another perspective, even if the principal tones involved in the 'reaching over' prolongation of D(2̂) are considered, we still have two clear parallelisms of motif *a*, which overlap. This is seen in example 17:

Example 17



The repetition of the opening theme in the recapitulation (bb.139-146) contains a very slight, but important difference. In bar 143, there is a D in the alto part, which didn't exist in the equivalent bar (bar 5) of the exposition. This additional note is significant because it creates an inversion of motif *a* in the alto line.

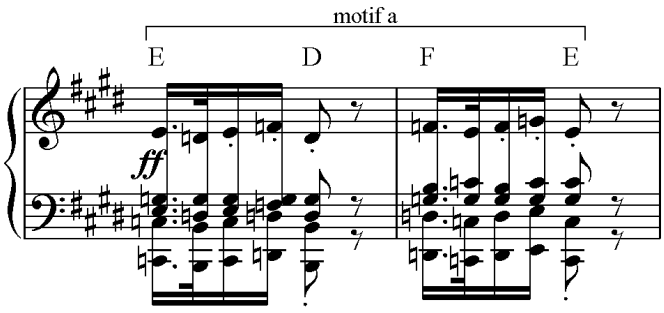
Finally, we have another parallelism of motif *a*, which unifies the otherwise very free 'cadenza' of bb. 232-3. The cadenza begins with eight obvious surface repetitions of motif *a*. What might be less obvious, however, is the larger parallelism of this motif, the notes of which fall on the important, longer notes of the entire passage (the minims and the crotchets with pauses). The second note (D) of the motif is prolonged for a significant portion of the cadenza. The cadenza as a whole might be seen as an improvisation around the four-note figure of motif *a* (E – first pause, D – bar 233, F – second pause, E – bar 234). This very nicely reflects the organicist concept of inspired, improvised music resulting from an unconscious expression of a germinal idea.

In the second movement, motif *a* is heard in the bass part of the strongly contrasting E minor theme beginning at bar 11, and then again in several repetitions of the figure in different keys (bb. 14-16, bb. 26-28, bb. 32-34).[280] Hearing the four-note motif in the bass part can help the listener experience the unity underlying the variety between the two contrasting themes. Motivic awareness aids the listener in Kant's process of 'aesthetic contemplation', in which highly varied elements of an artwork are experienced as belonging to an integrated whole. One might also cite this contrast between the two themes as an example of Burk's conception of pathetic sublimity, in which highly contrasting emotions lie side by side in an artwork but are experienced as a unity. Bars 26-35 are an even more striking example of this type of unity. Here, motif *a* (marked *ff*) is heard in repetitive alternation with motif *e* (marked *p*) in the left hand.[281] The highly contrasting emotions that these motifs represent side by side can be experienced as a unity by remembering that these two motifs are both derived from the opening thematic statement of the sonata.

[280] The four-not figure is most likely to be heard secondarily within the larger E - F# - G progression.
[281] The final note of the six-note figure is transferred to the left hand part on the first beat of bar 29.

One of the most significant moments in the sonata occurs in bb. 53-54 of this second movement. Here, we reach C major, the tonic key of the sonata as a whole, but quite remote from the key of this movement.[282] The figure used is the same one that was used in the opening theme. However, this time, due to a rising rather than descending sequence in the second bar, the two underlying descending second progressions together form the four-note figure of motif *a* that permeated the first movement (see example 18). It is stated emphatically in its original pitch-series of notes – E-D-F-E. The motif is reinforced in the bass, a tenth below (C-B-D-C).

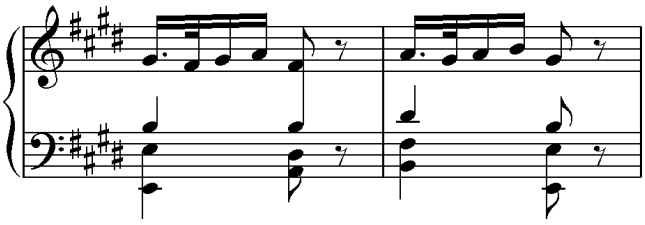
Example 18



In retaining the same figure as the opening theme of this movement, but altering the sequence of the second bar, Beethoven not only translates the four-note figure by means of a new theme, but strongly suggests that this second-movement theme is based on the opening theme of the first movement. If we return to the opening bars of movement two, we can see that Beethoven could easily have shifted the second bar *up* a second rather than down (see example 19). The result would have been equally pleasing and would have created a parallelism of motif *a* (G#-F#-A-G#):

[282] Rohan Stewart-MacDonald has pointed out that it was common for E major slow movements to plunge into C major at some point (Rohan Stewart-MacDonald, *New Perspectives on the Keyboard Sonatas of Muzio*

Example 19

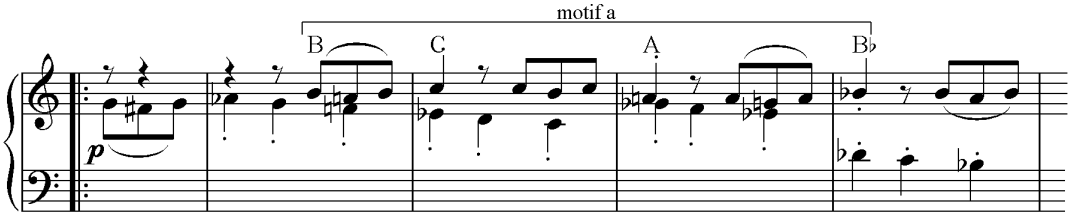


Rather, in continuing the descending second progression downwards, he creates something new, while *implying* a connection to the first movement's opening theme. This connection is clearly *confirmed* in bb. 53-54. Beethoven shocks us with an abrupt move to C major in these bars to remind us of the tonal origin of this four-note figure, outlined in C major in the opening four bars of the sonata. His reference to the motivic parallelism of motif *a* at the beginning of the sonata reflects an important organicist idea. It implies that the strong unifying power of motif *a*, that was seen in the first movement, is now having a *causal* effect on the new second movement theme. The inherent features of motif *a* both reshape the new theme and move it to the key of C major. The innate qualities of motif *a* are having a direct impact in these two bars. This musical event might be seen to be organic in the same way that one biological process has a direct effect on following processes in an organism. It also very well reflects the organicist idea of assimilation. While the sudden intrusion of this two-bar passage in C major sounds foreign in all respects (in key, dynamic and texture), the passage is assimilated into the 'organism' and adapted into its genetic makeup through its conforming to motif *a*.

In the third movement, there are further statements of the four-note figure. Two middleground statements of the figure (inverted) unify bb. 17-24, firstly in the soprano voice in bb. 17-20 (see example 20), then restated down a second (and an octave) in the bass in bb. 21-24.

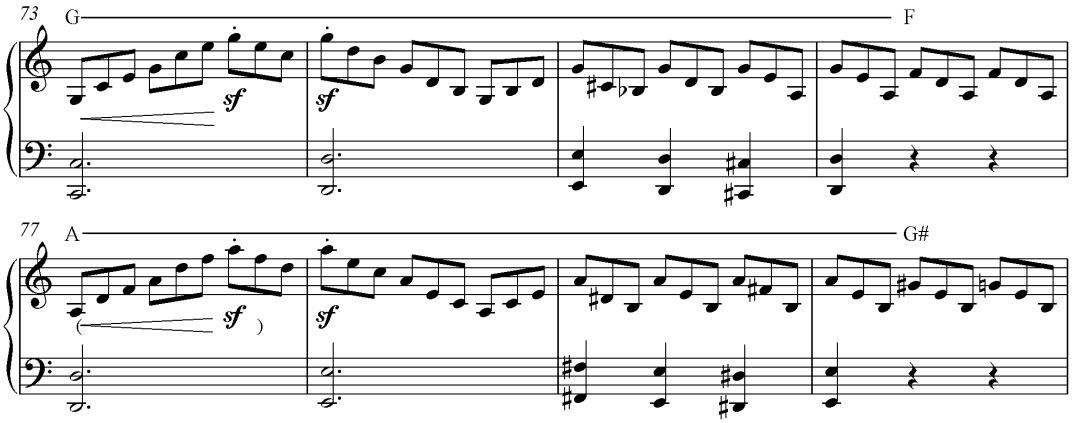
Clementi, Bologna: Ut Orpheus Edizioni, 2006).

Example 20



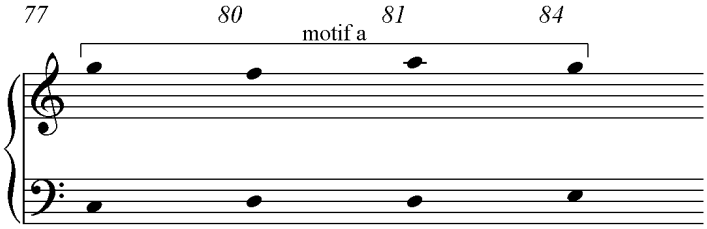
The deepest motivic parallelism of motif *a* in the third movement, however, occurs in bb. 73-80. The right hand here outlines the four-note figure G-F-A-G# over these eight bars (see example 21).

Example 21



In the fourth movement, motif *a* is heard as a middleground statement in bb. 77-84. Here, the parallelism of motif *a* is created via the same means that was used in bb. 52-53 of the second movement. The sequential second half of the main theme *rises* rather than descends, creating the four-note figure (see example 22):

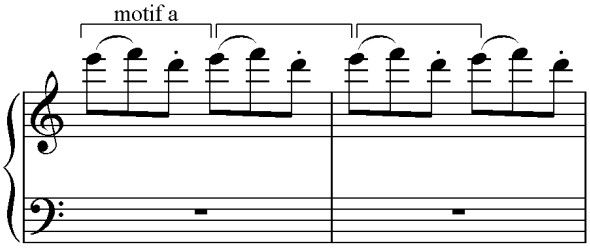
Example 22



Motif *a*, which played a vital role in the first movement, is having a causal effect on the fourth-movement theme, as it did on the second-movement theme. The concept of causality is central to that of organicism because the content can be seen to evolve from the inner 'genetic' laws of the work itself.

The four-note figure reaches its final climax as an outburst of surface repetitions in the last 40 or so bars of the sonata, firstly in bb. 269-72, then in inverted form in bb. 283-4. The contrast between the tonally unstable harmonic sequences of bb. 269-72 and the stable and static repetitions of bb. 283-4 is representative of the motif's harmonic journey through the sonata. After its numerous pitch transformations throughout the four movements, it is heard for the last time (in inverted form) centred round its original principal note, E (see example 23).

Example 23



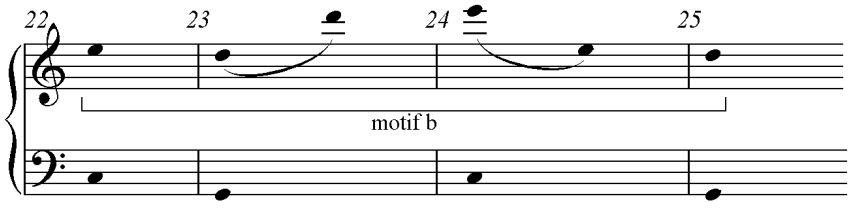
Thus, much like Schoenberg's concept of the motif in which tonal unrest is brought about and stability is restored, so too the tonal unrest created by the several motivic parallelisms of motif *a* finds rest at the end of the sonata. Motif *a*, at the end of its organic journey, realizes its true 'reality'.

Examining these different motivic parallelisms of motif *a*, one notices that while some of the structural descriptions are identical (the first and fourth notes belonging to the tonic key of the passage and the second and third notes constituting a consonant skip within the dominant seventh harmony, as in bb. 56-59 of movement 1 and bb. 53-4 of movement 2), some are clearly quite different from each other. Taking an example from the third movement (bb. 73-80, see example 21), we can see that while this is a very convincing motivic parallelism over eight bars, its structural description is extremely different from the original presentation of the motif at the beginning of the sonata. The motif in this case does not prolong the first note, but rather directs the tonal motion up a second, by means of an upper neighbour note. Given that this particular motivic parallelism is undoubtedly a reference to motif *a*, I agree with Cohn's stance in calling for a more autonomous treatment of motivic parallelisms in terms of their structural descriptions. In order to apply Schoenberg's concept of the motif as a tonal destabiliser/stabiliser to the motivic parallelism, one has to be less rigid than what Schenker proposes (but does not always adhere to himself). Validating motivic parallelisms with so-called 'different structural derivations' is to free the motivic parallelism as Cohn encourages, and acknowledge it as an important tonal device in the organic growth process.

Motif *b*

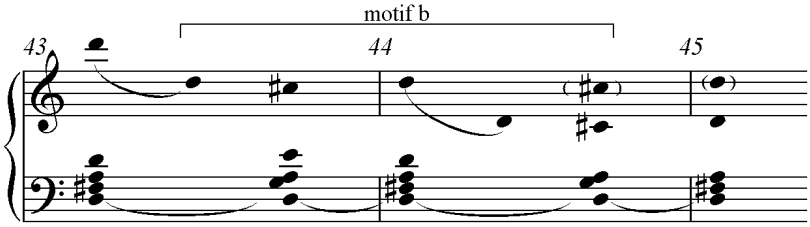
Motif *b*'s primary function in the sonata is to create both thematic and transitional material. After its presentation in bb. 1 and 3, and its middleground repetition in bb. 5-7, motif *b* is used in three transition/bridge passages in the first movement. The first example occurs from the end of bar 22 to the beginning of bar 25, where an enlargement of motif *b*, centred around the tones E and D, forms most of the transitional passage of bb. 21-26 (see example 24).

Example 24



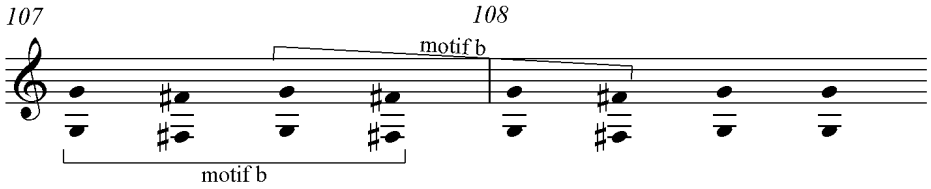
Secondly, in bb. 43-44, another middleground parallelism of the motif – this time centred round the tones D and C# – forms the later part of the transitional passage between the dominant minor and dominant major subjects (see example 25).

Example 25



What is interesting in this particular example is that the parallelism is formed by a rhythmic compression of the four bars preceding it in the same way that the 'continuation' part of the opening sentence-type theme was in bb. 5-7. In both examples the second and fourth notes of the parallelism, supported by dominant chords in their respective keys, occur on the fourth beat of the bar, creating in both cases a dotted minim – crotchet – dotted minim – crotchet harmonic rhythm. Reference between motivic parallelisms is thus being made. This reflects the organicist idea that specific parts of a whole have inherent qualities that manifest themselves repeatedly. Clear similarities can also be seen between the motivic parallelisms of motif *b* used in bb. 22-25 and bb. 43-44. In both cases, motif *b* and its inherent harmonic implications (I-V-I-V) are used to perform the task of creating a transition section between subjects. Just as specific (body) parts of an organism are called upon to perform specific tasks, motif *b* is called upon to create transitions between themes. A third occurrence takes place in the development section, in bb. 107-8 (see example 26). Here, a low middleground repetition of the motif is centred around the tones G and F#, which leads directly into a 'false recapitulation', involving a repetition of the opening four bars of the sonata (themselves a prominent display of motif *b*) in D major:

Example 26



In foreshadowing the return of motif *b* on the surface level by use of a low middleground repetition of the same motif, Beethoven employs here what Schenker called 'linkage technique' (*Knupftechnik).*

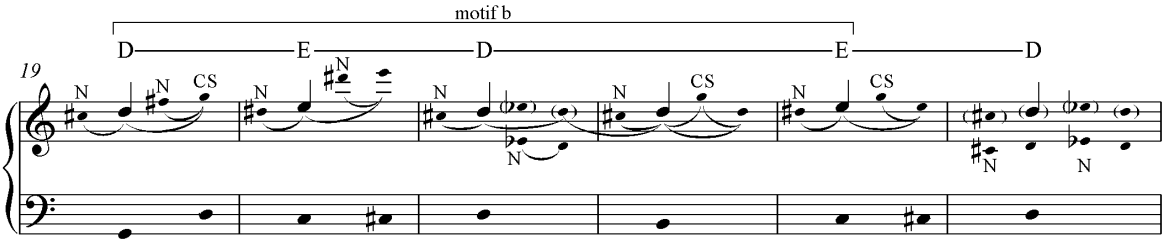
The important implication in these three examples is that the motivic parallelism – just like the surface motif – can help provide a motivic 'blanket' in transitional passages over which new tonal centres can be established. Patricia Carpenter has pointed out the role of the motif in linking one section to another via a musical bridge: 'A bridge, which introduces a new tonal area, shows by motivic analogy how that area is related to the old. The work of a bridge is twofold: motivically, it neutralizes old material in preparation for the new, while harmonically, it introduces the new pitch content and transforms the function of the old'.[283] The motivic parallelisms of motif *b* act in the same way. They join apparently contrasting sections together via subsurface motivic repetitions of a motif important to both sections. Carpenter's understanding of the motif as a transitional tool can thus be applied to the motivic parallelism. The motivic parallelism can be seen to bind different parts of the whole together just as blood – a single and essential matter – flows between different organs of the body.

In bb. 237-9 of the recapitulation motif *b* is heard in the alto part in the form of surface minims. To finish the first movement, a slight 'twist' in the double octave scales of the coda presents us a flash of motif *b* in bar 253.

In the second movement, a middleground parallelism of motif *b* forms the basis for the serene G major theme of bb. 19-24. Through the use of a succession of appoggiaturas, Beethoven produces a melody based around the tones D and E (see example 27).

[283] Carpenter, 'Grundgestalt', p. 19.

Example 27



What is remarkable in this parallelism is the way in which the parallelism itself and the musical fabric of the passage in which it occurs are both affected by each other. The six-bar parallelism continues the right hand figure that was introduced in bar 11, thereby seeming to grow naturally out of the passage preceding it. The enlargement of motif *b* is thus affected by what comes before it. However, the parallelism itself brings a sense of rest to the music, through the repetitive harmonic progression that naturally accompanies the turning figure. In this way the parallelism directly affects the passage by introducing six bars of relatively static music. The enlargement of parallelism *b* thus embodies the organicist idea that growth (here, a motivic parallelism) is both affected by, and directly affects the organism as a whole. Furthermore, this parallelism is a clear illustration of the way in which a small and basic organic cell can grow into something more elaborate. Not only is a four-note figure enlarged into six bars, but the motif is also enlarged spatially via the use of register and texture. As Robert Marshall points out, 'what makes Beethoven's early piano music sound full of vitality, and different from that of his contemporaries, is the degree to which he exploits a large range of textures …. In the slow movement of Op. 2 No. 3 he is able to give an extra dimension to the counterpoint of making the crossing hand reach over by different amounts each time. In the space of only a few bars, the accented appoggiaturas are heard just above the thirty-second-note figure, far above them, and even *inside* them'.[284] In this way Beethoven manages to make a small motivic cell 'blossom' via the filling out of registral space.

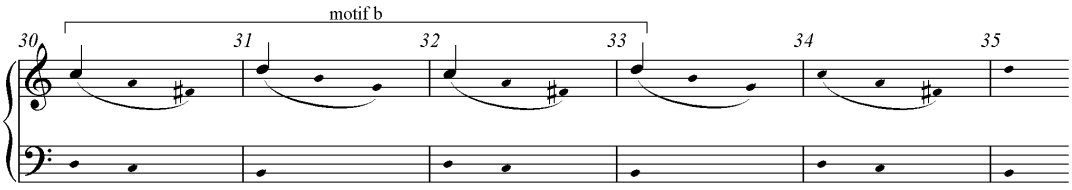
Motif *b* is found in the third movement in bb. 60-63. The E-F progression is then enlarged in the same register throughout the Trio section, in bb. 65-105 (bb. 65-99 prolong E and bb.

[284] Robert Marshall, *Eighteenth-Century Keyboard Music*, New York: Routledge, 2003, pp. 396-7.

100-105 prolong F). The turning figure is later presented in the left hand in the Coda section, between the notes A♭ and G, then the notes D♭ and C, and finally in the last two bars between the notes B and C. This pattern could be seen however, to be connected more to motif *c*, which we will examine shortly, since the A♭ – G progression seems to stem from the chromaticised version of motif *c* heard in bb. 28-29 and in bar 110. Beethoven thus uses the end of motif *c* in repetition as a means to make reference to motif *b*. Given that all the motifs in this sonata are derived from the opening thematic statement (a Goethe-type complex prototype, which might be seen as the seminal idea of the sonata), the interchanging of motifs in this manner reminds us that that they all come from the same organic seed.

In the fourth movement, motif *b* is heard constantly, since it forms an important part of the rondo theme (bar 3 consists solely of motif *b*). It is often heard as part of – and also apart from – the main theme. The motif is also heard in the left hand as an accompaniment in bb. 15-17. The most interesting occurrence of the figure, however, is the middleground enlargement in bb. 29-35, where a new theme centres round the tones C and D (see example 28). In this instance, motif *b* is used to create new thematic material (one of motif *b*'s primary functions).

Example 28



This particular motivic parallelism also coincides with the first descent to $\hat{2}$ (D) in this movement, therefore reinforcing an important formal/tonal point as did motif *a* in the first movement. The most striking feature of this parallelism, however, is its placement immediately following bb. 21-28, themselves based almost entirely on motif *b*. The enlargement seems to grow organically out of the motivic vitality of these bars. After the working out and repetition of motif *b* over different harmonies in bb. 21-28, the enlargement of motif *b* grows organically into a self-contained and stable theme (the theme

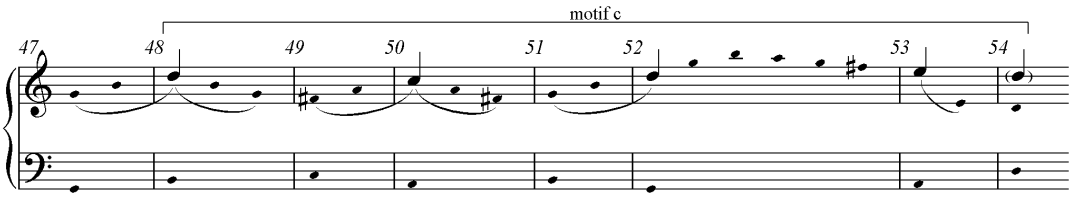
is heard over harmonies I and V^7). The organic analogy of reproduction is obvious: from the combination of slightly different genetic versions of the same species is born something new, stable and self-contained.

Motif *c*

Motif *c* is used throughout the four movements as the basis for the construction of many themes. Its primary function is therefore thematic. Its second function is to unify the sonata through its linear tonal growth and development. Indeed, motif *c* is more representative than any other motif in this sonata of Schoenberg's concept of the *Grundgestalt*, in which a motif takes a harmonic journey throughout a work, bringing about tonal instability and resolution.

After its presentation in bb. 1 and 3, the surface figure reappears in the left hand in bb. 21 and 23 of the first movement. From here on begins the fascinating harmonic journey of this motif. It first acts as the middleground progression for the presentation of the melodic dominant major subject (bb. 47-54). The melody in the right hand outlines chords for the first six bars and scales for the last two bars, the top notes of each chord and scale prolonging the notes D-C-D-E-D of motif *c* (see example 29).

Example 29

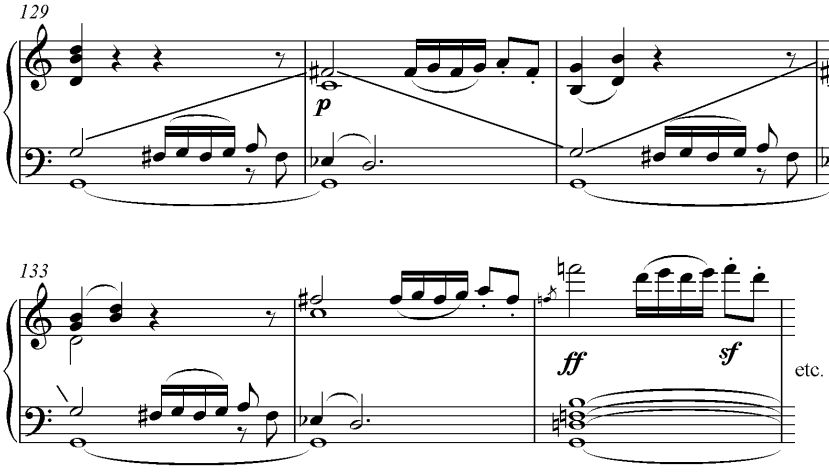


This beautiful parallelism of motif *c* might be seen to grow out of the turns of bb. 45-46. Indeed, the turns may have more essential motivic importance than it would first appear on the printed page. If we follow the Henle edition's advice for the execution of these turns (and indeed the majority of pianists follow this execution in recordings), then we can see how three repetitions of motif *c* in inverted form precede the enlargement. First heard circling around D (D-E-D-C#-D, bar 45), then around F# (bar 45), then around A (bar 46),

the turning figure of motif *c* completes its rise up the triad with a full expansion of the motif in its original form around D in bb. 48-54. Like the organism, the germ (motif *c*) grows, becomes taller and taller (in bb. 45-46), before it reaches full height and blossoms into full flower (in bb. 48-54). This interpretation suggests that Beethoven's later technique of using commonplace ornaments (trills, turns, etc.) as thematic material is already present in his earlier works.

The motif is later centred round the note G in bb. 129-133, which form the first five bars of the retransition. The notes of the motif are alternately shared between the right and left hands here, as the opening theme of the sonata is displaced each bar into the other part (see example 30). The parallelism forms the sequence G-F#-G-A-G, a figure which becomes the principal motif of the third movement.

Example 30



What is so interesting about this particular parallelism is that it is used, in the same way as the surface motif, to prevent our knowing when the recapitulation will come about. Eugene Narmour writes that 'although, at the beginning of the retransition, the final "score" of the "game" is given away by the dominant pedal, the continuing motivic repetition prevents our knowing exactly when the return will come about…the repetition leads the listener on, keeping him or her from knowing exactly when the recapitulation will occur'.[285] Narmour's

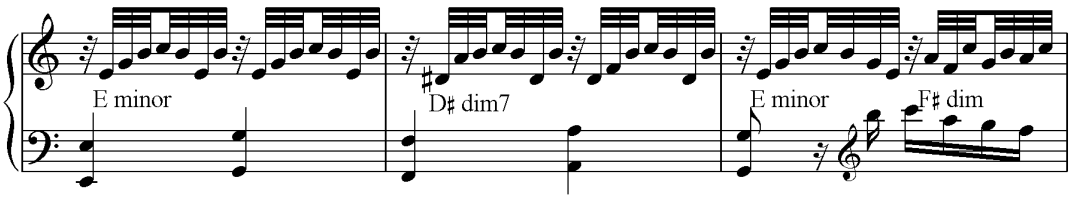
[285] Eugene Narmour, 'On the Relationship of Analytical Theory to Performance and Interpretation' in Eugene Narmour & Ruth Solie (eds.), *Explorations in Music, The Arts, and Ideas*, Stuyvesant: Pendragon Press, 1988, p. 322.

idea of continuing motivic repetition that obscures the final arrival of the recapitulation is clear in this passage – the ten bars of the retransition section are ten transposed repetitions of the opening theme to which we will arrive. Yet the motivic *parallelism* of motif *c* also 'plays' with the listener. In the bar containing the fifth and final note of the motif (the G in bar 133), Beethoven could have finished the parallelism and also the retransition section, by substituting the F #'s in this bar for F♮'s, and beginning the recapitulation in the next bar. Instead, Beethoven 'continues' the pattern of the parallelism for one more bar, throwing the expected phrase structure off balance and necessitating four further bars over an even more climactic dominant pedal.

Both of the previous two parallelisms of motif *c* (bb. 47-54 and bb. 129-133) involve simple harmonic accompaniments, which in both cases give us a sense of rest following the more complex harmonic progressions in the sections that precede them. Indeed, the step-wise turning nature of the motif lends itself to simple harmonic realization, and Beethoven fully exploits this, embracing the organicist idea that a given part serves a specific purpose to the whole.

Motif *c* is altered slightly to become a four-note figure (the fifth and final note of the original motif no longer 'fits') to create the main idea for the principal theme of the second movement (see example 9). When the harmonic progression of the new brooding theme of bb. 11-18 twice parallels the motion of this new, four-note reference to motif *c*, two new special types of parallelisms are created. This first occurs in E minor in bb. 11-13 (E minor – D# dim^7 – E minor – F# dim) and then in G major in bb. 14-17 (G major – F# dim^7 – G major – A minor). The four-note figure itself can be seen, in both cases, in the lowest-most notes of the right hand part. The first of these parallelisms (bb. 11-13) is shown in example 31:

Example 31



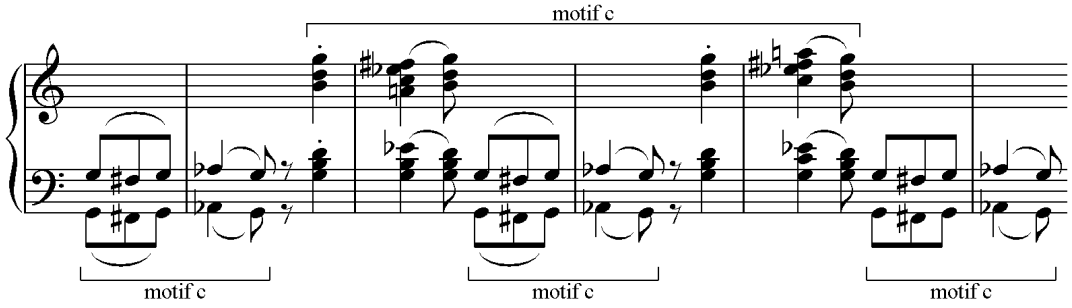
The minor-mode theme beginning at bar 11 could not be in starker contrast to the opening major-mode theme of this movement. Yet the underlying presence of the opening four-note figure (present in harmonic terms) in the minor-mode theme links the two sections and fulfils the organicist ideal of 'unity in variety'. We can not know whether or not Beethoven consciously linked these harmonic progressions with the four-note motif. If the connection was made unconsciously, then this supports the late eighteenth-century idea that the genius unknowingly expresses the unconscious process of organic growth through his or her artwork.[286]

Near the end of the movement, in bar 80, the four-note version of motif *c* is emphatically stated in the uppermost register. The sudden drop of more than three octaves after the fourth note strongly supports the idea that Beethoven was treating the four-note figure as a separate motif (derived from motif *c*) in the context of this movement. In this way, the four-note motif might be seen as a *motif-form* of motif *c*, a Schoenbergian idea. What my analysis suggests is that a Schenkerian motivic parallelism (bb. 11-13, bb. 14-17) can parallel a motif originally transformed via surface, Schoenbergian means.

Motif *c*, now back to its initial form, becomes the principal theme of the third movement. Here, it is centred round the tone G, as was the middleground parallelism in bb. 129-133 of the first movement, which foreshadowed it (compare example 30 with the first five notes of example 10). The motif is heard constantly throughout the movement. Also heard frequently is the four-note version of motif *c* that was introduced in the second movement. One such example is in bb. 9-14. It is as if the four-note derivation of motif *c* has 'reproduced' to the point of becoming an important force. One interesting occurrence of motif *c* (in its original form) is in bb. 28-33, where a conflict takes place between the motif

containing an A♭ in the lower register and the motif containing an A♮ in the upper register. The two entities in the upper register together form motif *c* (see example 32).

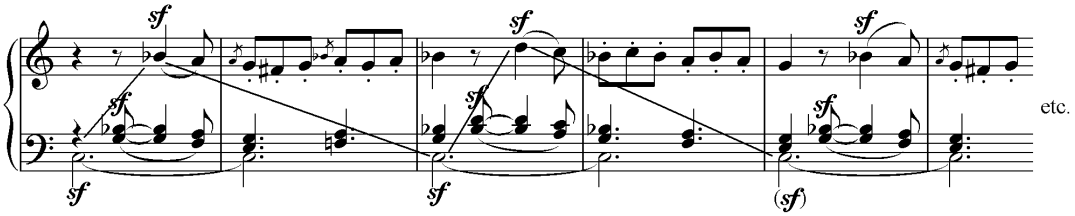
Example 32



In the trio section, motif *c* is heard twice in inverted form in the bass (bb. 74-76 and bb. 78-80), before being repeated later on.

There are two motivic enlargements of motif *c* in the fourth movement. The first occurs in the new theme introduced in bb. 119-126. The sforzandi in this passage outline both the contour of the melody and the constituent tones of motif *c*. The figure C – B♭ – C – D – C is thus created (see example 33).

Example 33



The final enlargement and parallelism of motif *c* in bb. 281-308 completes the harmonic journey that the motif has taken throughout the sonata. It brings us back to the home key of C major and to the initial tone around which the motif was first centred – E (see example 34).

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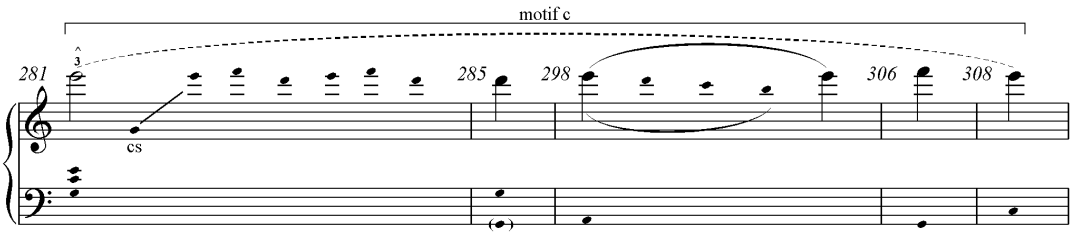
[286] Of course, this is an issue of reception rather than fact. Earlier composers, or later composers for that matter, may have made similar unconscious motivic connections without being labeled 'geniuses' who demonstrated organic growth through inspiration.

Example 34

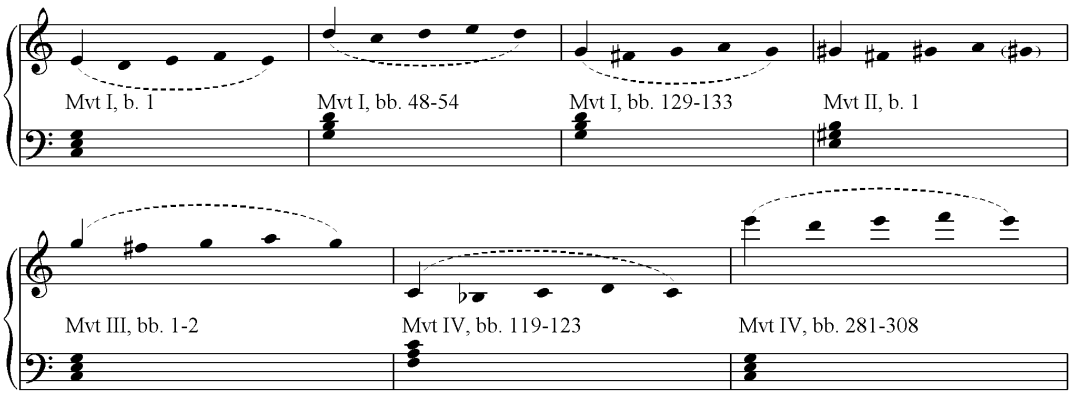


Furthermore, this parallelism takes place in the uppermost register used in the sonata, i.e. the register of the fundamental line (according to Schenker himself) that was established in bb. 14-15 of the first movement. After its many transpositions, motif *c* thereby establishes, in its last emphatic enlarged appearance, three important things: the home key of C, the fundamental tone of E, and the fundamental register. After its many transpositions, it returns to its roots, as in the Schoenbergian model. In this way, we can also associate motif *c* with Schiller's 'form drive', which attempts to make sense, retrospectively, of a global experience and of the 'sensuous drive' contained within that experience.

The nature of motif *c* is circular and static; it circles around one note. The fact that Beethoven uses motif *c* for the final large-scale motivic parallelism in this sonata is by no means accidental. It allows Beethoven to emphatically circle around the tone E (3̂) in order to re-establish this fundamental tone which was first prolonged in the first movement, and now in the final movement as well.

Let us look at the development and unfolding of motif *c* throughout the entire sonata in example 35:

Example 35



The parallelisms of motif *c* travel through the keys of C, G, E, C, and F, before returning to C (I – V – III – I – IV – I). More importantly, in the motif's grand return as a large-scale motivic enlargement spanning the final thirty or so bars of the sonata, it retains the same pitch-series of notes as the opening presentation of the motif in the first movement (E – D – E – F – E), giving a sense of return after a long journey away from home. From this, I hope to illustrate that the motivic parallelism can function on a linear level in a manner similar to Schoenberg's *Grundgestalt* – an idea expressed by Petty and Moreno in the previous section. The motivic parallelism is important to Schenker as a tool of growth throughout the layers. Yet, in illustrating the *linear* growth aspect of the motivic parallelism (i.e. viewing *successive* motivic parallelisms as they occur throughout the sonata), I suggest that it is indeed a stronger and more important tool in achieving organic unity than what Schenker has given it credit for.

Motif *d*

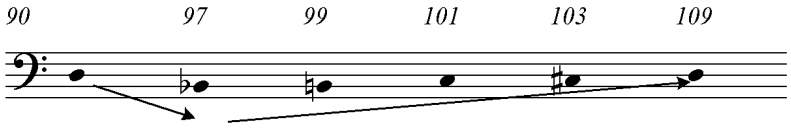
The descending-third figure has three main appearances in the opening twelve-bar theme – in bb. 1-2 and bb. 3-4, and then again in bb. 9-11. In bb. 69-72, immediately following the surface outbreak of motif *a* in bb. 67-68, we have a descending melodic and harmonic progression based on the descending-third idea. On every half bar the melodic note and the supporting harmony both fall down a third.[287] The descending-third harmonic progression

[287] It could be suggested that movement by thirds is commonplace in music of this era and that this weakens the claim that the progression is born from the descending-third motif. The progression here, however,

is continued in bb. 73-6, with a I-vi-IV progression in G major, the D# in bar 74 being a lower neighbour note to the E in bar 75. Then, at the beginning of the codetta section at bar 77, we have yet another series of descending thirds, reinforced by trills and crotchet notes.

These passages are representative of motif *d*'s primary function in this sonata – to provide the basis for harmonic shifts and tonal progressions in the more developmental sections of the work. The development section itself is heavily based on the descending third figure, which here continues this same function. It begins with three octave repetitions of the tone D, and after six more repetitions of the descending third figure from the codetta, an intrusive and virtuosic display of the B♭^{7} chord begins a new idea at bar 97. The next twelve bars (bb. 97-108) outline a gradual bass ascent from B♭, until the tone (and key of) D is reached in bar 109. Thus from the D that opens the development section, we have an abrupt fall down a third to B♭ in bar 97, only to experience a gradual ascent back up a third to arrive at D in bar 109 (see example 36).

Example 36



The interval of the third is being used as a generative harmonic force. Motif d has its strongest impact in the movement in bb. 113-129 of the development section. In these bars, all the material is derived from either the descending third figure itself or from descending third sequences of other material. The passage is made up of two different ideas, heard alternately, one after the other in repetition. The first idea is the threefold repetition of motif *b*, heard down a third each time (bb.113-14, 117-18, 121-2). Here, the descending third figure of motif *d* has a *sequential*, rather than motivic influence on the idea. This is interspersed with a second idea which is a direct *motivic* reference to motif *d*. In the bass are two sequences of the descending-third figure, sforzandi marking the beginning of each figure. In the right hand, there is a longer descending-third progression heard above, the second half of the first bar being an upper neighbour note of the primary tone expressed at

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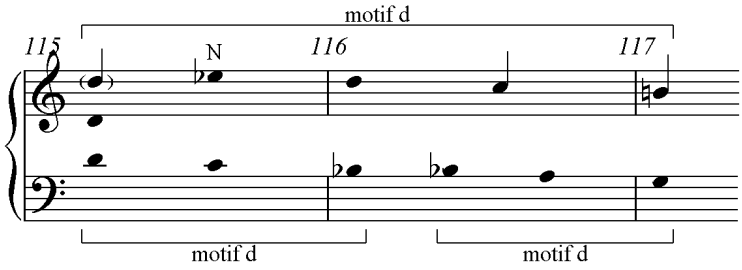
continues emphatically for three whole bars, and the staccato, regular rhythm of the passage recalls motif *d*

the beginning of the bar. This is heard in bb. 115-17 and bb. 119-121. The example of bb. 115-17 is given in example 37.

Example 37



Then, in bb. 123-6, there are four repetitions of motif *d* in the left hand and three in the right. The beginning tone of each descending third is brought out by a sforzando. This leads to the emphatic final statement of motif *d* in this development section in bb. 127-8. Here, further sforzandi spell out the ascending and descending third figure, D-E-F-E♭ -D.

The principal impact of motif *d* in this developmental passage is of a harmonic nature. For not only are there several instances of sequential repetitions down a third (as outlined above), but the descending bass-line throughout the passage also outlines – mostly via the use of sforzandi – a sequence of *harmonies* based also on the descending third (see example 38).

Example 38

Bar	113	116	117	120	121	124	125	126
Harmony	D	B♭	G	E♭	C	A♭	F minor	D minor

One can easily compare the tonal impact that motif *d* has in this passage to the example of van der Toorn's that I gave earlier (of the first movement of Brahms's third symphony). He argues that the third interval contained within the opening theme of the symphony engenders the tonal progression later heard from F down to D♭ down to A. A similar

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from bb. 1-2.

occurrence clearly takes place in this Beethoven sonata. Seen from a Schoenbergian perspective, motif *d*, expressed at the beginning of the movement, has a germinal effect on both the thematic content and the harmonic progressions of bb. 70-129.

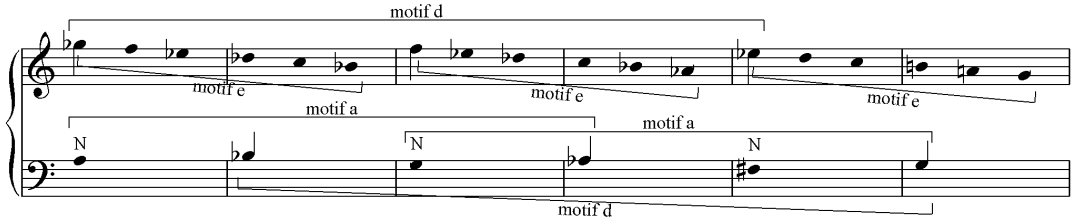
In bar 218 of the first movement, there is a very abrupt ellipsis of the C major chord to A♭ major, which is sustained in both hands for six whole bars. The rather shocking announcement of this key is extremely significant. The tonal descent of a third (C to A♭) is born from motif *d*, and recalls the bass descent (of D down to B♭) from the beginning of the development section. It seems that motif *d* gains increasing power as the movement progresses. While in the development section its harmonic effect was limited to local harmonic progressions, here, beginning at bar 218, it has built up enough authority to cause a clear tonal shift to another key.[288] Viewing the motif in this way certainly supports the organicist ideal of growth and causality.

In bb. 238-40, two falling third figures, announced by sforzandi, make reference to the left hand figure that was so important in the development section.

In the third movement motif *d* engenders another harmonic sequence in bb. 21-28, this time in stepwise descent, thereby creating one descending third line. The harmonies descend from B♭ minor (bb. 21-22), through A♭ major (bb. 23-24), to G major (bb. 25-26). What is ingenious in this example is how the descending third progression in the right hand (G♭ in bar 21 – F in bar 23 – E♭ in bar 25) is made up of a series of surface appearances of motif *e* (the descending sixth), and how the left hand descending third progression (B♭ – A♭ – G) is made up of two appearances of motif *a* (see example 39).

[288] Once again, a critic of motivic analysis might argue that it was commonplace to emphasize third-relations in instrumental music of this time. By this point in the music, however, the descending-third progression has been used so consistently to suggest it is an important force in the formal makeup of the music.

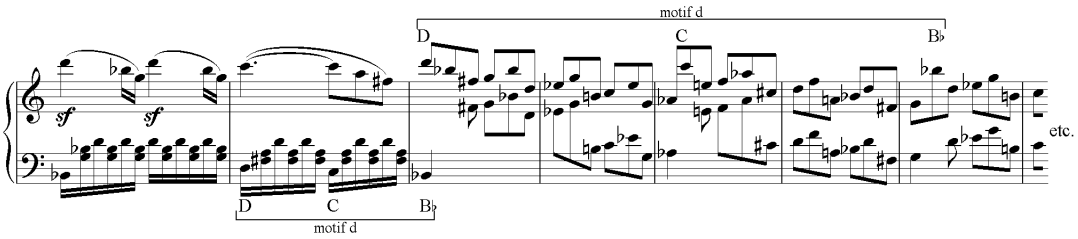
Example 39



In other words, motif *a* and motif *e* actually create the overall descending third progressions of motif *d* in both hands, reminding us that these different motifs are all born from the same opening thematic statement and that their genetic similarities are bound to interact. Following the sequence just described, the descending-third figure is immediately repeated as a surface figure in bar 27, as if in summary of the six-bar sequence which preceded it.

In the fourth movement, following the surface appearances of motif *d* in the left hand in bb. 9-14, there is a middleground enlargement of the motif in the left hand in bb. 30-35, where the progression D-C-B is repeated three times. The primary function of motif *d* (to generate tonal progression in developmental passages) then comes to use once more in the very chromatic passage of bb. 45-55. Here, there is a sequential tonal progression of descending thirds, falling a third each half bar for ten consecutive bars. Furthermore, over the top of this rapid harmonic progression is one longer-range descending third progression, D-C-B♭, outlined in the highest register of the passage. This particular descending third figure is an enlargement of the left hand parallelism of the same progression (D-C-B♭) immediately preceding it in bb. 42-45 (see example 40).

Example 40



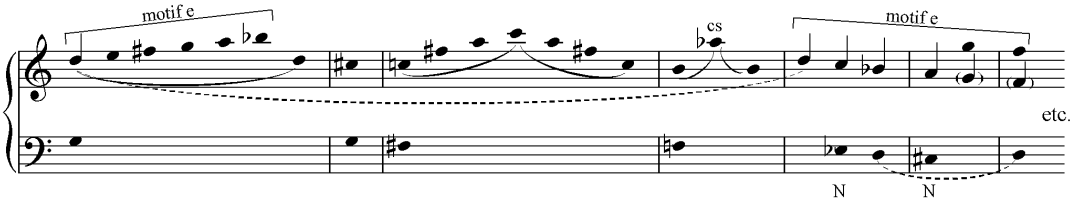
When the ten-bar passage corresponding to bb. 45 -55 returns down a third in bb. 235-245, Beethoven makes a direct reference to the first presentation of the idea. He retains the

sequential tonal progression of descending thirds on the half bar, but he inverts the longer-range third progression, so that the descending D-C-B♭ progression heard in bb. 45-55 becomes an ascending B♭ -C-D progression in bb. 235-45. Beethoven is thereby making direct references between motivic parallelisms, just as Schoenberg makes direct references between surface motifs. In this way also, the motivic parallelism is able to be viewed on a linear level, in the same way that van den Toorn describes the function of Schoenberg's motif. A holistic view of the *'a-b-c'* succession of motif forms is formed by looking backwards and forwards; derivation and association help define the nature of a motif. A similar occurrence takes place with the motivic parallelism.

Motif *e*

The primary function of motif *e*, like that of motif *d*, is harmonic. However, whereas motif *d* was primarily concerned with tonal progressions and harmonic shifts, motif *e* is more concerned with the outlining of a single harmony or key at one given time, often within a theme. The first example of this occurs within the dominant-minor subject in bb. 27-39. The opening bar (bar 27) outlines an ascending sixth, from D to B♭, and together with the bass note G, outlines the opening key (G minor) of the subject. The middleground progression of the first statement of the subject (bb. 27-33) is a descending linear sixth progression from D to F. This interval, together with the final bass tone D in bar 33, outlines the key of D minor, the destination key of these six bars (see example 41).

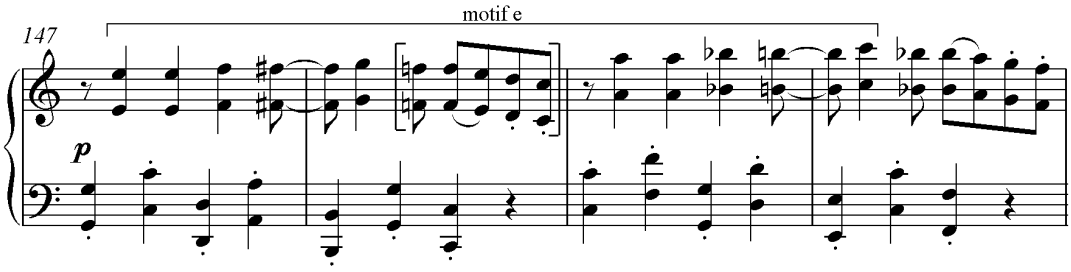
Example 41



We have, therefore, an example of melodic and thematic material unfolding or 'composing-out' a single chord in time. The descending linear sixth progression is a melodic and thematic structural unit which anticipates and composes out the D minor harmony.

Beethoven uses linkage technique once more to begin a new theme in bar 147: the melody of bb.145-6, is transferred to the bass in bb. 147-8, the beginning of the new theme. This new theme (bb. 147-155) is based on motif *e*, the first statement of the melody in the right hand in bb. 147-50 being an enlargement of the ascending sixth progression (see example 42).

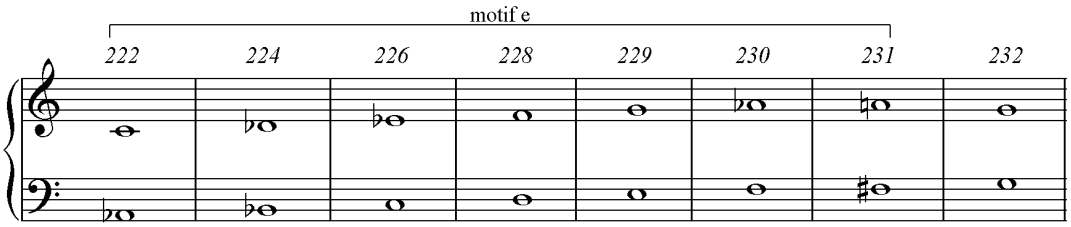
Example 42



The interval of this progression E-C outlines, together with the first bass note of the theme (G), the key of C major in which this theme begins. When the melody is transferred to the bass in bb. 151-4, the right hand accompaniment figure is then based entirely on the ascending sixth figure.

In the mysterious A♭ section of the first movement (bb. 218-31), there is yet another middleground ascending linear sixth progression. After the establishment of A♭ major, a gradual ascent begins in both hands which leads to the 'pre-cadenza' cadence in bar 232. The right hand ascent of these bars (bb. 222-231) outlines the sixth progression C –A (see example 43).

Example 43



Thus after the abrupt and shocking shift to A♭ major in bar 218, the 'intrusive' event is gradually assimilated into the music's genetic core via a parallelism of motif *e*. This example of organic assimilation is comparable to bb. 53-54 of the second movement, where an abrupt tonal shift is assimilated into the whole through a parallelism of motif *a*.

In the second movement, the surface descending sixth progression is used three times, each time in a cadential manner, as a means to reach a new key. Descending sixths in the left-hand lead us to A minor (bb. 28-9), B minor (bb 31-2), and E minor (bb.34-5 and bb. 37-38).

Motif *e* is used consistently in the main section of the third movement. The opening theme (bb. 1-16) begins with a linear descent from A to C followed by a linear ascent from B to G, which outlines the dominant harmony of G major to which these first eight bars are headed. In the next eight bars (bb. 9-16), there are three consecutive descending sixth progressions in the left hand, with one low middleground ascending linear sixth progression in the right hand. This middleground ascending linear sixth progression from F# to D outlines the D major harmony (chord V of V) before a perfect cadence into the dominant key at bar 16 (see example 10). Bars 17-28 are simply a succession of surface descending sixth progressions, first in the lower part, and then in the upper part.

Three consecutive middleground ascending linear sixth progressions form the basis of bb. 8-14 of the fourth movement (see example 11). The first progression from B to G outlines the G major harmony which supports it. The third progression from F# to D also outlines the D major harmony which underlies it. Since the second progression of C to A does not outline the C major harmony which accompanies it, it might be seen as a passing linear progression in this brief modulating passage to G major. As already mentioned, three of these four sixth progressions are directly taken from the opening theme of the third movement.

A new F major choral-like theme is introduced in bar 103, the second half of which (bb. 111-118) contains a middleground ascending linear sixth progression in the right hand. The

sixth interval that this progression covers (A-F) also outlines the key (F major) of this theme.

* * * *

In this analysis, I hope to have shown that the motivic parallelism is able to achieve all that the motif can. Rather than being a by-product of analysis, it is an active multi-functioning tool in musical coherence. The overwhelming number of parallelisms in themselves is testament to the importance of the motivic parallelism in interpreting Beethoven's music. I have argued and incorporated the view of Cohn and Moreno, that motivic parallelisms need not have the same structural identities as one another to be valid entities. Indeed, it is the chromatic alterations and the tonal changes in accompaniment and function of these motivic parallelisms that allow them to live a linear tonal journey throughout a composition. In this way, they can incorporate Schoenberg's concept of the motif, in which tonal unrest and stability is brought about through motivic use. Direct references made between motivic parallelisms can enhance the horizontal conception of this musical tool. The analysis has illustrated how the motivic parallelism may be linked to, or may engender, tonal progressions, both on a small and on a large scale. Motivic parallelisms can also help articulate and create formal patterns within the sonata. The notes of the two overlapping parallelisms of motif *a* in the first movement (see example 17), for example, coincide exactly with the primary notes of the fundamental line of the movement, which is a prolongation of E ($\hat{3}$). In other cases, parallelisms mark the beginning points of important structural divisions. My analysis has shown how phrase structure and motivic organization within phrase structure might directly influence middleground linear progressions, and therefore – from a Schenkerian perspective – form. The motivic parallelism has been shown to function as a motivic 'blanket' in modulating transitional passages, just as the surface motif is known to function. I have proposed that the five motifs of the Op. 2 No. 3 sonata are born from the opening thematic statement, and thus that they arise from the same genetic source. Their respective motivic parallelisms have a different primary function to perform, like organs in an organism. This supports the idea that the motivic parallelism is a functional tool, rather than a by-product of analysis. These techniques, amongst others, enable the motivic parallelism to reflect organicist ideals of unity, seminal growth, self-

regeneration, assimilation of foreign elements into the organic whole, interdependence of parts (motifs), and causality.

2.2.1. Organicism, Meaning, and Interpretation

In his book *Wordless Rhetoric: Musical Form and the Metaphor of the Oration*, Mark Evan Bonds discusses musical forms as falling into two distinct categories: inner/generative form versus outer/conformational form. He then remarks that there is a 'disturbing absence of any theoretical basis that can reconcile the generative and conformational approaches in any fashion'.[289] Clearly favouring the rhetorical metaphor over the organic one, Bonds goes on to argue that the rhetorical model was one that was able to unify inner and outer forms simultaneously. He writes:

> These two perspectives [generative and conformational form] are united by the concept of musical rhetoric. A work's form is generative in the unfolding of its ideas, and specifically its central idea. But in order to be made more readily intelligible to the listener, the sequence of these ideas must ordinarily follow at least the outlines of a conventional pattern.[290]

Bonds then argues that the replacement of the rhetorical metaphor with the organic one destroyed this conception of unity of the two different types of form, since the organic metaphor relied on self-regeneration and an *inner* unfolding of events. As such, he argues that less emphasis was placed on temporal considerations in the organic work. He writes:

> Whereas the eighteenth century's metaphor [the rhetorical metaphor] had emphasized the temporal nature of the work in performance and viewed form primarily from the perspective of a listening audience, the preferred metaphor of the nineteenth and twentieth centuries [the organic metaphor] has been more spatial in perspective, in that it considers the work and its constituent units as a simultaneously integrated whole.[291]

He later writes:

> As an organism, the musical work is an object of contemplation that exists in and of itself. As an oration, the musical work is a temporal event whose purpose is to evoke a response from the listener. We can be moved by both modes of experience; but the metaphor of the oration necessarily emphasizes the temporality of the work, the role of the listener, and the element of aesthetic persuasion, whereas the model of the biological

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[289] Bonds, *Wordless Rhetoric*, p. 29.
[290] Bonds, *Wordless Rhetoric*, p. 130.
[291] Bonds, *Wordless Rhetoric*, p. 4.

organism has no need to account for a work's effect upon its intended audience. Indeed, the audience, for all practical purposes, is irrelevant to the organic model.[292]

As Kevin Korsyn writes in his review of Bonds book, 'Bonds wishes to persuade us that the rhetorical model is temporal, while the organic model is spatial; rhetoric is audience-oriented, while organicism is work-oriented (or composer-oriented)'.[293]

I have quoted Bonds at relative length because his views seem to summarise the underlying assumptions of many writers on organicism – assumptions that need deconstructing. By seeing the organic model as lacking in outer form,[294] and as purely spatial rather than temporal in nature, Bonds implies that the aesthetic model of the organic work is less able than the rhetorical work to 'evoke a response from the listener'. I suspect that part of the reason that he and others take this stance is also due to the related concepts of absolute music and the autonomous artwork that emerged around the same time as the organic model. The organic artwork is typically seen as a type of absolute music. The idea that absolute music is untranslatable and devoid of narrative has been rightly questioned by new musicologists. Just because absolute music does not follow a predetermined programme, this does not mean that the listener can not be involved with the music in a narrative sense, or that the music is less accessible to the listener. It simply means that 'there is no *correct* content [or programmatic] interpretation'.[295] Bonds doubts the organic model's ability to contain a narrative by insisting that the organic model lacks any temporality. I would like to argue the opposite in two respects.

Firstly, the organic model *does* involve temporal processes that are essential to its form and to listening. As Korsyn points out, Bonds transfers the metaphors of rhetoric and organicism to music with a certain degree of disregard for those metaphors' origins. He writes:

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[292] Bonds, *Wordless Rhetoric*, p. 145.
[293] Kevin Korsyn, 'Review of "Wordless Rhetoric: Musical Form and the Metaphor of the Oration" by Mark Evan Bonds', *Music Theory Spectrum*, Vol. 16, No. 1, 1994, p. 128.
[294] It must be stressed that there remains a tension between the idea that 'organic' music involves an inner unfolding of events and the reality that most 'organic' works follow well-worn formal models such as sonata form. Once again, the issue is one of reception rather than fact.
[295] Peter Kivy, 'Absolute Music and the New Musicology', in Peter Kivy, *New Essays on Musical Understanding*, Oxford: Clarendon Press, 2001, p. 159.

Since metaphors belong to language rather than to the phenomenal world, they do not have temporal or spatial essences. Metaphors can only be understood by reconstructing the long, complex, and often contradictory histories of their use. The histories of both the organic and rhetorical models reveal both spatial and temporal aspects. In organicist discourse, for example, the ideas of growth, change, evolution, and process appear again and again, and all these imply time.[296]

Secondly, it is important not to overemphasize temporality in assessing music's ability to evoke audience response. Listening involves reflection on several levels, as in Schiller's 'form drive', where the listener makes sense retrospectively of the music. Important to musical narrative are both the temporal *and* non-temporal aspects of music. As Paul Ricoeur writes:

Every narrative combines two dimensions in various proportions, one chronological, and the other non-chronological. The first may be called the episodic dimension, which characterizes the story as made out of events. The second is the configurational dimension, according to which the plot construes significant wholes out of scattered events.[297]

As Korsyn summarises, 'by imposing a temporal/spatial opposition on his metaphors, Bonds may forget that metaphors have the potential, as Hans Kellner observed, "to spatialize time and to temporalize space"'.[298]

Continuing with the motivic parallelism as my subject, I will illustrate ways in which the *inner* and *organic* unfolding of motifs can be seen to create a narrative on both the chronological and the non-chronological levels. In this way, a work seen or heard from an organic perspective can just as easily involve the audience as does a 'rhetorical' work. To claim that the audience is irrelevant to the organic model, as Bonds does, might be seen as surprising, since the organic model replaced the mechanistic model in the late eighteenth century in part as an attempt to focus on the naturalness rather than the artificiality of music. As Korsyn writes in another article, 'organicism must also be seen in relation to mechanistic and materialistic trends, as a response to everything that threatened to reduce

[296] Korsyn, 'Review of "Wordless Rhetoric"', p. 130.
[297] Quoted in Anthony Newcomb, 'Schumann and Late Eighteenth-Century Narrative Strategies', *19th-Century Music*, Vol. 11, No. 2, 1987, p. 166.
[298] Korsyn, 'Review of "Wordless Rhetoric"', p. 129.

human beings to mere mechanisms'.[299] Van den Toorn points out that this enhances meaning and immediacy for an audience:

> To suggest that a unity is organic is to suggest that its parts adhere naturally rather than artificially or arbitrarily…It is to suggest that those parts are dynamic rather than static, lifelike rather than mechanistic. Such understandings are hardly at odds with…the humanists' tendency to associate those individual qualities with the subjective response to music, with that which is immediate and essential to the experience of music.[300]

Furthermore, we have seen how idealism was an integral aspect of the rise of organicism. Organic unity in music, according to Wackenroder, Hoffman and other idealists, signified the all-encompassing ideal realm. This is significant because Bonds himself points out, in another article, that the 'reflective process' in musical listening was essential from an idealist's perspective. He quotes Körner, who wrote in 1795 that we can understand a work 'not by what *appears* in it, but according to what must be *thought*'. Bonds stresses the 'reflective process demanded by the particular work' because 'for Körner and other idealists, the enjoyment of art was not a process of "idle reception" but rather of "activity"'.[301] According to the idealists the artwork is used as a means to connect with the ideal world through *contemplation*. Organic unity was seen by Wackenroder and Hoffman (amongst others) as one of the chief means through which an artwork could help signify such connection to the infinite or absolute. Here is one further reason why the listener *is* relevant to the organic model.

2.2.2. Organic Unity, Metaphor, and Narratology

Narratives provide yet another form of unity to the listener, even in absolute music. To quote Friedrich Schlegel one last time, 'must not purely instrumental music create its own text? And is not the theme developed, confirmed, varied and contrasted, just as is the object of a sequence of philosophical speculations'? As Maus points out, 'the association of music with a story is a way of attributing musical unity: the parts of a story belong together,

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[299] Kevin Korsyn, 'Schenker's Organicism Reexamined', *Integral*, Vol. 7, 1993, p. 91.
[300] Van den Toorn, *Music, Politics, and the Academy*, p. 99.
[301] Bonds, 'Idealism and the Aesthetics of Instrumental Music at the Turn of the Nineteenth Century', p. 393.

somehow, and in associating music and story one is, somehow, transferring that unity to a musical context'.[302]

What kind of narrative can the organic model offer? We earlier established that narratives involve chronological and non-chronological dimensions. Tarasti echoes this point where he writes that 'narrativity is a way of shaping the world in its temporal, spatial, and actorial course'.[303] Tarasti then asks, 'does "organic" narrativity thus mean that the text is articulated according to some primal narration? That it is a story of man's conjunction with or disjunction from nature and cosmos?' His answer is that 'one might assume that…it is precisely the way in which man's *Dasein* imitates the cosmic principles of nature. Narration can of course merely describe and classify the inner events of *Dasein*, but it can also be the way in which transcendental ideas are concretized in temporality'.[304]

The idealist concept that transcendental ideas (including the unification with nature, or the ideal) are embodied in organic artworks was crucial and central to the organicist movement, as was outlined in part one of this thesis. If an organic narrative is to express transcendental ideas in time, it follows that the narrative will be one which involves more 'timeless' narratives than many rhetorical narratives. This is exactly what we find in many narratives of so-called 'organic' works (such as Beethoven's Fifth Symphony). Tarasti offers an organic narrative of Sibelius's Fifth Symphony, in which he talks of a 'threat of impending tragedy', of a theme which 'symbolizes nature and cosmos for the whole symphony', and of a subject that 'fuses with the cosmic level'. He concludes that 'even in the narrative sense, this symphony represents the "organic" in music'.[305]

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[302] Maus, 'Concepts of Musical Unity', pp. 182-3. Some musicologists (including Jean-Jacques Nattiez and Lawrence Kramer) have argued that the narrative dimension is not an *inherent* unifying element in music. Kramer writes that 'narrative elements in music represent, not forces of structure, but forces of meaning', and that 'anyone looking to narratology as a means of illuminating musical structure and musical unity had better look somewhere else' (Lawrence Kramer, 'Musical Narratology: A Theoretical Outline', *Indiana Theory Review*, Vol. 12, 1992, pp. 161-2). For the sake of argument, then, it is safer to regard narrative as contributing to a unity of *experience* rather than to a structural unity.
[303] Tarasti, *Signs of Music*, p. 112.
[304] Tarasti, *Signs of Music*, p. 112.
[305] Tarasti, *Signs of Music*, pp. 112-115.

Adorno makes the important point that even with a generative or inner model of form (and the organic work involves this type of form), Beethoven's music still contains meaning relevant to society and to the world. He writes:

> It is in fitting together under their own law, as becoming, negating, confirming themselves and the whole without looking outward, that his movements come to resemble the world whose forces move them…The motive kernels…are themselves identical with the universal; they are…preshaped by the totality as much as the individual is in individualistic society. The developing variation [is] an image of social labor.[306]

Thus, although there is no outer or conformational model of form that might in other cases help to relate more precise programmes to listeners, global types of narrative are most definitely relevant to the organic model.[307] The organic model of understanding a work (i.e. seeing the work as an inner unfolding of events rather than following an outer conformational model) can provide for interesting interpretations of 'organic' works, including Beethoven's.

* * * *

For Beethoven's Op. 2 No. 3 sonata, I take up Spitzer's conviction that 'Beethoven's motivic cells seem to generate a life force that flows like blood or spirit through the living work',[308] and propose a narrative as one possible interpretation of the work. It echoes somewhat Adorno's interpretations of Beethoven's music, in that it looks at how motifs and their parallelisms develop throughout the sonata and come to represent, through their inner unfoldings, a global narrative. Following Adorno, motifs represent individuals fighting for their place in the world, and shaped by society. My narrative is one of individual growth, followed by group conflict, followed by group reconciliation.

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[306] Theodor Adorno, *Introduction to the Sociology of Music*, trans. E. B. Ashton, New York: The Seabury Press, 1976, pp. 209-210.

[307] The organic model simply incorporates a different type of narrative programme than the rhetorical model. Tarasti differentiates 'between two types of narrative programme: … structures of communication and … structures of signification'. The first involves obvious signs or communicative structures, such as topics or rhetorical figures. The second involves deeper musical elements that gain signification through interaction and musical context. Clearly, the rhetorical model utilises structures of communication while the organic model utilizes structures of signification. Tarasti comes to the conclusion that if we can accept that narratives can function without structures of communication then we can accept 'the thesis that even "pure" music can be narrative in character'. (Tarasti, *A Theory of Musical Semiotics*, pp. 26-27).

[308] Spitzer, *Metaphor and Musical Thought*, p. 27.

Segregation gives way to integration and reconciliation. The motivic patterning thus reinforces an archetypal narrative of this time. It involves the following chronological events: 1. the establishment of a societal ideal of harmony; 2. the exclusively independent development of interests of each individual; 3. the conflict of interests arising between people through stressed interaction; and 4. a mutual acceptance and tolerance achieved via *interaction*. From the point of view of the individual, rather than from a societal view, my narrative could be seen to represent three distinct stages of life: infancy (where the world 'centres' round the individual), adolescence (where the individual comes into conflict with others), and maturity (where the individual adapts to living in harmony with others and their needs and feelings).[309] Both perspectives (the societal and the individual) will be considered. This moralistic narrative is clearly one of brotherhood – one of the strongest unities of all, and a theme that Beethoven would return to with his Ninth Symphony. Applying this type of narrative to Beethoven's music seems appropriate since he himself had a strong 'desire to help the needy and live for others'.[310] He is also reported to have drawn comparisons between music and morals.[311]

The narrative I propose might also be considered a type of the 'States Are Locations' metaphor. As Spitzer summarises, this metaphor is one 'by which people routinely conceptualize both mental and physical states as stages on a path'.[312] In very general terms, this narrative can be seen as an example of the archetypal Hegelian dialectic (thesis – antithesis – synthesis), a model frequently applied to sonata form. It is original in two

[309] A similar type of distinction between life stages is proposed by Schiller. He writes that we can 'distinguish three different moments or stages of development through which both the individual and the species as a whole must pass….Man in his physical state merely suffers the dominion of nature; he emancipates himself from this dominion in the aesthetic state, and he acquires mastery over it in the moral'. (.Schiller, Aesthetic Education of Man, p. 171). These stages, like the three stages I propose, involve a progression from an instinctual drive towards maturation and wisdom.

[310] Barry Cooper, 'Beethoven's Beliefs and Opinions', in Barry Cooper (ed.), *The Beethoven Compendium: A Guide to Beethoven's Life and Music*, London: Thames and Hudson, 1991, p. 142.

[311] In a letter from Bettina Brentano to Goethe of 1810, Brentano reports Beethoven as having said that 'like all the arts, music is founded upon the exalted symbols of the moral sense: all true invention is a moral progress. To submit to its inscrutable laws, and by means of these laws to tame and guide one's own mind, so that the manifestations of art may pour out: this is the isolating principle of art'. (Michael Hamburger, *Beethoven: Letters, Journals and Conversations*, London: Thames and Hudson, 1951, p. 89).

[312] Spitzer, *Metaphor and Musical Thought*, p. 39. Anthony Newcomb offers a similar type of narrative in his analysis of Schumann's Second Symphony. The stages of his narrative represent broad, psychological states as the symphony progresses from a state of struggle towards one of happiness. (Anthony Newcomb, 'Once More "Between Absolute and Program Music": Schumann's Second Symphony, *19th-Century Music*, Vol. 7, No. 3, 1984, pp. 233-250).

important respects, however. Firstly, the events of the narrative occur throughout the sonata as a whole, rather than in individual movements. The narrative is independent, therefore, of the formal features of sonata form. Secondly, the final stage of resolution (or synthesis) involves the simultaneous development of motifs. Unlike sonata form, in which the interaction of different motifs is most likely to occur in the development section, the motifs in my narrative reach their highest point of development and mutual dependence via interaction in the *final* stage of the narrative.

Bars 1-4 present the musical *Idee*, which represents the *ideal* of unity and harmony of all people; the five motivic cells are linked together to form an appreciable whole in the form of a thematic statement – a clear example of Goethe's complex motivic prototype. Bars 5-7 then involve the exclusive development of *one* motif – motif *b*; development and growth is exclusively linked to the *individual*, who is trying to find his or her place in the world. Bars 9-11 then involve the working out and interaction of *two* motifs simultaneously – motif *b* in the left hand, and motif *d* in the right hand; the interest of the individual gives way to the interests of others.

Let us now look at the narrative as it occurs throughout the entire sonata. After stage one, which occurs in the opening four bars, in which the ideal of unity is set up, the rest of the first movement deals with the second stage – the development and growth of individuals. Throughout the movement, each of the five motivic cells is developed *separately*, as was shown in the analysis. Enlargements of separate motivic cells (i.e. motivic parallelisms) represent the individual's own need to grow, develop, and find his or her bearings. This stage might be compared to infancy, during which a child is, to a large extent, unaware of the needs and feelings of other people. The world centres round them and their own drives. The terraced dynamics used throughout the first movement reinforce the sense of division between, and independence of, separate events. A typical example can be seen in bb. 27-60: The dominant-minor subject is marked *p*, the transition section is marked *f*, and the

following dominant-major subject is marked *p*. Each musical event in the movement is developed extensively, but independently of those surrounding it.[313]

This independence of motifs in the first movement is further reinforced through the association of certain topics with certain motivic parallelisms. The parallelisms of motifs *b*, *c*, and *d* appear to be linked with specific topics. After what appears to be an opening twelve-bar 'string quartet' topic, there is an eight-bar 'piano concerto solo' section, which is followed by an 'orchestral concerto tutti' section in bb. 21-26. This later section is the first significant motivic parallelism of motif *b*, as outlined in example 24. Our first task, therefore is to see if later, significant (three-bar or longer) motivic parallelisms also express this same topic. Indeed, the next motivic parallelism of motif *b*, in bb. 43-45 (see example 25), also forms part of an 'orchestral concerto tutti' section (bb. 39-45), which divides the dominant minor and dominant major piano solo sections. Earlier, we established that these two parallelisms of motif *b* both serve a transitional function. Not only is this the case, but they also both remind us of a string tutti transitional section in a concerto, and both represent the 'brilliant style'. In both cases, rapid runs in the treble part recall unison violins. Both passages resemble an orchestral ritornello between solo entries. The respective passages in the recapitulation (bb. 155-160 and 173-179) naturally share the same two topics.

The two significant parallelisms of motif *c* in the first movement also appear to share the same topic. The parallelism in bb. 48-54 (see example 29) and the parallelism in bb. 129-133 of the retransition section (see example 30) are both examples of the 'learned-style' topic. Both parallelisms involve imitation between the hands.

The two significant areas of music involving motivic material based around motif *d* in the first movement appear to share the same topic of *Sturm und Drang*. The two passages (bb. 69-84 and bb.113-129), which both heavily rely on the descending third in their makeup, involve angular contours, large leaps, rhythmic vitality, syncopation, and symbols of

[313] William Newman also notes that Beethoven uses dynamic contrast as a means to 'mark off the structural landmarks' in this section of the first movement. (William Newman, *Performance Practices in Beethoven's Piano Sonatas*, London: W. W. Norton & Company, 1972, p. 83).

markedness (staccato, *sf*, repeated *f* or *ff* markings etc). Both musical sections are dramatic and marked by internal contrast.

Separate development of motivic cells, terraced dynamics, and association of motivic parallelisms with topics are some of the ways in which motifs can be seen to function independently of one another in the first movement. One particular event in the first movement furthermore reflects individual motifs' need to 'find themselves' in the world. After the working out of motif *d* (bb. 90-96, and the gradual bass ascent from B♭ to D in bb. 96-109) and motif *b* (enlargement in bb. 107-8), there is a 'false recapitulation' in D major in bar 109. Both motif *b* and motif *d* find themselves in the 'wrong key'; the recapitulation should be in C major. As if in response to this, after only four bars, motif *b* and *d* fly off in a completely different direction. D major becomes D^7, as motif *b* 'seeks out' the dominant key – G major – of the retransition. Motif *d* goes through a series of descending third harmonic sequences, as we have seen in the analysis. The motifs thereby continue the search for their identities in an emphatic manner. The repetitive sforzandi suggest frustration as the motifs assert themselves in their attempt to find their identities.[314] Tarasti also offers a similar interpretation of the false recapitulation in Op. 2 No. 3, although his is less explicit than my narrative. He writes:

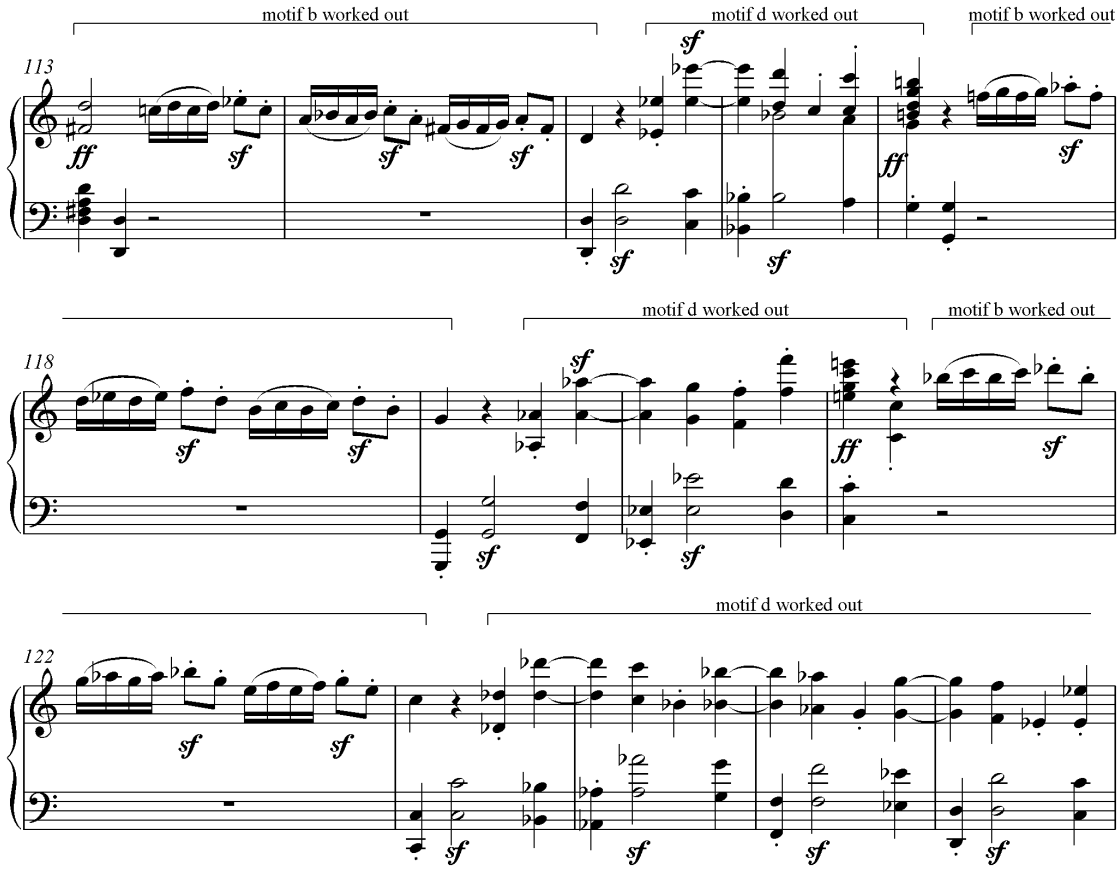
> One may well imagine a theme situated, either deliberately or by error, in a "wrong" isotopy, in a musical environment alien to it. As a conscious narrative device this technique is very effective, as proven by numerous examples of premature or "false" recapitulation, i.e., a return to the main theme in the course of the development but in a wrong spatial isotopy, a wrong (not tonic) key. A good example is the end of the development section in Beethoven's Piano Sonata, Op. 2, in C major, where the main theme returns in V/V.
>
> If one thinks of, say, narration in dramatic works or novels, usually at some point the protagonist is brought into a "wrong isotopy", an environment to which he does not belong in a social, temporal, or local sense and from which he eventually returns to his own isotopy.[315]

[314] In Beethoven's music, sudden changes of key, like the one that occurs in this false recapitulation, are often said to hold interpretive significance. Dahlhaus, for example, points out that the introduction of new keys signifies different things for different composers. While the introduction of a new key is often carried out in a nonchalant manner in Bach, 'in Beethoven the entry of a tonality represents an "event"' (Dahlhaus, *The Idea of Absolute Music*, p. 124).

[315] Eero Tarasti, *A Theory of Musical Semiotics*, Bloomington: Indiana University Press, 1994, p. 32.

What is essential in this particular case in the first movement of Op. 2 No. 3, is that motifs *b* and *d* have yet to find their own isotopies, since this movement represents a search of identity for each individual motif. This is further reflected in the way that after four bars of a "false recapitulation", the two motifs are developed in separate two-bar units, in clear distinction from one another (bb. 113-128). Indeed, it is their rhythmic *contrast* that creates drama in this section. Although the working out of both motifs involves sforzandi, this can be seen to signify a competition between the two motifs, as they both attempt to profess their singularity. Where there *is* simultaneous thematic working (in bb. 115-7, bb. 119-21, and bb. 123-6), this involves only *one* motif at a time (motif *d* is worked out in both hands). There is a certain egocentricity accorded to the individual motif (see example 44).

Example 44



The second movement involves stage three of the proposed narrative, in which, following the individual motifs' separate development, the motifs enter into conflict with one

another.[316] Seen from a societal perspective, this might be seen to represent family, political, or racial conflict. If we see the narrative as representative of the place of the individual in the world, then this stage is analogous to adolescence, during which the individual rebels and contests the views of others. I propose that Beethoven achieves this sense of conflict by pitting motifs against each other. Each motif represents a character and a specific psychological state.[317] Motifs have often been associated with characters in a narrative.[318] Actorial harmonic analysis was also used in Beethoven's own time.[319] Interaction between 'characters' in a discourse can be perceived as 'organic'. Spitzer refers to the principal dialogue between organisms in George Mead's book *Mind, Self and Society*:

> The basic steps of this narrative are a stage of biological tension, initiated by an organism's unexpected gesture, followed by an adaptive action between the organism that perceives this gesture and its environment, restoring equilibrium.[320]

I propose that the second movement of the Op. 2 No. 3 sonata links motifs and their parallelisms to personal metaphors, creating a narrative of conflict. Before attempting an

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[316] This Adagio movement was seen by Czerny to hold narrative qualities. In 1847, Czerny is held to have written in his book *Grosse Pianoforteschule* that 'in this Adagio [of the Op. 2 No. 3 sonata] the *Romantic* tendency is already developing, by which Beethoven later produced a kind of composition in which instrumental music rose to painting and poetry. What one hears is no longer simply the expression of feelings; one *sees* pictures, one *hears* the narrative of events'. (quoted in Max Unger, 'From Beethoven's Workshop', *The Musical Quarterly*, Vol. 24, No. 3, 1938, p. 328). The authenticity of this source has been questioned, as Unger himself points out.

[317] Beethoven's motifs have long been associated with personal metaphors. Spitzer writes that 'the metaphor of personification is intrinsic to many aspects of Beethoven's discourse: the motive's anthropomorphic drive to realize itself as a well informed subject in the course of a thematic development'. (Spitzer, *Metaphor and Musical Thought*, p. 330). Even Schenker – who, up until his analysis of Beethoven's Sonata in A flat, Op. 110 in 1821 wrote rather non-referential, 'empirical' analyses – links personal metaphors to Beethoven's motifs. (Spitzer, *Metaphor and Musical Thought*, p. 331). Spitzer summarises Schenker's interpretation of the Op. 110 sonata: 'Physically, Beethoven's "image of true exhaustion" is nourished (*genahert*) by the broken and syncopated figures of the *Klagender Gesang*. Spiritually, however, it is animated by "the workings of health" (*Aktivitat der Gesundheit*), "a healthy impulse toward ever-more distantly projected goals", which Schenker associates with the music's harmonic mobility…Schenker views the two extremes [sickness and good health] not as a succession so much as a tense coexistence; as a precarious balance between the physical and spiritual sides of Beethoven's "state of health"…The only struggle we should concern ourselves with, contends Schenker, is "Beethoven's struggle with his motives"'. (Spitzer, *Metaphor and Musical Thought*, pp. 332-3).

[318] Schenker saw motifs in this way early on in his career, and more recent musicologists, such as Patrick McCreless, have also made similar connections.

[319] As Tarasti points out, Riepel referred to the 'tonic as "landowner", dominant as "overseer", subdominant as "day laborer"'. (Tarasti, *A Theory of Musical Semiotics*, p. 115).

[320] Spitzer, *Metaphor and Musical Thought*, p. 42.

actorial analysis of the Adagio, let us consider Hatten's descriptive analysis of this movement:

> Beethoven makes consistent use of the abrupt release into silence in the opening theme…Each one-bar gesture is isolated by a rest…Each internally articulated unit sounds like a larger sigh, chocked off as though in repression of grief, and lending a sense of stoic response to tragedy – even in the context of major mode. The repressed grief will be allowed to speak with the move to the parallel minor at m. 11…as the opening hymnlike topic gives way to a more rhapsodic gestural dialogue between stoic bass in octaves and pleading treble. But the intensity of passion behind that stoic repression is revealed only with the sudden, rhetorical outbursts in mm. 53-54 and 71-72'.[321]

Let us regard the opening four-note figure (derived from motif *c*) of the Adagio as symbolic for 'suffering and the repression of grief', as suggested by Hatten. The 'stoic' bass octave figure, which outlines motif *a* in bb. 11-12, we will refer to as the 'fatal and impassive threat of death'. Finally, let us regard the treble descending sixth figure (motif *e*), found in its proper motivic form in bb. 28-9, 31-2, 34-5 etc, as the 'pleading cry for help'. Having linked these motifs with their respective metaphors, we can now examine a possible dialogue expressed through the repetitions of these motifs and especially their parallelisms.[322]

I suggest that the motivic parallelisms of these motifs function within a dialogue to express a narrative of grief, terror and hope, the parallelisms remaining associated with their given motif's metaphor. After the opening section (bb. 1-10) – which is based around the four-note figure from motif *c* and the suffering and repression of grief it represents – a contrasting section occurs in bb. 11-18. Clearly, motif *a* and its fatal and impassive threat of death are present in the heavy left-hand octaves. But how do we explain the meandering and passive right-hand part, which counteracts the stoicism of the left-hand part? This can be accounted for by acknowledging the underlying remaining presence of the four-note figure of motif *c*. As already discussed, the harmonies of bb. 11-13 (E minor – d# dim^7 – E

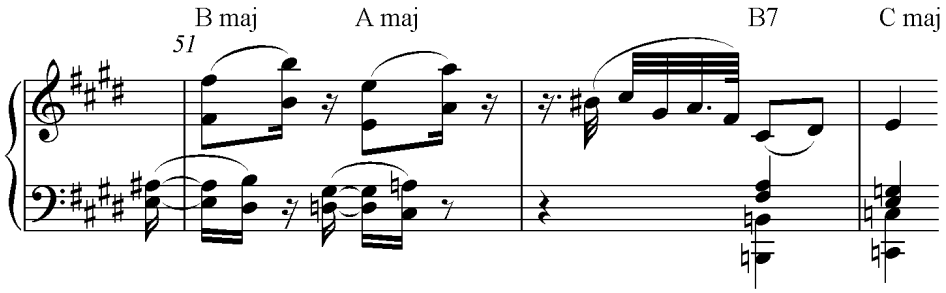
[321] Hatten, *Interpreting Musical Gestures*, p. 157.
[322] The technique of assigning specific labels to motifs and tracing their role in a narrative is often used by Wagnerian analysts, who track the connection of leitmotivs to a musical discourse. The motifs I use in my sonata, however, are so imbued with rhetorical meaning (the descending sixth motif, for example is clearly 'pleading') that this movement might be seen as presenting a rhetorical or actorial narrative within a larger organic one.

minor – f# dim) and of bb.14-17 (G major – f#dim^7 – G major – A minor) outline the four-note figure, itself representative of suffering and the repression of grief (see example 31). This deciphers the 'left-over' reminiscent quality of the opening section which remains in the right hand in bb. 11-18. The bass octaves and the motif of fate they represent are imposing a threat of death, while the underlying harmonic presence of the four-note figure in this passage represents the suffering from this threat and repression of its consequent grief – this being expressed outwardly in the right hand part. The left hand expresses one metaphor via the surface motif. The right hand expresses another metaphor via a harmonic type of sub-surface motivic repetition.

The next interesting dialogue between motifs and their parallelisms occurs in bb. 26-38. Here we have two-bar repetitions of the death motif interspersed with one-bar repetitions of the pleading motif. This is easy to translate into a narrative: The pleading motif is begging for mercy in response to the death motif's repetitive threats. This is further highlighted by the abrupt dynamic changes between the death and pleading motifs (*ff* and *p* respectively). The pattern ceases in bar 34. Here begin the remaining nine bars of this development section – nine bars of music permeated by motif *e*, and marked *p* in dynamic. The pleading motif's need to have the last word in this part of the dialogue is confirmed by an enlargement of the pleading motif in the left hand in bb. 37-8. Here, it is as if the pleading motif is extending its cry for help one last time before the return of the opening theme four bars later.

The drama continues in bb. 51-4. The harmonies of bb. 51, 52 and the beginning of bar 53 (B major-A major-B^7-C major) outline the four-note figure of grief in a similar way to what we saw earlier in the movement (see Example 45). However, the last note and harmony of the figure (on the downbeat of bar 53) is itself the beginning of a motivic parallelism of motif *a*, the figure of death (see example 18).

Example 45



In this respect, the parallelism of motif *a* consumes the parallelism of the four-note figure, and this idea is further supported by the fact that the parallelism of motif *a* (see example 18) involves the four-note figure on the surface level. The two-bar parallelism of motif *a* not only intrudes upon the 'harmonic parallelism' of the four-note figure preceding it, but also engulfs the one-bar units of the opening four-note figure within it. Metaphorically, the threat and coolness of the fatal motif *a* is overpowering the four-note figure of grief in what Hatten describes as a 'rhetorical outburst' in bb. 52-3.

So, who wins in the end? The repression of grief, the threat of death, or the plea for help? It seems that this question is answered in bar 80, three bars from the end. Here, we have the four-note figure from the opening bar, but it no longer represents a *repression* of grief. The high register, declamatory manner, and *f* dynamic transform the figure into an *expression* and *acknowledgment* of the grief that this figure was denied by motif *a* in bb. 11-16 and by the parallelism of motif *a* in bb. 53-54. Grieving is thus allowed in the following and final two bars of the movement.[323] The immediate withdrawal from the passion of bar 80 in bar 81 confirms this; the music of the final two bars is content and comforting.

Seeing this movement from the perspective of a narrative can also help us to assign meaning to the interesting motivic enlargement that occurs in the opening phrase. Anthony

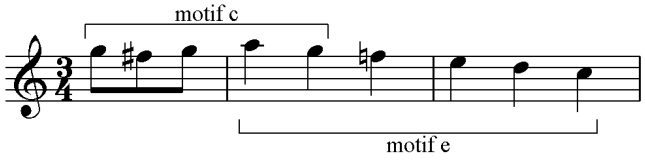
[323] Although in the above narrative each motif is assigned a different 'character' in a 'play', the different motifs and the psychological states they represent might be seen as different sides of the *same* 'character'. In other words, the narrative might be heard as an internal dialogue. This is how Karol Berger interprets this Adagio movement. Although he offers no detailed narrative, he writes that 'throughout the Adagio the pianist has been performing the expected role of a real musical actor impersonating an imaginary character who by means of musical gestures and speech reveals his mind to an audience'. (Karol Berger, *Bach's Cycle, Mozart's Arrow: An Essay on the Origins of Musical Modernity*, Berkeley: University of California Press, 2007, p. 294).

Newcomb has noted that 'musical narrativity operates at the level of phrase' and this idea is relevant here .[324] We have already seen how a motivic enlargement of bar 4 in bb. 7-10 affects the phrase structure, extending the phrase to ten bars (see example 9). This enlargement might also be seen from the perspective of a narrative. Indeed, the end of bar 6 and beginning of bar 7 definitely sound intrusive, as if the music is willing to 'change direction'. The enlargement of bar 4 might be seen, retrospectively, as a desire to go back in time (to bar 4), as a reluctance to move forward towards the threat that is brewing and waiting in bar 11.

The third and fourth movements of the sonata involve the fourth and final stage of the narrative – the resolution of difference through interaction and harmony. This stage is the climax of the narrative, as segregation gives way to integration and reconciliation. This resolution is seen in the way that the motifs and their parallelisms integrate and also develop simultaneously. Let us look at a few examples of this.

The opening thematic idea of the third movement combines motif *c* and motif *e*, as can be seen in example 46.

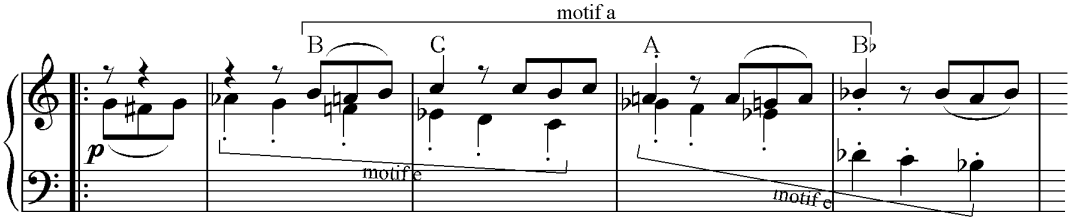
Example 46



In bb. 17-24, motif *a* is enlarged over, and later under, motif *e* in its surface form (see example 47).

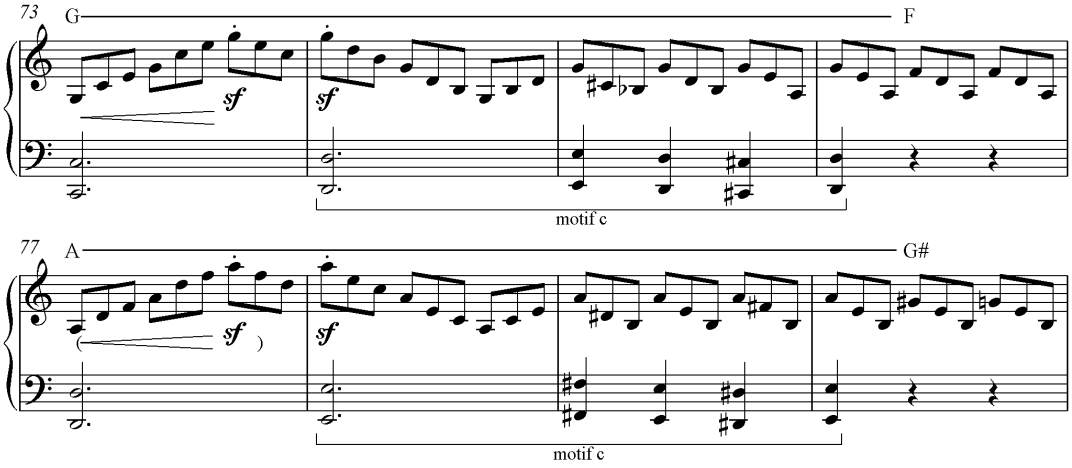
[324] Anthony Newcomb, 'Schumann and Late Eighteenth-Century Narrative Strategies', *19th-Century Music*, Vol. 11, No. 2, 1987, p. 168.

Example 47



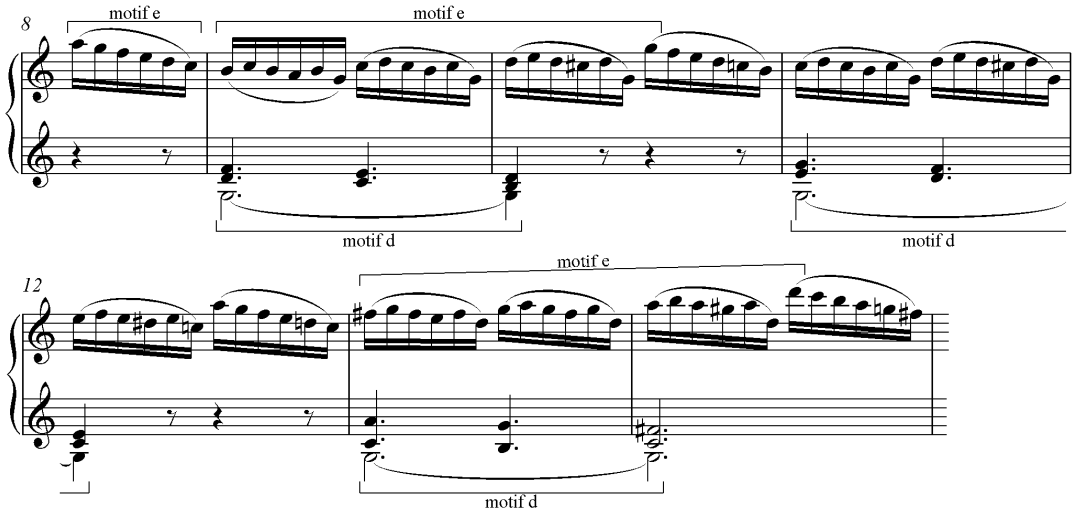
At the same time (bb. 21-26), motif *d* is prolonged via a sequence of motif *e* in the right hand and via a sequence of motif *a* in the left hand (see example 39). In bb. 73-80, one enlargement of motif *a* is heard over two repetitions of motif *c* (see example 48).

Example 48



I earlier pointed out how the three sixth progressions of bb. 8-14 of the fourth movement are based on bb. 1-16 of the third movement. This takes on new significance when we consider the narrative proposed here, since the third and fourth movements both represent the same stage of the narrative. Not only do bb. 8-14 of the fourth movement make reference to the third movement opening theme, but they do so over the top of three repetitions of motif *d* (see example 49).

Example 49



Later, in bb. 30-34, a middleground enlargement of motif *b* takes place over a middleground enlargement of motif *d* (see the series of left hand descending third figures in example 28).

In the above examples, motifs are enlarged simultaneously; growth of the individual is experienced in light of the growth of others. The way in which motifs and their parallelisms interact in the third and fourth movements can be seen as analogous to the stage of maturity in an individual. The world is considered from the viewpoint of others, their needs and desires acknowledged in accordance with one's own.

Simultaneous or combined motivic parallelisms are clearly comparable to Schoenberg's combined motif-forms, and especially to Goethe's process of metamorphoses, in which an entity (a multi-motivic thematic statement) divides into parts (motifs), develops (here as enlarged motivic parallelisms), and reunites to create new life forms (simultaneous motivic parallelisms). The process very nicely demonstrates organic growth; different motivic germ cells are finally able to efficiently interact, since they are all born out of the same essential genetic matter – the opening thematic statement of the sonata. While these concepts have been applied to the motif (by Schoenberg and others), they have not been applied to the

motivic parallelism. Here is yet another way, therefore, that the motivic parallelism can be seen to reflect organic unity.

The narrative I have proposed involves both chronological and non-chronological elements. It is chronological in so far as the first movement represents stages one and two, the second movement stage three, and the third and fourth movements stage four of the narrative. The second movement is also made up of chronological events. This is due to the fact that motifs take on gestural qualities, acting as characters in a discourse. The motivic events contained within the first movement, however, are non-chronological. Development of motivic cells takes place intermittently (between passages of less motivic saturation), and one might even say, randomly. Particular moments of individual motivic development *are* chronological (for example, in bb. 45-55, where motif *c* is heard three times, each time around a higher triadic tone, until it 'blossoms' into full flower at the top of the triad via a motivic enlargement – see example 29). However, the disposition of the different motifs and their parallelisms is not chronological. Likewise, in the third and fourth movements, which correspond to the final stage of the narrative, the motivic events are non-chronological. A sense of harmony and interaction between the motifs is sensed as a whole, or even retrospectively. To repeat Ricouer, 'the plot construes significant wholes out of scattered events' within non-chronological narratives.

I have used this narrative as an example of how works seen from the organic perspective can offer meaning – in a humanist sense – to audiences, just as much as from the rhetorical perspective. I have attempted to deconstruct Bonds's argument that the organic model is purely spatial, and therefore less able than the rhetorical model to offer meaning to an audience via a linear series of events. I have argued that the organic model *does* offer a temporal perspective, and that non-chronological events are, in any case, also relevant to narratology.

I would like to address one final element that is essential to an 'organic' narrative, and that can be seen in the Op. 2 No. 3 sonata: musical repetition. David Lidov writes that 'other forms of analysis demonstrate the conformity of music. Repetition analysis vouchsafes the uniqueness of each musical composition … [It] shows how one piece differs from

another'.[325] What is it, then, about repetition that contributes to the identity of a musical work? The answer is simple: That which is repeated is *important*, or at least comes to be important after its repetition. More significantly, as Lidov remarks, 'focal repetitions in music have a strong power to evoke feelings of situations typified by repetition: activities that go on and on'.[326] From the organic perspective, breathing, cell division, and heart beating are the activities that best represent such repetition. I would suggest, therefore, that from an organic reading of a work, repetitive events represent that which is *vital* to the life of a work. Indeed, if we look at the repetitive moments in the Op. 2 No. 3 sonata, we find that they are all motivic. In other words, they are all born from the opening thematic statement of the sonata – the essential genetic material of the work. In bb. 67-68 of the first movement, for example, the four-fold repetition of motif *a* (see example 15) occurs just four bars after the completion of a long enlargement of the same motif (bb. 15-62, see example 14). It is as if the motif is 'refuelling' or taking its breath after completing a long and arduous task. Rapid cell division or reproduction provides the motif with renewed energy for the rest of the movement. In the third movement, several repetitive surface events provide motif *b* with a similar vitality (bb. 33-9, bb. 60-3, and bb. 111-27). This motivic regeneration results in the 'promotion' of motif *b* to the thematic level in the fourth movement. Motif *b* plays a vital role in the fourth movement's opening theme, and is enlarged to create the second theme (bb. 30-34). Local repetition, examples of which can be seen in the above examples, can be considered not only as reflections of organic growth, but of organic unity as well. To repeat Schelling, 'melody is in music the absolute informing of the infinite into the finite, and thus the entire unity'. This type of repetition is very different from large-scale repetition, however (including repeats of the exposition or development/recapitulation sections). Many writers (and in particular, Michael Broyles) have noted that the reason that repeats in binary forms and sonata first movements declined in the years 1760-1810 was because they were seen as being 'anti-organic'.[327]

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[325] David Lidov, *Is Language a Music? Writings on Musical Form and Signification*, Bloomington: Indiana University Press, 2005, p. 27.
[326] Lidov, *Is Language a Music*?, p. 34.
[327] For a full discussion on this matter, refer to Michael Broyles, 'Organic Form and the Binary Repeat', *The Musical Quarterly*, Vol. 66, No. 3, 1980, pp. 339-60. A performer who wished to make the Op. 2 No. 3 sonata sound 'organic' might, therefore, avoid repeating the exposition section of the first movement.

PART III: ORGANICISM, MOTIVIC PARALLELISM AND PERFORMANCE

3.1.1. Analysis and Performance

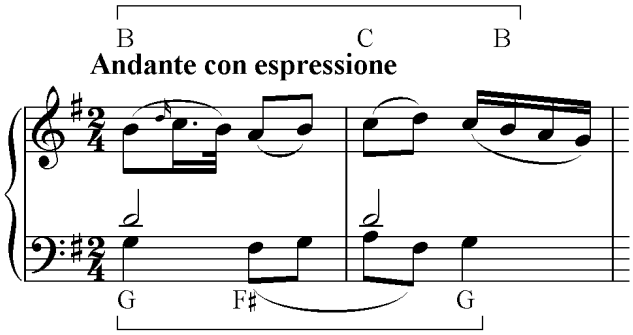
The relationship between analysis and performance is an area of study which, after Schenker's contributions, has been largely overlooked throughout the twentieth century. Wallace Berry's book, *Musical Structure and Performance* (1989) constituted one of the first efforts to bridge the division between the two fields, one aim amongst many in his book being to draw attention to 'motivic terms and relations requiring deliberate awareness'.[328] Before looking at precise ways in which analysis –specifically, motivic analysis – and performance can be related, let us first deal with some key points regarding this relationship between the two fields.

Firstly, until recently analysis and performance have not been treated equally. Berry has often been criticised for treating performance simply as the *result* of analysis. While he states that 'intuition is of course applicable to musical analysis as well as performance',[329] he fails to appreciate the two fields as being part of a bi-directional discourse in which analysis informs performance and performance informs analysis. As Cook points out, Berry's conception of this discourse is uni-directional, in which 'the direction is always *from* analysis *to* performance'.[330] In a similar manner to Berry, David Beach states that 'performance is based on knowledge, which is gained in part through the process of analysis',[331] but we can equally say that analysis is based on knowledge, which is gained in part through the process of performance. A great deal of performance experience and intuition is involved in making analytical decisions. As Joel Lester argues, 'should we not also fault analyses which apparently are based on the analyst's (imagined?) rendition of a piece rather than on actual performances? After all, most performers have in all likelihood devoted far more time, care and training to realizing music in sound form than all but a few

[328] Wallace Berry, *Musical Structure and Performance*, New Haven: Yale University Press, 1989, p. xii.
[329] Berry, *Musical Structure and Performance*, p. ix.
[330] Nicholas Cook, 'Analysing Performance and Performing Analysis', in Nicholas Cook and Mark Everist (eds.), *Rethinking Music*, Oxford: Oxford University Press, 2001, p. 239.
[331] David Beach, 'The First Movement of Mozart's Piano Sonata in A Minor, K. 310: Some Thoughts on Structure and Performance', *Journal of Musicological Research*, Vol. 7, 1987, p. 157.

theorists'.[332] Indeed, performance 'instinct' and performance knowledge (of, for example, period and modern performance practice on the performer's given instrument) can aid in choosing one analytical interpretation over another, or in clarifying an analytical decision. Schachter illustrates this point with a short example from the second movement of Mozart's Piano sonata in D, K311 (see example 50).

Example 50



He points out that the voice leading of the right hand part is B – C – B, while that of the left hand part is G – F# - G. The underlying voice leading thus forms a simple two-part counterpoint, formed by an upper neighbour note in the upper part, and a lower neighbour note in the lower part. Schachter notes that the slur markings accentuate or support this analytical reading. If we follow the eighteenth-century rule (of Leopold Mozart, for example) that tells us to accentuate the first note of a slur and diminuendo thereafter, the result ensures that the C in the upper part is 'brought out', and that in the lower part the F# is brought out rather than the A on the downbeat of the second bar. Schachter concludes that in this respect, analysis and performance considerations inform each other.[333] The discourse is bi-directional. He writes that 'one might use this excerpt as the initial example in another paper, one on the influence of performance on analysis, for the performance

[332] Joel Lester, 'Performance and Analysis: Interaction and Interpretation', in John Rink (ed.), *The Practice of Performance: Studies in Musical Interpretation*, Cambridge: Cambridge University Press, 1995, p. 198.
[333] In some cases, following historical 'rules' of performance practice might actually counteract the implications that a motivic analysis has for performance. The rule of emphasising or accenting chromatic tones is advocated by C. P. E. Bach and Leopold Mozart and adhered to in several of Schenker's essays and analyses. However, consistently adhering to this rule may, in some cases, obscure important consonant notes of a sub-surface or surface motivic entity (C. P. E. Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. and ed. W. J. Mitchell, New York: W. W. Norton & Company, 1949, p. 163; Leopold Mozart, *A Treatise on the Fundamental Principles of Violin Playing*, trans. and ed. E. Knocker, London:

implications of these slurs would necessarily form part of the input of any successful analysis. Nonetheless, the concept of composing out can help performers in shaping this passage, for it can lead them to a better grasp of the compositional function of slurs'.[334] There are several examples in the Op. 2 No. 3 sonata where motivic parallelisms are likewise naturally 'brought out' in the score by following this rule of accenting the first note of a slur.

Secondly, there can exist several different analytical interpretations of the same piece that may effect performance decisions in different ways. I intend my analysis of the Op. 2 No. 3 sonata to be just one *possible* analytical reading rather than the definitive one. Indeed, even Schenker himself (who insisted on a single analytical explanation of a musical work) often came back to works that he had previously analysed only to change his mind. For Beethoven's Op. 10 No. 2 sonata, for example, he chooses $\hat{8}$ as the fundamental tone in his analysis in *Das Meisterwerk in der Musik*, but $\hat{3}$ as the fundamental tone in *Der freie Satz*. Joel Lester offers an example of how two different analytical interpretations of the same piece can result in two different interpretations in performance. He compares two performances (by Horowitz and Kraus) of the Minuet from Mozart's sonata K. 331 and concludes that the performances reflect different but equally valid analytical interpretations. He writes that 'these two ways of arriving at bar 41 reflect different views of the Minuet's form. Specifically, they disagree over whether the motivation for musical structure resides in underlying voice-leading or in themes and key relationships'.[335]

Thirdly, as Jonathan Dunsby points out, there also exist several different means of realizing through performance the *same* analytical observation,[336] and Cook notes the agreement of Dunsby's view with Schenker's. Cook quotes Schenker: 'it is not the task of the orthography, as is generally believed and taught, to provide the player with perfectly definite means for achieving effects allegedly specified and attainable only through precisely these means, but rather to arouse in his mind, in an a priori manner, specific

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Oxford University Press, 1948, p. 219; Heinrich Schenker, 'The Largo of J. S Bach's Sonata No. 3 for Unaccompanied Violin [BWV 1005]', trans. John Rothgeb, *Music Forum* 4, 1976, p. 158).

[334] Carl Schachter, '20th-Century Analysis and Mozart Performance', *Early Music*, Vol. 19, No. 4, 1991, p. 622.

[335] Lester, 'Performance and Analysis', p. 202.

[336] Jonathan Dunsby, 'Guest Editorial: Performance and Analysis of Music', *Music Analysis*, 8, 1989, p. 7.

effects, leaving it up to him to choose freely the appropriate means for their attainment'.[337] Cook elucidates Schenker's point that 'the purpose of the orthography (Schenker has in mind slurs, dynamic markings, and so forth) is to convey the effect to the performer. Once this has been achieved, the orthography has served its function; it is now up to the performer to decide through what technical means to create the effect that Beethoven intended'.[338] It must be noted here that Schenker is talking of various different technical means of expressing the *one single possible* analytical interpretation of a musical piece. He writes, and Cook quotes: 'Performance must come from within the work; the work must breathe from its own lungs – from the linear progressions, neighbouring tones, chromatic tones, modulations…About these, naturally, there cannot exist different interpretations'.[339]

Schmalfeldt believes that '*there is no single, one-and-only performance decision that can be dictated by an analytical observation*' [the italics are her own].[340] In fact, this view is taken by most analysts and performers (even the somewhat rigid Schenker, as we have seen), although perhaps less by Eugene Narmour, who takes a rather single-minded approach in judging numerous recordings of *Der Rosenkavalier* against his own 'analytically justifiable recreative interpretation'.[341]

The fact that different analyses of the same piece lead to different performances, that there exist several ways to perform the same analysis, and that performance can inform and clarify analytical decisions, illustrates the importance of interpretive performance in our understanding of music. Yet, the standard work-orientated view of performance conceives of the performer as a 'link' in what Cook points out is a 'more or less linear relationship between the manner in which a composer conceives a composition and the manner in which a listener perceives it'.[342] As Dunsby points out, this 'Second-Viennese approach to

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[337] Quoted in Nicholas Cook, 'Words about Music, or Analysis Versus Performance', in Nicholas Cook, Peter Johnson and Hans Zender (eds.), *Theory into Practice: Composition, Performance and the Listening Experience*, Leuven: Leuven University Press, 1999, pp. 19-20.
[338] Cook, 'Words about Music', p. 20.
[339] Quoted in Cook, 'Words about Music', p. 21.
[340] Janet Schmalfeldt, 'On the Relation of Analyses to Performance: Beethoven's Bagatelles Op. 126, No. 2 & 5', *Journal of Music Theory*, Vol. 29, 1985, p. 5.
[341] Eugene Narmour, 'On the Relationship of Analytical Theory to Performance and Interpretation', in Narmour and Ruth Solie (eds.), *Explorations in Music, the Arts, and Ideas: Essays in Honor of Leonard B. Meyer*, Stuyvesant: Pendragon Press, 1988, p. 334.
[342] Cook, 'Analysing Performance and Performing Analysis', p. 241.

performance has much in common with the Schenkerian tradition which tends to claim priority in these matters. Both rest on musical idealism: the musical score, it is hoped, offers the most complete possible evidence of what the composer intended, and the performer has the responsibility of decoding this information and representing it to the last detail in musical performance'.[343] The praise that has historically been given to Hans von Bülow for his performances of Beethoven's works, in which only Beethoven's presence (rather than his own) was apparently felt, is exemplary of the historical tendency to favour the elimination of 'interpretive' performance in order to remain 'true' or 'faithful' to the work.[344] As Lydia Goehr has reminded us, the work concept, which arose around the end of the eighteenth century, involved the conception of the work as an autonomous text and performances as recreations of that text. There was a distinctive shift of focus from context to text as compositions were written more and more for their own artistic sake than for pre-destined social or courtly occasions, where performances of a work differed greatly depending on the performers (and instruments) available. As such, the score was gradually seen less as an outline to be fully realized in performance (common examples are the slow movements of Corelli's op. 5 sonatas, in which improvisation is often seen as an integral part of performance) and more as a definitive text. Ownership of musical works, previously belonging to the patrons of the works, now rested with the composer.[345] Beethoven's compositions of this time (including his Op. 2 No. 3 sonata of 1795) were intended to be – and are historically seen to be – exemplary of this emerging work concept.

This view of the work, in which performances 'recreate' the definitive form existing in the score, explains to a large extent the historical tendency to see analysis as a starting point and the performer as the servant of analysis. Schenker's conception of performance as expressing *only* the inherent structure of a work is a typical example of this type of thinking, as are generative theories of tonal music, which downplay performance as the simple translation of structural knowledge. So how can we reconcile the work concept with an 'interpretive' performance of a 'masterwork' like Beethoven's Op. 2 No. 3? Simply put, we need to redefine the meaning of the work. Peter Johnson, like many musicologists,

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[343] Dunsby, 'Performance and Analysis', p. 7.
[344] Cook, 'Words about Music', p. 10.
[345] Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music*, Oxford: Clarendon Press, 1992.

criticises the work concept and the implications it has for performance. He writes that 'perhaps the greatest impediment to the study of performance in Western art music is the assumption that the work actually or ideally predetermines the form of its performances. After all, if the correct or ideal performance could be read or imagined from the score, there would be little point in paying serious attention to individual performances, even if these were 'true' presentations of the composer's work'.[346] We can support this viewpoint with the commonly heard argument that one goes to a concert to hear an original interpretation of a work, otherwise one could simply stay at home and listen to 'the correct' version on CD, where all errors have been digitally removed. He argues that 'performance as interpretation is an element *within* the intentionality of the work'.[347] He quotes Kivy, who sees performance itself as an art-work, and as 'the unique product of an individual, something with an individual style of its own, "an original"'.[348] Indeed, Edward Said takes this view of performance to be integral in making the work come alive. He writes that 'the best interpreters of poetry and music allow both their audience and themselves…the proposition that the work being presented is *as if* created by the performers. Somehow the work appears to gain its justification, its rightness, its *thereness*…'.[349] In my experience, concert audiences do indeed appreciate performers who assert their original style, interpretation and personalities.

So can this approach to the work – which, to quote Lawrence Rosenwald, exists 'in the relation between its notation and the field of its performances'[350] – be applied to late eighteenth/ early nineteenth-century pieces which may or may not be best expressed in performance via a sort of *Werktreue*? Cook believes that it can. He writes that 'even with the canon of master-works, the performance-orientated formulation is in many ways a more accurate reflection of musical reception than the traditional model of the relationship between work and performance'.[351] One of his arguments is that the public buys the performer as much as they buy the work, and that this is reflected in marketing strategies.

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[346] Peter Johnson, 'Performing and the Listening Experience: Bach's "Erbarme Dich"', in Nicholas Cook, Peter Johnson, and Hans Zender (eds.), *Theory into Practice: Composition, Performance and the Listening Experience*, Leuven: Leuven University Press, 1999, p. 55.
[347] Johnson, 'Performing and the Listening Experience', p. 56.
[348] Johnson, 'Performing and the Listening Experience', p. 58.
[349] Quoted in Johnson, 'Performing and the Listening Experience', p. 66.
[350] Quoted in Cook, 'Analysing Performance and Performing Analysis', p. 245.

Edward Cone argues that original interpretive performance is necessary to impart 'value' to the work. He writes that the pianist must deliver 'an interpretation which is somehow novel – which will impart news to this audience, at this place, at this time'.[352] Michael Krausz uses simple logic to argue for a performance-informed understanding of the work. He writes that 'a musical score is a notation of instructions for performances, but it is characteristically incomplete in that it cannot fully specify all pertinent aspects of an interpretation…Interpretations are more complete than scores, and performances are more complete than interpretations'.[353] He notes that performance directions – including accents, dynamics, phrasing, and even tempo – can be 'broadly noted, but not with full precision',[354] concluding that 'extra-score considerations enter which are required for an adequate interpretation of the work'.[355] Performance is thus to be taken as an essential component in the understanding and representation of the work. Roger Scruton points out that even if the score exists as a way of recording the work in written notation, appreciation of a work lies in its performances. That is, 'the work consists in what the performer *does*'.[356] Since all interpretations of the same piece will inevitably be different in some respects, the concept of the work is flexible rather than authoritative. I take this approach in my analysis of the Op. 2 No. 3 sonata, using Schenker's and others' ideas to throw light on analytical and performative interpretation, rather than attempting to present definitive answers.

3.1.2. 'Bringing Out' Analysis in Performance

Having outlined a general relationship between analysis and performance, I will now consider the issue of how much the performer should 'bring out' analytical findings – particularly surface and sub-surface motivic repetitions. Rothstein advises the performer to ask himself or herself two questions in regard to this matter. 'Firstly, how readily would the motif be heard without the pianist's active intervention? Secondly, what role in the musical

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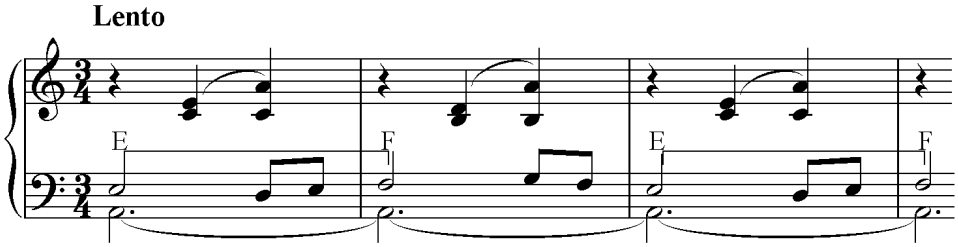
[351] Cook, 'Analysing Performance and Performing Analysis', p. 245.
[352] Edward T. Cone, 'The Pianist as Critic', in John Rink (ed.), *The Practice of Performance: Studies in Musical Interpretation*, Cambridge: Cambridge University Press, 1995, p. 242.
[353] Michael Krausz, 'Rightness and Reasons in Musical Interpretation', in John Rink (ed.), *The Practice of Performance: Studies in Musical Interpretation*, p. 75.
[354] Krausz, 'Rightness and Reasons', p. 77.
[355] Krausz, 'Rightness and Reasons', p. 80.
[356] Roger Scruton, *The Aesthetics of Music*, New York: Oxford University Press, 1997, p. 111 (italics are in the original).

discourse does a particular motivic statement play? Is it foreshadowing, an expository statement, a developmental spinning-out, a culmination or an after-echo?'[357] Let us deal with Rothstein's first question. As Berry points out, sometimes surface motifs do not need any special attention since 'motivic occurrences that are abundant and explicit make their point without intervention'.[358] Nevertheless, Ross Dabrusin argues that 'an awareness of such relationships adds depth to a performance and assures that no gross distortion obscures them'.[359] In other cases, motivic entities might be so evident to the ear that playing 'against' them (or bringing out non-motivic tones) might offer an interesting performative interpretation whilst still leaving the motif audible. Robert Wason, in a discussion of Webern's Piano Variations, suggests that in some cases 'the music is so clear that the interpreter may occasionally phrase *against* formal segmentations of the music without placing that dimension of the music in jeopardy of total loss'.[360] The same might be applied to the performance of motivic parallelisms. In a discussion of Chopin's Waltz, Op. 34 No. 2, Dabrusin outlines the importance of the half-step E-F motif throughout the piece (see example 51).

Example 51



He notes that its audibility is reasonably clear, taking into account the natural stresses occurring on the first beats of the bar in three quarter time.[361] This might lead a pianist to give more weight to the quavers on beat three of the bar and less to the motivic first beats. Such a performance would indeed produce a musical flow from beat three to beat one, an

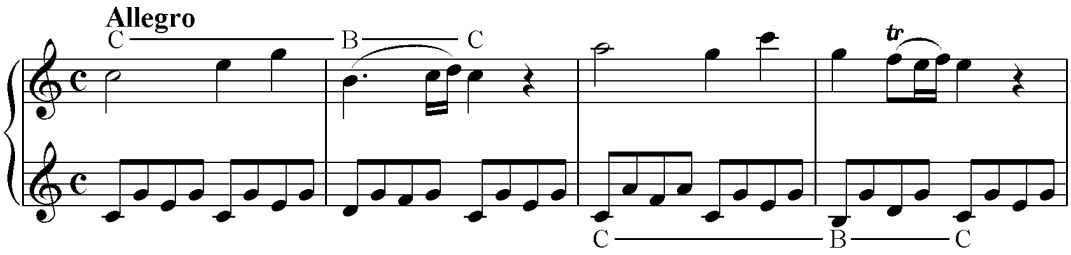
[357] William Rothstein, 'Analysis and the Act of Performance', in Rink (ed.), *The Practice of Performance*, p. 226.
[358] Berry, *Musical Structure and Performance*, p. 76.
[359] Ross Dabrusin, *Deriving Structural Motives: Implications for Music Performance*, Ph.D, New York: New York University, 1995, p. 85.
[360] Robert Wason, 'Webern's *Variations for Piano*, Op. 27: Musical Structure and the Performance Score', *Integral*, Vol. 1, 1987, p. 102.
[361] Dabrusin, *Deriving Structural Motives*, p. 86.

idea associated with the waltz. Yet Dabrusin advises *not* to play 'against' the motivic parallelism, arguing that 'stating the motif clearly is nonetheless important…A rubato performance, for example, could obscure the accent on the first beat a bit or allow erroneous stress to be given to beat three'.[362] Dabrusin's advice of a non-rubato performance of this melody, with accents on the first beat, might seem surprising to many pianists wishing to express the back-and-forth sway of the melody via a slight tenuto on beats one and two and via slightly accentuated and flowing quavers onto beat one of the following bar. Such a performer might claim that the E-F motif is clearly audible without playing it out, especially due to the fact that it occurs twice in succession. My point here is that due to different performance intuitions and experiences (some performers may wish to 'defamiliarise' a well-known work), different analysts/performers may choose to give preference to the motivic clarity in performance, whereas some may wish to favour other immediate expressive elements in the music.

Berry suggests that, in some cases, effectively highlighting surface motifs in performance can be enough to make sub-surface ones heard. He refers to the first movement of Beethoven's Fourth Symphony when he writes that 'the sequence of related thirds spanning the entire introduction is the most problematic of interpretive expression. But if the conductor has carefully delineated the initiating motivic elements, their ultimate role in elaborating an overall descent…comes through'.[363] Other sub-surface motivic entities, Lester argues, should *not* be brought out in performance if they contradict stylistic performance practices. After analysing the first movement of Mozart's K. 545 sonata, he writes that 'the subsurface thematic relationship between the melody in bars 1-2 and the bass in bars 3-4 is important [see example 52]. Yet I have never heard a performance or recording which projects this hidden relationship'.

[362] Dabrusin, *Deriving Structural Motives*, pp. 86-7.
[363] Berry, *Musical Structure and Performance*, p. 19.

Example 52



Lester concludes that 'any attempt to project the bass line in bars 3-4 as a significant feature, let alone a leading feature, would result in a tastelessly unbalanced texture and a most un-Mozartian style'.[364] Now, although I disagree with Lester's opinion in this particular example,[365] I use his example to show how interpretive performance experience is necessary in deciding whether or not to 'play out' motivic connections. The fact that performance intuition differs between performers (as is evident here) further highlights my earlier point that there exist several different ways to perform (or not) the same analytical observation.

As for Rothstein's second question regarding the role of the motivic entity in the musical discourse, we could say that motivic entities should be 'brought out' more in moments of the motif's development or culmination than in moments that foreshadow later musical events. Berry notes the performance decision of whether to assert a motif when it first occurs in the piece – in this way establishing the motif as an initial germ cell from which the piece will grow – or whether to gradually let the motif emerge throughout the unfolding of the work.[366] On this point, Rothstein refers to the opening linear fourth motif of the first movement of Beethoven's Op. 101 sonata, arguing that 'the listener should not be *forced* to hear the motif; Beethoven reveals its significance gradually, and the pianist must respect his plan'.[367] Clearly, in order for the motif and the motivic parallelism to reflect organicist ideals of unity and growth, both approaches are needed to some extent.

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[364] Lester, 'Performance and Analysis', p. 209.
[365] Playing out the 'bass' notes of the alberti bass figure over soft accompanying harmonic tones is common practice, and, if anything, renders the balance between the hands *more* rather than less clear. Such a motivic performance would also bring about a pleasant 2-bar right hand – 2-bar left hand symmetry.
[366] Berry, *Musical Structure and Performance*, p. 77.
[367] Rothstein, 'Analysis and the Act of Performance', p. 227.

Another important consideration of motivic 'performance' is to remain vigilant not to distort the immediate surface characteristics of a composition whilst realising sub-surface motivic connections. Paying sole attention to the longer, sub-surface motivic repetitions and disregarding short term goals and expressive elements may not allow the music to 'breathe' and 'sing'. As Berry remarks, 'any deliberate interpretive projection of theoretically asserted overreaching associations…[can be] disruptive of surface lines, directed processes, and details of content by which expressive effect is most potently engendered, which are most accessible to experience, and in which a composition's special distinctiveness is embodied'.[368] At the same time, he writes that 'attention in performances to matters of immediate detail must not be at the expense of deeper lines of continuity and indirect relations'.[369] One aim of an informed performance, therefore, is to achieve a 'balance between detail and the organic whole'.[370] As Burkhart summarises well, 'it is all a question of relating the many parts of a work in such a way that they produce a whole greater than the sum of the parts. Motivic parallelism is one of the parts, and understanding this phenomena can greatly enrich a performance'.[371] Christopher Norris writes that 'analysis can only work – only carry conviction with the listener – in so far as the results (e.g., its pointing-out of thematic connections,…) are such as to strike that listener with a force of intuitive rightness'.[372] While the intuition of the analyst plays a large part in this regard, so too does the intuition and experience of the performer. The next section looks at ways in which the performer can make motivic connections sound convincing.

[368] Berry, *Musical Structure and Performance*, p. 5.
[369] Berry, *Musical Structure and Performance*, p. 7.
[370] Berry, *Musical Structure and Performance*, p. 7.
[371] Charles Burkhart, 'Schenker's Theory of Levels and Musical Performance', in David Beach (ed.), *Aspects of Schenkerian Theory*, New Haven: Yale University Press, 1983, p. 105.
[372] Christopher Norris, *Platonism, Music and the Listener's Share*, London: Continuum International, 2006, p. 7.

3.2.1. Expressing Organicism: Techniques of 'Performing' Motivic Parallelisms

It is well established that Schenker expected the performer to express a work's organic unity. In *Free Composition* he writes that 'the performance of a musical work of art can be based only upon a perception of that work's organic coherence…The player who is aware of the coherence of a work will find interpretive means which allow coherence to be heard'.[373] Just as I have argued that the 'work' exists in both performance and in the written score, rather than in the score alone, I also argue, like Schenker, that performance contributes to a work's organicism. The fact that motivic parallelisms account for part of the *horizontal* aspect, as well as the vertical aspect of organicism (that is, they occur in succession throughout the work), quite logically implies that this aspect of organicism can only be expressed in performance. While it might be argued that the written score is a representation of successive sound events, it remains just that – a representation. It is therefore performance that brings organicism to life. This relationship between organicism and performance has been seriously neglected until now.

It is important to note that Schenker did *not* wish the fundamental notes of the *Urlinie* to be emphasized in order to express organicism. He writes that it is 'improper to expressly pursue the *Urlinie* in performance and to single out its tones from the diminution for the purpose of communicating the *Urlinie* to the listener'.[374] Schenker *did* want the performer to bring out motivic parallelisms, however. In *Free Composition* he writes that 'there can be no doubt of the importance of projecting them – it remains only to find the specific means of achieving such projection'.[375] Dabrusin notes that the implication is that 'for performance, more significance is found in the immediate middleground levels of melodic reduction…and it is within these middleground motions that structural linear analysis reveals the presence of structural motives'.[376] He acknowledges that some motivic parallelisms are more appropriate than others to bring out in performance and that this

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[373] Schenker, *Free Composition*, p. 8.
[374] Heinrich Schenker, *The Masterwork in Music: A Yearbook, II*, trans. and ed. Sylvan Kalib, New York: University of Cambridge Press, 1996, pp. 146-7.
[375] Schenker, *Free Composition*, p. 100.
[376] Dabrusin, *Deriving Structural Motives*', p. 36.

depends on the distance between each note of the parallelism.[377] There are, of course, other considerations to take into account in making such decisions. In my analysis, for example, I have argued that it is viable to bring out a large-scale parallelism of motif *a* in the first movement because the contrasting upper register in which it is placed increases audibility and suggests that it is meant to be played out.

It is important to remind ourselves that Schenker considered performance an objective rather than subjective act. He acknowledged that different approaches and techniques of performance existed, but saw these as different ways to *express* the one and only true structure of the work. In this way, performance was not viewed in terms of the performer's expression of self, or even the performer's personal understanding of the work's structure, but in terms of the expression of the *definitive* structure of the work. Performance directions were seen as means to express this structure, and this is where a thorough understanding of the relationship between analysis and performance comes in. It is up to the performer, in Schenker's mind, to express structure through his or her performance. As Rothstein summarises, 'the composer's notation (according to Schenker) indicates only the *effects* that the composer desires; it does not specify the *means* by which the performer is to obtain those effects. In many cases the performer must actually use techniques that would appear to contradict the composer's instructions, precisely in order to obtain the effect that the composer intends'.[378] To understand this point, let us now study the precise performance techniques that Schenker used to express structure, focussing on the bringing out of motivic entities. I will intersperse Schenker's ideas on performing motivic material with others' ideas on this matter.

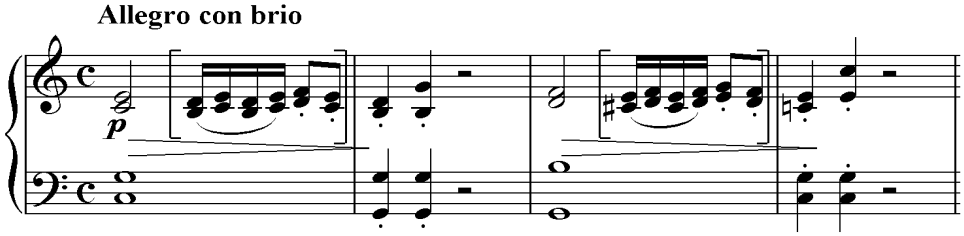
One way that motivic entities can be 'performed' is by using dynamic nuance. It is revealed in Rothstein's study that Schenker often designated fixed dynamic nuances with specific motifs and their repetitions. In an annotated score of the Op. 2 No. 3 sonata, Schenker

[377] Dabrusin, *Deriving Structural Motives*, p. 201. David Beach puts makes the same point. He writes: 'The farther away from the foreground and the closer to the background motivic parallelisms lie, the less they can be performed explicitly, though their recognition can certainly influence a performance' (Beach, 'The Current State of Schenkerian Research, p. 287).

[378] William Rothstein, 'Heinrich Schenker as an Interpreter of Beethoven's Piano Sonatas', *19th-Century Music*, Vol. 8, No. 1, 1984, p. 10. In this study, Rothstein studies Schenker's annotated scores of the

indicates the motivic connection between the opening themes of the first and second movements (the descending second, as I have already indicated in my analysis) by prescribing the same dynamic nuance to the progressions in both themes.[379] Schenker annotates the score with decrescendos through the underlying descending second progressions, bracketing off the notes in between, as can be seen in example 53.

Example 53



This bracketing of notes in annotated scores is used to represent what Schenker called *Rahmenanschlag* ('framing touch'). As Schenker writes, essentially 'the large note is highlighted while the *small* notes remain in the shade…The effect must be as if the small notes did not exist at all'.[380] The idea of dynamic association with motifs can be seen in Schenker's annotations of other Beethoven sonatas. In the Op. 81a sonata, for example, both the descending-third motif and the descending-second motif always involve diminuendos. Rothstein notes one exception, where the descending second motif involves a crescendo, rather than a decrescendo. The reason for this is contextual – a temporary, sudden change of key from the minor key to the relative major.[381] Also apparent in Schenker's markings is the dynamic highlighting of upper neighbour notes in middleground progressions. Rothstein states that he has 'observed the phenomenon in Schenker's scores with sufficient frequency to elevate it to the status of an implicit principle'.[382] As a general rule, Schenker used dynamics to express foreground or middleground notes of structural importance (middleground motivic parallelisms can thus benefit in performance from this technique) but *not* notes of the fundamental line.

Beethoven sonatas, and essays and notes found in the Oswald Jonas Memorial Collection at the University of California. Rothstein provides a vital collection of Schenker's ideas on performance.

[379] Rothstein, 'Heinrich Schenker as an Interpreter', p. 11.

[380] Heinrich Schenker, *The Art of Performance*, trans. Irene Schreier Scott, ed. Heribert Esser, Oxford: Oxford University Press, 2000, pp. 49-50.

[381] Rothstein, 'Heinrich Schenker as an Interpreter', p. 12.

Other types of subtle nuance used to bring out motivic connections might include 'voicing' motivic notes within a series of chords if the notes of the motif (and thus the chords) are reasonably close together. Dabrusin, for example, discusses the use of 'weight' on important motivic notes and 'differential pressure' within chords to bring out important motivic notes.[383] Tone colour might also be used to differentiate between motivic and non-motivic lines. Burkhart uses an example from Chopin's *Impromptu* Op. 36 to illustrate how two simultaneously played lines can keep their distinct identity – and thus their motivic identity – by differentiating the tone. He writes that his 'own means of keeping the f^1 aurally separate from the e^1-d^1 is to play the two top lines with very different tone quality, giving the top line…the more penetrating colour'.[384] This balancing of lines might be considered basic pianistic practice by many.

Regarding considerations of rubato, Schenker suggests that the performer accelerate the tempo in the case of motivic compression or contraction. Rothstein quotes Schenker, who writes the following in reference to the passage beginning in bar 150 of Beethoven's Ninth Symphony: 'An acceleration of the tempo proceeds along with the contraction, or compression, of the motive from m. 154 onwards; the acceleration is to reflect in the medium of time that which is cumulatively compressed in the medium of the motive'.[385] In the Op. 10 No. 2 sonata, Schenker uses rubato as a means of drawing the listener's attention to a descending third middleground progression. Rothstein notes that the forward arrows (indicating accelerations) in bb. 1 and 3, and the backward arrow (indicating a ritardation) in bar 5 bring out the middleground line $c^2 – b♭^1 – a^1$ and that the slight retardation leading up to the third and final note 'makes a^1 sound like an important, if temporary, goal'.[386]

Tenuto can also be used to stress important motivic notes. Dabrusin notes an especially important case in which the 'performing of a small *tenuto*' can indicate 'an important and pivotal note, as the end of one motive and the beginning of another'.[387] The extent to which

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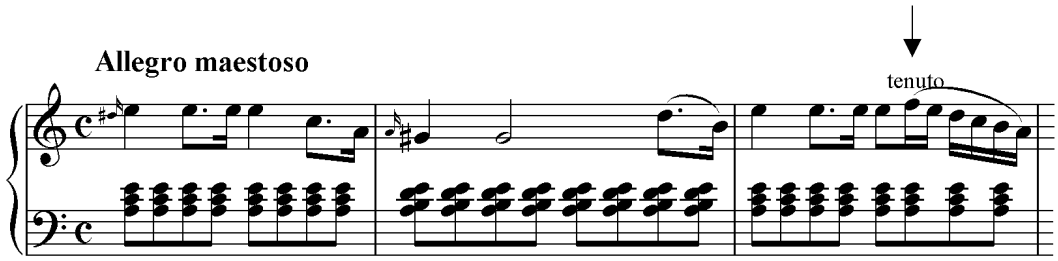
[382] Rothstein, 'Heinrich Schenker as an Interpreter', p. 14.
[383] Dabrusin, '*Deriving Structural Motives'*, pp. 86-87.
[384] Burkhart, 'Schenker's Theory of Levels', p. 104.
[385] Rothstein, 'Heinrich Schenker as an Interpreter', p. 16.
[386] Rothstein, 'Heinrich Schenker as an Interpreter', p. 18.
[387] Dabrusin, '*Deriving Structural Motives'*, p. 93.

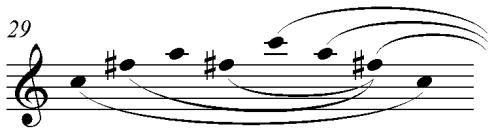
each individual performer considers *tenuto* appropriate in rapid passages will differ, but David Beach advices a slight *tenuto* on an important semiquaver in a performance of Mozart's piano sonata, K. 310. After noting that the E-F-E neighbour figure is important structurally throughout the work, he suggests that the performer give a little more length to the first semiquaver (F) of bar 3.[388] The fact that the *tenuto* occurs at the beginning, rather than the end of the semiquaver run makes this a more viable option for performance (see example 54).

Example 54



In other cases, Schenker advises using *legatissimo* or hand pedal (an extreme example of *legatissimo*) to bring out motifs. Hand pedal involves the holding down of notes longer than their printed durational value whilst remaining in tempo. Simply put, notes are held down whilst playing the notes that follow. In *The Art of Performance*, Schenker illustrates how hand-pedalling important notes in the opening passage of Chopin's Nocturne Op. 15 No. 2 can effectively bring out an underlying descending-third progression. By holding down certain notes, he argues that the underlying sub-surface progression can be made more audible.[389] Elsewhere, Schenker uses an example from the first movement of the Op. 2 No. 3 sonata. In bar 29 (see example 55) he indicates that the notes of the right hand – which form part of a dominant seventh chord in G minor – are to be hand-pedalled.[390]

Example 55



[388] David Beach, 'The First Movement of Mozart's Piano Sonata in A Minor, K.310', p. 178.
[389] Schenker, *The Art of Performance*, pp. 11-13.
[390] Rothstein, 'Heinrich Schenker as an Interpreter', p. 20.

I will discuss the usefulness of applying hand pedal in this bar (in making a motivic parallelism more audible) in the following section.

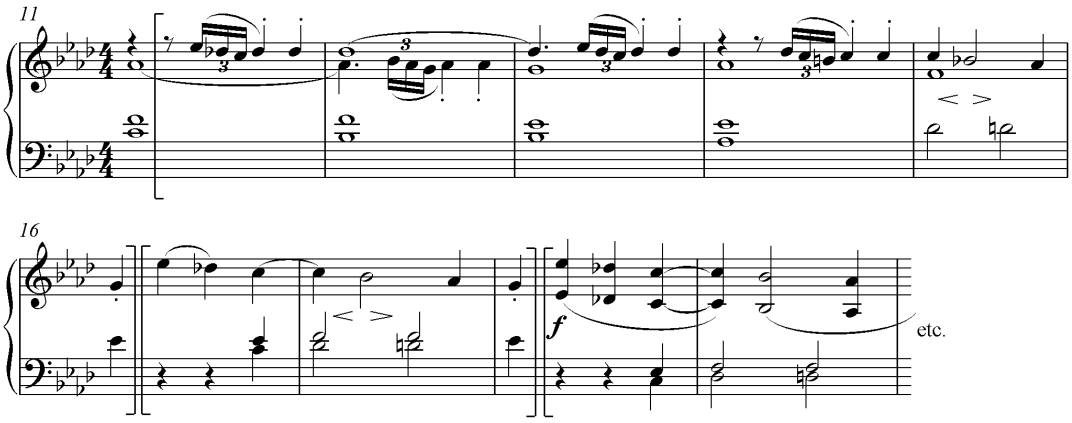
Schenker also uses fingering as a means of articulating important ideas. As Rothstein points out, this explains many of Schenker's unusual fingering suggestions in his edition of the Beethoven sonatas. Rothstein quotes two sentences from Schenker's *Entwurf einer "Lehre vom Vortrag"*: 'The hand may not lie; it must follow the meaning of voice-leading', and 'Fingering must also be true; the hand – like the mouth – must speak the truth'.[391] There are several examples throughout the sonatas where Schenker uses what might be called 'difficult' fingering that ensures the lifting of the hand before an important motif, and thus the clear articulation of that motivic entry. Rothstein compares this type of fingering to bowing on the violin.[392] In his landmark article, 'Schenker's Theory of Levels and Musical Performance', Burkhart states that Schenker's choice of fingering is the most 'pertinent' area of his editing that makes his analytical work accessible to the performer. He argues that 'these fingerings…are designed to bring out (as much as fingering can) Schenker's view of the work's structure'.[393]

Fingering is used as a means to separate ideas, ensuring the absence of any slur that might obscure the beginning of a motivic parallelism. Fingering is thus one means of ensuring correct *articulation*. Using Beethoven's Op. 7 sonata, Burkhart gives an example of where Beethoven's *own* articulation marks (the presence and absence of slurs) can reflect motivic structure. He notes that in a section where slurs are almost everywhere, there are no slurs in bb. 61 and 62 and for good reason: a motivic parallelism of the fourth bar of the opening melody begins in bar 62. Burkhart suggests that lifting the hand and clearly articulating the first note (E♭) of the right hand part in bar 62 is one way in which to make the parallelism audible.[394] Another instance of Beethoven apparently using articulation to define motivic parallelisms is in the opening section of his Op. 2 No. 1 sonata. As we have already seen, the descending-sixth motif is important structurally throughout the first movement of this

[391] Rothstein, 'Heinrich Schenker as an Interpreter', p. 21.
[392] Rothstein, 'Heinrich Schenker as an Interpreter', p. 22.
[393] Burkhart, 'Schenker's Theory of Levels', p. 97.
[394] Burkhart, 'Schenker's Theory of Levels', pp. 99-102.

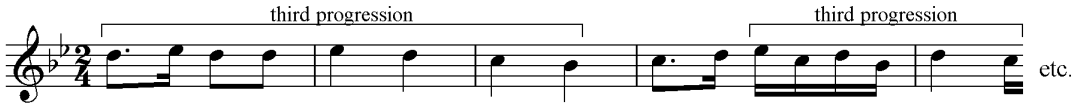
sonata. In bb. 11-18, Beethoven marks the end notes of both sixth progressions with staccatos, ensuring clear articulation of each motivic entity (see example 56).

Example 56



Lastly, careful phrasing in performance can bring out motivic entities. We have already seen in the preceding sections how motivic parallelisms can affect phrase structure. It is vital to understand how these parallelisms create form on this level, as this can be expressed in performance. Berry discusses this in relation to Haydn's choral theme used by Brahms for his variations for orchestra. The phrasing of this five-bar theme is sometimes viewed as 3 + 2, and sometimes as 2 + 3 bars, for various harmonic, melodic or textural reasons. Berry points out that Schenker sees it as a 3 + 2 bar theme, and that one reason for this is the clear division of two descending third progressions (see example 57).

Example 57



Bars 1-3 outline D-C-B♭ while bb. 4-5 outline E♭-D-C.[395] A diminuendo over the descending first three bars and a clear attack on the beginning of the fourth bar might effectively portray this motivic relationship.

[395] Berry, *Musical Structure and Performance*, pp. 29-30.

Another way in which to communicate the beginnings and ends of motivic entities is through body movement, especially arm movement. Jane Davidson has performed experiments to prove that body movement is one way in which structural information can be conveyed to audiences.[396] Grand events might be portrayed, for example, by gestures with one arm (if it is not being used, of course) or by sudden backwards movement of the head.

One general piece of advice to pianists might also be to use a variety of techniques – such as the ones above – to bring out motivic parallelisms. Using the same method each time will inevitably lead to uninspiring performances. As Edward Cone points out, 'even the performance that seems a revelation may become boring through repetition. This is why recorded performances inevitably lose their excitement and sometimes eventually become unbearable'.[397]

Rothstein, in summarising Schenker's view of the role of the performer in expressing the inherent structure of a work, writes that 'each performer must find his own way to the composer's intentions, using only the composer's actual notation, his own intuitive ear, and his educated mind'.[398] Having used my 'educated mind' in my motivic analysis of the Op. 2 No. 3 sonata, I will now endeavour to call into action my 'intuitive ear' and discuss how this analysis can be meaningful in performance. By incorporating the concepts discussed on the relationship between analysis and performance with the techniques appropriate to 'motivic performance' studied above (together with some of my own performance insights), I will present a few examples of ways in which organicism, motivic parallelisms, and performance interrelate in this sonata.

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[396] J. W. Davidson, 'Visual Perception of Performance Manner in the Movements of Solo Musicians', *Psychology of Music*, Vol. 21, 2005, pp. 103-13.
[397] Edward Cone, *Musical Form and Musical Performance*, New York: W.W. Norton & Company, 1968, p. 35.
[398] Rothstein, 'Heinrich Schenker as an Interpreter', p. 24.

3.3.1 Performing Motivic Parallelisms in Beethoven's Op. 2 No. 3 Sonata

First Movement

Bars 1-4: If the performer accurately executes the articulations marked by Beethoven (the slur and staccato markings), then motif *b* (slurred) and motif *d* (staccato) will easily be heard. The last note of the slurred group is often slurred onto the first of the staccato notes, with the result that the audibility of the motifs becomes blurred. As Schenker himself has suggested, a diminuendo from bar 1 to bar 2 and another diminuendo from bar 3 to bar 4 will bring out the descending second sequence of motif *a*.

Bar 21: The performer might bring out motif *c* in the left hand (G – F# - G – A – G) as a 'filler' before the right hand re-enters. Motif *c* here needs to sound melodic, as it zooms around one note, as opposed to the simple alberti-like bass which follows. Many performers would do this, irrespective of their awareness of a motif at this point.

Bars 29-33: Bar 29 can be hand-pedalled, as Schenker himself advises. In terms of bringing out motifs, Rothstein does not note any advantages to Schenker's advice, but if we recall my analysis, we will remember that a small three-bar middleground motivic parallelism of motif *a* begins at this very point (C-B-D-C). Applying hand pedal thus not only physically prolongs the C throughout the whole bar, but also 'joins together' the bar as a single harmonic unit rather than a series of eight quavers, facilitating the audibility of the parallelism. Bars 29 and 30 are also an example of where slur markings support an analytical reading. The first notes of bb. 29 and 30 (C and B) are naturally brought out in following the rule of accenting the first note of a slur. These two notes begin the parallelism of motif *a*. The notes D and C in bar 31 complete the parallelism of motif *a* and also *begin* the descending sixth progression of motif *e*. Here, then, we can use Dabrusin's idea of holding down important pivotal notes (that join two motifs) for slightly longer than their indicated length. Finally, since the last two notes of the descending sixth progression (G – bar 32, F – bar 33) are displaced up an octave, the performer should ensure that these two notes are heard as belonging to the sixth progression and not to the passage which follows it in the same upper register. In order to do this, a slight ritardando might be made from bar

31 to the first note (F) of bar 33. Immediately after (from the second quaver of bar 33) the performer should return to the original tempo.

Bars 39-41: Bringing out or accenting the notes of motif *a* (G# - bar 39, A – bar 40, F# - bar 40, G – bar 41) would not be unmusical in this passage. This is because the four notes occur on changes of harmonies, which themselves provide rhythmic vitality and forward movement. Indeed, this section is primarily rhythmic rather than melodic, and accenting the harmonic rhythm seems entirely appropriate here. The performer might also wish to bring out these notes through articulation. Thus, the first eight semiquavers of bar 39 would be played under one slur, and the final four semiquavers under another. This would articulate the notes of the motif and the harmonic rhythm of the passage.

Bars 43-4: Likewise, motif *b* (D – bar 43, C# - bar 43, D – bar 44, C# - bar 44) can be brought out in the same way. In this case, the performance direction is actually written in the score – sforzandi mark the C#'s in both bars. If slight emphasis is also given to the first beats of both bars, all four notes of the motif are made audible. The same type of articulation suggested for bar 39 can also be used here.

Bars 48-54: Schenker's rule of dynamically highlighting upper neighbour notes of a middleground line is applicable here. The enlargement of motif *c* (D – bar 48, C – bar 50, D – bar 52, E – bar 53, D – bar 54) would, in this case, involve a crescendo to the upper neighbour note, E, in bar 53. The harmonies support this interpretation; the E occurs over chord V^7 of V in G major. This secondary dominant chord contains the most harmonic tension in the passage, so the dynamic highlighting of E complies with harmonic considerations.

Bars 109-112: In this 'false recapitulation' the pianist should pay more attention to the surface motifs *b* and *d* than to the subsurface motif *a* that underlies the four bars. As has been pointed out, it is motifs *b* and *d* that have been worked out in the development section before this 'false recapitulation'. It is these two motifs that now find themselves in the 'wrong isotopy', and the same two motifs that, following the four bars of the false recapitulation, go on to independently find and assert their identities. In order to bring out

motif *b* and *d* in these four bars, the pianist might consider giving less weight and tone to the minims in bb. 109 and 111. This will immediately place less attention on motif *a*. Furthermore, the performer might play these four bars with more rhythmic freedom than the opening four bars of the movement, and the corresponding four bars of the recapitulation. This is one way in which the performer can express the disorientation of motifs *b* and *d*, as they find themselves in the 'wrong isotopy'.

Bars 113-126: The performer might consider the use of contrasting physical gestures to accentuate and demonstrate the segregated development of motifs *b* and *d*. I would suggest a minimum of physical movement for the two-bar segments of motif *b*'s development (bb. 113-4, 117-8, 121-2) and large arm movements for the octave displacements involved in motif *d*'s developments (bb. 115-6, 119-20, 123-6). This will help to portray the sense of independence and isolation of these motivic entities.

Bars 129-134: Here is an example of where the notes of a motivic parallelism can simply be brought out by accent. Doing so is entirely in agreement with musical considerations of line, since it is standard practice to bring out 'entries' in imitative passages. Bringing out the entry of each repetitive figure will make motif *c* audible (the minims of G – bar 129, F# - bar 130, G – bar 131, A – bar 132, G – bar 133).

Bars 147-150: The overall ascending sixth progression of motif *e* can be brought out by the use of dynamics. Firstly, the performer should make a crescendo only when the line ascends, and a decrescendo when the line descends. Secondly, in bar 149, where the ascending line 'restarts' from where it was left, the dynamic should reflect the note's position in the ascending progression. In other words, the A in bar 149 should be slightly louder than the G in bar 148, and the line should then continue to crescendo towards the end of the sixth progression at the beginning of bar 150.

Second Movement

Bars 1-2: The pianist should diminuendo through bar 1 and again through bar 2, in order to express the underlying descending second progressions, and therefore the link to the opening four bars of the first movement.

Bars 6-10: This passage (starting from the semiquaver upbeat to bar 7) outlines a descending third and is a motivic enlargement of bar 4, as already discussed. The pianist might wish to convey the way that this enlargement 'intrudes' upon the expected phrase structure. This can be done by playing bb. 7 and 8 at the raised dynamic of, say, *mf*. Bars 9 and 10 might be played as an echo of the preceding two bars. The notes C#, A, and F# in bar 10, which complete the enlargement of bar 4, might be hand-pedalled to distinguish them clearly from the lower neighbour notes of B# and G#.

Bars 11-13: Hand pedalling the harmonies outlined in the right hand part (E minor – bar 11, D# dim^7 – bar 12, E minor – bar 13, F# minor – bar 13) will simplify the aural conception of these three bars and facilitate the audibility of this special 'harmonic parallelism' of the opening four-note figure. The pianist might also give slightly more weight to the lower-most notes of each harmonic unit (E – D# - E – F#). This will likewise bring out this four-note figure. In order to highlight the conflict between motif *a* (the threat of death) in the left hand and the parallelism of the four-note figure (the repression of grief) in the right hand, physical gesture can be used. I suggest that the right hand remains relatively still, as it ideally was in the opening ten-bar statement, in order to continue the 'repression of grief', while the left hand part (motif *a*) involves a relative amount of arm movement, in order to foreshadow the threat that this motif poses throughout the movement. A listener, I would suggest, is more likely to hear the 'harmonic parallelism' of the four-note figure in the right hand if the physical gesture of the performer's right hand remains the same as it was in the opening statement. Making visual connections is likely to aid the listener in hearing motivic/harmonic connections.

Bars 19-24: The parallelism of motif *b* in the left-hand part (D – bar 19, E – bar 20, D – bb. 21-22, E – bar 23, D – bar 24) can be brought out by simplifying the trajectory of the motif. To do this, the first appoggiatura of each bar should be played out with a ringing tone, and the second appoggiatura of each bar should be an echo. This allows the listener to hear the

stepwise motion of the underlying motif, by placing less emphasis on the intervallic displacements of the second appoggiaturas. While the simplicity of the underlying four-note figure can be brought out in tone, the wide registral space used in this passage should be visually brought to the attention of the audience via large semi-circular arches of the arm as the left hand crosses backwards and forwards over the right hand. This portrays the idea that the original *small* motivic cell is blooming into a mature and fully *open* structural entity.

Bars 53-54: These two bars are marked *ff*, and indeed they should sound like a sudden outburst and should surprise the listener. However, what is most fascinating about these two bars, as has been discussed, is the fact that the second bar (and second descending second progression) is *up* a tone from the first, rather than down a tone as in the opening two bars of the movement. In order to bring out this vital difference, thereby bringing out motif *a* and the reference to the opening four bars of the first movement, the pianist should be sure to play bar 54 even louder than bar 53. This involves playing bar 53 at a dynamic such that there is still room for emphasis in bar 54.

Third Movement

Bars 1-8: In the analysis I argued that due to the same descending and ascending sixth progressions found in these bars and in the opening section of the finale, we should view the phrase structure as 2 + 6 bars, rather than 4 + 4. In order to phrase these bars in this way, the pianist might consider resisting the temptation to accentuate the bass entry of the opening figure in bar 4. Furthermore, a *subito p* at the beginning of bar 3 and a gradual crescendo thereafter towards the G in bar 7 would separate and highlight the ascending sixth progression in the right hand.

Bars 9-16: The right-hand part involves one long ascending sixth progression, from F# to D, and this can be expressed via a gradual crescendo. The left hand part involves three *separate* descending sixth progressions. These should be brought out by a slight accent on the first note of each progression so that the progressions do not simply run into one another in a meaningless stream of notes.

Bars 17-20: Here is an instance where simply following the directions for articulation will naturally bring out the motivic parallelism. The enlargement of the inversion of motif *a* in the upper part (B♭ – C – A – B♭) is brought out if the performer applies the rule of accenting slightly the first note of a slur. This, together with the indicated staccato markings, will ensure emphases on all four of the motivic notes.

Bars 73-80: In order to bring out the enlargement of motif *a* in the right hand part (G – bb. 73-76, F – bar 76, A – bb. 77-80, G# - bar 80), a crescendo can be made towards the G in bar 75, and a decrescendo made thereafter, as the G resolves down a second to F in bar 76. The same crescendo and decrescendo pattern can then be used in the following four bars (bb. 77-80). The notes of motif *a* should be hand-pedalled, i.e. held for a crotchet's length. This will help bring out the contrast in character between bb. 73-74 and bb. 75-76 and between bb. 77-78 and bb. 79-80. The sforzandi and the slow harmonic rhythm of bb. 73-74 and bb. 77-78 create an emphasis on rhythm rather than melody, via the use of a whipping, rocket-like figure. By contrast, the quick harmonic rhythm and the sigh-like descending-second figures of bb. 75-76 and bb. 79-80 create a yearning upper voice over a swelling bass. The expressive quality of bb. 75-76 and bb. 79-80 thereby naturally highlight their connection together in forming a parallelism of motif *a*.

Fourth Movement

Bars 1-8: The pianist could consider grouping the twelve ascending notes of the opening theme into two groups of six notes, thus continuing the 'train of thought' that was well worked out in the third movement. This could be done in a variety of ways. The pianist might wish to give a very slight accent to the beginning of the second group of six notes (the A of bar 2 and the E of bar 6). Alternatively, the grouping might simply be a mental aid. Pianists often mentally group notes together in this sort of manner and the result is not always audible.

Bars 8-18: In these bars the pianist has the difficult task of bringing out the sixth progressions of motif *e* in the right hand and motifs *d* (bb. 9-14) and *b* (bb.15-16) in the left

hand simultaneously. This can be achieved by using different articulation in each hand. The left hand part can be played *legatissimo*, while the right hand part is played non legato (or *leggiero*). The sixth progressions in the right hand can be brought out by accenting the first note of each slur (for example, in bb. 9-10, the pianist will bring out B-C-D-G). A crescendo, from *p* to *mf*, can be made through the ascent of each sixth progression (B-G in bb. 9-10, C-A in bb. 11-12, and F#-D in bb. 13-14). Special care should be taken to phrase from the *beginning* of each progression (i.e. from bb. 8, 11, and 13) and not from half-way through bb. 10, 12, and 14, as might seem intuitive to the pianist. The use of fingering can ensure that the end of one group does not run into the beginning of another, and thereby blur the articulation of motifs. For example, using finger 3 on the last semiquaver of bar 10 and finger 3 again on the first semiquaver of bar 11 would ensure a quick lifting of the hand before a new motivic entry in bar 11.

Bars 30-34: Here is an example of where a motivic parallelism might be left to 'speak for itself' without any attempt to bring it out in performance. The notes of the motivic entity – C and D – are highlighted naturally in the music. The C is highlighted due to its mere length and the D is highlighted by sforzandi. Given that the motivic connection is likely to be easily heard, the performer may wish to actually go against the bringing out of this motif. The reasoning for this is that by highlighting the first notes of each bar (C-D-C-D-C), the theme risks sounding monotonous, especially given the repetitive melodic figures and harmonies involved in this passage. In order to add more shape and direction to the phrase, the performer may wish to go against the implied dynamic nuance of the slur in bb. 30, thereby making a crescendo towards bar 31. A decrescendo can then made from bar 31 to bar 32. The same process (crescendo followed by a decrescendo) can then be made in bb. 32-34.

Bars 77-84: These bars involve an interesting restatement of the opening theme of the movement. Not only is the original melody now in the left hand, but there are, for the first time this theme is heard, no staccato markings. This is significant for the performer who wishes to bring out the parallelism of motif *a* in the right hand part. Slight *tenutos* on the crotchet F in bar 80 and the crotchet G in bar 84 will help make the four-note motif more audible (G – bar 77, F – bar 80, A – bar 81, G – bar 84).

* * * *

One general way in which a performance can be made to sound 'organic' is via the incorporation of small 'breaths' in between phrases. Alexandra Pierce has compared the 'junctures' between consecutive phrases in music to the stillness we experience in between breath cycles (i.e. inhalation-exhalation-stillness). She also encourages the performer to keep physically moving during the 'juncture' in order to experience the sense of space and 'reverberation' between phrases.[399] Letting the music 'breathe' in between phrases can help bring the music to life and make it sound 'organic'. Likewise, I would suggest that the performer takes small 'breaths' before beginning certain motivic parallelisms. If we consider a motivic parallelism to be an organic process, then taking a breath before beginning such a process seems intuitive; the body requires oxygen in order to carry out organic processes just as a motif requires energy to develop itself into an enlarged motivic parallelism. Clearly, this technique will not apply to all motivic parallelisms, especially those beginning in places where a breath would seem out of place. The pianist might consider taking a small breath, however, just before bar 29 and before bar 147 in the first movement, before bar 7 and before bar 19 in the second movement, and before bar 8, before bar 30, and before bar 119 in the fourth movement.

In this section I have focused on specific techniques of 'performing' motivic parallelisms. However, consideration of a constitutive form of organicism, i.e. a Kantian type of organicism, can also enhance performance. From this perspective the organic work manifests itself through the unconscious of the genius composer and requires higher inspiration. This concept can be reflected in performance by giving the impression of offering an inspired improvisation.[400]

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[399] Elaine King, 'Supporting Gestures: Breathing in Piano Performance', in Anthony Gritten and Elaine King (eds.), *Music and Gesture*, Burlington: Ashgate, 2006, pp. 145-6.

[400] Once again, there is a tension between the new aesthetic model of 'inspired organic music' in the late eighteenth century and the reality that the improvisatory approach wasn't really new at all. In earlier music, improvisatory freedom was even built into performance practice.

Schenker saw improvisation as an integral part of organicism. According to him, 'only what is composed with the sweep of improvisation guarantees unity in a composition'.[401] He defined 'genius' as 'the gift of improvisation and long-range hearing'.[402]

Whereas in his earlier years Schenker viewed improvisation to a large extent as a process free from formal constraint, he later came to see it as a process of elaboration of a harmonic plan.[403] The fundamental line comes to be 'the whole inspiration of a work' and 'the muse that inspires all improvisatory creation and synthesis'.[404] As John Rink summarises, Schenker was concerned with 'the improvisatory connection of the remote and the immediate through the fundamental line (which acts as a work's structural skeleton)…. Diminution … serves as the "principal means" of composition and improvisation alike'.[405] Rink also notes that this conception of improvisation was mostly in agreement with eighteenth-century musical practice. Even though 'improvisation in the mid- to late eighteenth century also relied on formal freedom and the element of surprise … much of the improvisatory music from the period seems to have obeyed the fundamental principles of tonal "logic" and "grammar"'.[406]

That Schenker was less concerned with motifs and their parallelisms than the fundamental line has already been made clear. It is thus hardly surprising that he writes that 'the whole must be discovered through improvisation if the piece is to be more than a collection of individual parts and motifs in the sense of a schema'.[407] He also writes, however, that organic music 'grows outward from within',[408] thus taking a typical perspective of organic growth. It is easy to reconcile this last point with a fundamental line which 'inspires all improvisatory creation' if we consider musical growth in terms of the temporality of the act of composition. If we examine organic growth in terms of the temporality of the piece itself, however, one might expect to hear the fundamental line 'from within' as some sort of

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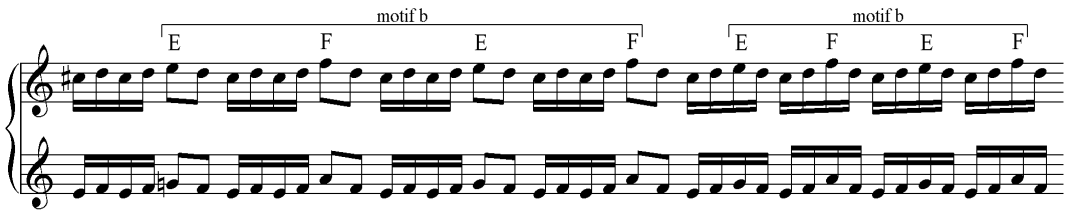
[401] Heinrich Schenker, 'Organic Structure in Sonata Form', trans. Orin Grossman, in Maury Yeston (ed.), *Readings in Schenker Analysis and Other Approaches*, New Haven: Yale University Press, 1977, p. 39.
[402] Schenker, *Free Composition*, p. 18.
[403] John Rink, 'Schenker and Improvisation', *Journal of Music Theory*, Vol. 37, No. 1, 1983, pp. 3-5.
[404] Quoted in Rink, 'Schenker and Improvisation', p. 5.
[405] Rink, 'Schenker and Improvisation', pp. 6-7.
[406] Rink, 'Schenker and Improvisation', p. 9.
[407] Schenker, 'Organic Structure in Sonata Form', p. 39.
[408] Schenker, *Free Composition*, p. 6.

germ cell early on in the composition. This is clearly not the case with Schenker's model. It is thus easy to label the fundamental line an 'inspiration' for the improvisatory process of composition, but more difficult to label it an inspiration for improvisation in performance. Motivic cells can very easily be seen as 'inspirations' for improvisation, and Schenker's view of improvisation as an organic process can be used in the performance of motivic parallelisms. The enlargement of motif *c* in bb. 48-54 of the first movement is one example. This theme sounds somewhat improvisatory in character. The performer may wish to see this passage as an elaboration of the tones D-C-D-E-D (see example 29) and of the simple harmonies over which they occur. This might involve a slight tenuto on the motivic notes D (bar 52) and E (bar 53), since the first two notes – D and C – are already naturally highlighted due to their length. This would give the impression that the performer is 'deciding what to do' in order to elaborate or prolong those two motivic notes. The method of 'improvisation' is, of course, written into the score. The D of bar 52 is elaborated via a broken chord, and the E of bar 53 is elaborated via a simple octave scale.

Let us not forget that the motif was an essential part of improvisation in late eighteenth-century music. Indeed, if we take a close look at the 'cadenza' section of the first movement of the Op. 2 No. 3 sonata, we find that the entire passage is made up of surface repetitions or enlargements of motifs *a*, *b*, and *c*. For the enlarged repetition of motif *b*, which has not yet been discussed (see example 58), the performer might consider beginning slowly and then, when he or she finally 'realizes through inspiration' an enlargement of motif *b*, gradually get faster and faster, as the compression of the motif naturally suggests. Such techniques give the impression that the performer really is making up the cadenza on the spot.

Example 58



Any way in which the performer can give the impression to be improvising when performing motivic parallelisms can aid in creating a sense of the 'organic work', which is transmitted through higher inspiration. It is important to remember, however, that for improvisation to be labeled 'organic', as in Schenker's understanding, the improvisation must be imbued with purpose, just like an organism. This purpose is derived from a harmonic plan or, in the case of this study, the notes which complete a motivic parallelism. This understanding of improvisation is in stark contrast to how the term is sometimes defined. Dahlhaus, for example, writes that 'Whereas in a composition the parts of the process are supposed to be retained in outline in the mind so that they can coalesce into the image of a musical form …. in an improvisation only the here and now, the direct impression, is of decisive importance, and non-retrospective perception which is absorbed in the momentary would not be out of place'.[409] This is clearly not the type of improvisatory feel a pianist should aim for if he or she wants the listener to hear the improvisation as an elaboration of a motif. Especially in the case of motivic enlargements spanning several bars or sections of music, structural hearing is vital.[410]

[409] Dahlhaus, *Schoenberg and the New Music*, p. 223.
[410] As Dahlhaus explains, 'it is the aim of structural hearing that the parts of a work, though they are perceived one after another, should come together at the end in imaginary synchronicity to create an image of the form' (Dahlhaus, *Schoenberg and the New Music*, p. 39). The same can be said for the completion of a motivic parallelism over a long span of music.

CONCLUSION

The organic metaphor came to replace the mechanistic metaphor for music in the late eighteenth century as conformational models gave way to generative models of music, as 'naturalness' came to be favoured over artificiality, and as an increased interest arose in the order of nature, and in how this order might be incorporated into art. In the 1790s the idealists believed that music was to symbolize, as Körner writes, 'the unknown something…the external world in its entirety'. Idealists such as Wackenroder saw inner musical unity as organic and as representative of God's divine and universal network. Other idealists of this time, including Kant, Schelling, and Schiller, discussed music in somewhat organic terms.

Schenker's theory of musical organicism reflects, to a large extent, late eighteenth-century ideologies of organicism. However, his motivic parallelism is, as I have demonstrated, undervalued in its ability to reflect organic unity and growth. The motivic parallelism is not simply a by-product of analysis, but an important unifying tool. Following Cohn's initiatives of 'freeing' the motivic parallelism from the *Ursatz* and of allowing freer structural identities between parallelisms of the same motif, one is able to conceive of the motivic parallelism as Schoenberg conceives of the surface motif. The motivic parallelism can be shown to achieve all that the surface motif can. In my analysis of Beethoven's Op. 2 No. 3 sonata I have illustrated how the motivic parallelism can engender form and tonal progressions, influence phrase structure, make references to other parallelisms, and reflect organic qualities of unity, growth, self-regeneration, and assimilation. Motivic parallelisms also form a network of entities which can create an 'organic' narrative through an inner unfolding of events.

While Beethoven is certainly not the first composer to use small motivic cells to generate larger portions of music (Haydn's use of the motif as a tool for gaining momentum is undeniable to both the eye and ear), he works his motifs out in a wider variety of ways. Whereas Haydn might be seen to embody the idea of the 'genius' composer whose motifs are used unconsciously to inspire a whole work in the most natural way, Beethoven often

manipulates (ironically) his motifs to reflect the organic ideals of self-enlargement, causality, assimilation, and interaction.

Motivic analyses, such as the one I have carried out, are relevant to performers because motivic parallelisms are able to be 'brought out' in performance. Of course, performance knowledge can inform analytical decisions just as much as analysis can inform performance decisions. The two disciplines function within a bi-directional discourse. Motivic parallelisms can be 'performed' through a consideration of dynamic nuance, voicing, hand pedal, fingering, articulation, phrasing and physical gestures. Sometimes simply by following the performance directions in the score, or by following standard eighteenth-century performance practice techniques, motivic parallelisms will be brought out on their own. Consideration of a constitutive form of organicism, whereby 'organic' music is seen to derive from the unconscious of the genius composer through divine inspiration, can also enhance performance. Creating an improvisatory feel in performance can make a work sound 'inspired'.

* * * *

It is all too easy to dismiss the study of organicism in music as positivistic and technical. If we examine the 'roots' of the ideology, we are reminded that organicism is, after all, a *humanist* concept. Organicism in art remains an important concept in today's world. This is no more apparent than in the recent artworks and installations of the Australian artist Fiona Hall. Hall's work explores the relationship between humans, organic life and material matter. Her most recent installation *Castles in the Air of the Cave Dwellers* (2008) presents a variety of hanging mouldings representing the human brain. To these 'brains' are attached 'replicas of the nests of wasps and other "social insects" – species which live in colonies rather than alone'.[411] By comparing the two types of species in the one model, Hall questions 'where humanity sits on the evolutionary chain'.[412] Another work, *Cell Culture*

[411] Gregory O'Brien, *Fiona Hall, Force Field: Notes on Some Works* (explanatory notes for Fiona Hall's art exhibition in the City Gallery, Wellington, New Zealand), p. 4.
[412] O'Brien, *Fiona Hall, Force Field*, p. 4.

(2001-2), involves 'tupperware containers, in a wide variety of shapes, from which growths, or forms from the natural world (animal, vegetable and mineral) emerge'.[413]

Hall's underlying message is that 'for most of us living in a world of manufactured products we tend to think that we are looking out at nature and forget that we *are* nature'.[414] She is fascinated by 'the things that we take from nature to make our urges more comfortable, and then throw back as debris'.[415] Might Hall's work be relevant to musicians of today? Firstly, is her message not a reminder to us of Schelling's and others' conception of the artist as an integrated part of nature and of his works as a means to understand ourselves and nature more fully? Secondly, is it possible that composers and musicologists have 'thrown back as debris' the ideologies of organicism that make up an important part of the music we now cherish so deeply? Through an analysis of the organicism of an early Beethoven work, we can begin to more richly understand our instinctive emotional responses to the music. Through a conscious and unconscious experience of organic motivic connections, every passage in a Beethoven piano sonata is felt as being essential and 'right'. The organic model, on which Beethoven's piano sonata Op. 2 No. 3 can be seen to be based, greatly enhances the music's capacity to sound natural and inspired.

[413] Quoted in Gregory O'Brien, *Fiona Hall, Force Field*, p. 4.
[414] Quoted in Gregory O'Brien, *Fiona Hall, Force Field*, p. 4.
[415] Quoted in Gregory O'Brien, *Fiona Hall, Force Field*, p. 4.

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