

## HISTORICAL STUDIES

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### Introduction

The five studies in this section point to some of the directions Schenkerian historical research has taken in recent years. Schenker himself is the subject of the first three essays; they take their cue from his own interests or from influences upon his thought. John Rothgeb's article focuses on Schenker's deep concern for the study of composers' autographs, on his recognition of the importance of such study for the analysis and informed performance of music. Another of Schenker's life-long preoccupations – and a formative influence on his theories – was the discipline of thorough bass. His primary interest was in the theories of C. P. E. Bach, but he also turned his attention to a thorough-bass manual attributed to J. S. Bach, and this is the subject of Hedi Siegel's essay. William Pastille looks outside the area of music for an important influence on Schenker's ideas – the scientific thought of Goethe.

The articles by David Stern and Saul Novack take Schenker's approach beyond areas he himself developed. As is well known, Schenker's own studies are of eighteenth- and nineteenth-century music. David Stern applies Schenker's theories to the music of the Renaissance, shedding light on the history of voice leading and its relation to structure. Saul Novack's essay is based on this kind of extension of the traditional Schenkerian repertory, an extension initiated by Felix Salzer but carried through in a large measure by Novack himself. Here Novack undertakes a survey of the history of tonality viewed in the perspective of Schenker's concept of structural levels – foreground, middleground, and background.

At the 1985 Schenker Symposium, two papers were read that extend the application of Schenker's ideas toward the twentieth century – James Baker's "Schenkerian Analysis: Key to Late-Romantic Extended Forms," and Roy Travis's study of Benjamin Britten's *Death in Venice*. These papers are not part of this volume because they were destined for publication elsewhere.<sup>1</sup> They join the considerable number of studies exploring the pre- and post-Schenkerian repertory that have appeared in this decade. In his third bibliographic article on Schenkerian research, covering the period 1979–84, David Beach provides a comprehensive list under the heading "Extensions of Schenker's Theories" and devotes an entire section of the valuable essay that precedes his listings to a discussion of this literature.<sup>2</sup> He also fully documents the investigation of historical aspects of Schenker's thought; the writings he lists under the heading "Historical Research"

include discussions of the philosophical basis and historical significance of Schenker's theories.

A further area of activity – which is only minimally represented within this book – has been the preparation of English translations of the writings of Schenker himself. Beach supplements his list of Schenker's own writings (he includes available reprints and translations) with a discussion of projected translations.<sup>3</sup> Some of these have now been published, most significantly the translation of *Kontrapunkt* by John Rothgeb and Jürgen Thym.<sup>4</sup> Translations of Schenker's shorter essays continue to appear; these include the annotated translations by Ian Bent of two Scarlatti analyses from *Das Meisterwerk* published in *Music Analysis*.<sup>5</sup> In addition, extracts from Schenker's personal papers have been published (in German); Hellmut Federhofer's recent biographical study contains important material pertaining to Schenker's ideas both within and outside the field of music, much of it in quotations from letters and diaries.<sup>6</sup>

It is hoped that this sketch of current work will direct the reader toward the growing field of historical Schenker studies.

### Notes

(Selected bibliographic information on Schenkerian historical studies)

1. The material presented by James Baker is included in his book, *The Music of Alexander Scriabin* (New Haven, 1986). An expanded version of Roy Travis's paper has been published as "The Recurrent Figure in the Britten/Piper Opera *Death in Venice*," *The Music Forum*, Vol. 6, Part 1 (New York, 1987), pp. 129–246.
2. David Beach, "The Current State of Schenkerian Research," *Acta Musicologica* 57/2 (1985), pp. 275–307. The first two articles in Beach's series are "A Schenker Bibliography," *Journal of Music Theory* 13/1 (1969), pp. 2–37, reprinted in *Readings in Schenker Analysis*, ed. Maury Yeston (New Haven, 1977), pp. 275–311; and "A Schenker Bibliography: 1969–1979," *Journal of Music Theory* 23/2 (1979), pp. 275–86.
3. Beach, "The Current State of Schenkerian Research," Appendix I and pp. 281–82. A list of Schenker's works is included in the translations available from Schirmer Books in New York: Schenker's *Free Composition* (1979), J. S. Bach's *Chromatic Fantasy and Fugue* (1984), and *Counterpoint* (1987), as well as Jonas's *Introduction to the Theory of Heinrich Schenker* (1982). The bibliography of Ian Bent's *Analysis* (London and New York, 1987) has an extensive entry for Schenker, with a list of primary sources as one of its separate sections. The other sections of the entry, as well as large portions of the book itself, provide much important information that pertains to Schenkerian historical studies, including the extension of Schenker's theories.
4. At the 1985 Schenker Symposium, Irene Schreier reported on her translation of Schenker's *Die Kunst des Vortrags*; this and Heribert Esser's edition of the German text have not yet appeared as of this writing.
5. "Essays from *Das Meisterwerk in der Musik*, Vol. I (1925)," trans. Ian Bent, *Music Analysis* 5/2–3 (1986), pp. 151–91. The translations, which are of Schenker's essays on the Scarlatti Sonatas in D minor and G major, and of an important short theoretical section, are prefaced by Bent's article "Heinrich Schenker, Chopin and Domenico Scarlatti" (pp. 131–49).

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6. Hellmut Federhofer, *Heinrich Schenker: Nach Tagebüchern und Briefen in der Oswald Jonas Memorial Collection* (Hildesheim, 1985). See also William Pastille's review of Federhofer's book in the *Journal of the American Musicological Society* 39/3 (1986), pp. 667-77, which begins with a comprehensive account (giving bibliographic details) of recent Schenkerian writings on historical issues.

## Schenkerian theory and manuscript studies: modes of interaction

*John Rothgeb*

My purpose in this article is to provide a general notion (for those who have not already studied it in depth) of the character of Schenkerian work with manuscript materials. I shall concentrate chiefly on Schenker's own work and on that of Oswald Jonas, who, among Schenker's pupils, was the one who specialized early and extensively in such studies. I shall try to indicate along the way how those aspects of Schenkerian theory that are most uniquely Schenkerian can contribute special insights to the interpretation of manuscripts.

Under "manuscripts" are to be included two fundamentally different classes of materials: (1) autograph manuscripts of finished compositions, and (2) sketches and working drafts. These categories overlap in some cases; in particular, documents of the first category very frequently embody elements of the second, in the form of revisions, in which case the autograph manuscript takes on additional significance similar to that of a sketch.

Let us for the moment leave aside such revisions and consider the significance of an autograph score *qua* autograph score. The first and most obvious benefit it provides is in establishing a definitive text. Although Schenker was well aware that autographs could not be regarded as absolutely definitive in all cases, he considered them in general far more important than any other type of source. In his essay on Beethoven's "Eroica" Symphony he prefaces a discussion of a copy of the symphony revised in Beethoven's hand with the following words:

The manuscript of the Third Symphony has thus far not come to light; but neither the first print of the parts or the score, nor even the copy revised by Beethoven, can substitute for it. Unfortunately, a copy of a Beethoven work always presents a picture completely different from that of the master's own script, which shapes the content even for the eye in a way that is persuasively and convincingly artistic.<sup>1</sup>

It is well known that Schenker's editions of Beethoven's piano sonatas were among the first to adhere closely to manuscript sources. His edition was the first, for example, to follow Beethoven's own notation in a case such as measure 16 of the Sonata Op. 101 (Example 1a), where all previous

1. Schenker, "Beethovens dritte Sinfonie," *Das Meisterwerk III*, p. 86. The translations given in this article are mine.

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Example 1. Beethoven, Sonata Op. 101, first movement

(and many subsequent) editions present the notation as in Example 1b. In his *Erläuterungsausgabe* of Op. 101, Schenker explains as follows:

In measure 16 the notation of the autograph had to be restored; it had been lost already in the original edition and can no longer be found in any other edition: I refer to the notation of the eighth-note group in the upper staff (instead of in the bass), which automatically communicates to the most casual glance the secret of the line, the continuation of  $g^{\sharp 1}$  of the downbeat by the last eighth-note  $g^{\sharp 1}$ .<sup>2</sup>

Oswald Jonas elsewhere cites the same example and comments still more precisely: "It is as though the handwriting wished to demonstrate the origin of the composed-out third  $e-g^{\sharp}$  from the third  $e-g^{\sharp}$  of the right hand. The left hand thus directly continues the content of the right."<sup>3</sup> The reference to composing-out makes this a specifically Schenkerian interpretation of the orthography.

The last part of Schenker's comment quoted above on the revised copy of Beethoven's "Eroica" suggests another characteristic of autograph scores to which special attention has been directed by both Schenker and Jonas. In the preface to his Op. 101 edition, Schenker writes:

Recently I saw Chopin's autograph of the Scherzo in E major, Op. 45 – extremely delicate and neat, like everything from that master's hand, and prepared in such a way that there could be no question concerning the master's exact wishes. The original edition also confirms the authority of the manuscript, and yet: even in such a rare agreement between manuscript and first print, the former nevertheless exhibits several brilliant pen-strokes that speak directly to the eye and lead reliably to important insights. . .<sup>4</sup>

And further, concerning the autograph of Brahms's Op. 117:

Although the first printing is in general to be credited only with the best fidelity, in the manuscript, nevertheless, certain other features, even very important ones, are to be found, which the first printing was unable to reproduce.<sup>5</sup>

Schenker may have had in mind such features as that shown by the handwriting in measure 6 of Beethoven's Piano Sonata Op. 81a (see Plate 1). The orthography of the *sf* followed by decrescendo strongly

2. Schenker, *Erläuterungsausgabe*, Op. 101 (1972 edn), p. 23.

3. Oswald Jonas, "Musikalische Meisterhandschriften," *Der Dreiklang* 2 (May 1937), p. 58.

4. *Erläuterungsausgabe*, Op. 101 (1972 edn), p. 6.

5. *Ibid.*

Adagio

Shaban 1809

p: cresc.

Op. 81a

Plate 1. Beethoven, Sonata Op. 81a (from the first page of the autograph)

suggests a deliberate singling-out of the third-progression  $d^2\text{-}e\flat^2\text{-}f^2$ : it is these tones above all that answer, within the newly achieved dominant harmony, the descending third  $g^1\text{-}f^1\text{-}e\flat^1$  of the beginning.<sup>6</sup> What is particularly interesting here is that the autograph shows a feature of such subtlety that it *cannot* be reproduced in any printed edition, yet which is deeply suggestive for performance and understanding of the passage.

Sketches and drafts are a different matter entirely. They are seldom of importance for establishing a correct text, although a notable exception exists in the case of the notorious  $a\sharp$  at the end of the development of the "Hammerklavier" Sonata.<sup>7</sup> Schenker describes and comments, sometimes rather extensively, on sketches in his analytical studies of Beethoven's Fifth and Ninth Symphonies, as well as in the *Erläuterungsausgaben* of the last piano sonatas. There has been much debate recently about the significance of sketches – in particular, it has been disputed that sketches for a given work can be invoked as an aid for understanding the finished work itself. To the extent that such an objection is valid, however, it does not apply to Schenker's work. The benefit of sketch study, from a Schenkerian perspective, has been summarized by Oswald Jonas as follows:

It seems to me that the cardinal point of such investigations is to answer the following question: what were the artistic necessities that guided Beethoven's musical instinct? If we follow the course of evolution of any individual work with this in mind, the insights we derive will have a general artistic value; indeed, only through their generality will they have a special value for us.<sup>8</sup>

The sketches, then, provide information not about the finished work, but about the principles that guided its formation.

It would far exceed the scope of this paper to undertake a detailed appraisal of even a single series of sketches; but a clear idea of Schenker's approach to the study of revisions in general can be gained from a brief examination of his commentary to his facsimile edition of Beethoven's "Moonlight" Sonata.<sup>9</sup> The autograph manuscript under consideration incorporates numerous revisions discussed in some detail by Schenker.<sup>10</sup> Part of the sixth page of the facsimile is reproduced in Plate 2. Beethoven's alterations to the third measure (measure 56 of the first movement) are of interest, and Schenker comments as follows:

6. This passage was shown to me by Oswald Jonas, who did not, however, write about it, so far as I know.
7. A sketch reproduced by Nottebohm, in which Beethoven writes in figured-bass figures, establishes the authenticity of the  $a\sharp$  beyond all question, as Schenker remarks in a footnote to his edition.
8. Jonas, "Zur Betrachtung Beethovenscher Skizzen," in "Beethoveniana," *Der Dreiklang* 6 (September 1937), p. 151.
9. Beethoven, *Sonate Op. 27, Nr. 2*, facsimile edition with an introduction by Schenker (Vienna, 1921).
10. Schenker also reproduces and comments on three independent sketch pages for the final movement.

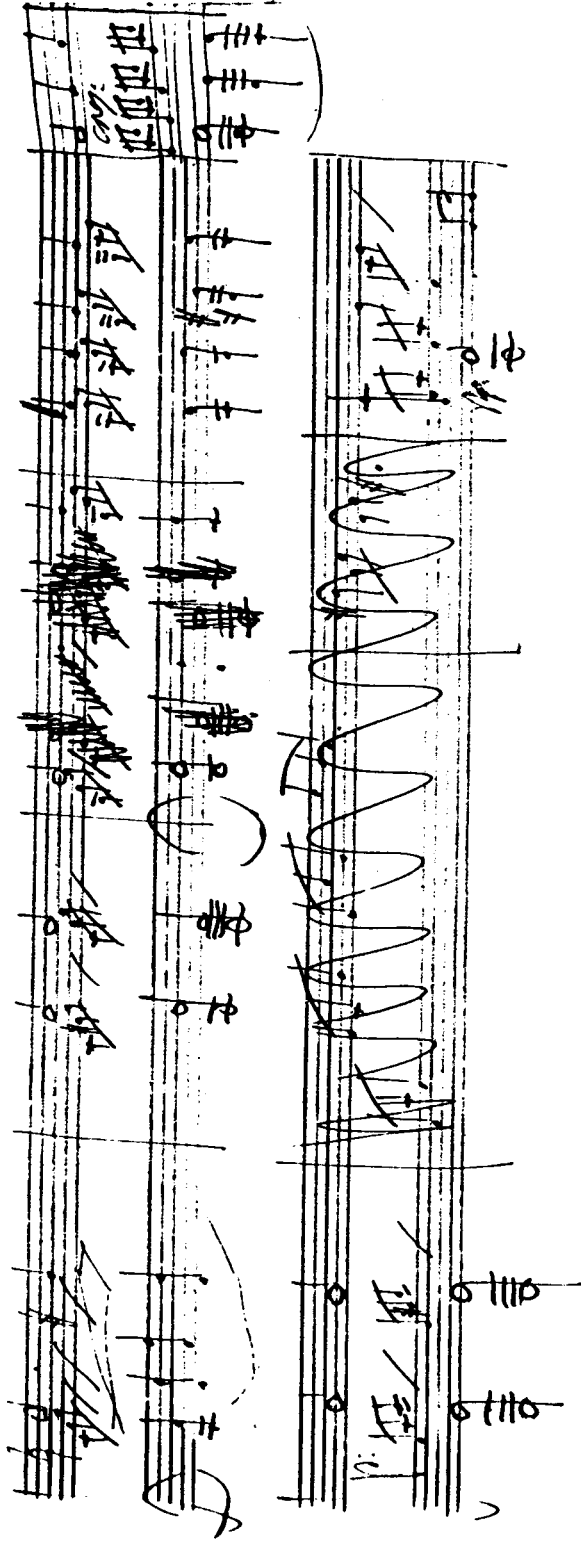


Plate 2. Beethoven, Sonata Op. 27, No. 2 (from the autograph of the first movement)



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Beethoven's first plan is to introduce the final cadence already at this point [Example 2].

Example 2



But since the prominence of the last section [the coda] would certainly have suffered considerably, he alters his approach to include a richer scale-degree progression: I-IV-VII-III-VI-II-V-I. An obstacle is presented, however, in that he first continues to write the bass of measure 56 in the form of two half notes; this yields an overly harsh collision between the half notes of this measure and the quarters of measure 57 [Example 3].

Example 3



Thus in order to mediate between the two rhythms and to motivate the quarter notes, he writes a quarter note in measure 56 for the second half note. And now a particularly inspired detail: to establish clearly that the so-achieved quarter note is to be related only to the following quarters and not to the preceding dotted half, he expressly links the latter back to the second half of measure 55 by means of a legato slur [Example 4].<sup>11</sup>

Example 4



It is clear that Schenker here speaks to several "artistic necessities" (and the specific technical means used to satisfy them): the necessities for (1) appropriate weighting of formal sections; (2) avoidance of a sharp rhythmic disjunction where it could serve no larger purpose; and (3) above all, clarity – that is, avoidance of an ambiguity that could only become an unresolved enigma.

It is curious that Schenker, writing in 1921, makes no mention of the fact that measure 58 of the movement (the last measure of system 1 in Plate 2) was obviously inserted after the surrounding measures 57 and 59 were written. Measure 58 serves several purposes, of which one of the most important could have been explained convincingly in the light of Schenker's developing voice-leading theory – indeed, by a particular example that he included in *Free Composition*. First, measure 58 obviously restores a desirable rhythmic equilibrium in that it once again mediates

11. Introduction to the facsimile edition, p. iv. Schenker's interpretation of the purpose of the legato slur is given credence by the fact that the motion from F# to D# under circumstances such as are present here would not ordinarily call for a portamento treatment; indeed, the "applied-dominant" relationship of the D#  $\frac{3}{4}$  chord to the following E triad, which gives the former an appoggiatura-like significance, might of itself have suggested the opposite procedure – that is, a fresh articulation of D# followed by a slur to E.

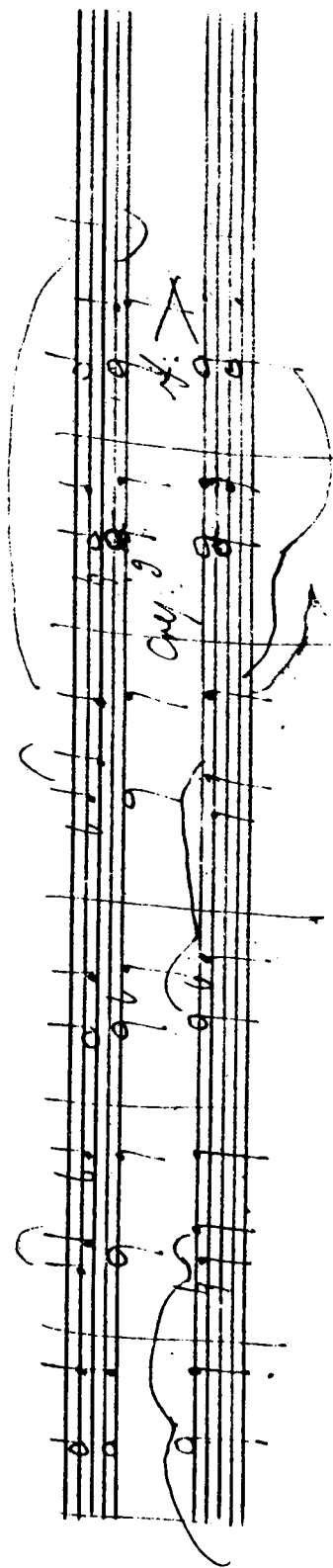


Plate 3. Beethoven, Sonata Op. 27, No. 2 (from the autograph of the Allegretto)