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# SCHOENBERG'S "SINGLE SECOND OF MAXIMUM SPIRITUAL EXCITEMENT": COMPRESSION AND EXPANSION IN *ERWARTUNG*, OP. 17

Kathryn Whitney

# Ι

In the early weeks of 1923, Alban Berg received a copy of the published edition of Schoenberg's 1909 monodrama *Erwartung*, a work he knew well from his extended period as proofreader between its conception and 1915.<sup>1</sup> On 27 January 1923, Berg wrote to Schoenberg:

I am completely immersed in *Erwartung*. What a work!! What an infinite abundance of supremely wonderful music—supremely wonderful—if only because in *every* phrase there is undreamt-of originality—and, most miraculous of all: this infinite abundance compressed into the smallest space and thus of a concentration without its equal in music....<sup>2</sup>

Berg's metaphor of an "infinite abundance compressed into the smallest space" is reminiscent of an earlier statement by Schoenberg. In *Theory of Harmony* in 1911, he wrote that his aim in *Erwartung* was to "represent

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in slow motion everything that occurs during a single second of maximum spiritual excitement, stretching it out to half an hour."<sup>3</sup> The striking parallel between these metaphors of spatial and temporal compression arouses curiosity for the analyst. Was Berg's image of an "infinite abundance compressed into the smallest space," like Schoenberg's desire to compose out a "single second of maximum spiritual excitement" in *Erwartung* a musical, rather than a dramatic metaphor?

Schoenberg himself wrote little about the monodrama, and neither detailed sketches nor an analytical account of the work by the composer or its proofreaders survives.<sup>4</sup> Berg added intermittent annotations to his copy of the piano reduction of the score, however, and these markings do shed some light on his thinking about the monodrama at the time. By circling groups of notes and underlining text with different-colored ink, he differentiated two types of musico-dramatic material, what he called "impressionist sonorities" [impressionistische Klänge] and "expressionist themes" [expressionistische Themen].<sup>5</sup> Can Berg's markings inform an analytical reading of the elusive texture of the monodrama? Is there anything structural to be read into Berg and Schoenberg's provocative spatial and temporal metaphors? This paper addresses these questions in two stages: first, it identifies pitch- and interval-based structural patterning in representative fragments of the first scene; and second, it compares these findings with the "impressionist sonorities" and "expressionist themes" in Berg's annotated score.

# II Analytical background

Although Erwartung has defied exhaustive systematic analysis, a number of facts about the structure of the work are well known from the analytical literature.<sup>6</sup> In 1948, Adorno observed that a musical quotation from Schoenberg's op. 6, no. 6 song, "Am Wegrand," occurs at bars 411-12 in Erwartung when the woman sings the text "Tausend Menschen ziehn vorüber" ("Thousands of people march past"), a phrase originating in the earlier song.<sup>7</sup> Adorno's finding formed the basis of Herbert H. Buchanan's 1967 analysis of the fragment, which concluded that the "key" to the work was the "major-minor intervallic cell," a construction derived from the "Am Wegrand" quotation and present elsewhere in the monodrama.<sup>8</sup> Subsequently, the ubiquity in Erwartung of finite, interdependent interval configurations-in particular three-pitch groups, many of which are interval specific-has been demonstrated by writers such as Jan Maegaard (1972) and José Maria Garcia Laborda (1981).9 Pitch centricity, most notably D-minor-based configurations and the structural relevance of the pitch G<sup>#</sup>, was noted in the early work of Walter and Alexander Goehr (1957) and has been confirmed more recently by Carl Dahlhaus (1987),

among others.<sup>10</sup> Building on the work of these writers, this study applies an analytical method that combines pitch-specific interval-class analysis with the structural analysis of "remnant" tonal structures, such as the major/minor third. As the analysis of specific pitch-interval configurations in Section V below will show, this method can be used to describe a fluid system of perpetual variation that is achieved through a close network of discrete, multi-directional pitch-interval constructions in the first scene of the monodrama.

#### Ш

# Primary structural attributes, basic constructs, terminology

Before beginning the analysis of select extracts from Scene 1, it is worth outlining the basic principles of the analytic method and clarifying its specific terminology. As we shall see in Section IV, this paper identifies two primary constructive elements that are active in the first scene. both of which are subject to multi-level interactive variation: trichordal construction and pitch configuration. Trichordal construction occurs in both the horizontal and vertical dimensions and conforms to the description of tripartite interval classes familiar from the analysis of twelve-note music. Each of the twelve possible three-interval configurations appears in the course of the first scene of Erwartung.<sup>11</sup> The trichord configurations identified in this paper are hierarchical to the extent that clear compositional distinction is made between "primary trichords," 3-1, 3-2 and 3-3, and "secondary trichords," 3-4 through 3-12. Both primary and secondary trichords act collectively as trichord constructs, and these mutually interdependent constructs contribute to the delineation of phrasal and sectional contour and closure.<sup>12</sup> The primary trichord construct, the 3-1, 3-2/3-3, is the chief structural element in the first scene of op.  $17^{13}$ Central to the relevance of this construct is its cumulative emphasis on the major/minor third dichotomy identified by Buchanan.<sup>14</sup> This feature appears to have dramatic application in the first scene.<sup>15</sup>

The activity of these trichords is two-fold: they occur as part of both "synchronic" and "diachronic" constructions. In a synchronic construction, all three intervals appear condensed within a three-pitch configuration. In a diachronic construction, these same intervals are spread over four pitches in a linear design. Under this differentiation, a synchronic 3-3 trichord occurs between the pitches C-C#-E, while a diachronic 3-3 is present in the pitch series C-C#-E-G#. Although complete trichord constructs may be created simultaneously and with little warning in the first scene, the generation of these designs is not always local. In the most interesting cases, reference to later trichord construction is implied through gradual intimation of trichord characteristics in the interval aspect. Linked to this procedure is the differentiation between "static" and "kinetic" trichordal constructions. Static trichord patterning is local and although these constructions may be extended, they tend to be selfreferential. Kinetic trichord patterning, by contrast, displays telelogical tendencies. It is this latter constructive type that appears to engender "development" and effect "closure" in the first scene of the monodrama.<sup>16</sup> Kinetic trichord patterning is multidirectional.

Clearly defined pitch configurations are active in Scene 1. Recurring specific pitch groups can be traced to two sources: the "Am Wegrand" fragment at bars 411-12 noted by Adorno and Buchanan and the Hauptstimme in bars 1-2, both of which are outlined in detail in Section IV. These two pitch sources exhibit a number of similarities. Each pitch sequence is divisible into two, trichord-defined pitch groups that are separated within the complex by structural, pivot-pitches and appear to have functional application in the first scene. Both pitch groups exploit a subtle method of pitch-based variation that I shall term "semitonal variance." Observations of the behavior of pitches differentiated by a semitone (notably the pitches C-C#, A-A# and G-G#) in pitch-based trichord constructions in the first scene suggest that they exhibit structural equivalence. Much of the activity of the major/minor third dichotomy, as well as the basic patterning of trichord integration, for example, occurs across structures featuring semitonal variants as equivalents. This feature strongly contributes to the effect of Schoenberg's richly evocative musical depiction of the impulsiveness and apprehension of the monodrama's only character.

Although trichord constructions are not unequivocally pitch-specific, tendency toward pitch/trichord specificity is established within compositional context. Cumulative association of pitch and interval, or of pitch groups and trichord, occurs during the course of the first scene. In particular, these configurations appear at structural points such as line intersection and closure. The *Hauptstimme* in bars 1–2, for example, introduces both the association of the pitches C (C<sup>#</sup>) and A (A<sup>#</sup>) with the major/minor third dichotomy and the affiliation of the pitches G and G<sup>#</sup> with points of structural significance. Two paradigmatic fragments, the *Hauptstimme* in bars 1–2, and the "Am Wegrand" quotation in bars 411–12, exhibit much of the typical patterning of association between certain pitches and interval constructions featured in the first scene.

#### IV

# Paradigmatic pitch-interval configurations

# 1. "Am Wegrand" quotation, bars 411–12, from Schoenberg, op. 6, no. 6

Above the text "Tausend Menschen ziehn vorüber" at bars 411–12, the melody describes an eleven-pitch sequence: Gb-F-D-C#-Bb-A-F#-D-



Example 1.2. Kinetic diachronic trichord activity, bars 411–12, "Am Wegrand" quotation

C<sup> $\ddagger$ </sup>-E-F (Example 1).<sup>17</sup> The organization of the fragment at the level of the trichord is exhaustive. The fragment displays structural attributes on three separate, interrelated levels and exhibits both diachronic and synchronic trichord construction as well as surface-level dyad patterning, a technique common to the linear progress of a trichord-based pitch sequence in the scene.

On the first constructive level, static dyad patterning divides the phrase into five semitone/third pairs (Example 1.1).<sup>18</sup> Although minor thirds are predominant, a st-M3 variant dyad interrupts the pattern and effects a reversal of interval order in the final st-m3 dyad. Second, this dyad variant also effects kinetic diachronic trichord patterning that links the three central 3-3 trichords through the reversal of the final st-m3 dyad (Example 1.2). Interval displacement, a circular variation technique that



Example 1.3. Interval displacement diachronic trichord construction, bars 411–12, "Am Wegrand" quotation

connects trichord groups by common outermost intervals, solidifies the construction (Example 1.3). This "spinning-out" of the initial 3-3 through its two intervallic variants (st-m3-M3; m3-M3-st; M3-st-m3) is the structural focus of the phrase. Third, the phrase exhibits exhaustive kinetic synchronic trichord construction. Ten of the possible eleven pitches in the pitch sequence are connected by the 3-3 (D is the exception) (Example 2). Three functional groups feature in this construction: the first five trichords of the pitch sequence establish the 3-3 gesture; the introduction of two fourth variants at trichord 6 effects movement away from the stable 3-3 section and prepares the phrase for closure; and a pairing of the penultimate 3-2 trichord with the final 3-3 by means of interval displacement (D-C#/ E-F) concludes the phrase. Each of these functional groups is archetypal. The activity of fourth variants in particular, which interrupt trichordal stasis, and the final 3-2/3-3 gesture, are typical of the linear constructions in Scene I of op. 17.<sup>19</sup>

The "Am Wegrand" quotation (bars 411–12) also exhibits organization on the level of pitch. Of the eleven pitches in the phrase, four key pitches, Gb/F#-F-D-C#, occur twice and act as a distinctive four-pitch group with the same intervallic profile (Example 3). These groups are organized by the two semitonal couplets Gb-F and D-C#, (first presented in Example 3.1a), which frame the minor and major thirds. In its second presentation (Example 3.1b), the first four-pitch group is altered by the

pitches:	1 2 3 4 5 6 7 8 9 10 11	
	G♭ F D C♯ B♭ A F♯ D C♯ E F	
trichord		interval aspect
group 1. 3-3 1.	G♭-F-D	1. st-m3-M3
3-3 2.	F-D-C#	2. st-m3-M3
3-3 3.	D-C#-B♭	3. st-m3-M3
3-3 4.	C#-B♭-A	4. st-m3-M3
3-3 5.	B♭-A-F#	5. st-m3-M3
2. 3-11 6.	A-F#-D	6. m3-M3-4
3-4 7.	F#-D-C#	7. st-M3-4
3. 3-2 8.	D-C#-E	8. st-T-m3
3-3 9.	C#-E-F	9. st-m3-M3

Example 2. Synchronic trichord patterning, bars 411–12, "Am Wegrand" quotation

original order:	1	2	3	4	5	6	7	8	9	10	11
repetitions:	1	2	3	4			1	3	4		2
	G♭	F	D	C#			F#	D	C#		F
					B♭	A				Ε	

Example 3. Pitch selection, bars 411-12, "Am Wegrand" quotation

pitch:



Example 3.1. Parallel interval constructions, bars 411–12, "Am Wegrand" quotation



Example 3.2. Interval mirror, bars 411-12, "Am Wegrand" quotation

addition of the penultimate pitch, E, and by the displacement of F to the final position in the pitch sequence. This alteration generates two key aspects of the phrase. First, the minor third relationship between F and D (pitches 2 and 3) is chromatically altered and subverted by the proximity of the F#-D major third (pitches 7 and 8). Second, the minor third in the first group is preserved in the second group by the combination of the E of the E-F pair with C# (pitches 9 and 10). Separating these two constructions is an overlapping major/minor third-based interval mirror, the focal point of which is the semitonal dyad Bb-A (Example 3.2). Mirror constructions such as this are typical at points of pitch-group intersection. In particular, the use of the pitch-pair Bb-A, which is central to the A/A#-C/C# major/minor third dichotomy, is significant, and recurs at structural points throughout Scene I.

### 2. Hauptstimme in bars 1-2 and its relation to bars 411-12

Like the vocal line at bars 411–12, the ten-note pitch sequence outlined in the *Hauptstimme* at bars 1–2 exhibits pitch-group-delineated trichord organization that facilitates the major/minor third dichotomy (Example 4). Clear division by pitch groups and structural pitches is apparent in this *Hauptstimme* (Example 4.1.) The semitonal variants G<sup>#</sup> and G delineate two four-pitch groups, B-C<sup>#</sup>-A<sup>#</sup>-D and D<sup>#</sup>-E-C<sup>#</sup>-B. Taking the pitches B/B<sup>#</sup> and D/D<sup>#</sup> as equivalent on the grounds of semitonal variance, these two four-pitch groups describe an extended pitch-mirror construction emanating outward from the pitch G. The pitches A<sup>#</sup> and E are integrated into the sequence through interval construction: each pitch creates a minor third with its neighbor pitch, C<sup>#</sup>.

Each of the four-pitch groups consists of two synchronic 3-2/3-3 primary trichord pairs that are linked by the C#-based minor third (Example 4.2). This construction initiates a technique that comes to be typical of similar junctures in the scene—moments of intervallic play that exploit the structural potential of major/minor third constructions based on the



Example 4. *Hauptstimme* bars 1–2 (bassoon/oboe)



mirror construction

Example 4.1. G/G<sup>#</sup>-delineated pitch groups and G-based pitch mirror, *Hauptstimme*, bars 1–2



Example 4.2. Parallel primary trichord construction, *Hauptstimme*, bars 1–2



Example 4.3. G/G<sup>#</sup>-based circular trichord construction, *Hauptstimme*, bars 1–2

pitches A/A<sup>#</sup> and C/C<sup>#</sup>. Here, the structural pivot pitches G and G<sup>#</sup> act to integrate the phrase.<sup>20</sup> The fourth variant 3-4, a secondary trichord familiar from group 2 in the "Am Wegrand" quotation at bars 411–12 (see Example 2), links the two four-pitch groups via the central pitch, G. The relevance of G<sup>#</sup> is best demonstrated through the artificial displacement of the order of the two four-pitch groups. The repetition of pitches 1-5 at the end of this sequence shows that a circular constructive design integrated by a G<sup>#</sup>-based 3-3 is implied by the pitch/interval aspect (Example 4.3). It also highlights the placement of the pitch-pair C<sup>#</sup>/C(B<sup>#</sup>) at the beginning and end of the original phrase (pitches 2 to 3 and 9 to 10). Such potentially circular structural sequences, through which multi-directional perpetual trichordal variation is achieved, are typical of the writing in the first scene of *Erwartung*.<sup>21</sup>

#### V

# Pitch-interval configurations—techniques of application in Scene 1 (Principal voices, bars 15–37)

Following the emotional volatility of Marie Pappenheim's libretto, the pitch constructions in the vocal line of the monodrama proceed impulsively, driving the musical structure of the scene through a complex network of fluctuating musical gestures.<sup>22</sup> The first scene appears to serve two key structural functions: to introduce and establish the bars 411–12 "Am Wegrand"-related primary pitch construction at bars 1–2; and gradually to implement the trichord structure of the work, which progresses from mixed, secondary trichord-based structures to more concentrated, primary trichord-based constructions.<sup>23</sup> Three related representative examples of trichordal activity in the principal voices in the first scene demonstrate this activity: (1) the vocal line in bars 15–22; (2) the vocal

line, bars 22–24 and *Hauptstimme*, bars 24–28; (3) and the vocal line, *Hauptstimme* and *Nebenstimme* from bar 26 to the end of Scene I.

#### 1. Vocal line, bars 15-22

The vocal line in bars 15–22 divides into three distinct, integrated melodic gestures (bars 15–16, bars 17–19, and bars 19–22) and exhibits characteristics showing a marked similarity, both in pitch selection and trichordal construction, to the bars 1–2 *Hauptstimme* and the "Am Wegrand" quotation of bars 411–12. The text in the vocal line in bars 15–22 typifies the meandering reflections of the woman and engages the key dramatic symbols of light, darkness and the moon. In phrase one (bars 15–16), she sings (1) "Aber hier ist wenigstens hell . . . (2) der Mond war früher so hell . . ."—"But here at least there is a little light . . . the moon was so bright earlier" (Example 5). The phrase describes the two-part pitch sequence: (1) D-C#-E-F-C-B-D-G#, (2) D-C#-B-C#-A#-G-F (Example 5.1). Both sections of text begin on the pitch D, and the two presentations of the word "hell" articulate a G#/G pair.

Displacement of the pivot-pitches G and G<sup>#</sup> in this phrase shows pitch affinity with the *Hauptstimme* of bars 1–2. G and G<sup>#</sup> delineate two unordered pitch groups that recreate the pitch content of the bars 1–2 *Hauptstimme* fragment in a sequence also featuring F and B (Example 5.2). Through placement and repetition, the structural use of the pitch D in bars 15–16 reinforces the G/G<sup>#</sup>-delineated pitch groups and forms the basis of five synchronic primary trichords (Example 5.3). These trichords exploit the combinative potential of the pitch content of the four-pitch groups in bars 1–2. Two 3-10 secondary trichords, each based on one of the semitonal variants G/G<sup>#</sup>, reinforce the pitch sequence. The use of a



Example 5.1. Vocal line, phase one, bars 15–16



Example 5.2. Comparative G/G#-delineated pitch groups, vocal line, phrase one, bars 15–16 and *Hauptstimme*, bars 1–2



Example 5.3 D-based synchronic 3-2 constructions following 3-2/3-3 pair; Secondary G/G#-based 3-10 constructions, vocal line, phrase one, bars 15–16

structural G/G $\ddagger$ , in particular in association with the 3-10 and/or 3-7, is typical of phrasal articulation in Scene I.

In phrase two in this section (bars 17–19), the woman sings the text (1) "Oh noch immer die Grille ... (2) mit ihrem Liebeslied ... "—"Oh still the cricket ... with its love song ..." (Example 6). Phrase two also describes a two-part pitch sequence articulated on G/G# at the pause in the text (... Grille ... / mit ... ): (1) F-F#-E-D#-A-G#-G, (2) G#-F#-A-F-E-A# (Example 6.1.1). The G/G# pair delineates two five-pitch groups, each of which features four principal pitches: F, F#, E and A (pitches 1–5 and 9, 11, 12 and 10) (Example 6.1.2). The pitches D# and A# interpolate this basic pitch pattern. The preservation of the F/F# structure and the A/A# pair recalls the "Am Wegrand" quotation of bars 411–12 (see Example 3). The kinetic trichord design of the phrase demonstrates division

of (1) primary and (2) secondary trichord construction through trichord pairing (Example 6.2). The focal point of the phrase is the connection of a 3-1/3-2 pair to a 3-1/3-2/3-3 construct via the statement of the structural G/G<sup>#</sup>. This is achieved through a 3-1/3-1 pivot structure articulated on the G/G<sup>#</sup> pair at the words "Grille . . . mit" Two secondary 3-5/3-4 pairs separate the primary gesture.<sup>24</sup>

Phrase two (bars 17–19) connects to phrase three (bars 19–22) through an overt pitch mirror articulated on the notes  $A^{\sharp}-C^{\sharp}-A^{\sharp}$  in bar 19 (Example 7). This structural junction leads to an extended construction in phrase three, which consists of three smaller melodic vocal gestures spanning bars 19–22. In the first two gestures, the woman is speaking to her (absent) beloved; she sings (1) "Nicht sprechen . . . (2) es ist so suß bei dir . . ." —"Don't speak . . . is it so lovely with you. . . ." In the final gesture, her attention is again drawn to the moon, time passing and the encroaching darkness: (3) "Der Mond ist in der Dämmerung . . ."—"the moon is going down" (Example 8).

Each of these three vocal gestures is pitch delineated and emphasizes the structural pitches  $G/G^{\sharp}$ ,  $C^{\sharp}$  and A (Example 8.1). The repetition of A and of the  $G^{\sharp}$ -G pitch-pair separates the gestures, while phrase three



Example 6. Vocal line, phrase two, bars 17-19

1. normal order

(1)							(2)					
1	2	3	4	5	6	7	8	9	10	11	12	13
F	F#	Ε	Dŧ	A	G#	G	Gŧ	F#	Α	F	Ε	Aŧ
					"Gril-	le	mit"					

2. pitch groups

					"Gril-	le	mit"					
F	F#	E	(D	) <b>A</b>	G#	G	G#	F	F	Е	( <b>A\$</b> )	A
 1	2	3	4	5	6	7	8	11	9	12	13	10
								1	2	3		5

Example 6.1 Pitch groups, phrase two, vocal line, bars 17-19

8 1 5 6 9 2 4 7 10 11 12 13 3 F F# E D# A G# G F# Α F E A# ..Gril-le mit..

1. Primary



Example 6.2 Exhaustive synchronic kinetic trichord construction, vocal line, bars 17–19



Example 7. Pitch mirror connecting phrases two and three, bar 19

overall is enclosed within the repetition of C<sup>#</sup>. The final five pitches of the phrase (F<sup>#</sup>-D-C<sup>#</sup>-E-F) are a reordering of pitches 7 through 11 in the "Am Wegrand" quotation of bars 411-12 (Example 8.1). Their presentation in bars 21-22 preserves the D-F<sup>#</sup> and E-C<sup>#</sup> major thirds and the semitonal dyad E-F of the bars 411-12 phrase. The first two gestures of the phrase in bars 19-22 contain pitch groups that recall the *Hauptstimme* of bars 1-2 (Example 8.1). Gesture one exhibits the C<sup>#</sup>-A<sup>#</sup>-B trichord from group 1 of the *Hauptstimme* (Hauptstimme pitches 2 through 4). Gesture

two features the G-D<sup>#</sup>-E trichord and the B-G<sup>#</sup> pitch affinity from the structural G/G<sup>#</sup> constructions in the *Haupstimme* at bars 1-2.

The kinetic trichord design of phrase three proceeds from an initial synchronic 3-2/3-1 pair on "Nicht sprechen . . . es . . ." to a static 3-3 pair between the two statements of G (". . . ist so suß bei dir . . .") and concludes on two kinetic synchronic 3-3s connected at a 3-1 ("der Mond ist in der Dämmerung") (Example 8.2.1). The pitch sequence in this phrase features typical secondary synchronic trichord construction mid-phrase (Example 8.2.2) and simultaneous synchronic and diachronic trichord





1. Primary



2. Secondary



Example 8.2. Kinetic synchronic and diachronic trichord constructions, vocal line, phrase three, bars 19–22



Example 8.3. Simultaneous synchronic and diachronic trichords, vocal line, phrase three, bars 19–22

construction (Example 8.3). These devices are used regularly in the linear pitch sequences in Scene I.

# 2. Vocal line, bars 22-24 and Hauptstimme bars 24-28

The three-bar vocal phrase that follows after the word "Dämmerung" in bar 22 is a highly integrated pitch-interval construction that illustrates a mercurial shift of mood in the libretto (Example 9). Perhaps prompted by the image of the moon fading from the sky, and after she has taken a few steps towards the woods, the woman suddenly curses: (1) "feig bist du . . . (2) willst ihn nicht suchen? . . . (3) So stirb doch hier . . . "—"you're a coward . . . won't you look for him? . . . Then die here . . ." After

the statement of the word "Dämmerung" on the pitches F-E-C<sup>#</sup> at the end of the previous phrase, the vocal line describes the following pitch sequence: (1) C<sup>#</sup>-A<sup>#</sup>-D, (2) D<sup>b</sup>-E-F-D-F<sup>#</sup>, (3) E-F-D-E<sup>b</sup>. The affinity of bar 23 of this phrase with the "Am Wegrand" quotation of bars 411–12 is overt (Example 9.1); the bar 23 vocal phrase exhibits pitch pairs E-F (pitches 5 and 6) D-F<sup>#</sup> (7 and 8) and the pitch C<sup>#</sup>—each of which features in pitches 7 through 11 of the "Am Wegrand" phrase in bars 411–12. The first two pitches of both phrases apply variants of the C/C<sup>#</sup>-A/A<sup>#</sup> pair.

As in the sequence in bars 411-12, st-m3 pairs act, in this case by prolongation, to integrate diachronic primary trichord constructions in the vocal phrase in bars 22–24 (Example 9.2, Cf. Example 1.2). In conjunction with the last five pitches of the previous phrase ("in der Dämmerung," D-F#-F-E-C#), the vocal line in bar 22 describes five 3-3s within a rigid all-pitch interval primary trichord mirror (Example 9.3). Overt consolidation of the major/minor third gestures D-F-F# (pitches 1 through 3 in bars 411–12), C#-E-F (pitches 9 through 11 in bars 411–12) and A#-C#-D (pitches 3 through 5 in bars 411–12) figures in this structure. The presence of a diachronic rather than synchronic 3-3 on the central pivotal trichord in this phrase emphasizes the structural C#-A# pair and its complement, the pitch D. The connection of the outermost trichords,



Example 9. Vocal line, bars 22-24

	1	2	3	4	5	6	7	8
bar 23	C#	A#	D	Db	(E	F)	(D	F#)
bars 411–12	C	B♭	Α	(F#	D)	Ċ	# (I	E F)
	4	5	6	7	8	9	10	) 11





Example 9.2. Multi-level diachronic trichord patterning, vocal line, bars 22–24



Example 9.3 3-3 Synchronic and diachronic all-pitch trichord mirror, vocal line, bars 21–23

which contain the unaltered pitch pair D-F $\ddagger$ , to the pitch F emphasizes the structural use of major/minor third relationships based on D.<sup>25</sup>

Three further mirror constructions, all synchronic, feature in the vocal phrase in bars 22–24: the F-E-C# pitch mirror surrounds an all-pitch interval mirror across the pitches C#-A#-D-Db, which describe a 3-3 set; and two 3-2 all-pitch interval mirrors frame the F# (pitch 10) (Example 9.4). The kinetic trichord construction demonstrates consistent trichord-pair patterning as well as the preparation for the final 3-2 pair by an F-F#-based 3-1 (Example 9.5, cf. F#-based 3-1s in Examples 6.2.1 and 8.2.1).

Above the words "So stirb doch hier ... " in bar 24, a Hauptstimme



Example 9.4. Static trichord-based triple mirror, vocal line, bars 22-23



Example 9.5 Exhaustive kinetic trichord construction, vocal line, bars 22–24



Example 10. Flute Hauptstimme bars 24-28

figure in the flute presents a pattern around a recurring minor third on B and G<sup>#</sup>, which are pitches 1 and 2 from the *Hauptstimme* in bars 1–2 (Example 10, cf. Example 4.1). A number of pitch pairs (C-D, D-E<sup>+</sup>, F-F<sup>#</sup>, C-D<sup>+</sup> and C-A), each of which has figured in the previous bars, act as intervallic variants in this structure, creating a series of vertical synchronic trichords with the minor-third pair B-G<sup>#</sup>. The synchronic trichordal structure of this phrase, like that which precedes it, exhibits primary trichord-dominated constructions interpolated mid-phrase by secondary trichords. Like the vocal phrase that concluded in bar 24, the flute *Haupstimme* closes on a 3-2-dominated primary trichord construction that is prepared by the connection of 3-3 and 3-1.

# 3. Vocal line, Hauptstimme and Nebenstimme, end of Scene I

Unity between the three principal parts towards the end of Scene I is overt and reflects a sense of both consolidation and closure on the level of pitch/interval configurations. Pitch affinity with the bars 1-2 and bars 411-12 fragments is apparent in both the vocal line and the two orchestral parts.

# 3.1 Vocal line, bars 26-32

After her sudden outburst in bars 23–24, the woman's mood is again suspended as she looks around herself apprehensively, reflecting on her surroundings. She sings a three-part phrase: (1) "Wie drohend die Stille ist... (2) Der Mond is voll Entsetzen... (3) sieht der hinein?..." —"How menacing is this silence... The moon is filled with horror...

can it see in there [the woods]?" The vocal line in these bars describes a pitch sequence strongly contoured on the structural pitches F/F# and C#/A#/A: (1) F#-G-E#-F#-D-Eb-Db, (2) E-F-D-A#-C#-A#, and (3) A-Bb-Db-Cb (Example 11). Pitches 4 through 9 in the first part of the phrase reproduce the second four-pitch group in the "Am Wegrand" quotation of bars 411–12. Pitches 10 through 17 in parts two and three constitute a retrograde presentation of the first four-pitch group from bars 1–2, excluding the semitonal variant A (Example 11.1). The vocal line from bar 26 to 28 describes an undiluted primary trichord construction articulated across the key pitches A#/A, C/C#/(Db) (Example 11.2). Note the placement of the word "Entsetzen"—horror—on the central pitch construction in phrase two, A#-C#-A#.

The sense of foreboding created in this phrase prepares the poignant



Example 11.1 Comparative pitch groups, vocal line, bars 26-28



Example 11.2 Primary trichord phrase structuring, vocal line, bars 26–28

final vocal phrase of Scene I (bars 29–32), in which the woman convinces herself to raise her voice from beneath the shadows and sing to call her lost lover (Example 12). She begins with the realization she is alone in the gloomy shadows: (1) "Ich allein . . . (2) in den dumpfen Schatten" (bars 29–30). This is followed by a second two part-gesture: (3) "Ich will singen . . . (4) dann hört er mich" (bars 31–32)—"I will sing . . . then he will hear me."

The pitch selection in these four vocal gestures displays a compendium of pitch directives and trichord constructs appropriate to the closure of the scene. It also effects a dramatic shift from textual to purely musical illustration, when the woman's (now absent) voice is raised in the orchestral interlude that completes Scene I. The vocal line describes the following pitch sequence: (1) C-A-Bb, (2) Gb-Eb-E#-D-B, (3) A-Bb-(Bb)-Ab, (4)C-D-Bb-C#-B. The sequence can be divided into two functional pitch groups articulated by a 3-2 set (pitches 1 to 3, C-A-Bb) and a 3-1 (pitches 10 to 13, A-Bb-Ab) in the vocal phrase (Example 12.1). Group 1 quotes pitches 6 to 9 of the *Hauptstimme* in bars 1–2—the struc-

tural G plus all pitches in group 2 of the *Hauptstimme* of bars 1–2 (pitch 10 is displaced by the 3-1 structural trichord and appears at the beginning of group 2 of bars 29–32) (Example 12.1.1). Pitches 7 through 13 in the vocal line of bars 29–32 present a reordered version of the *Hauptstimme* group 1 of bars 1–2, which in this case is followed by the structural G<sup>#</sup> that appears at the beginning of the sequence in bars 1–2 (Example 12.1.2). The pitches E-C<sup>#</sup>-D of group 1 in bars 29–32 present a retrograde version of pitches 8–10 from the "Am Wegrand" quotation at bars 411–12 (Example 12.1.3). Finally, group 2 in bars 29–32 features a retrograde version of the *Hauptstimme* group 1 of bars 1–2, which completes the vocal phrase in Scene I (Example 12.1.4).

The four gestures in the vocal line are connected by synchronic 3-1 trichords (Example 12.2). Paired primary trichords, which are interpolated between the third and fourth gestures by a penultimate secondary trichord construction, dominate this sequence. Thus, the vocal line shows a marked affinity at the level of pitch and trichord construct with the *Hauptstimme* of bars 1–2, the "Am Wegrand" quotation of bars 411–12, and structures, described above, established during the course of the scene.

# 3.2 Hauptstimme and Nebenstimme, bars 30-37

Pitch/trichord constructive patterning exhibited by the vocal line is present in both the *Hauptstimme* and *Nebenstimme*.<sup>26</sup> These voices become especially concentrated in bars 30–37, however, at the transfer of the woman's voice to the orchestral texture (Example 13). The *Hauptstimme* and *Nebenstimme* in this section can be described in three parts. First, just as the woman begins her closing words "Ich will singen . . . dann hört er mich . . ." (bars 31–32), the clarinet *Hauptstimme* lifts out of the texture (bars 30–35). It is joined by a solo violin *Nebenstimme*—the woman's "singing voice"—in bars 31–33. Second, a tuba *Hauptstimme* appears in bars 33–37. Finally, the *Hauptstimme* is transferred from the clarinet to the viola in bars 35–37 to conclude the scene.



Example 12. Vocal line, bars 29-32

3.2.1 Clarinet *Hauptstimme*, bars 30–35, solo violin *Nebenstimme*, bars 31–33

The *Hauptstimme* at bars 30–35 displays patterning in both pitch content and trichord construction and is organized around two functional eighteen-pitch sequences: (1) bars 30–32 and (2) bars 33–35 (Example 13). Sequence 1 begins with a four-pitch rising figure emphasizing the major third and fourth (E-G#-C-F, bar 30), which leads to the two complete statements of a nine-pitch sequence. This double nine-pitch sequence is an exhaustive primary trichord construction articulated at structural points by secondary trichords (Example 13.1). The *Haupt-stimme* sequence in bars 30–32 features pitch specificity, notably the semitonal pitch pairs F-F# and E-D# from bar 411 and bar 2, respectively. It also contains an ordered presentation of the group 2 four-pitch sequence







Example 12.2 Kinetic trichordal phrase structuring, vocal line, bars 29–32

from the *Hauptstimme* of bars 1–2, D-C#-A#B, followed by the pitch C as part of a C-A# pair (Example 13.2). Recall that the vocal line in bars 31-32 ([4] "dann hört er mich . . .") featured a reordered presentation of this same *Hauptstimme* group of bars 1–2 (Example 12.1, pitches 15 through 18) and that the pitches D-C#-Bb featured in the "Am Wegrand" quotation of bars 411–12 (see Example 2). In the vocal line in bars 31-32, the full group is preceded by the pitch C as part of a C-Bb pair interpolated by a structural Ab(G#) (Bb-Ab-C, D-Bb-C#-B). In the clarinet *Haupstimme* fragment in bars 30–32, the pitch-pair C-A# (pitches 8/17 to 9/18), which is a semitonal variant of the C#-A# from the previous four-pitch group (pitches 5/14 to 6/15), completes the repeated nine-pitch sequence.

# Clarinet (in Bb) Hauptstimme bars 30-35



Solo violin Nebenstimme, bars 31-33



Example 13

The solo violin *Nebenstimme* in bars 31-33 also features exhaustive kinetic synchronic primary trichord construction (Example 13.3) The solo violin exhibits lyrical contour in its linear interval aspect. This is created by the oscillation on a G/G#/C#-delineated phrase between the semitone, minor third and major third (Example 13.4).

Like the solo violin *Nebenstimme*, sequence 2 in the clarinet *Haupt-stimme* (bars 33–35) displays lyric contour achieved through trichordal activity in the diachronic dimension (Example 13.5). The diachronic interval aspect of this second eighteen-pitch sequence falls into four parts: (1) a 3-1/3-2 pair; (2) a 3-1/3-2/3-3 central group; (3) the interruption of the pattern by two linear fourths interpolated on the pitches A-D-G; and (4) a final diachronic 3-1. The tendency for primary trichords to grow, group and either disperse or undergo some structural intervallic interruption is familiar from the "Am Wegrand" quotation of bars 411–12 and is typical of the diachronic trichordal writing in the principal voices in Scene I (cf. Examples 1.2, 1.3, 8.3 and 9.2).

#### 3.2.2 Tuba Hauptstimme, bars 33–37

At the entry of the tuba Hauptstimme in bar 33, Schoenberg has marked "sehr gebunden und weich"-very controlled and soft-and later "zart" (bar 34)-tenderly. This phrase prolongs the solo violin Nebenstimme's "singing voice" with an extended lyrical line strongly centered on the principal structural pitches C/C#-A/A# and G#. The pitch sequence described by the tuba *Hauptstimme*, like the many of the woman's text fragments, is phrased in parts: (1) C#-A; (2a) C-A-Bb-Ab-D-Eb-E, (2b) D-Eb-B; and (3) A-G#-D-C#-A#-D#-A (Example 14). The intervallic detail of the line elaborates the major/minor third-delineated contour familiar from other lyric passages (Example 14.1). Towards the end of Scene I, the tuba Hauptstimme introduces a series of non-trichord based diachronic interval groups (pitches 13 through 19) (Example 4.1.3). These occur across the divide created by the juxtaposition of the structural pitches G<sup>#</sup> and D (pitches 14 and 15), and the mixing of a structural D<sup>#</sup> (pitch 18) with an A/A<sup>#</sup> pair (pitches 17 and 19). This construction functions like the two fourths in the clarinet *Hauptstimme* in bars 34–35 (Example 13.5.3) and creates intervallic interest before a closing gesture,



Example 13.1 Clarinet Hauptstimme, bars 30-32 (fragment)



Example 13.2. Pitch origin, clarinet *Hauptstimme* fragment, bars 30–32



Example 13.3 Synchronic primary trichords, solo violin *Nebenstimme*, bars 31–33



Example 13.4 Lyric contour, solo violin Nebenstimme, bars 31-33

in this case, the end of Scene I. It also effects a strong pitch/trichordarticulated conclusion to the scene using kinetic and (to close) static synchronic primary trichords articulated on the structural pitches  $G^{\#}$ , D and the semitonal variant D<sup>#</sup> and the focal pitches A/A<sup>#</sup>-C/C<sup>#</sup> (Example 14.2).

#### 3.2.3 Viola Hauptstimme, bars 35-37

The viola *Hauptstimme* that sounds as the clarinet *Hauptstimme* falls silent in bar 35 is integrated entirely on the level of kinetic synchronic primary trichords (Example 15). The sequence divides into two G/G<sup>#</sup>-delineated extended primary trichord constructions, the second of which exhibits secondary structural division at pitch 11, D (Example 15.1). Construction 1 occurs on pitches 2 through 5. Construction 2 occurs on (a) pitches 7 through 10 and (b) pitches 11 through 20. Kinetic synchronic



Example 13.5 Diachronic primary trichords (lyric contour) clarinet Hauptstimme, bars 33–35



Example 14. Tuba Hauptstimme, bars 33-37



1. Primary



Example 14.2 Trichord constructs, tuba Hauptstimme, bars 33-37



Example 15. Viola Hauptstimme, bars 35-37



3-3: 1,2,3,7,8,9,11,12



secondary trichord groups link the two primary trichord constructions at the G/G<sup>#</sup>- and D-delineated structural points (Example 15.2).

The viola *Hauptstimme* sequence in bars 35-37 contains functional pitch groups similar to those seen elsewhere in Scene I. G#-G and C outline four, four-pitch groups in the sequence (Example 15.3). The first two groups both feature three out of the four pitches present in the *Hauptstimme* of bars 1-2, C#-A#-D and E-C#-B#/C (Example 15.4). These are presented—as in the example from bars 1-2—in close relationship with the structural G# and G. Example 5.2 showed a similar construction in the vocal line, bars 31-32, and the clarinet *Hauptstimme*, bars 30-32 (see Examples 12.1 and 13.2). Although the pitches B and D# from bars 1-2 are not present in the viola *Hauptstimme* groups 1 and 2, bars 35-37, the



Example 15.2 Synchronic secondary trichord construction, viola Hauptstimme, bars 35–37

Γ										Γ									]	
1	2	3	4	5	6	7	8	9	10		11	12	13	14	15	16	17	18	19 20	)
G₿	A	C#	A#	D	G	E	C#	C	B♭		D	D#	E	E#	G#	A	C	В	D# C	•

Example 15.3 Functional pitch groups, viola Hauptstimme, bars 35-37



Example 15.4 Pitch origin, viola Hauptstimme, bars 35-37



Example 15.5 Dyad pairs and pitch affinity, viola *Hauptstimme*, bars 35–37

general trichordal character of the Hauptstimme groups in bars 1-2 is preserved. The original B-C#-A# 3-2 set in the Hauptstimme group 1 of bars 1—2 is replaced by A-C#-A#, a 3-3, in the viola group 1 at bar 35. Similarly, the 3-1 trichord (D#-E-C#) in group 2 of bars 1-2 is preserved by a pitch-variant 3-1 on C#-C-Bb in the viola *Hauptstimme* group 2 at bar 35 (Cf. Examples 15.4 and 4.1). A linked dyad pair, D#-E and E-E#, which feature as structural pitches 1/9 through 3/12 in the clarinet Hauptstimme of bars 30-35, precedes the second pivot-pitch, G<sup>#</sup>, in the viola Haupstimme at bar 36 (Example 15.5). The group 4 pitches A-C-B-D# in bars 35-37 are a semitonal variant group of the Hauptstimme group 1, B-C#-A#-D, of bars 1-2. The final vocal line in Scene I featured the original four-pitch group from bars 1-2 (see Example 12.1). Like the vocal line, the pitch affiliation at the end of the viola Hauptstimme of bars 35-37 acts to express-and in this case also, through semitonal oscillation, to subvert-pitch-delineated sectional marking at the end of the first scene.

# VI

# Berg's "impressionist sonorities" and "expressionist themes"

How do these observations square with Berg's annotated copy of the piano reduction of the score? As mentioned in Section I, Berg differentiates "impressionist sonorities" and "expressionist themes" by circling them in different colors (red and blue, respectively). Additionally, he sometimes links these themes to specific text excerpts with arrows or lines, making explicit the connection between tone color, pitch groups and text. Unfortunately, Berg's markings are difficult to decipher with certainty. As Mauser's discussion of the annotations makes clear, Berg's use of the colors is inconsistent and in places he overwrites, or perhaps

corrects, his own annotations.<sup>27</sup> What is more, Mauser notes that Berg's distinction between "impressionist sonorities" (vertical constructions) and "expressionist themes" (horizontal material) is itself problematic. In places. Berg uses the color red to draw attention to linear pitch groups (e.g. bars 19–20, 21–22); elsewhere, blue denotes a set of chords (e.g. bar 27). Still, there is much that can be gained from the examination of Berg's additions to the score. His annotations of "impressionist sonorities" tend on the whole to draw attention to especially effective instances of orchestral color. In the most interesting cases, he links musical gestures to specific visual images by adding textual commentary to the piano reduction. At bar 31, for example, he writes "Schattenbleibsel d[es] Waldes" [fleeting woodland shadows] under the staff and circles the first gesture in the left hand to differentiate it from the rest of the texture. Elsewhere, he uses red to put into words the orchestral sonority (e.g. bars 1-2, "hell" [light] and "dunkel" [dark]). Whether these markings reflect Schoenberg's intentions or are Berg's personal interpretations can never be known. In any case, his annotations of "impressionist sonorities" are interesting, and emphasize the priority afforded texture in *Erwartung*'s expressionist dramatic narrative.

Berg's "expressionist themes" are more directly applicable to the present trichordal analysis of the first scene. He is in general more precise here, and these markings show evidence of Berg thinking "thematically" (however incompatible that definition may be with expressionist language in circumstances not created by Berg) as he reviews the piano reduction. Three types of annotation in the first scene are instructive here: (1) additions of the word "Frage" ["question"]; (2) identification of what Berg calls a "Thema" ["theme"]; and (3) differentiation of thematic groups "a" and "b" in the closing bars of Scene I.

### 1. "Expressionistische themen" I: "Frage" annotations

"Frage" appears three times in first scene: above the first words of the libretto: "Hier hinein? . . ."—Go in here? (bars 3–4); above the *Haupt-stimme* figure accompanying the question "sieht der hinein? . . ."—Can he see in? (bar 28); and parenthetically above the *Hauptstimme* under "Ich allein . . ."—I alone (bar 29) (Example 16).<sup>28</sup> The musical material in bars 28–29 has been discussed in Section V.3.1 above, where it was shown that the pitch sequence of these phrases described a 3-3/3-2 pair ("sieht der hinein? . . ."; A-Bb-Db-Cb) and a 3-2 ("Ich allein . . ."; C-A-Bb), respectively (Examples 11.2 and 12.1–2). Example 16.1 shows the similarity between these constructions and the pitch sequence at "Hier hinein? . . ." (C#-B-C), where Berg has circled the pitches and written "Frage!" above the text. This sequence, which occurs on the first sung notes of the monodrama, describes a 3-1 set, the most condensed of the primary trichords. Note how the comparison of the trichordal constructions.



Example 16. Berg's "Frage" annotations, piano reduction, bars 3–4, 28 and 29. (Score excerpts reproduced from Mauser, *Das expressionistische Musiktheatre der Wienerschule*, Appendix, pp. 148, 151.)

tions in these three vocal phrases shows pitch affinity across the key pitches A/A $\#(B\flat)$  and C/C $\#(D\flat)$ .

In the case of bars 28–29, where Berg's "Frage" annotations are written closer to the piano staffs, it is possible additionally to read them (1) with reference to the instrumental *Hauptstimmen* and (2) as part of a

vertical construction. The instrumental *Hauptstimmen* in these bars denote the tonal oscillation F-Eb-F (bar 28) and the semitonal oscillation D-Eb-D (bar 29). These pitch groups combine and reduce to F-Eb-D: a synchronic 3-2 trichord (Example 16.2). By bar 29, vertical pitch groups have been created by the simultaneous presentation of the vocal line and the cumulative *Haupstimmen* in bars 28–29. These vertical groups demonstrate how foreground/background synchronic trichordal contrast is created through the oscillation of a single pitch. The *Hauptstimme* in bar 29 shifts between the vertical pitches F#-B-D and F#-B-Eb, both of which describe the m3-M3-4 or 3-11 (Example 16.3.1). Against this secondary trichordal "background," the vocal line describes the pitches C-A-Bb at "Ich allein . . ." (16.3.2). The addition of these pitches creates the vertical primary synchronic trichords 3-2 and 3-3, the secondary trichord 3-7 and a final primary 3-3.

# 2. "Expressionistische themen" II: "Thema" annotations

Berg writes "Thema" twice in the piano reduction of the first scene: at bar 7 above the right hand staff (here Berg has also circled the performance instruction "vertieft zu Boden schauend" [engrossed looking at



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Example 16.2 Berg's "Frage" annotations bar 29, horizontal trichord

1. bar 29 Hauptstimme semitonal oscillation, constant trichordal presence



2. bar 29 Hauptstimme and vocal line



Example 16.3 Berg's "Frage" annotations bars 28-29, vertical trichords

the ground]); and in bar 35 near the end of Scene I (Example 17). In bar 7, the placement of "Thema" makes it difficult to decipher which part of the texture Berg intends; however, it can be assumed that he means either the *Hauptstimme* in the oboe and harp, bars 6–8, or, if it is a more local marking, an arpeggiated violoncelli figure. If it is the latter, the linear pitch sequence in the violoncelli exhibits a number of structural characteristics typical of the findings in this paper. The violoncelli play the following pitch sequence:  $B\flat$ -A-G-F-E $\flat$ -D-C#-B $\flat$ -G. This group exhibits

interval pairing in the static linear interval aspect, where it describes the sequence: st-T; T-T; st-st; m3-m3 (Example 17.1). The kinetic synchronic trichord activity in this sequence is paradigmatic (Example 17.2). The first three pitches describe a diachronic 3-2 ending on a structural G. Pitches 4 through 8 describe a synchronic 3-2/3-1/3-3 construction. Across pitches 9 through 16, a horizontal 3-1 appears with two vertical 3-3s articulated on the pitches G and G<sup>#</sup>. Note the use of the structural G on both sides of the 3-1/3-2/3-3 construction between pitches 4 and 8.29 The use of G in this sequence also demonstrates wider pitch sequence correlation with other material in the first scene. The Hauptstimme in bars 1–2 features the synchronic pitch group D-C#-Bb (spelled C#-A#-D in bar 1) as part of a G/G#-delineated pitch/trichord mirror (Example 4.1, group 1). In Example 5.2, we saw that pitch correlation was also evident between the Hauptstimme at bars 1-2 and the vocal line at bars 15-16. Berg's "Thema" in bar 7 participates in this widely applicable pitch/trichord relationship, notably in the connection



Example 17. Berg's "Thema" annotation, bars 6-8



Example 17.1 Static linear dyad aspect, Berg's "Thema," violoncelli, bars 7–8



Example 17.2 Kinetic synchronic primary trichord activity, violoncelli, bars 7–8

of a 3-2 primary trichord based on the pitch-pair  $C_{+}^{#}A_{+}^{#}/B_{+}^{b}$  to a 3-10 via a structural G (Example 17.3.1). The significance of the structural G/G\_{+}^{#} articulating a 3-10 is demonstrated in Example 5.3, which features two synchronic primary trichords leading to a 3-10 on G\_{+}^{#} and G, respectively. A comparison of bar 7 with bars 15–16 shows that the latter sequence (pitches 12 to 14) preserves the pitch characteristics of Berg's annotated "Thema" in bar 7 (Example 17.3.2). In Example 7, we saw that the

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Bb

1. [below]. Berg's "Thema," violoncelli bar 7



2. [above]. (From Example 5.1) Vocal line, bars 15–16 (excerpt)

Example 17.3 Pitch correlation across secondary 3-10 G/G<sup>#</sup>-delineated groups



Example 17.4 Kinetic diachronic linear interval aspect, oboe/horn Hauptstimme, 6–7

pitches C#-A#/B $\flat$  featured prominently in a pitch mirror in the vocal line at bar 19. In Example 8.1, we saw that C# and A participate in phrase contouring, notably with the pitches G and G#/Ab.

Berg's "Thema" annotation in bar 7 may also denote the full statement of the *Haupstimme* in bars 6–8, where structural patterning is exhaustive. We have already seen that bars 7–8 describe primary trichord activity (Example 17.2). In bar 6, this statement is prepared by the oboe pitch sequence B-F-Gb-(C-F)-D-C#, followed by a B in the horns [(C-F) denotes two notes sounding together] (Example 17.4). The static linear interval aspect of this sequence exhibits characteristic use of the fourth and augmented fourth prior to a significant primary trichord construction. The diachronic properties of this phrase progress from a secondary 3-5 through a 3-7 to a primary 3-2. Kinetic synchronic trichord activity parallels that of the diachronic dimension (Example 17.5). The fourths and augmented fourths in pitches 1-5 fold together to form three 3-5s. the last two of which occur as a result of a reordering of the pitches F,  $G_{P}$ , C through the repetition of F (pitch 5). The emphasized F then features in a 3-7, which connects the oboe phrase to the B in the horn (bar 7) on a 3-3/3-2 pair. This construction is also interesting for the simultaneous use of 3-5 and 3-7 to prepare the primary diachronic trichord 3-2 and the synchonic trichord pair 3-3/3-2. Penultimate secondary trichord constructions are familiar from Examples 2, 12.2 gesture 2 and 14.2.2.

What is more, Berg's annotations at bars 11-12 draw attention to a



Example 17.5 Kinetic synchronic trichord patterning, *Hauptstimme*, bars 6–7

parallel construction in the trombone (bars 11–12) and harp (bar 12) *Hauptstimmen*, which he has circled in blue (Example 17.6). These two *Hauptstimmen* present a trichord construction that is an expanded retrograde version of the oboe/horn *Hauptstimmen* at bars 6–7 (Example 17.7.1). Three parallels are significant here: the diachronic interval aspect (read from bar 7 to 6 and 11 to 12 as T-st-m3-4...x4); the synchronic trichord patterning (3-2, 3-7 followed/preceded by either 3-5 [bar 6] or an extended 4-T-x4 interval sequence [bar 12]); and the structural importance of the pitches C and F (spelled E<sup>#</sup> in bars 11–12). We saw that in the case of bars 6–7, this structure was used to prepare primary trichords in the linear aspect. This function is less obvious in bars 11–12, where the *Hauptstimmen*, while clearly marked, are fragmented, and both derive from and lead to chordal constructions in the (orchestral) texture.

Berg's annotations elsewhere in bar 11 suggest a reading with wider consequences. He has underlined "plötzlich" in Schoenberg's direction "(in <u>plötzlicher</u> Angst)" (suddenly fearful) and has drawn a vertical line from this word to a sudden gesture in the left hand (double bass in the orchestral score) on the pitches D-E-D-D (Example 17.6). Additionally—and directly above the trombone *Hauptstimme*—he has drawn a diagonal line leading from the right hand staff to the text "Ich fürchte mich..." (I am afraid). The vocal line in this bar describes the sequence  $C^{\sharp}$ -D $^{\sharp}$ -E-D. The D-E-D group in the bass can be read as the first part of a two-part pitch group that is completed with the  $C^{\sharp}$ -D $^{\sharp}$ -E-D sequence in the vocal line. This combination describes the synchronic primary trichord construction 3-2/3-2/3-1 (Example 17.8).

This observation makes possible two important conclusions. First, it would suggest that Berg's annotations show the *Hauptstimmen* at bars 11–12 to be essential fragments of a larger gesture articulated backwards across the texture. This "retrograde" gesture exhibits typical primary/secondary trichord characteristics in both the diachronic and synchronic



Example 17.6 Berg's annotations, piano reduction, bars 11-12



Example 17.7 Kinetic diachronic linear interval aspect, oboe/horn Hauptstimme, 6–7 (normal order); trombone/harp Hauptstimme, 11–12 (reverse order)



Double bass

Example 17.8 Reverse kinetic synchronic primary trichord construct, (double bass) left hand and vocal line, bars 11–12 dimensions. The backwards motion in the Hauptstimmen from the 3-2 and 3-7 through the extended 4/T/x4 interval succession (Example 17.7.2) can be said to "culminate" in the primary trichords described in Example 17.8. The multi-directional nature of these constructions allows for the sudden, unanticipated creation and dissolution of trichord groups and greatly contributes to the impulsive nature of Schoenberg's score. Second, the integration of the vocal line in the construction at bars 11-12 offers the possibility of consolidating Berg's "Frage" and "Thema" annotations. While the "Frage" markings in bars 3-4 and 28 denote questions ("Hier hinein? ... "/ "sieht der hinein? ... "), the text "Ich allein ... ," where Berg has written "Frage" in parentheses between the vocal and piano staffs in bar 29, does not. In each case, however, the "Frage" annotations isolate primary trichord constructs (see Examples 16 and 16.1). Thus, it becomes possible to read the annotations as markings denoting thematic pitch groups (some of which are also questions) related to the first (condensed) 3-1 primary trichord gesture-the "Frage!"-"Hier hinein? . . ." in bars 3-4.

# 3. "Expressionistische themen" III: "Thema" annotations "a" and "b"

Above bar 35, Berg has written the words "Geschehen vom Orch.[ester] übernommen"-"events taken over by the orchestra." This is the point in the scene when the vocal line ends and the woman's voice becomes subsumed in the orchestral texture. Berg's thematic annotations in the closing bars of Scene I confirm the findings above. In bars 35-38, he denotes two types of musical material, "a" and "b", and writes "Thematisch entwickelt" (Thematically developed) in bar 36 (Example 18). The first part of the material Berg designated as "a" (bars 35-37) is familiar from our discussion in Section V above. There, it was identified in the orchestral score as a viola Hauptstimme that describes unusually dense kinetic synchronic trichord activity on the primary trichords 3-1, 3-2 and 3-3 across all but two pitches (G and G<sup>#</sup>) of the 20-pitch phrase (see Example 15.1). Owing to the scoring in the piano reduction, Berg's notation gives this phrase the appearance of being in two "groups," that is, divided between the pitches Bb and D between bars 35 and 36 (Example 18.1). In the first "group" (G#-A-C#-A#-D-G-E-C#-C-Bb), we see a structural G# leading to a 3-3 pair and a second structural G followed by a 3-3/3-2 pair. Note that the pitches A/A# and C/C# are prominent in both synchronic trichord pairs. The second "group" (D-D#-E-E#-G#-A-C-B-D#-C), under which Berg has written "Thematisch entwickelt," exhibits exclusive synchronic primary trichord construction: 3-1/3-1/3-3/3-3/3-3/3-2/ 3-3/3-3.

The second "a" designation denotes the (double bass/oboe) *Haupt-stimmen* that appear in bars 37–38 (Example 18). The bars 37–38 (dou-



Example 18. Theme "a" and "b" annotations, piano reduction, bars 35–38

ble bass) *Hauptstimme* exhibits parallel diachronic and static synchronic primary trichord construction. The pitch sequence D-E-C#-D-F-C# describes a 3-1/3-3 diachronic trichord pair (Example 18.2) and a 3-2/3-3 static synchronic trichord pair (Example 18.3). In the diachronic dimension, both trichords are created by the restatement of the first pitch in the group (D and C#, respectively). In the synchronic dimension, these same two pitches define both primary trichords. Berg's annotations distinguish the first three pitches D-E-C#, which he marks "a," from the second three pitches, under which he has written "Par.[allel?]" (Example 18.4). He has also annotated the oboe *Hauptstimme* in bar 38 twice: first by underscoring it with a line ending in the symbol  $\alpha$  (not "a"); and second by marking "Frage" above it between the piano staffs. The pitch sequence here, D-Eb-Db, describes a synchronic 3-1 set. As we saw in



3-3: 1,2,3,7,8,9,11,12

Example 18.1 Synchronic primary trichord construction, Berg's theme "a" annotations, viola *Hauptstimme*, bars 35–37, piano reduction



Example 18.2 Berg's "a" annotations, diachronic trichord constructs, double bass *Hauptstimme*, bars 37–38

t	oar 37		ł	oar 38	
	3-2			3-3	
D	Е	C#	D	F	C#

Example 18.3 Static synchronic trichord constructs, double bass Hauptstimme, bars 37–38



Example 18.4 Berg's "a" and "Frage" annotations [linear] with synchronic primary trichords, (double bass/ oboe) *Hauptstimmen*, (trumpet) *Nebenstimme* bars 37–38, piano reduction

Example 16.1.1, this is the same trichord marked "Frage!" by Berg at bars 3–4 where the woman sings the first line "Hier hinein?..." The 3-1s at both "Hier hinein?..." and in bar 38 are based on the pitch  $C\#/D\flat$ .

It is difficult to know what the  $\alpha$  denotes in bar 38. It may refer to the scene break (Scene II begins here), the point where the drama first becomes overtly cyclic, perhaps both musically and psychologically (she again contemplates entering as she did at bars 3-4), or something else as yet (or possibly forever) unreconstructable. In light of the extended primary trichord construction in bars 35–38, it is tempting to read this marking as an indication of scene-based structural thinking. Whichever may be the case, bars 38-39 nevertheless make an impressive introduction to Scene II. The three principal voices (Hauptstimme, Nebenstimme and vocal line) describe two kinetic synchronic trichord patterns articulated on two structural Gs: 3-1/3-1/3-2 and 3-3/3-2 (Example 18.5.1). The secondary trichord patterning in this phrase is typical of G-delineated phrases in its presentation of 3-7s and 3-10s (Example 18.5.2). Examples 15.3 and 15.4 show how these G-based pitch groups feature prominently in the viola Hauptstimme in bars 35-37 and reflect the G-based structure in the *Hauptstimme* in bars 1–2. Note also the trichord-based pitch mirror in bars 38–39, which emphasizes the central notes C#, A# and A and their structural relationship to G (Example 18.5.3).

1. kinetic synchronic primary trichords



2. Kinetic synchronic G-based secondary trichords



3. trichord-based pitch mirror



Example 18.5 Oboe Hauptstimme and vocal line, bar 38 (Scene II)

Berg's annotations of the theme "b" in bars 36 and 37 are difficult to decipher, owing to their similarity to a vertical construction marked "a" in bar 38, which is either highlighted for its orchestral color or to underscore the confluence of the principal voices at the beginning of Scene II (Example 18).<sup>30</sup> (Berg does not mark either theme "a" or theme "b" elsewhere in the piano reduction.) Nevertheless, the theme "b" annotations profile thematic material related to theme "a" in bars 37–38.

Berg's markings show two theme "b" annotations, both of which denote two-part vertical constructions (Example 18.6). The first, in bar 36, describes the two pitch groups (read from the bottom up) (1.1)C-G#-B and (1.2) B-E-G; the second "b" annotation appears in bar 37 and describes the two pitch groups (2.1) G-C-F and (2.2) D#-G#-C#-E. The first "b" annotation features (1.1) a 3-3 synchronic primary trichord connected to (1.2) a 3-11 G-based secondary trichord. The two vertical pitch sequences here exhibit G/G# oscillation and the pivot from 3-3 to 3-11 is effected on the shared pitch B (Example 18.6.1). The second theme "b" from bar 37 features a G-based 3-9 connected to a G#-based 3-9/3-10 pair (Example 18.6.2). The intervallic profile of the two theme "b" pitch groups thus shows emphasis of (1) the vertical 3-3 and (2) the resolution of the G/G# oscillation effected by group 1. The linear intervallic contour achieved by these two vertical groups is heard as (1) st-M3-M4 and (2) st-st-st-4 (Example 18.6.3). The movement in the second vertical group is especially interesting. In addition to the fourth movement heard as the G moves to D<sup>#</sup>, the overall st-4 contour is expressed through the oscillation of three pitch pairs made prominent by their structural function throughout Scene I: F-E, C-C# and G-G#. This pitch-based interval-

1. group 1 (bar 36)

2. group 2 (bar 37)



3. linear interval contour

В	M3	G	F	st	E	
G#	M3	E	C	st	C#	]
C	st	В	G	st	G#	
				4	D	



lic linear profile is clearly integrated ("Thematisch entwickelt"?) in the viola *Hauptstimme*—Berg's theme "a"—in bars 35–37.

# VII

From the observations above, it appears that much of the fluidity and spontaneity of the characteristically improvisatory writing of Scene I of *Erwartung* may be traced to the flexibility of the primary trichord construct and its unusually generative potential. Each of the trichords between 3-1 and 3-12 makes an appearance in the first scene, but the regularity with which the primary trichords 3-1, 3-2 and 3-3 appear at key gestural moments in each of the three principal voices suggests that a trichord hierarchy, in which these three trichord predominate, drives the musical texture. The findings above suggest that these trichords play a thematic as well as a structural role. The examination of Berg's "Frage" and "Thema," as well as his "a" and "b" annotations in Section VI above, lends credence to these findings and supports the theory that pitch specificity and trichord-based motivic gestures act conjunctly to articulate unity in the first scene of op. 17.

Perhaps the most important generative feature of the trichord construct is its density-it is, it could be said, an "infinite abundance compressed into the smallest space." The 3-1 trichord alone contains a wealth of potentially perpetual variational capacity within an interval construct of the smallest possible proportions. Each of the three primary trichords participates in a three-stage expression of cumulative, semitonal interval expansion incorporating each interval between the semitone and major third. In the 3-1 (st-st-T), the first semitone is extended by a second semitone that is then followed by a tone. Thus, the third element of the trichord is the sum of the first two elements (st+st=T). The 3-2 (st-T-m3) continues this process, preserving the second and third elements of the 3-1 and extending the final tone by a semitone to create a minor third (st+st=T; T+st=m3). The 3-3 (st-m3-M3) completes the expansion (st+m3=M3). (The structural 4 and x4 represent the two points of division in the octave (4=5) after which the semitonal process is reversed [3-3 to 3-2 to 3-1].) Pitch specificity, such as the A/A#-C/C# major/minor third dichotomy, is the natural concommitant of semitonal expansion across the 3-1, 3-2 and 3-3. It also offers the listener the possibility of locating phrasal utterance and discriminating the vagaries of dramatic narrative cleverly articulated through the incessant tonal subversion of the major/minor third.

Opinion on the structural relevance of Schoenberg's integration of the op. 6, no. 6 quotation in *Erwartung*, like that on the necessity of attempting a systematic analysis of the monodrama's improvisatory texture, is divided. Michael Cherlin calls quotations in Schoenberg's works "evanes-

cent recollections of tonality," musical hybrids fostering a subconscious link between his "tonal" and so-called "atonal" compositions.<sup>31</sup> Glenn Watkins places *Erwartung* against the Freudian landscape of Viennese Expressionism, and sees the monodrama as a psycho-musical complex whose occasional musical patterning evokes "... the accidental repetitions of nature as well as the random structure of dreams."<sup>32</sup> Watkin's belief that the texture of op. 17 is categorically opposed to "... a dialectic based on the logical development of tonal ideas" is in keeping with the general tenor of other historical and analytical evaluations. Even accounts suggesting a close familiarity with the score appear to leave little room for systematic analysis. As Pierre Boulez has said, *Erwartung* "lacks the sheer formal elaboration of Berg's [*Wozzeck*]: instead we find, at fever pitch, invention in a perpetual state of becoming, and freed from all predetermined formal frameworks."<sup>33</sup>

Clearly, to propose that a single analytical method can reduce this complex and elusive musical remnant of Schoenberg's untraceable thought processes in the autumn of 1909 to a simple set of first principles is contentious. Such a reduction would also of necessity marginalize the decisive role played by elements such as tone-color and pitch contour, which it is widely recognized greatly contribute to Erwartung's evocative expressionist texture. Whether it was specifically the pitch-based trichordal structural network identified by this paper that Berg the proofreader sought to examine in 1915 shall never be known. Similarly, the likeness of Berg's metaphor of the "infinite abundance compressed into the smallest space" to Schoenberg's image of the "single second of maximum spiritual excitement [stretched] out to half an hour" may be no more than coincidence. To assert that there is a direct correlation between these statements and the generative potential of the 3-1 would be premature, however persuasive the observations of trichordal activity in this very small proportion of the vast orchestral score.<sup>34</sup> What this particular reading of select pitch-delineated trichordal structures in the first scene of op. 17 has attempted to achieve, however, has been a different task. It has lifted the veil over complex patterning in a small corner of this enigmatic work-patterning, it is hoped, that pays homage to Erwartung's unprecedented ability to elude a definitive definition.

# APPENDIX

Name	Pcs	Vector
3-1	(0,1,2)	[210000]
3-2	(0,1,3)	[111000]
3-3	(0,1,4)	[101100]
3-4	(0,1,5)	[100110]
3-5	(0,1,6)	[100011]
3-6	(0,2,4)	[020100]
3-7	(0,2,5)	[011010]
3-8	(0,2,6)	[010101]
3-9	(0,2,7)	[010020]
3-10	(0,3,6)	[002001]
3-11	(0,3,7)	[001110]
3-12	(0,4,8)	[000300]
4-3	(0,1,3,4)	[212100]
5-1	(0,1,2,3,4)	[432100]

#### NOTES

- 1. On 21 May, 1915, Berg wrote to Schoenberg: "... the proofreading for Erwartung is finished. Today Stein will send you the list of mistakes and questionable spots we found." Juliane Brand, Christopher Hailey and Donald Harris, The Berg-Schoenberg Correspondence: Selected Letters (London: Macmillan, 1987), 244. The piano reduction of *Erwartung* was first published by Universal Edition in 1923. Parallels between Schoenberg's pre-serial developments and Berg's later development have been well documented. George Perle notes the similarity between pitch-centricity and chromatic inflection in Erwartung and Berg's Wozzeck in Serial Composition and Atonality: An Introduction to the Music of Schoenberg, Berg and Webern (London and Berkeley: University of California Press, 1981), 19, 33. Perle also demonstrates the use of interval cycles by Berg as early as 1910 in his Op. 3 (Perle, "Berg's Master Array of the Interval Cycles," Musical Quarterly 63/1 (1977), 1-30, 4). See also Herbert H. Buchanan, "A Key to Schoenberg's Erwartung (Op. 17)," Journal of the American Musicological Society 20/3 (1967), 434-39; and Charles Rosen, Schoenberg (London: Faber, 1975), 21. For work on Berg's Wozzeck sketches, see David Fanning, "Berg's Sketches for Wozzeck: A Commentary and Inventory," Journal of the Royal Musicological Association 112/2 (1986-87), 280-322. Glenn Watkins discusses Erwartung in association with Wozzeck and the Three Pieces for Orchestra, op. 6, no. 3, in Soundings: Music in the Twentieth Century (New York and London: Schirmer, Collier MacMillan, 1988), 176.
- 2. Brand, Hailey and Harris, The Berg-Schoenberg Correspondence, 323.
- Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter, Third Edition (London: Faber, 1978), 105. Schoenberg's *Harmonielehre* was written between 1910 and 1911 and was first published in Vienna in 1911.
- 4. It is well known that the monodrama was composed over a remarkably short period of fourteen days between the end of August and mid-September, 1909. For work on the monodrama before its publication, see Paul Richard Hanson, "Arnold Schoenberg's *Erwartung*, Op. 17: A Piano Reduction Based on the Composer's Draft," D.M.A. dissertation: University of Oregon, 1987.
- 5. Berg's partially annotated copy of the piano reduction of *Erwartung* is held in the Österreichischen Nationalbibliothek. Excerpts from this score, which will be discussed below, are reproduced as an appendix in Siegfried Mauser, *Das expressionistische Musiktheater der Wiener Schule* (Regensburg: Bosse, 1982), 147–65.
- 6. For accounts of scholarship on *Erwartung*, see José Maria Garcia Laborda, *Studien zu Schönbergs Monodram* Erwartung Op. 17 (Laaber: Laaber Verlag, 1981), 14, and Jan Maegaard, *Studien zur Entwicklung des dodekaphonen Satzes bei Arnold Schoenberg*, vol. 2 (Copenhagen, 1972), 312. Other important studies on the work include David J. Fanning, "Schoenberg's Monodrama *Erwartung*: Text, Structure and Musical Language," Ph.D. dissertation, University of Manchester, 1984; Diane H. Penney, "Schoenberg's Janus-Work *Erwartung*: Its Musico-dramatic Structure and Relationship to the Melodrama and Lied Traditions," Ph.D. dissertation, University of North Texas, 1989; Mauser, *Das expressionistische Musiktheater der Wiener Schule*.
- 7. T. W. Adorno, *Philosophy of Modern Music*, trans. A. G. Mitchell and W. V. Bloomster (New York: Seabury, 1973), 46.

- 8. Buchanan, "A Key to Schoenberg's Erwartung (Op. 17)," 439. For a recent discussion of the major/minor cell in op. 17, see Glenn Watkins, Soundings, 176–77. For a discussion of fixed, linear/vertical pitch-class sets in op. 17, see George Perle, Serial Composition and Atonality. Work on other early serial writing, particularly with reference to the 3-4/3-3 construct as a hexachord includes Harald Krebs, "Schoenberg's 'Liebeslied': an Example of Early Serial Writing," Journal of the Arnold Schoenberg Institute 11/1 (1988), 23–37. On row derivation, see Arved Ashby, "Of Modell-Typen and Reihenformen: Berg, Schoenberg, F. H. Klein, and the Concept of Row Derivation," Journal of the American Musicological Association 48/1 (1995), 67–105.
- 9. Maegaard lists the appearance of each of the possible three-pitch groups in the voice, *Hauptstimme* and *Nebenstimme* of op. 17 and notes the activity of intervallically fixed tone groups (Studien zur Entwicklung, 332). Furthermore, he states that the "function of fixed tone-groups and initial figures must be understood more as style-determinant than motivic" (p. 436). A precedent for experimental interval-cell construction is evident in the works that surround the monodrama. Jerry Dean demonstrates that the George Lied, op. 15, no. 6, shows experimentation with interval classes, particularly unordered pitch-class sets, and that interval classes are used simultaneously in the horizontal and vertical dimensions in "Schoenberg's Vertical-linear Relationships in 1908," Perspectives of New Music 12 (1973-74), 173-79. René Leibowitz and Laborda, among others, have noted the precedent in op. 16 for the kind of perpetual, seemingly athematic compositional style that characterizes op. 17 in Leibowitz, Schoenberg and his School: The Contemporary Stage in the Language of Music, trans. D. Newlin (New York: Da Capo, 1949), 81; and Laborda, Studien zu Schoenbergs Monodram Erwartung, 167. Joel Lester notes that in the variations of Schoenberg's Serenade, op. 24, "... pitches or groups of pitches of a set which remain invariant under certain serial operations serve to relate set statements and transpositional levels to one another" in "Pitch Structure Articulation in the Variations of Schoenberg's Serenade," Perspectives of New Music 6/2 (1968), 22-34, p. 22. He also asserts that the use of pitch repetition as a structural device in Erwartung, a technique typical of early serialism, is evident in the later variations (p. 34). For work on Schoenberg's variation techniques, see Catherine Dale, "Schoenberg's Concept of Variation Form: A Paradigmatic Analysis of Litanei from the Second String Quartet, Op. 10," Journal of the Royal Musicological Association 118/1 (1993), 94-120; and Jack Boss, "Schoenberg's Op. 22 Radio Talk and Developing Variation in Atonal Music," Music Theory Spectrum 14/2 (1992), 125-49.
- 10. Walter and Alexander Goehr, "Arnold Schoenberg's Development Towards the Twelve-note System," in European Music in the Twentieth Century, ed. H. Hartog (New York: Friedrick A. Praeger, 1957), 76–93; Carl Dahlhaus, Schoenberg and the New Music, trans. Derrick Puffett and Alfred Clayton, (Cambridge: Cambridge University Press, 1987). A valuable summary of analyses of Erwartung can be found in Mauser, Das expressionistische Musiktheater der Wiener Schule, 49–55.
- 11. This analysis uses numbers (set numbers) referring to the sets listed as "distinct three-note sets" by Allen Forte in "A Theory of Set Complexes for Music," *Journal of Music Theory* 8/2 (1964), 136–83, p. 145 and *The Structure of Atonal Music* (New York and London: Yale University Press, 1973). A list of the set numbers is

provided in the appendix. The marrying of pitch-class sets and tonal language ("major/minor thirds") in a single analysis is unorthodox. However, it brings together the findings of previous analytical literature on *Erwartung* and is especially useful in describing the unique interaction of tripartite interval configurations with pitch definition and individual interval constructs in the first scene. The intricate interfacing of trichords through the selective use of pitches and thirds is especially interesting. In cases where the interval structure of a pitch-class set is relevant, this aspect has been made explicit (e.g. Example 2).

- 12. Tone-color, registration and rhythm are also contributing factors. The investigation of these non-pitch/interval-specific aspects of *Erwartung*'s characteristic expressionist texture falls outside the scope of this study.
- 13. The designation of this configuration as the "3-1, 3-2/3-3 trichord construct" is reductionist. The 3-2/3-3 construct is equivalent to the 4-3, while the overall 3-1, 3-2/3-3 construct corresponds to the larger 5-1. Other trichord pairs, such as the 3-4/3-5 that acts together as a 4-8 (see Example 6.2), are also often conjunct. Although the larger interval constructions active in the first scene are of interest, they fall outside the scope of the present study, which is concerned with delineating the primary constructive elements active in select excerpts from the first scene of op. 17.
- 14. Buchanan, "A Key to Schoenberg's Erwartung (Op. 17)," 439.
- 15. While this analysis considers some text/trichord/pitch parallels (e.g. Section V), its primary aim is a structural analysis of trichordal activity in the first scene. For an important study of *Erwartung*'s place among expressionist drama of the Second Viennese School, see Mauser, *Das expressionistische Musiktheater der Weiner Schule.*
- 16. Multi-level linear structures have been the subject of much Schoenberg scholarship. Studies in this area include Jack Boss, "Schoenberg on Ornamentation and Structural Levels," Journal of Music Theory 38/2 (1994), 187-216; Allen Forte, "Concepts of Linearity in Schoenberg's Atonal Music: A Study of the Opus 15 Song Cycle," Journal of Music Theory, 36/2 (1992), 285-382; David Lewin, "Vocal Meter in Schoenberg's Atonal Music, with a Note on Serial Hauptstimme," In Theory Only 6/4 (1982), 12-36; and Peter Schubert, "'A New Epic of Polyphonic Style': Schoenberg on Chords and Lines," Music Analysis 12/3 (1993), 289–319. The discussion of these constructive aspects in relation to text and other musical parameters falls outside the scope of this paper. On this issue, Allen Forte writes: "... I assume that linear structures are not isolated from other structural domains, including register, rhythm, and chordal succession, and that in the song cycle Das Buch der hängenden Garten . . . they are intimately related to the poetic text" ("Concepts of Linearity," 286). For recent discussions of rhythmic constructions, see Courtney S. Adams, "Techniques of Rhythmic Coherence in Schoenberg's Atonal Instrumental Works," Journal of Musicology 11/3 (1993), 330-56; Charles D. Morrison, "Syncopation as Motive in Schoenberg's Op. 19, Nos. 2, 3 and 4," Music Analysis 11/1 (1992), 75-93; and John Roeder, "Interacting Pulse Streams in Schoenberg's Atonal Polyphony," Music Theory Spectrum 16/2 (1994), 231-49.
- 17. On the connection of Schoenberg's early unpublished songs to later compositional developments and their link to nineteenth-century style, see Walter B. Bailey,

"Prophetic Aspects of Musical Style in the Early Unpublished Songs of Arnold Schoenberg," *Musical Quarterly* 74/4 (1990), 491–520.

- 18. Symbols of interval equivalence used in this text are: semitone = st; tone = T; minor third = m3; major third = M3; fourth = 4; augmented fourth = x4. Intervals are consistently read in smallest reduction (sixth = third; fifth = fourth; etc.), following the precedent of inversional equivalence set out by Forte.
- 19. For a phrasal analysis noting trichordal constructions resolving through a fourth, see Catherine Dale, "Foreground Motif as a Determinant of Formal and Tonal Structure in the First Movement of Schoenberg's Second String Quartet," *Music Review* 52/1 (1991), 52–63.
- 20. This observation is particularly interesting in light of the work of Walter and Alexander Goehr. They write that "... the orchestral introduction of four bars makes a clear movement from G# through B to C# (quasi-dominant/tonic).... The first scene, as it were in closed form, is clearly founded on a structure in which the notes C# and G# are predominant" ("Arnold Schoenberg's Development Towards the Twelve-note System," 90). Their discussion of global pitch structure suggests that these central pitches may have referential importance.
- 21. This kind of self-referential organization creates a series of independent musical gestures or "moments." For a discussion of "moment form" in *Erwartung*, see Laborda, *Studien zu Schoenbergs Monodrama* Erwartung, 166.
- 22. Marie Pappenheim, a Viennese medical student and later dermatologist, is commonly considered to have been the work's librettist. See Eva Weissweiler, "Schreiben Sie mir doch einen Operntext, Fräulein!" Neue Zeitschrift für Musik 145/6 (1984), 4-8; Robert Falck, "Marie Pappenheim, Schoenberg, and the Studien über Hysterie," in Claus Reschke and Howard Pollack, eds., German Literature and Music: An Aesthetic Fusion 1890-1989, Houston German Studies, 8 (Wilhelm Fink Verlag, 1992), 131-44; and Siegfried Mauser, "Paralipomena zum Libretto von Schoenbergs Erwartung, Op. 17," in De editione Musices: Festschrift Gerhard Croll zum 65. Geburtstag (Laaber, 1992), 391-400. For an historical account of the monodrama see David Hamilton, "Schoenberg's First Opera," Opera Quarterly 6/3 (1989), 48-58. For a text-based analysis of the first scene, see Elmar Budde "Arnold Schönbergs Monodram Erwartung-Versuch einer Analyse der ersten Szene," Archiv für Musikwissenschaft 36/1 (1979), 1-20; and Laborda, Studien zu Arnold Schoenbergs Erwartung. Maegaard suggests that the monodrama falls into two parts, divided at bar 158, with the approximate dimensions 1:2 (Studien zur Entwicklungen, 315).
- Each of the twelve possible trichord constructions is introduced in the course of the first scene. Occurrences of these constructions in the vocal phrase are: bars 3 to 4: 3-1 (C#-B-C), 3-2 (B-C-D), 3-6 (C-D-E), 3-7 (D-E-G), 3-3 (G-E-G#); bar 7: 3-4 (C-E-F); bar 8: 3-5 (Ab-G-C#), 3-8 (G-C#-F); bar 10: 3-10 (E-C#-A); bar 14: 3-9 (C#-B-F#); bars 20 to 21: 3-11 (D#-B-G#). 3-12 appears in the *Hauptstimme* at bar 30 (E-G#-C).
- 24. For similar activity of the 3-4/3-5 pair, see Dean, "Schoenberg's Vertical-Linear Relationships in 1908," 176.
- 25. Precedent for the structural use of D/D<sup>#</sup> is established in the sequence in bars 1–2 (Example 4.1) and appears in the voice sequence in bars 15–22 (Example 5.1). Similar use of F and this trichord is apparent at Example 9.1 and 9.4. Op. 6, no. 6 is written with the key-signature of D minor. H. H. Buchanan has suggested that

op. 17 retains a D-minor quality through the perpetual presence of a major/minor cell based on D ("A Key to Schoenberg's *Erwartung*, Op. 17"). For a study on tonal implication in op. 17, see Michael Cherlin, "Schoenberg und *Das Unheimliche*: Spectres of Tonality," *Journal of Musicology* 11/3 (1993), 357–73. More general work on the subject can be found in Andrew Mead, "'Tonal' Forms in Arnold Schoenberg's Twelve-Tone Music," *Music Theory Spectrum* 9 (1987), 67–92.

- 26. Although simultaneous linear-vertical trichord presentation is abundantly present in the first scene of *Erwartung*, the linear distribution of these trichords is the principal focus of this study. In the context of a study of Schoenberg's *George Songs*, op. 15, Dean notes that "... one of the few new means of organization with which [Schoenberg] experimented as early as 1908 was the control of interval class (IC) content in the vertical and horizontal planes simultaneously" ("Schoenberg's Vertical-Linear Relationships in 1908," 173).
- 27. Mauser, Das expressionistische Musiktheater der Wiener Schule, 58-61.
- 28. Score excerpts in this paper are reproduced from Mauser, Das expressionistische Musiktheater der Wiener Schule, appendix, 147–65. Mauser's appendix is legible and reliable and is very helpful in clarifying Berg's red markings ("impressionist sonorities") with dashed lines (----). These red markings are invisible in a black and white reproduction.
- 29. Cf. the structural G/G# in Examples 4.1, 5.1–5.3, 6–6.1, 8 and 15.1, 15.3–15.4.
- 30. The theme "a" annotation in bar 38 is written above the staff just as a trumpet *Nebenstimme* appears and the *Haupstimme* passes from viola to oboe (Example 18). The theme "a" marking here may simply be a means of drawing attention to the significance of the viola/oboe theme "a" *Haupstimmen* at bars 35–37 to the construction at the beginning of Scene II demonstrated in Example 18.5.1, above. However, if the marking was meant to denote a vertical construction (excluding the *Haupstimme* and *Nebenstimme* notes) it describes two pitch groups (1) A-E and (2) C#-A-E. Taken as part of the overall vertical texture, group 1 here features a 3-9 linked to a 3-8 on the repetition of the pitches A and E, while group 2 adds to these same trichords a 3-1 (D-E-C#). These vertical constructions originate in the horns and oboe in the orchestral score. In that context, they add a resonant fourth sonority to the texture behind the confluence of principal voices at the beginning of Scene II.
- 31. Notably, the Fourth String Quartet, op. 37, and op. 11, no. 1. See Cherlin, "Schoenberg and *Das Unheimliche*: Spectres of Tonality," 363, 364.
- 32. Glenn Watkins, Pyramids at the Louvre: Music, Culture and Collage from Stravinsky to the Postmodernists (Cambridge, Mass. and London: Belknap Press of Harvard University Press, 1994), 77. Precedent for this opinion is found in Watkins's Soundings, where he writes that "... building naturally on the Expressionist tendency to substitute the single word for the involved conceptual sentence, a premium is placed on melodic fragmentation and discontinuity" in Erwartung (p. 176). For a view that asserts that Erwartung conveys an "intuitive" rather than "expressionistic" aesthetic, see Joseph Auner, "Schoenberg's Aesthetic Transformations and the Evolution of Form in Die glückliche Hand," Journal of the Arnold Schoenberg Institute 12/2 (1989), 103–28.
- 33. Pierre Boulez, "Arnold Schoenberg," from *Encyclopédie Fasquelle de la musique*, iii L-Z (Paris, 1961). Quoted here from Pierre Boulez, *Stocktakings from an*

*Apprenticeship*, collected and presented by Paule Thévenin, trans. Stephen Walsh (Oxford: Clarendon, 1991), 283.

34. Brand, Hailey and Harris, *The Berg-Schoenberg Correspondence*, 323; Schoenberg, *Theory of Harmony*, 105.

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