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From the Editor

On behalf of the Editorial Board, it is my pleasure to present Volume Fourteen of *Musicological Explorations*, a celebratory volume of the journal, published by the graduate students in music of the University of Victoria. Originally published as *Fermata* in 1995, 1996, 2001 and 2002, the journal was re-launched in 2004 under the new title, and has since attracted a large number of budding, as well as experienced scholars from British Columbia, from Canada, and from universities around the world, who have been working within a broad spectrum of musicological research.

This tenth-anniversary special volume rounds off the previous nine volumes in that it features (1) an article by a prominent scholar from “our home” University of Victoria School of Music, Dr. Harald Krebs, (2) an article written by a Ph. D. student from the National University of Ireland in Maynooth, Anja Bunzel, (3) an article by a Ph. D. student from Stanford University in California, Tysen Dauer, and (4) an article from a colleague, a Ph. D. student of University of Victoria, Michael Dias. Consistent with the mandate of the *Musicological Explorations*, members of the Editorial Board feel that the featured articles enrich musicological discourse and contribute to current research in music.

I take this opportunity to thank David Foley, the co-editor of this volume, and the members of the Editorial Board for their hard work and dedication. I would also like to express my gratitude to Dr. Jonathan Goldman, Dr. Susan Lewis-Hammond, and Dr. Michelle Fillion for their guidance in producing this volume. The Graduate Students Society, as well as the School of Music at the University of Victoria are gratefully acknowledged for their generous funding contributions, and a very special thank you is extended to Bill Blair, the Music Librarian at the McPherson Library, University

of Victoria, for the generous donation of books: the proceeds of the book sale greatly assisted this undertaking.

I look forward to the continued success of the journal and to the work of authors whose articles are published herein. I hope that our readers will continue to support the journal either through subscriptions, generous donations, or submissions.

Aleksandra (Sasha) Koebler
Managing Editor

Functions of Metrical Dissonance in Schubert's Songs

Harald Krebs

ABSTRACT

Schubert employs both grouping and displacement dissonance very effectively in his Lieder, with definite ends in view. Much of his metrical dissonance could be termed pictorial or onomatopoeic; metrical conflicts in his piano parts often conjure up particular sounds or actions that are mentioned in the text. Many of the metrical dissonances in Schubert's songs represent not physical objects or activity, but internal, spiritual phenomena – particularly inner upheavals and tensions. Metrical dissonances in Schubert's songs may also have purely structural instead of, or in addition to representational functions. In *Winterreise*, for instance, the dissonances, beyond their various text-related connotations, also assume a motivic function: particular specific displacement dissonances recur frequently. In Schubert's tonally deviating songs—songs that begin in one key and end in another—metrical dissonance may act as a highlighter of significant moments within the tonal drama. The analyses provided here reveal that Schubert is a pioneer of the powerful application of metrical dissonance in the Lied, and that his skill at subtly manipulating this device for text-expressive and structural purposes was no less remarkable than that reflected in his manipulation of harmony and tonality.

We can conceive of musical meter as a set of layers of regular pulses, those pulses being created by various types of accents, by repetitions of patterns, by changes of harmony, and other musical features. Each notated meter is defined by a particular set of layers—six-eight time, for instance, by aligned six- and three-eighth-note layers. But composers often introduce layers that conflict with the meter-defining set; I call the resulting metrical state “metrical dissonance.”¹

Metrical dissonance, as well as the alternation of metrically consonant and dissonant states—the metrical progression—has immense expressive potential. Composers exploit this potential in instrumental music, but also in vocal music. The text-expressive function of metrical dissonance in Lieder by Schumann, Brahms and Wolf has been explored in numerous publications.² The function of metrical dissonance in Schubert’s Lieder has, however, received relatively little attention. Richard Kurth briefly considers the text-expressive function of the three-four – six-eight ambiguity in

¹ The theory of meter on which this essay is based is explained in detail in Chapter Two of Harald Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (New York: Oxford University Press, 1999).

² I have demonstrated the expressive functions of metrical dissonance in vocal music of Robert Schumann (in Chapter Six of *Fantasy Pieces*), in Wolf’s songs (“Text-Expressive Functions of Metrical Dissonance in the Songs of Hugo Wolf,” *Musica Austriaca* 26 [2007]: 125-35), and in one of Wagner’s music dramas (“Functions of Metrical Consonance and Dissonance in Wagner’s *Das Rheingold*,” *In Theory Only* 10/5 [1987]: 5-21). Yonatan Malin’s writings provide numerous demonstrations from the 19th-century song literature; see his “Metric Dissonance and Music-Text Relations in the German Lied” (Ph.D. diss., University of Chicago, 2003); his article “Metric Displacement Dissonance and Romantic Longing in the German Lied,” *Music Analysis* 25/3 (2006): 251-88; and his monograph *Songs in Motion: Rhythm and Meter in the German Lied* (New York: Oxford University Press, 2010). For a pertinent analysis of a song by Brahms, see Richard Cohn, “Complex Hemiolas, Ski-Hill Graphs and Metric Spaces,” *Music Analysis* 20/3 (2001): 312-21.

Schubert's "Suleika I."³ Arnold Feil eloquently describes the pervasive metrical conflict in "Letzte Hoffnung" and "Der Leiermann" from *Winterreise*, and Susan Youens discusses the text-expressive significance of offbeat accents throughout the same cycle.⁴ More detailed analyses of metrical dissonance in three songs from *Winterreise* appear in Yonatan Malin's dissertation.⁵ Much, however, remains to be done in the area of metrical analysis of this voluminous and rich repertoire. My essay contributes to an investigation that will, I hope, continue to be pursued by scholars of the German Lied.

In Schubert's songs, metrical conflict is less obvious and less frequent than in those of Schumann, Brahms and Wolf. Nevertheless, there are numerous striking examples. The songs contain instances of a type of metrical dissonance that, after Peter Kaminsky, I call "grouping dissonance"⁶; this type results from the superimposing of incongruent metrical layers, for example a duple layer and a triple layer. Example 1a illustrates such an instance. Using the triplet sixteenth-note as the unit, we observe that a three-triplet layer is introduced by the three relatively long sixths in the right hand, and

³ Richard Kurth, "On the Subject of Schubert's 'Unfinished' Symphony: 'Was bedeutet die Bewegung?'," *19th-Century Music* 23/1 (1999): 5-6.

⁴ Arnold Feil, *Franz Schubert, 'Die schöne Müllerin,' 'Winterreise'* (Stuttgart: Philipp Reclam jun., 1975), 131-32 and 147-48; Susan Youens, *Retracing a Winter's Journey: Schubert's 'Winterreise'* (Ithaca: Cornell University Press, 1991), 108-10.

⁵ "Metric Dissonance and Music-Text Relations," 47-64.

⁶ I developed the idea of two categories of metrical dissonance in "Some Extensions of the Concepts of Metrical Consonance and Dissonance," *Journal of Music Theory* 31/1 (1987): 99-120, where I called them "type A" and "type B." The terms "grouping dissonance" and "displacement dissonance" were first assigned to my categories by Peter Kaminsky in "Aspects of Harmony, Rhythm and Form in Schumann's *Papillons, Carnaval, and Davidsbündlertänze*," Ph.D. diss., University of Rochester, 1989, 27. I maintained this nomenclature in *Fantasy Pieces*.

a conflicting two-triplet layer is formed by repetitions of dyads in the left hand. Additional instances of grouping dissonance are shown in the remainder of Example 1 and in Example 2a. More often, Schubert uses a second type of conflict – “displacement dissonance” – which involves the superimposing of potentially congruent, but non-aligned layers. In Example 2b, for instance, two non-aligned duple layers are superimposed. A repeated sextuplet/two-eighth-note pattern forms the two-quarter-note layer that expresses the notated meter. The dynamic accents on second beats, first in the right hand, then the left hand, form a conflicting two-quarter-note layer, displaced in relation to the metrical duple layer.

Schubert employs both types of dissonance with definite ends in view. Below, I provide an overview of some of the functions that metrical dissonances serve in his songs. Although my emphasis is on text-expressive functions, I also illustrate some purely musical functions.

Much of Schubert’s metrical dissonance in the songs could be termed pictorial or onomatopoeic; metrical conflicts in his piano parts often conjure up particular sounds or actions that are mentioned in the text. Most often, the phenomena represented by metrical dissonance are sounds or motions in nature. Schubert’s evocations in the piano parts of the motion of the wind, or of a breeze moving the leaves, often involve low-level grouping dissonance – that is, conflicting groupings in small note values. Example 1 shows several instances. In “Frühlingsglaube” (Example 1a), Schubert frequently superimposes triplet sixteenth-notes on normal, duple sixteenth-notes (as in the second bar of the example). In addition, as I mentioned earlier, the triplet sixteenth-notes of the piano part are frequently grouped in 2s by the repetition of a particular interval (as shown by the 2s in the example). These grouping conflicts in small note values are surely intended to suggest the rustling of the trees in the spring breezes.

Example 1 – Metrical dissonance representing wind

a) Beginning of “Frühlingsglaube,” D. 686

1 = Ziemlich langsam

Ziemlich langsam

pp

3 3 3 3 3 etc.

2 2 2 2 2 2 etc.

b) From “Adelaide,” D. 95

1 = Ziemlich langsam

pp

3 3 3 3 etc.

2 2 2 2 2 2 etc.

i - del! A - bend - lüft - chen im zar - ten Lau - be

flü - stern, Sil - ber - glöck - chen des Mai's im Gra - se

Translation: “[Adela]ide! Evening breezes whisper in the fragile foliage, Silver bells of May [rustle] in the grass...”

c) Beginning of “Schlaflied,” D. 527

1 = *Moderato*

Moderato

2 2 2 2 2 2 2 etc.

pp

3 3 3 3 3 etc.

The remainder of Example 1 shows similar passages. In the early song “Adelaide” (Example 1b), the situation is similar; again, as the text alludes to breezes, Schubert superimposes triplet and duple values, and organizes triplets into pairs by intervallic repetition. In the poem of “Schlaflied” (Example 1c), various natural phenomena, including the rustling of the forest and the rushing of a brook, lull a boy to sleep. Schubert suggests these phenomena by a subtle grouping dissonance. Registral accents (that is, the highest pitches) within the groups of three eighth-notes in the piano part are frequently located on the second eighth-note of the group; this accentuation suggests a “three times two” partitioning of the two six-eighth-note groups in each bar (as shown by the 2s on the example). The bass, and later the vocal line much more clearly express the “2 times 3” grouping that is expected in twelve-eight meter. The interaction of the conflicting groupings creates a suitably murmurous effect.

Schubert’s low-level grouping dissonances are quite often associated with the flowing or splashing of water. In “Wohin?” from *Die schöne Müllerin*, a low-level grouping dissonance similar to that in Example 1a suggests the murmuring of the brook (Example 2a). In “Die Forelle” (Example 2b), stabs of displacement dissonance (dynamic accents on weak beats) suggest the unpredictable darting of the trout as well as the droplets of water that its motion whips up.

Example 2 – Metrical dissonance representing water

a) Beginning of “Wohin” (from *Die schöne Müllerin*. D. 795)

1 = *Mäßig*

pp *Mäßig* etc.

Ich —

hört' ein Bäch - lein rau - - sehen wohl —

Translation: “I heard a little brook murmuring...”

b) Beginning of “Die Forelle,” D. 550

1 = *Etwas lebhaft*

dimin. *Etwas lebhaft* 2 2 2

Schubert’s metrical dissonances are by no means restricted to the representation of the motion of wind and water; three additional examples demonstrate the wide variety of images that his metrical dissonances suggest. At a crucial point in “Gretchen am Spinnrade”

(Example 3), displacement dissonance contributes to the depiction of the starting up of the arrested spinning-wheel. When the wheel is in motion, the third eighth-note in each group of three is an anacrusis—an active note, leading forward to a strong beat. As Gretchen ecstatically recalls “his kiss,” the spinning wheel comes to rest, as is suggested by the cessation of the steady sixteenth notes and of the bass rhythm “quarter-eighth-quarter-eighth.” After three bars of a static, chordal piano part, Schubert writes three bars in which the potentially anacrustic second bass notes are tied over. The displaced 6-layer created by the resulting durational accent on the third eighth-notes of these bars conjures up a tentative restarting of motion—tentative because the potential anacrusis are still prevented from fulfilling their normal forward-moving function. The following restoration of anacrustic function to the previously frozen third eighth-notes suggests the resumption of the normal whirring action of the spinning-wheel.

Example 3 – The spinning wheel resumes
(from “Gretchen am Spinnrade,” D. 118)

The musical score for Example 3 consists of two systems. The first system shows the vocal line and the piano accompaniment. The vocal line has the lyrics "und ach, sein Kuss!". The piano accompaniment features a steady sixteenth-note pattern in the right hand and a bass line with tied notes and a "6" layer. Dynamics include "fz" and "pp". The second system shows the continuation of the piano accompaniment, with the bass line featuring tied notes and a "6" layer.



Translation: "and ah, his kiss! My peace is gone, my..."

Apropos "frozen," in *Winterreise*, displacement dissonance contributes to the imagery of natural phenomena not mysteriously moving, rustling, and flowing but instead locked into a chilled and icy state. In "Gefrorene Tränen," it is the wanderer's tears that are frozen. The song is dominated by displacement by one quarter note (Example 4). Durational and dynamic accents on the second quarter notes of measures abound; that is, points that would normally be active (moving ahead to a stronger third beat) are here immobilized. What better way to suggest tears that freeze as they flow down the protagonist's cheeks?

Example 4 – Frozen tears (from *Winterreise*, D. 911)



One final instance of pictorial representation is shown in Example 5: in "Der Einsame," Schubert represents the tumult of the outside world with a two-voice canon whose entries lie a quarter-note apart; this canon results in a displacement of the metrically aligned four-eighth-note layer, further enhanced by dynamic accents in the

bass. This moment of strong metrical dissonance stands out against the cozy atmosphere of the song up to this point; one might say that it feels foreign to the song, just as the turbulent outside world is alien to the hermit who has rejected its blandishments.

Example 5 – The bustle of the noisy world
(from “Der Einsame,” D. 800)

The musical score for Example 5 consists of a vocal line and a piano accompaniment. The vocal line is in 3/4 time and features a sixteenth-note pattern with accents. The piano accompaniment is in 3/4 time and features a sixteenth-note pattern with accents. The lyrics are: "in dem Schwarm der lau - ten Welt das ir - re Herz ge - fes - selt hält, gibt nicht Zu - frie - den -".

Translation: “[That which] in the swarm of the noisy world holds the errant heart in bondage does not offer contentment.”

Many metrical dissonances in Schubert’s songs represent not physical objects or activities but internal, spiritual phenomena—particularly inner upheavals and tensions. Clearly, a state of metrical non-alignment or dissonance is appropriate for the musical representation of a conflicted emotional state. Schubert’s subtle use of displacement dissonance throughout “Gretchen am Spinnrade,” for example, suggests not only the physical phenomena mentioned earlier but also Gretchen’s restlessness (Example 3). The highest notes within the pervasive sixteenth-note pattern, that is, the registral accents within each group of six sixteenths, are never aligned with strong beats and thus create a displaced layer. This is a relatively weak dissonance—but how much blander the song would sound if the registral accents consistently fell on the strong beats (e.g. if the sixteenth-note figure after “Kuss” consisted of the notes C^{#4}-B^{b3}-A³-G³-A³-B^{b3})! The registral

pinpricks on the second sixteenths of each group add significantly to the “Unruhe” of the figure and of the song as a whole.

Example 6 shows further examples of Schubert's evocation of emotional turmoil through metrical dissonance. In “Die Männer sind mechant” (Example 6a), the protagonist is a young girl, betrayed by a philandering lover. The anger and pain arising from her disillusionment at discovering his faithlessness are suggested by displacement dissonance in all piano solo passages; displaced layers are created by dynamic and durational accents on the third, sometimes also the second, notes of groups of three eighth-notes. In “Der Jüngling und der Tod” (Example 6b), accents on weak eighth notes (created by dense right-hand chord as well as dynamics) appear as “namenlosen Qualen” are mentioned. The resulting displacement dissonance is certainly intended to represent the nameless tortures. The stabs of displacement at the opening of a little known setting of “Wer nie sein Brot mit Tränen aß” (Example 6c) may have a similar association with the Harfenspieler's pain. They also, however, suggest his state of rebellion against the gods and the manner in which they run the world; we could equate the metrical layers of the song with the prevailing world order, and the displaced layer with the Harfenspieler's revolt against that order.

Example 6 – Metrical dissonance representing emotional conflict

a) Beginning of “Die Männer sind mechant!” D. 866/3

The musical score is for the beginning of Schubert's song "Die Männer sind mechant!". It is in 6/8 time and marked "Etwas langsam" (somewhat slow). The score consists of a vocal line and a piano accompaniment. The vocal line begins with a whole rest, followed by a series of eighth notes. The piano accompaniment features a prominent eighth-note triplet pattern in the right hand, with a dynamic marking of *mf* (mezzo-forte). The bass line provides harmonic support with chords and single notes. The score includes a first ending bracket and concludes with "etc.".

b) From “Der Jüngling und der Tod,” D. 545

1 = 



letz-ten Strahl ent-flie - hen! Ach die - se na-men-lo - sen Qua-len mei-den und

weit in schön'-re Wel - ten zieh'n, und weit in schön'-re Wel - ten zieh'n!

Translation: “[Oh, could I] take flight with [the sun’s] last beam! Ah, [could I] escape from these nameless tortures and go far away into more beautiful worlds!”

c) Beginning of “Harfenspieler,” D. 480

1 =  Etwas geschwind



Etwas geschwind

Wer

d) From "Im Frühling," D. 882

1 = ♩

blau - e Him - mels - bild.

Es

mf etc.

wan - deln nur sich Will' und Wahn, es wech - seln Lust und Streit; vor -

Translation: "the blue reflection of heaven. Will and delusion are changeable, pleasure and conflict constantly alternate."

e) From “Im Frühling,” D. 882

1 = 



pp 4 4 4 4 etc.

wär' ich doch ein Vög - lein nur dort an dem Wie - sen - hang, dann

Translation: “Oh, if only I were a little bird there on the meadow, then...”

In the emotionally most intense strophe of the text of “Im Frühling” (Example 6d), the protagonist bemoans the fleeting nature of love’s joy and the endurance of his unreturned love and of the pain that it brings. Schubert reflects the emotional tension by switching to the minor mode, but also by initiating a displacement dissonance in the form of consistent syncopation in the piano’s right hand. In the less somber final strophe (Example 6e), Schubert reverts to the major mode—but he allows the displacement dissonance of the preceding strophe to continue (now in the left hand), as if to represent the continuing pain of love.

Nowhere does Schubert use metrical dissonance more effectively to suggest emotional conflict than in his two completed song cycles. A rare instance of higher-level grouping dissonance is found in “Der Neugierige” from *Die schöne Müllerin* (Example 7a): as the protagonist describes his troubled, insecure state, repetition of a four-eighth-note pattern results in a 4-layer that is incongruent with the metrical six-eighth-note layer; metrical ambiguity mirrors inner uncertainty.

Example 7 – Metrical dissonance in *Die schöne Müllerin*

a) From “Der Neugierige”

1 = ♩

6 6 6 6

nein, die bei-den Wört-chen schlie-ßen die gan-ze Welt mir ein, die

cresc.

4 4 4 4

Translation: “[Yes’ is one word, the other is] ‘no’; these two words encompass my entire world.”

b) End of “Der Müller und der Bach”

1 = ♩

3 3 3 3 3 3

sin-ge_nur_ zu, ach Bäch-lein, lie-bes Bäch-lein, so sin-ge_nur_ zu.

7

3 etc.

Translation: “just keep on singing, ah little brook, dear little brook, just keep on singing.”

c) Beginning of “Des Baches Wiegenlied”

1 = ♩ Mäßig

Mäßig

4 4 4 4 etc.

The two final songs of *Die schöne Müllerin* illustrate the subtle use of resolution of metrical dissonance. The dialogue between the miller and the brook in the penultimate song (during which the miller for one last time alludes to the pain that love brings) is set to pervasive displacement in the form of persistent durational accents on the second beats of the three-eight bars (see the first staff of Example 7b). This displacement is resolved in the piano postlude—the point at which the miller presumably seeks rest and relief in the depths of the brook. The brook’s final lullaby (Example 7c) is obsessively consonant in terms of meter; all strong beats are accented. The miller is at rest; his emotional turmoil has ended. It is therefore appropriate that metrical dissonance yields to consonance.

Even more striking is Schubert’s use of metrical dissonance in *Winterreise*. I have already mentioned that some metrical dissonance in the cycle is representative of physical phenomena—but the representation via metrical dissonance of emotional conflict is immeasurably more significant here. Susan Youens correctly associates offbeat dynamic accents with “mental turmoil, . . . stumbling footsteps and straying” and convincingly describes the powerful emotional effect of metrical disturbances and their occasional resolutions.⁷ But her discussion can be

⁷ Susan Youens, *Retracing a Winter’s Journey*, 75, 108-10.

expanded in a number of ways. First, Schubert's use of displacement is not restricted to *dynamic* accents; sometimes he uses milder, but nonetheless clearly perceptible accent types, particularly durational accents, to create displacement dissonance. If we take these milder accents into account, we realize that displacement is much more pervasive in this cycle than Youens indicates. Second, to Youens's discussion of possible meanings of the displacement dissonance in this work, I would add that as in "Harfenspieler" it suggests the out-of-tuneness of the protagonist with the world around him. We can map the notated meter onto normalcy, and the persistent displacement onto the protagonist's non-alignment with this normalcy. Displacement suggests his role as an outcast, a misfit. It may well be *this* connotation of displacement that accounts for its pervasiveness in this cycle.

A number of examples of displacement in *Winterreise* are shown in Example 8. In the piano introduction and other solo piano passages of the first song, "Gute Nacht," Schubert already confronts us with a musical image of conflict by placing bludgeoning dynamic accents – but also registral accents and accents of ornamentation – on the final and metrically weakest eighth-notes of bars (Example 8a). Examples 8b to 8i provide a sampling of metrically dissonant openings of later songs of the cycle. All of them illustrate displacement dissonance, mostly in the form of the weak-beat dynamic accents already discussed by Susan Youens.⁸ I have provided one example (8d) in which the displaced layer is formed by durational accents and where the metrical dissonance is therefore less intense than in the other examples. Similar examples of displacement created by weak-beat durational accents may be found at the opening of "Der greise Kopf," "Der stürmische Morgen," and "Die Nebensonnen." If we take such weaker displacement dissonance into consideration, we can state that metrical dissonance is present in virtually every song of the cycle.

⁸ Ibid.

Example 8 – Metrical dissonance in *Winterreise*

a) Beginning of “Gute Nacht”

1 = ♩ Mäßig

Mäßig

4 4 4 4 4

fp *fp*

b) Beginning of “Erstarrung”

1 = ♩ Ziemlich schnell

Ziemlich schnell

4 (4) 4

3 3 3 3 3 3 3 3 3 3 3 3

4 4 4

c) Beginning of “Wasserflut”

1 = ♩ Langsam

Langsam

3 3 3 3

p

3 3 3 3

d) Beginning of "Irrlicht"

1 = ♩ Langsam

Langsam

In die tief - sten

Translation: "Into the deepest [crevices of the cliffs, a will-o-the-wisp has led me.]"

e) Beginning of "Rast"

1 = ♩ Mäßig

Mäßig

f) From "Frühlingstraum"

1 = ♩ Schnell

Schnell

Und als die Häh - ne kräh-ten, da ward mein Her - ze wach; nun

Translation: "And when the cocks crowed, my heart awoke"

g) Beginning of “Letzte Hoffnung”

1 =  Nicht zu geschwind





Nicht zu geschwind

2 2 2 2 2 2 2 2 2 2 2 2

2 2 2 2 2 2 2 2 2 2 2 2

h) Beginning of “Im Dorfe”

1 =  Etwas langsam



Etwas langsam 12 12

12 12

i) Beginning of “Mut”

1 =  Ziemlich geschwind, kräftig



Ziemlich geschwind, kräftig Fliegt der_Schnee

4 4 4 (4) 4

4 4 4 4 4

Translation: “If the snow flies [into my face]”

j) End of “Der Leiermann”

The musical score is in 3/4 time and consists of two systems. The first system shows the vocal line and piano accompaniment for the first five measures. The vocal line starts with a quarter rest, followed by a quarter note G4, and then a series of eighth notes: A4, B4, C5, B4, A4, G4. The piano accompaniment features a steady eighth-note pattern in the right hand and a bass line with chords in the left hand. The second system continues the vocal line with the lyrics 'Willst zu mei-nen Lie-dern dei-ne Lei-er drehn?...' and shows the piano accompaniment with dynamic markings *f*, *p*, and *pp*. The score includes various annotations such as '1 = ♩', '2', '3', and '(2)' above the vocal line, and '3' above and below the piano accompaniment, indicating specific rhythmic groupings.

Translation: “Strange old man, shall I go with you? Will you turn your hurdy-gurdy to my songs?”

Unlike in *Die schöne Müllerin*, there is no resolution of metrical dissonance at the end of *Winterreise*. Arnold Feil and Susan Youens have pointed out that the contour of the vocal line of the last song, “Der Leiermann,” suggests duple grouping against the static three-four articulated by the piano part—that is, a grouping dissonance.⁹ Example 8j shows this dissonance, analyzed using my approach, within the conclusion of the vocal portion. To Feil’s and Youens’s comments, I add the observation that the song is riddled with displacement dissonance, in the form of dynamic

⁹ Ibid., 302-3; Arnold Feil, *Franz Schubert*, 148.

and durational accentuation of second beats of three-four bars. As Example 8j demonstrates, even the final measures of the song contain this displacement; the single metrically aligned final chord does not suffice to resolve the dissonance. The *Winterreise* wanderer, unlike the miller in *Die schöne Müllerin*, finds no peace in death; he is doomed to wander forever, hopeless, in a frozen wasteland. It is therefore appropriate that at the end of this cycle metrical dissonance remains unresolved.

We have looked at numerous examples in which Schubert employs metrical dissonance to depict physical or emotional elements. The interweaving of non-aligned layers in small note values, particularly incongruent layers (usually 2 against 3) often suggests quick, subtle motions in nature (the flowing of a stream with its myriad splashes, or the miniscule motions of leaves stirred by the wind). Displacement dissonance, particularly in the form of consistent durational accents at normally active and forward-moving points of a measure, suggests motion that is halted or restrained. Recurrent *dynamic* accents on metrically weak beats, on the other hand, often seem to represent stabs of pain. Metrical dissonances—metrically aligned layers in combination with non-aligned layers—suggest conflict, and Schubert indeed frequently uses displacement dissonance in association with texts that are concerned with someone who is in conflict with his or her environment.

Metrical dissonances in Schubert's songs may, however, have purely musical functions instead of, or in addition to, representational functions. In *Winterreise*, for instance, the dissonances, beyond their various text-related connotations, also assume a motivic function: particular displacement dissonances recur frequently. All of the songs in triple time, for example, involve displacement by one quarter-note beat ("D3+1" in my labelling system); this motivic dissonance is illustrated in Examples 8c, 8d and 8j. This displacement not only recurs but is developed in interesting ways. In "Der Lindenbaum," for instance, D3+1 appears frequently in the form

just mentioned—but in addition, one of the accompaniment patterns in the song is based on a diminution of this dissonance. The second notes within groups of three triplet sixteenths are consistently registrally accented—a diminution of the dissonance in which the second beat of a three-four bar is accented. Many other examples of motivic dissonance, and of development of such dissonances, exist in this cycle. The metrical motives contribute significantly to cyclic coherence—a point that is particularly noteworthy in connection with *Winterreise*, because other kinds of musical unification (pitch motives and a coherent key scheme) are absent.

Additional examples of the purely musical function of metrical dissonance can be found in a particularly interesting sub-group among Schubert's songs, namely his tonally deviating songs—those that begin in one key and end in another. I mention just two of many examples.¹⁰ Metrical dissonance may act as a highlighter of significant moments within the tonal drama of such unusual songs. In “Die verfehltete Stunde” (Example 9), which begins in F minor and ends in A \flat major, the moment at which the final tonic is brought into play is highlighted by intense metrical disruption. The metrical quadruple layer is entirely obscured here. A registral and durational accent, as well as the harmonic change on the second beat of the second bar of Example 9a suggests that this beat is the downbeat. The following varied repetition of the opening segment adds to the

¹⁰ For discussions of Schubert's tonally deviating songs, see Harald Krebs, “Alternatives to Monotonicity in Early 19th-Century Music,” *Journal of Music Theory* 25/1 (1981): 1-16; “The Background Level of Some Tonally Deviating Works of Franz Schubert,” *In Theory Only* 8/8 (1985): 5-18; “Third Relation and Dominant in Late 18th- and Early 19th-Century Music” (Ph.D. diss., Yale University, 1980); “Tonart und Text in Schuberts Liedern mit abweichenden Schlüssen,” *Archiv für Musikwissenschaft* ILVII/4 (1990): 264-71. These songs have garnered some interest in recent scholarship as well, notably in Matthew Steinbron's dissertation “Polyfocal Structures in Franz Schubert's Lieder” (Ph.D. diss., Louisiana State University, 2011).

sense of metrical disruption: an extra beat shifts the aforementioned registral and durational accents and the harmonic change to the third beat. Since the third beat is one of the accented beats of the prevailing four-four meter, this shift would appear to provide a sense of resolution (and after this point, the meter is in fact quite clear). At the moment when it appears, however, this shift results in considerable metrical confusion. Another way to parse Example 9a is to show a rudimentary five-quarter-note layer superimposed on the notated four-quarter-note layer, with five-quarter durations starting on the vocal Eb⁵ at the beginning of Example 9a and at the F5 in the second bar of the example. The layer is not fully realized because there are only two five-quarter segments (I regard three as the minimum for the full-fledged emergence of a metrical layer), and because the fermata obscures the first five-quarter duration. Nevertheless, the implied five-quarter grouping results in intense metrical conflict, which highlights a significant structural point within in the song.

Example 9 – Structural uses of metrical dissonance in tonally deviating songs

a) From “Die verfehltete Stunde,” D. 409

1 = ♩ 5? Schnell 5? 4?

nen? Süß be-rauscht in Thrä-nen an des Lie-ben Brust mich leh-nen,
de. Treu im sel'-gen Bun-de an des Lie-ben Brust mich leh-nen,

Schnell

p *mf*

4? 4?

Translation (by Sharon Krebs; used by permission):

“Sweetly intoxicated by tears to lean upon my beloved’s breast...”

“Faithful in the blessed bond to lean upon my beloved’s breast...”

b) "Trost," D. 523

1 = **Langsam, mit schwärmerischer Sehnsucht**
(4)

Nim - mer lan - ge weil' ich hier, kom - me bald hin - auf zu dir;
Kom - me bald hin - auf zu dir; Schmer - zen, Qua - len, für und für'

Langsam, mit schwärmerischer Sehnsucht

7 (4)

tief und still fühl ich's in mir; nim
tief wü then in dem Bu - sen mir; kom - - mer me

12 **fp**

lan - ge weil' ich hier.
bald hin - auf zu dir.

Translation (by Sharon Krebs; used with permission):

*“Not much longer shall I tarry here,
Soon I shall rise up to you;
Deeply and quietly I feel it within me:
Not much longer shall I tarry here,*

*Soon I shall rise up to you;
Pain, agony, forever and ever
Rage within my bosom;
Soon I shall rise up to you.”*

In “Trost” (Example 9b), brief displacement dissonances within the vocal line are associated with crucial turning points within the overall progression from the opening tonic of G# minor toward the final tonic of E major. A registral and durational accent on the second beat of m. 3 ushers in the establishment of the dominant of the final key. A durational accent on the final eighth note of m. 10 highlights the initiation of the V-I progression that introduces the final tonic itself. Both displacements used at the points that turn toward the final tonic (displacement by one eighth note, and by one quarter note) occur again within the final E-major passage (mm. 13 and 14, respectively), as if to clinch the connection between displacement and the final tonic.

As I mentioned, metrical dissonance in Schubert’s Lieder is less obvious than in those of later 19th-century composers. Nevertheless, the examples presented here reveal that Schubert is a pioneer of the powerful application of metrical dissonance in the Lied, and that his skill at subtly manipulating this device for text-expressive and structural purposes was no less remarkable than that reflected in his manipulation of harmony and tonality.

Johanna Kinkel's Pedagogical Approaches as a Socio-Political Mirror of Her Time

Anja Bunzel

ABSTRACT

Throughout her lifetime, Johanna Kinkel (1810-1858), a German composer, music pedagogue, and writer, was acknowledged for the extraordinary support of her husband, the German revolutionary Gottfried Kinkel (1815-1882), who, with the help of his wife and several political confederates, escaped from political captivity in 1850. Johanna Kinkel's reputation as Gottfried Kinkel's life saver as well as her own exceptional biography eclipsed her artistic output as well as her pedagogical and theoretical writings. Johanna Kinkel's strong sense of justice, her remarkable perseverance, her courage to question socio-political and cultural conventions, as well as her witty Rhineland character are reflected in both her fictional and non-fictional writings. Having taught more than 200 music students during her lifetime, Kinkel was a well-experienced piano and singing teacher. This article will examine Johanna Kinkel's pedagogical ideas considering both technical aspects as well as features regarding the factual content. By means of exemplary content analysis, I will expose allusions to socio-political criticism in Kinkel's pedagogical compositions as well as her non-fictional and fictional writings. The aim of this article is to ascertain how Kinkel's involvement in politics and her unconventional mind set had an impact on her pedagogical approach, which in turn might have influenced her reception as an artist and pedagogue.

*“But the teacher must not disregard the influence
of marriage on all women’s learning”.¹*

As a woman of the nineteenth century, Johanna Kinkel (1810-1858) stands out as extraordinary.² Her ordeal of getting divorced from a Catholic tyrant, of converting to the Protestant faith and marrying the Protestant theologian Gottfried Kinkel (1815-1882) has been documented by both Kinkel’s contemporaries and recent scholars.³ Kinkel’s role as the wife of a like-minded revolutionary and a mother of four children has been discussed just as much as her aversion to the household chores and typical female activities such as needlework and cooking.⁴ However, her artistic biography is relatively unexplored even though she produced more than

¹ Johanna Kinkel, *8 Briefe an eine Freundin über Clavier-Unterricht* (Stuttgart & Tübingen: Cotta, 1852), 16. Original citation: “Aber der Lehrer darf nicht außer Acht lassen, welchen Schritt in alles Lernen der Frauen die Heirath macht.” Unless otherwise noted, all translations are my own.

² A shorter version of this essay was first presented at the Annual Conference of the Society for Musicology in Ireland (SMI) in June 2013. I wish to extend my sincere thanks to the SMI for giving me the chance to read this paper, which resulted in numerous inspiring remarks by experienced scholars. Furthermore, I wish to extend my deepest gratitude and appreciation to those involved in the process of academic fine-tuning of this article, especially Dr. Lorraine Byrne Bodley, Dr. Antonio Cascelli, Dr. Laura Watson, and the editorial board of *Musicological Explorations*. Finally, I wish to thank the Irish Research Council for their generous support of my research.

³ For example, Fanny Lewald, *Zwölf Bilder nach dem Leben* (Berlin: Otto Janke, 1888), 3ff.; Clara G. Ervedosa, “Johanna Kinkel,” in *Vom Salon zur Barrikade: Frauen der Heinezeit*, ed. Irina Hundt (Stuttgart and Weimar: Metzler, 2002), 323-335; Monica Klaus, *Johanna Kinkel: Romantik und Revolution* (Cologne: Böhlau, 2008), 15ff.

⁴ Cf. Monica Klaus, *Johanna Kinkel: Romantik und Revolution* (Cologne: Böhlau, 2008), 4ff.

ninety compositions,⁵ directed the *Bonner Gesangverein*, and wrote a remarkable number of pedagogical works. Although a significant portion of Kinkel's compositional oeuvre was performed and published during her lifetime, she was not able to make a living from it. Untypically, however, she had to contribute to the finances of the household over a long period of the Kinkels' joint life, as Gottfried Kinkel's marriage to a divorced, converted Catholic woman, as well as his democratic worldview, disadvantaged his professional career to a great extent. Music teaching and piano lessons seemed to be the major source of income for the Kinkels, but the total number of students depended upon Johanna's reputation, which was influenced by her own as well as her husband's political activities. Up until the end of 1848, Johanna Kinkel had participated in the democrats' revolution only passively by supporting her husband's ideologically driven speeches, foundations and trips.⁶ However, numerous intrigues and aspersions, which resulted in the loss of all of her piano students, motivated Kinkel to participate more

⁵ Kinkel published 80 lieder; a choral work, *Hymnus In Coena Domini*; and two singing methods. Most of her stage works remained unpublished: *Vogelkantate* (Op. 1); *Die Landpartie* (unpublished); *Savigny und Themis oder die Olympier in Berlin* (unpublished); *Verrückte Komödien aus Berlin* (manuscript missing); *Das Malzthier* (unpublished); *Otto der Schütz* (unpublished); *Die Assassinen* (unpublished); *Jubiläum des Großvaters* (unpublished); *The Baker and the Mice* (manuscript missing); *Die Fürstin von Paphos* (manuscript missing). Besides these musical works, Kinkel also published numerous novellas and a two-volume novel, *Hans Ibeles in London*.

⁶ Gottfried Kinkel gave his first public speech favouring a democracy on 20 March 1848, at Bonn City Hall. On 27 March, he established a *Central-Bürgerversammlung* [Central Assembly of the Citizens], followed by his petition for craftsmen on 19 April; the establishment of the *Handwerkerbildungsverein* [Craftsmen's Educational Association] and the establishment of the *Demokratischen Verein* [Democrats' Association]. On 6 August, Gottfried Kinkel took on the editorship of the *Bonner Zeitung*, Bonn's only democratic newspaper and on 15 November, he appealed for tax refusal in the public.

actively in the current politics. On 6 December 1848, she published her “Demokratenlied” [“Democrats’ Song”] (advocating the fight for a ‘red monarchy,’ i.e. a republic) in the democrats’ daily newspaper *Bonner Zeitung* that was edited by Gottfried Kinkel; shortly after, on 16 December 1848, the song was published as an individual work by the music publisher Sulzbach, which enabled a rapid distribution of the piece and long-term public access to the composition.⁷

Through consideration of Kinkel’s pedagogical compositions as well as her fictional and non-fictional writings, this article will ascertain Kinkel’s engagement with the political, cultural, and musical thought of her time, which she both challenged and conformed to. In this paper I will examine Kinkel’s pedagogical works, analyse her theoretical writings about teaching and her music-historical lectures. Finally, I will discuss how and why Kinkel’s works attracted a certain socio-political taste group, which in turn influenced her reception as an artist and pedagogue.

Johanna Kinkel’s *Anleitung zum Singen* / Songs for Little Children (Opus 20)

Kinkel devoted two opuses to specifically pedagogical purposes, namely the instructive exercises *Anleitung zum Singen* / *Songs for Little Children* (Opus 20) and *Tonleitern und Solfeggien* / *Solfeggios for the Contralto Voice* (Opus 22). Opus 20, published in 1849, was composed during 1848 and includes twenty-six short pieces for children between the ages of three and seven. The work could be considered a cycle, leading young singers through an entire calendar year and covering major festivities such as Easter,⁸

⁷ Johanna Kinkel, “Demokratenlied” (Bonn: Sulzbach, 1848).

⁸ “Vom Osterhääschen” [“About the Easter Bunny”], No. 7.

Christmas,⁹ seasonal specialties,¹⁰ as well as important dates in the Kinkels' calendar, such as family birthdays.¹¹ In her preface to this opus, Kinkel recommends adjusting names and places mentioned in the songs according to the personal circumstances of the student.¹² Furthermore, the opus is a musical record of Gottfried Kinkel's political activities during the summer of 1848, as reflected by the Lied "Von der Bürgerwache" ("About the vigilance committee," No. 10). This song tells the story of a man going out to war from his son's point of view. The son, who still likes to sit on the mother's knee, promises to himself that, "once [he] is grown-up, [he] will fly the flag in black, gold and red and die for the sake of freedom."¹³ According to Monica Klaus, this piece was not only sung by Kinkel's own children, but it also made its way quickly into the public life of Bonn.¹⁴

Kinkel seemed to pursue two objectives within her Opus 20: first, she wanted to help her own children, as well as children of the revolutionary middle class, to psychologically process their father's absence from everyday life for the sake of politics; second, and perhaps more importantly, Kinkel wanted to impart basic knowledge

⁹ "Vom Christkindchen" ["About Santa Claus"], No. 25.

¹⁰ "Vom Hääschen höp höp höp" ["About the Rabbit Hop Hop Hop"], No. 22, dealing with the hunting season; "Vom Haselnüsschen" ["About the Hazelnut"], No. 19, telling from the harvest of nuts and grapes.

¹¹ "Geburtstagsliedchen für die Großmama" ["Birthday Song for Grandma"], No. 15; and "Geburtstagsliedchen für den Vater" ["Birthday Song for the Father"], No. 16.

¹² Johanna Kinkel, *Anleitung zum Singen* (Mainz: Schott, 1849), 1.

¹³ Original citation: "Jetzt sitz' ich gern noch auf dem Schoß, doch das wird anders bin ich einmal groß, dann schwing' ich hoch die Fahne schwarzgolthroth und für die Freiheit geh ich in den Tod."

¹⁴ Monica Klaus, *Johanna Kinkel*, 163-164.

of the seasons, nature and good manners,¹⁵ as well as teach virtues, encouraging the children's willingness to listen to and respect their seniors such as parents,¹⁶ grandparents,¹⁷ and even the doctor.¹⁸ Such didactic principles seemed to be of more importance to Kinkel than the professional training of the voice, which could also be attributed to the very young age at which the children were supposed to use this singing method. When the work was published in 1849, shortly after Gottfried Kinkel's imprisonment due to subversive behavior, the *Neue Zeitschrift für Musik* highly recommended the purchase and practice of Kinkel's method. The review not only stressed that "the widow of the unfortunate poet ... will now have to feed her family on her own,"¹⁹ but also highlighted the suitable vocal range of no more than a sixth in any one song and the tasteful piano accompaniments of the songs.²⁰

¹⁵ The best example of Kinkel's aim to advise the children to behave themselves is the last song of the collection, "Vom Brummstälchen" ["About the Mumbler's Barn"], No. 26, in which all naughty children are kept in a barn separate from their mothers until they stop mumbling.

¹⁶ "Vom guten Vater und der lieben Mutter" ["About the Good Father and the Beloved Mother"], No. 1.

¹⁷ "Vom Großvater" ["About the Grandfather"], No. 2; "Von der Großmutter" ["About the Grandmother"], No. 3.

¹⁸ "Vom Doktor Velten" ["About Doctor Velten"], No. 5.

¹⁹ "Gesangschulen," *Neue Zeitschrift für Musik* 27 (30 September 1849): 141. Original citation: "Die Witwe des unglücklichen Dichters, denn so darf man sie nennen, wird nun die alleinige Ernährung ihrer Familie bleiben, welches schon allein ein hinreichender Grund wäre, dieses Werk zu empfehlen."

²⁰ Interestingly, the *Neue Zeitschrift für Musik* mentions the words dealing with the good father and the beloved mother, with Santa Claus, the hazelnuts, granddad, the fat pug dog and the good poodle, but it never refers to the Lied about the vigilance committee or the song "Vom Spektakel" ["About the Racket"], No. 11, which encourages children to be loud and confident.

Johanna Kinkel's *Tonleitern und Solfeggien für die Altstimme / Solfeggios for the Contralto Voice (Opus 22)*

In contrast to Kinkel's Opus 20, her Opus 22 does not contain any pedagogic material of moral value, but instead concentrates purely on vocal training through scales and solfeggios. In the preface to Opus 22, Kinkel criticizes overly ambitious methods, which might overstrain the singers' voices and patience, and advises the student to progress in small steps.

There are many talented musical students, who, being very fond of Singing [*sic*], though not gifted with a strong voice, would be happy to commence vocal practice, if most Solfeggios [*sic*] published till now, did not require too great an extension of voice.²¹

This statement reflects Kinkel's business concept as, when she published this singing method in 1852, she was a resident of London, trying to make a living from teaching. According to her own notes, London was crowded with excellent unemployed teachers and untalented students who wanted to become brilliant singers.²² To that effect, it was smart to preface an exercise book with such encouraging words.

Interestingly, Johanna Kinkel was not the first teacher to criticize overly ambitious attempts in training young students' voices. Abbé Mainzer, in 1831, raises a similar point in his *Singschule oder praktische Anweisung zum Gesange*. Unlike Johanna Kinkel,

²¹ Johanna Kinkel, *Opus 22: Tonleitern und Solfeggien für die Altstimme / Solfeggios for Contralto-Voice* (London: Schott, 1852), 1. Kinkel's work includes a German and an English preface juxtaposed in columns on page one; the quotation above has been taken from the English original.

²² Johanna Kinkel, *Musikalisches aus London*, no date, Universitäts- und Landesbibliothek (ULB) S 2391, 6 & 17.

who composed less challenging singing exercises for young voices, Mainzer recommends that children at a young age should attend only school lessons and not private lessons, as children “participate in the lessons without the slightest effort and they do not—as in private lessons—try to sing along in excess of their own strengths.”²³ However, Mainzer’s advice against private lessons disregards gender equality, which is discussed by Johann Adam Hiller.²⁴ As early as 1774, in the preface to his *Anweisung zum musikalisch-richtigen Gesange*, Hiller argues:

Singing lessons at school are deficient, as they do not include girls. Their first aim is to cultivate singers for the church. And following a ridiculous prejudice, one excludes women from something to which they could contribute with greatest elegance, and to which they are entitled just as much as those shouting falsetto alto and soprano voices of bearded or unbearded boys. Even if women cannot be raised to be church singers, would they not be able to use this ability to sing outside of the church? Would we not have been able to raise the odd great female singer, who would have tried her luck abroad and who would have brought

²³ Abbé Mainzer, *Singschule oder praktische Anweisung zum Gesange verbunden mit einer allgemeinen Musiklehre* (Trier: Mainzer, 1831), p. ix. Original citation: “Nur der Gesangsunterricht in Schulen ist daher auch für Kinder des zarteren Alters angemessen, weil dieselben hier nur spielend am Unterricht teilnehmen, indem sie nicht, wie beim Privatunterrichte, mitzusingen, mithin oft über ihre Kräfte sich anzustrengen gehalten sind“.

²⁴ Johann Adam Hiller (1728-1804) was a German composer, who also contributed a great number of writings to music pedagogics and aesthetics. With his outstanding organizational ability and his generous personality, he enriched the musical life in Leipzig, where he resided from 1751 until the end of his life. Cf. Anna Amalie Abert & Thomas Baumann, “Hiller, Johann Adam,” in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 2nd edition, Vol. 11, (London: Macmillan, 2001), 512.

honor to her home country? And if this is true, why do we neglect the girls' musical education?²⁵

Although the educational system experienced a massive change with the education reform introduced by Wilhelm von Humboldt in 1810,²⁶ Johanna Kinkel's own struggle as a young girl in developing her musical skills beyond the standards of a bourgeois daughter shows that gender equality was by no means taken for granted.²⁷ This might have encouraged Kinkel to compose singing methods for small girls and boys that were easy to apply to

²⁵ Johann Adam Hiller, *Anweisung zum musikalisch-richtigen Gesange, mit hinlänglichen Exempeln erläutert* (Leipzig: Johann Friedrich Junius, 1774), no pagination. Original citation: "Beym Studiren des Gesanges auf Schulen findet sich auch noch das Mangelhafte, daß das weibliche Geschlecht gar keinen Antheil daran hat. Der nächste Endzweck ist daselbst, Sänger für die Kirche zu ziehen; und einem albernen Vorurtheile zu Folge schließt man Frauenzimmer von einer Sache aus, deren vornehmste Zierde sie seyn könnten, und zu der sie gewiß ebenso viel Recht haben, als jene überschriene und fistulirende Sopran- oder Altstimmer bärtiger oder unbärtiger Knaben. Aber wenn nun auch Frauenzimmer zur Kirchenmusik nicht gezogen werden könnten, sollte ihnen denn die Geschicklichkeit in der Musik, und besonders im Singen, nicht auch außer der Kirche nützen? Hätte nicht manche gute Sängerin schon können gezogen werden, die ihr Glück in der Welt gefunden, und ihrem Vaterlande Ehre gemacht hätte? Und wenn das ist, warum vernachlässigt man denn den musikalischen Unterricht so gänzlich bey dem weiblichen Geschlechte?"

²⁶ Wilhelm von Humboldt (1767-1835), German jurist, appointed Direktor der Sektion für Kultus und Unterricht im Preußischen Ministerium des Innern ["Prussian Minister for culture and education"] in 1809. In the context of the Prussian Reforms in 1809-1810, Humboldt enforced an educational reform, which aimed for a more humanistic education for boys and girls of all social backgrounds. Humboldt introduced the nationalisation of the schools as well as the compulsory education. Cf. Helmut Müller et al., *Deutsche Geschichte in Schlaglichtern*, 2nd edition (Mannheim, Vienna, Zurich: Meyers Verlagsbuchhandlung, 1990), 137.

²⁷ For Kinkel's constant struggle with her rather conventional mother see Monica Klaus, *Johanna Kinkel*, pp. 3ff.

(even for less experienced teachers) and were taught in a playful manner.

The structure of Kinkel's Opus 22 is quite clear. Each exercise consists of two parts: a scale and a solfeggio. It can be characterized as a very broad training of musicality, not only focusing on correct intonation, but also introducing the student to melodic ornamentations, different meters and rhythms, dynamics, accents, tempi and pacing. The exercises also enable the teacher to introduce the young singer to different styles of piano accompaniment, simple contrapuntal constructions, and to draw attention to several harmonic characteristics.

Johanna Kinkel's notes and letters on teaching

The combination of theory and practice appears to be extraordinarily important to Kinkel. In her *Acht Briefe an eine Freundin über Clavier-Unterricht / Eight Letters to a Friend on Piano Teaching* published in both English and German in 1852, she advises the teachers to "analyze an excellent composition in front of the students from time to time in order to raise their awareness of the inner structure of the composition."²⁸ Kinkel dedicates a whole chapter to the necessity of teaching music history and theory, as, in her opinion, it is "more important to raise a musical person than to increase the number of piano virtuosos, because these are, after the bravura singers, the least musical people in the world."²⁹ Kinkel's rather negative

²⁸ Johanna Kinkel, *Acht Briefe an eine Freundin über Klavierunterricht / Eight Letters to a Friend* (Stuttgart: Cotta, 1852), 9. Original citation: "Du mußt von Zeit zu Zeit eine ganz vorzügliche Composition vor solchen Schülern analysiren und sie nöthigen, ihre Aufmerksamkeit auf deren innern Bau zu richten."

²⁹ *Ibid.*, 12. Original citation: "Indeß bedenke, daß es wichtiger ist, den Schüler zu einem wirklich musikalischen Menschen zu bilden, als die Zahl der Claviervirtuosen zu vermehren, denn diese sind nächst den Bravoursängern die unmusikalischsten Personen auf der Welt."

attitude to virtuosity reflects the thinking of her time, as, according to Leon Plantinga, the financial abuse of the close relationship between music, virtuosi, reputation and profit was also uncovered by such contemporaries as Robert Schumann and Heinrich Heine.³⁰ It is not surprising, therefore, that Kinkel expresses her disfavor of Carl Czerny's teaching methods.³¹ James Deaville points out that Czerny "believed that virtuosity could be attained through industry and practice, when methodically pursued,"³² but Johanna Kinkel prioritizes musical understanding and theoretical knowledge over technical skills. In her novel *Hans Ibeles in London*, published posthumously by Gottfried Kinkel in 1860, Czerny is criticized for his automatism, as "his so-called 'Dexterity of the Fingers' drives all musical sense out of a player's soul, and it only leaves swift fingers."³³ This conforms to James Deaville's observation that, in the 1840s, the

³⁰ Cf. Leon Plantinga, "The Piano and the Nineteenth Century," in *Nineteenth-Century Piano Music*, ed. Larry Todd, 2nd edition (New York and London: Routledge), 9.

³¹ Carl Czerny (1791-1857) was an Austrian composer, pianist, theorist, historian and music pedagogue. Nowadays, he is widely known for his pedagogical studies and exercises, while his compositions are largely forgotten. His pedagogical works include both instructions focussing on contemporary performance practice and sound pedagogy. As a former student of Beethoven's, Czerny is also well-known for his attempt in preserving Beethoven's legacy with regard to both Beethoven's own works and his compositional and pedagogical principles. Cf. Stephan Lindeman & George Barth, "Czerny, Carl," in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 2nd edition, Vol. 6, (London: Macmillan, 2001), 824-827.

³² James Deaville, "A Star is Born? Czerny, Liszt, and the Pedagogy of Virtuosity," in *Beyond the Art of Finger Dexterity: Reassessing Carl Czerny*, ed. David Gramit (New York: University of Rochester Press, 2008), 58.

³³ Johanna Kinkel, *Hans Ibeles in London*, Vol. 1 (Stuttgart: Cotta, 1860), 364. Original citation: "Seine sogenannte 'Schule der Geläufigkeit' treibt alles an musikalischem Gefühl aus der Seele einer Spielerin, und lässt nur geschwinde Finger übrig."

expectations of a virtuoso were subject to “fundamental transformation of the virtuoso from a technician to an interpreter ... from a set of fingers to a personality.”³⁴ Like Hans Ibeles, the main protagonist in the correspondent novel, Johanna Kinkel recommends the study of basso continuo exercises as anti-venom to technical over-eagerness.³⁵

When Kinkel points out the importance of discussing harmonic relationships within music with the student, we are presented with a typical nineteenth-century naturalist perspective on gender. Kinkel stresses, “everything mathematical naturally constitutes a special difficulty for women”³⁶ and thus demands extraordinary patience. Another interesting point raised by Kinkel is that “the teacher must not disregard the influence of marriage on all women’s learning.”³⁷ Therefore, according to Kinkel, it is necessary “to arrange certain educational steps that enable dilettantes to consolidate their basic musical knowledge so that they will never ever forget what they have learned in the course of their life.”³⁸

Kinkel’s awareness of the nineteenth-century gender roles is also reflected in her explanation of the basic harmonic components of a sonata in that she uses the household as an allegory in order to humorously illustrate the role of the tonic (i.e. the husband), dominant (i.e. housewife), subdominant (i.e. the son), the mediants (i.e. the

³⁴ James Deaville, “A Star is Born,” 54.

³⁵ Cf. Johanna Kinkel, *Hans Ibeles in London*, Vol. 1, 364; and Johanna Kinkel, *Acht Briefe*, 13.

³⁶ Johanna Kinkel, *Acht Briefe*, 13. Original citation: “Alles Mathematische ist für die weibliche Natur mit einer besonderen Schwierigkeit verknüpft.“

³⁷ *Ibid.*, 15. For original citation see the page title of this essay.

³⁸ *Ibid.* Original citation: “Diese Rücksicht schon alleine macht es nöthig, für Dilettantinnen bestimmte Stufen anzuordnen, auf denen es möglich ist, sich so festzustellen, daß sie im Laufe des Lebens das Erlernete nicht mehr verlieren zu können.”

daughters) and the seventh chords (i.e. the neighbors).³⁹ In contrast to Carl Czerny, who, according to Deanna C. Davis, reminds female readers in his *Letters on the Art of Playing the Pianoforte* of their womanly role in society, and who asks the young ladies not to neglect their duties in the household for the sake of music,⁴⁰ Kinkel seems to criticize the gendered division of male and female activities, and mocks gender conventions. In accordance with this, the young maiden Meta Braun in Kinkel's novel *Hans Ibeles* philosophizes that "there are no female or male activities, but mechanical and intellectual activities."⁴¹ Kinkel expressed her disapproval of the nineteenth-century gender conventions on many occasions, especially after the successful divorce of her own first marriage. For example, in her *Erinnerungsblätter aus dem Jahre 1849* [*Memoires from 1849*], she states:

My first marriage is the story of thousands of my sisters, and the logical consequence of our social situation. Numerous women collapse under similar circumstances, while hardly anyone out of a whole generation has the courage to break free and rescue her better self.⁴²

³⁹ Ibid.

⁴⁰ Deanna C. Davis, "The Veil of Fiction: Pedagogy and Rhetorical Strategies in Carl Czerny's *Letters on the Art of Playing the Pianoforte*," in *Beyond the Art of Finger Dexterity: Reassessing Carl Czerny*, ed. David Gramit (New York: University of Rochester Press, 2008), 67-81, 75.

⁴¹ Johanna Kinkel, *Hans Ibeles*, 269. Original citation: "Es gibt meiner Ueberzeugung nach keine männlichen und weiblichen Arbeiten, sondern es gibt mechanische Arbeiten und Arbeiten der Intelligenz".

⁴² Johanna Kinkel, "Erinnerungsblätter aus dem Jahre 1848," in *Deutsche Monatsschrift für Politik, Wissenschaft, Kunst und Leben* 4 (1851): 98. Original citation: "Meine erste Heirath ist die Geschichte von Tausenden meiner Schwestern, und das nothwendige Resultat unserer sozialen Zustände. Unzählige Frauen gehen an ähnlichen Verhältnissen zu Grunde, indeß von einer ganzen Generation kaum eine den Muth hat, sich loszureissen und ihr besseres Selbst zu retten."

The socio-cultural relevance of Kinkel's writings is also revealed when the author warns the teacher not to "sacrifice a portion of the child's life for the sake of the mother's addiction to fashion, if the child has neither natural talent nor a great [musical] affinity."⁴³ Here, Kinkel refers to the fashion of music in the supposedly educated social forum, the salon, against which she rails, "one can hardly visit a society without having to endure music, and what a dire kind of music!"⁴⁴

At a technical level, Kinkel stresses the importance of patience, in regards to physical training of both the fingers and the voice, as well as the development of emotional and intellectual maturity. This is why Kinkel allows a fair amount of time for the acquisition of mechanical piano skills, namely, the correct finger positions and the understanding of the correct, musically grammatical accentuation.⁴⁵ Once the emotional maturity has been acquired through a few years of practice, the pianist will, according to Kinkel, be able

⁴³ Johanna Kinkel, *Acht Briefe*, 11. Original citation: "[U]nd ich möchte jede Mutter warnen, aus bloßer Modesucht einen Theil der Lebenszeit ihres Kindes dem Erlernen derselben aufzuopfern, wenn es nicht natürliches Talent oder große Vorliebe dafür äußert."

⁴⁴ *Ibid.*, 19. Original citation: "Kaum, daß man eine Gesellschaft besuchen kann, ohne Musik ausstehen zu müssen, und was für entsetzliche Musik!"

⁴⁵ *Ibid.*, 5. With regards to accentuation and classification of musical accents, Kinkel refers to Kirnberger's *Akzenttheorie* and divides accents into three categories, namely, the grammatical, oratorical, and expressive accents. For details on *Akzenttheorie* cf. William E. Caplin, "Theories of musical rhythm in the eighteenth and nineteenth centuries," in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (Cambridge: Cambridge University Press, 2002), 670. Kinkel deliberately uses late eighteenth-century theories of rhythmic structure, and criticizes the expanded *Akzenttheorie* incorporating the Hegelian concept of thesis, antithesis and synthesis, introduced by Kinkel's contemporary Moritz Hauptmann (1792-1862), as a "ridiculous confusion of terminology." Johanna Kinkel, *Acht Briefe*, 7. Original citation: "lächerliche Wort- und Begriffsconfusion."

to play contemporary music, the majority of which “requires a subtle and soulful interpretation; the mechanical challenges have been pushed backward.”⁴⁶ Kinkel concludes her *Eight Letters* with a short excursion to music history, praising Mendelssohn and Chopin, as well as Adolf Henselt⁴⁷ and Sigismund Thalberg,⁴⁸ for their reformation of piano music towards a more emotional way of composing. This awareness, according to Linda Siegel, possibly turns the *Eight Letters* into “the first piece of musical literature to understand the importance of Mendelssohn’s *Songs Without Words* to the history of piano music.”⁴⁹ Yet, Chopin seems to impress Kinkel even more

⁴⁶ Johanna Kinkel, *Acht Briefe*, 16. Original citation: “Die Mehrzahl der neuesten Claviercompositionen erfordert vor Allem einen feinen und seelenvollen Vortrag; die mechanischen Schwierigkeiten sind so ziemlich in den Hintergrund gedrängt worden.”

⁴⁷ Adolf Henselt (1814-1889) was a German composer and pianist. He is especially well known for his studies in piano technique published between 1837-1838 as Opera 2 and 5, and which, according to Richard Beattie Davis, are clearly influenced by Henselt’s fondness for both Chopin and Weber. Cf. Richard Beattie Davis, “Henselt, Adolf,” in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 2nd edition, Vol. 11, (London: Macmillan, 2001), 383.

⁴⁸ Sigismund Thalberg (1812-1871) was a Swiss pianist and composer. He became famous as a salon pianist at the early age of 14, and he published his first works at 16. Thalberg was first seen as a competitor of Franz Liszt’s (1811-1886). However, as Robert Wangermée states, the rivalry between the two virtuosos stopped when both pianists gave a joint concert and agreed to “cooperate with other famous virtuosos in composing ... a tribute to the princess.” Thalberg mainly played his own fantasia compositions, which usually derived from famous opera arias written by composers such as Rossini, Verdi, Donizetti, Meyerbeer, Weber, and Mozart. Cf. Robert Wangermée, “Thalberg, Sigismund,” in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 2nd edition, Vol. 25, (London: Macmillan, 2001), 383.

⁴⁹ Siegel, Linda, “Johanna Kinkel’s ‘Chopin als Komponist’ and Other Musical Writings: Untapped Source Readings in the History of Romantic Music Author(s),” *College Music Symposium* 43 (2003): 110.

than Mendelssohn, especially his attempt to question the division of the tonal corpus by semitones.⁵⁰ She wisely remarks:

We, who got used to the established division in semitones, sense this innovation as eerie and as mere noise; but the next or third generation might appreciate in it a fresh and twice as rich an art, once the strange sounds have been absorbed.⁵¹

Johanna Kinkel's *Lectures and Notes on Musical History*

In the 1850s Kinkel wrote several lectures on such composers as Mendelssohn, Beethoven, Mozart and Chopin. According to Marianne Bröcker, she also wrote the “most substantial and meaningful” monograph about Chopin.⁵² The monograph contains 195 pages and deals with several of Chopin’s pieces.⁵³ Unlike Franz Liszt, who wrote the first large-scale biography of Chopin during 1850–1851, Kinkel focused on Chopin’s compositions rather than the pure facts of Chopin’s life. In his biography, Liszt writes:

⁵⁰ Johanna Kinkel, *Acht Briefe*, 18.

⁵¹ Ibid. Original citation: “Aber uns, die wir an die längst bestandene Einteilung in halbe Töne gewöhnt sind, wird die Neuerung schauerlich und wie ein bloßes Geräusch klingen: doch vielleicht schon begrüßt die nächst- oder drittfolgende Generation, wenn sie erst mit der Muttermilch die fremden Klänge eingesogen hat, in ihnen eine frischerstandene, doppelt so reiche Kunst.”

⁵² Marianne Bröcker, “Johanna Kinkels schriftstellerische und musikpädagogische Tätigkeit,” in *Studien zur Bonner Musikgeschichte des 18. und 19. Jahrhunderts*, ed. Marianne Bröcker & Günther Massenkeil (Cologne: Arno Volk-Verlag, 1978), 42.

⁵³ By comparison, Kinkel’s *Lecture on Beethoven* contains forty pages, the *Lecture on Mendelssohn* contains thirty-seven pages, and the *Lecture on Mozart* contains thirty-two pages.

If it were our intention to discuss the development of Piano [*sic*] music in the language of the Schools [*sic*], we would dissect [Chopin's] magnificent pages, which afford so rich a field for scientific observation. We would, in the first place, analyze his *Nocturnes*, *Ballades*, *Impromptus*, *Scherzos*, which are full of refinements of harmony never heard before; bold and of startling originality. We would also examine his *Polonaises*, *Mazourkas* [*sic*], *Waltzes and Boleros*.⁵⁴

It seems that Johanna Kinkel, being an excellent pianist and a knowledgeable analyst, aimed for such a study, as she not only referred to Chopin's works in isolation, but also placed them within their historical context.

Kinkel's section on etudes reflects her personal musical development. Whereas Kinkel recommends Herz's exercises in her earlier works on piano teaching, she refers to the vacuity of this composer's exercises in her lecture on Chopin:

An etude, which we learn for the sake of its difficulty, should train the intellect to the same extent as the fingers. It is insufferable to have to repeat unsubstantial scales and leaps more than 100 times, because the finger did not clearly hit the note. Czerny and Herz's schools have done the most monstrous within this area, and I believe that they will make those musicians stupid who devote their ears to the exercises of these and similar composers.⁵⁵

⁵⁴ Franz Liszt, *Life of Chopin*, transl. Martha Walker Cook (Boston and New York: Ditson, 1863), 22.

⁵⁵ Johanna Kinkel, *Friedrich Chopin als Komponist*, 1855, ULB S 2399, 119. Original citation: "Eine Etüde, die wir um der Schwierigkeit willen erlernen, sollte vor allem den Verstand in gleichem Verhältnis wie die Finger beschäftigen. Es ist unerträglich, ganz inhaltlose Läufe und Sprünge mehr als hundertmal wiederholen zu müssen, weil der Finger ein paar Noten nicht rein trifft. Das Monströseste auf diesem Felde hat die Schule von Czerny und Herz getan, und ich glaube, daß Musiker, welche ihre Ohren zum Studium dieser und ähnlicher Komponisten hergeben, daran verdummen müssen."

Here, Kinkel seems to allude to Czerny's foreword to his *Vierzig tägliche Studien* [*Forty Daily Studies*] (Opus 337), in which, according to James Deaville, Czerny explains that his "exercises, repeated measure by measure, up to thirty times each measure, were for the purpose of training and maintaining virtuosity."⁵⁶ With regard to Chopin's etudes, Kinkel compliments the ingenious melodic and harmonic constitution, as "even if our fingers have technically mastered the most difficult etude, our intellectual interest in the compositional structure will not run out for a long time yet."⁵⁷ Marianne Bröcker highlights Kinkel's practical approach to music in her lecture on Chopin, showing Kinkel's experience as both a pianist and a pedagogue.⁵⁸

Kinkel's lectures on Mendelssohn and Mozart do not include as many practical insights, but examine the music from a contemporary perspective and are aimed towards the history of compositional thought and development.⁵⁹ This reflects Kinkel's strong tendency to critically examine compositional features and categorizations, an approach that demands a complex understanding of compositional developments and specialties of several musical epochs.⁶⁰ Kinkel's critical thinking becomes

⁵⁶ James Deaville, "A Star is Born," 59.

⁵⁷ Johanna Kinkel, *Friedrich Chopin als Komponist*, 126. Original citation: "Selbst wenn unsre Finger die mühsamste Etüde technisch bezwungen haben, so ist das Interesse des Verstandes an ihrem Tonbau noch lange nicht erschöpft."

⁵⁸ Marianne Bröcker, "Johanna Kinkels schriftstellerische und musikpädagogische Tätigkeit," 43.

⁵⁹ Another reason for the lack of practical impact in Kinkel's other lectures could be her own specialization in piano teaching and her conception that Mozart's "piano-forte works ... however fine they may be, are less important." Johanna Kinkel, *Lecture on Mozart*, no date, ULB S 2396, no pagination; original citation in English.

⁶⁰ The English-language sketch of the *Musical History* includes a comprehensive examination of music history, including Egyptian and Greek music as well as important ancient theories put forward by Pythagoras, Guido, Plinius, Boethius, Gregor the Great, Carolus Magnus, Joannes de Fulda, Hucbaldus, and Franco from Cologne. Johanna Kinkel, *Musical History*, 1853 (?), ULB S 2393, no pagination.

obvious in both her *Lecture on Musical History* and her *Lecture on Harmony*, which, based on a letter to Auguste Heinrich on 4 December 1857, must have been presented in the British Museum between 1857 and 1858.⁶¹ In both lectures, Kinkel critically exposes the role of Palestrina within the historical discourse of composition, thus supplying another example of her courage to question the fashions of her time. The nineteenth-century 'Renaissance' of Palestrina's music,⁶² as well as the appearance of the first monographs on him written by Baini and von Winterfeld's (and published in 1828⁶³ and 1832⁶⁴ respectively), resulted from an increased interest in the sixteenth-century rescuer of church music and the subsequent revival of his life and works. Yet Kinkel downgrades Palestrina:

[He] wisely used his excellent position at the pontifical chapel to burst the bounds of the true church style; but some of his little-known contemporaries produced works that are of equal, if not superior beauty to his own compositions.⁶⁵

⁶¹ Adelheid von Asten-Kinkel, "Johanna Kinkel in England," *Deutsche Revue* 21 (1901): 188.

⁶² According to Peter Ackermann, nineteenth-century reformative movements of both Protestant and Catholic confession, who aimed for a 'Renaissance' of Palestrina's music in order to promote the ideal of a true and pure church style, concentrated on Palestrina and his distinct style as the major ambassador of classical vocal polyphony. Peter Ackermann, "Palestrina," in *Die Musik in Geschichte und Gegenwart*, ed. Ludwig Finscher, 2nd edition, Vol. 13, Personenteil (Kassel: Bärenreiter, 2005), 41.

⁶³ Giuseppe Baini, *Memorie storico-critiche della vita e delle opere di G. P. da Palestrina*, 2 volumes (Rome: Societa Tipografica, 1828).

⁶⁴ Carl von Winterfeld, *Johannes Pierluigi von Palestrina: Seine Werke und deren Bedeutung für die Geschichte der Tonkunst: Mit Bezug auf Baini's neueste Forschungen* (Breslau: Adelholz, 1832).

⁶⁵ Johanna Kinkel, *Zur Geschichte der Musik*, 3. Original citation: "Er hat gewiß die hervorragende Stellung die er an der päpstlichen [sic.] Capelle besaß, mit weiser Einsicht benützt, um dem wahren Kirchenstyl die Bahn zu brechen; aber manche seiner minder bekannten Zeitgenossen haben Werke geschaffen die den seinen in Schönheit gleich, wenn nicht überlegen sind."

Another example of Kinkel's ability to challenge conventions is the way in which she organizes the history of music. Raphael Georg Kiesewetter (1773-1850) published his *Geschichte der europäisch-abendländischen, oder unsrer heutigen Musik* in 1832 (second edition 1846; English translation 1848). It is considered to be the "first general music history,"⁶⁶ and it focuses on musical genres and styles.⁶⁷ Kinkel's chronology is similar to Kiesewetter's, but Kinkel adds another aspect for determining musical history: the evolution of dissonance. Kinkel's approach is based on arguments more wide-ranging, as reflected in the chapter on Monteverdi, for example. Whereas Kiesewetter bases his argument for Monteverdi's influence on the dramatic opera, Kinkel explains the inclusion of Monteverdi as a historical landmark based on both his contribution to the development of a dramatic opera, as well as his perception that "the free [*sic*] entry of dissonances is compatible with melodic beauty."⁶⁸

Kinkel's observations, although ahead of her time, have remained un-researched and unacknowledged until recently, as most of her theoretical writings had never been published. For example, in 1971, Jerome Roche opens his monograph on Palestrina by stating, "until recently, Palestrina was seen to stand alone in musical history as the great culmination of the age of polyphony. Even the appearance of the Lassus and Victoria editions early in this [twentieth] century failed to substitute a comparative historical

⁶⁶ Herfried Kier, "Kiesewetter," in *Die Musik in Geschichte und Gegenwart*, ed. Ludwig Finscher, 2nd edition, Vol. 10, Personenteil (Kassel: Bärenreiter, 2003), 90.

⁶⁷ Cf. Thomas Hochradner, "Probleme der Periodisierung von Musikgeschichte," in *Acta Musicologica* 67 (1995), 60.

⁶⁸ Johanna Kinkel, *Zur Geschichte der Musik*, 1853 (?), ULB S 2393, 4. Original citation: "Der nächste Reformator der den Muth hatte einen Schritt weiter als alle Vorgänger zu gehen, war Monteverdi, der das freie Eintreten von Dissonanzen mit der melodischen Schönheit für vereinbar hielt."

approach for the isolated detachment of the Palestrina revival.⁶⁹ Ironically, Kinkel mentions Lassus as one of Palestrina's contemporaries, whose compositions might have exceeded the beauty of Palestrina's works.⁷⁰

Despite Kinkel's progressive approaches to music history, her writings also reflect analytical, aesthetic and socio-political aspects typical of nineteenth-century scholarship. In her analyses of Beethoven sonatas, Kinkel, like her contemporary Wilhelm von Lenz (1809-1883),⁷¹ not only uses romanticized metaphors as a means of musical characterization, but also employs the notion of a general musical idea (*Idee*), which is, according to Scott Burnham, also evident in A. B. Marx's critical oeuvre.⁷² In the introduction to her analysis of Opus 10, No. 2, Kinkel explains, "its motives are like the discourse of living beings, to whom we might ascribe the manners of older or younger people, with either serious or playful predictions,"⁷³ which corresponds to Marx's theory of a characteristic art and his notion that "Beethoven's music represented ... concrete

⁶⁹ Jerome Roche, *Palestrina* (London: Oxford University Press, 1971), 7.

⁷⁰ Johanna Kinkel, *Zur Geschichte der Musik*, 3.

⁷¹ A comparison of Wilhelm von Lenz' and Kinkel's analysis of Beethoven's piano sonata Opus 10, No. 2 confirms von Lenz' conclusion that "music has achieved its purpose so long as it has kindled a poetic idea in its performer, in its listener. The same music can quite easily arouse thoughts of sadness in one, thoughts of gaiety in another; it is a matter of secondary circumstances, external to art, and this very vagueness is one of the qualities by which music aspires to the infinite which is its soul." Cf. Ian Bent, *Music Analysis in the Nineteenth Century* (New York: Cambridge University Press, 1999), 73. Unlike Lenz's, Kinkel's interpretation includes connotations to the family life and household in Beethoven's sonata rather than allusions to nature or myths.

⁷² Scott Burnham, "The Role of Sonata Form in A. B. Marx's Theory of Form," *Journal of Music Theory* 33 (1989): 260.

⁷³ Johanna Kinkel, *Lecture on Beethoven's earliest sonatas including Opus 10*, ULB 2397, no pagination. Original citation in English.

external events.”⁷⁴ Also Marx’s approach to musical organicism is reflected in both Kinkel’s notion of the organic nature of harmony and her Opus 22, whose exercises and solfeggios expand systematically in length and pedagogical complexity. However, Burnham argues that Marx’s notion of organicism could be attributed to the “role of pedagogy in Marx’s conception of music theory:” “what Marx does is arrange the entire gamut of musical forms in a continuous progression from simple to complex.”⁷⁵ I generally agree with Burnham in that a morphological development of both analytical and practical thoughts, as applied by both Marx and Kinkel, might result from a systematic pedagogical approach rather than a complex attempt to employ different philosophical systems.

In terms of socio-political awareness, Kinkel includes a great deal of nationalist connotations in her writings. For example, she praises the influence of the fresh and inspiring temperament of the common people in her music-historical writing *Zur Geschichte der Musik* [“On Music History”].⁷⁶ In addition to this, her comparison of German and English societal phenomena uncovers a fairly nationalist point of view.⁷⁷ Although Linda Siegel argues that Kinkel’s review of Weber’s *Der Freischütz* in the *Neue Bonner Zeitung* did not acquire a political tone,⁷⁸ Kinkel’s fondness for Carl Maria von Weber might have been triggered by Weber’s reputation as a nationalist composer.⁷⁹ Furthermore, Kinkel must have come across Weber’s operas

⁷⁴ Scott Burnham, “The Role of Sonata Form in A. B. Marx’s Theory of Form,” 260.

⁷⁵ Ibid.

⁷⁶ Johanna Kinkel, *Zur Geschichte der Musik*, 1.

⁷⁷ Ibid., 14.

⁷⁸ Linda Siegel, “Johanna Kinkel’s ‘Chopin als Komponist,’” 109.

⁷⁹ Carl Maria von Weber is considered the first composer to have established a German *Nationaloper*. Cf. Carl Dahlhaus, *Die Musik des 19. Jahrhunderts: Neues Handbuch der Musikwissenschaft*, Volume 6 (Laaber: Laaber Verlag, 1996), 52.

when she was staying in Berlin: Carl Friedrich Zelter (1758-1832), who was Fanny and Felix Mendelssohn's teacher, speaks very fondly of Carl Maria von Weber in his letters to Goethe.⁸⁰ When Kinkel was in Berlin, she became friendly with Fanny Mendelssohn and Emilie von Henning, who was a soprano singer at Zelter's *Singakademie*.⁸¹ Zelter's fascination with Weber might have influenced his student's attitude towards Weber, leaving a strong and lasting impression on Johanna Kinkel. Kinkel liked Weber for his "imaginative melodies,"⁸² which explains why the reviewer of Kinkel's Opus 20 cited earlier depicts that "the melodies of the short songs are mainly taken from famous operas and folk songs, whereupon Mozart and Weber are clearly outstanding."⁸³

⁸⁰ In a letter to Goethe on 5 September 1821, Zelter praises Weber's music of *Der Freischütz* although he does not appreciate very much the opera's libretto: "A new opera, *Der Freischütz*, by Carl Maria von Weber, is causing a commotion. ... The music is greatly acclaimed and is really so good that the audience tolerates all the smoke and the steam [here Zelter refers to the huge amount of shooting scenes in the opera]. ... [T]hat the composer is no Spinozist you may gather from the fact that he has created such a prodigious work out of the nothing suggested above [here Zelter alludes to the simple libretto]." Letter cited in Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues* (Farnham and Burlington: Ashgate, 2009), 283-284. Four years later, in a letter from 24-26 December 1825, Zelter raves about "plenty of feasting and celebration" after the successful Berlin performance of Carl Maria von Weber's *Euryanthe*. In the same letter, Zelter also acknowledges von Weber's "intense industry, made twice as difficult by his feeble health." Letter cited in Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues* (Farnham and Burlington: Ashgate, 2009), 342.

⁸¹ Cf. Paul Kaufmann, "Johanna Kinkel: Neue Beiträge zu ihrem Lebensbild," *Preussische Jahrbücher*, No. 22 (Berlin: Stilke, 1931), 10.

⁸² Johanna Kinkel, *Notizen zum Klavier- und Gesangsunterricht sowie zur Ästhetik der Musik*, no date, ULB S 2394, 16.

⁸³ "Gesangschulen," 141. Original citation: "Die Melodien dieser Liedchen sind größtentheils bekannten Opern und Volksliedern entlehnt, wobei Mozart und Weber hervorstechen."

Kinkel's literary output shows that she was a woman of her time in various ways, as she picked up typical Romantic analytical approaches, progressive and critical attitudes towards contemporary writings, as well as nationalist socio-political views, all of which she incorporated into her writings. Kinkel's novella, *Musikalische Orthodoxie*, summarizes her conception of pedagogues in her everyday life.⁸⁴ The novella uncovers the need for a great deal of patience and discipline from the teacher, in order to endure his or her job. The novella's main protagonist, Ida, agrees "to make sacrifices and teach beginners" in order to earn money, which would enable her to further develop her own artistic skills.⁸⁵ Furthermore, Kinkel includes in her novella the observation that "every great musical talent has to overcome a period of desperateness when becoming a teacher."⁸⁶ Another character, who is a professional musician, discusses the current job situation with one of his colleagues and states that "it is true that the piano teacher is a tortured person. [...] One is ashamed to endure such an abuse of the ears for the sake of what is referred to as 'living' by the philistine."⁸⁷

⁸⁴ Although *Musikalische Orthodoxie* is clearly a fictional work, its parallels to Kinkel's biography, as well as to many aspects discussed in the previous sections of my paper, are evident: the low salary for piano teachers, the great deal of patience demanded from the teacher, the huge number of untalented students and the perception of music as a fashion rather than an art recur in the novella.

⁸⁵ Johanna Kinkel, "Musikalische Orthodoxie," in *Erzählungen*, ed. Gottfried & Johanna Kinkel (Stuttgart: Cotta, 1849), 304. Original citation: "indem sie das Opfer brachte, Anfänger zu unterrichten."

⁸⁶ Johanna Kinkel, "Musikalische Orthodoxie," 317. Original citation: "Jedes große musikalische Talent muß im Lehrerberuf anfangs eine Periode der Verzweiflung überwinden."

⁸⁷ Johanna Kinkel, "Musikalische Orthodoxie," 343. Original citation: "[A]ber es bleibt doch wahr, daß ein Clavierlehrer ein gequälter Mensch ist.... Man schämt sich vor sich selbst, daß man eine solche Ohrenmisshandlung um des Dings willen aushält, das Existenz genannt wird bei den 'Philistern'."

It seems that Kinkel observed a general tendency among musicians to consider their destiny as teachers an unbearable burden if they had to teach beginners in order to make a living. So what do these observations tell us about Johanna Kinkel's own teaching ethos? Kinkel describes the profession of a teacher as fairly unprofitable, even though she taught more than 200 piano students.⁸⁸ Nevertheless, one can interpret her negative connotations as a warning and an advisory to other teachers, rather than a confession out of pure desperation. Kinkel accepted a certain amount of modesty and sacrifice from music teachers as natural. Her prefaces and practical instructions indicate a realistic approach to teaching, prioritizing patience and slow progress. Kinkel must have been a patient teacher herself, and also expected a great deal of patience from her colleagues. This is especially reflected in her *Eight Letters to a Friend on Piano Teaching*, in which she says that "it does not take any special musical talent to teach small children the correct position of their fingers while playing; it only takes patience and assiduousness."⁸⁹

Johanna Kinkel's pedagogical approach as an attractant to like-minded revolutionaries and a deterrent to conservative genteel families

Kinkel's elaborate pedagogical approach covers not only technical, physical and emotional issues for teachers and students of voice and piano, but also musical analysis and music history. Particularly worthy of attention is Kinkel's approach to music history and aesthetics, in which she embeds both typical nineteenth-century

⁸⁸ Johanna Kinkel, *Briefe aus London II*, 1855, ULB S 2390, no pagination.

⁸⁹ Johanna Kinkel, *Acht Briefe*, 4. Original citation: "Es ist gar keine besondere musikalische Begabung dazu nöthig, kleine Kinder bei ihren Stückchen zu beaufsichtigen, ob sie die Finger richtig setzen; nur Geduld und Gewissenhaftigkeit."

concepts (such as the consideration of an overall *Idee* and a naturalist anti-virtuosic attitude) as well as critical reflections of contemporary phenomena (as shown through Kinkel's approach to the periodization of music history). Despite (or perhaps because of) Kinkel's critical and progressive way of thinking, her methods did not seem to be very popular among other teachers, or practiced during her lifetime as, among her pedagogical works, only her Opus 20 received a review in the musical print media.⁹⁰ Furthermore, Kinkel had difficulties finding enough new students, especially at the time when Gottfried Kinkel's republican attitude caused him unemployment, for which her teaching was supposed to make up financially.

Linda Siegel states that a wider accessibility to Kinkel's works and progressive ideas was limited because only a few of Kinkel's pedagogical writings have been published.⁹¹ Taking into account that Kinkel's *Lectures on Mendelssohn, Mozart, and Beethoven* as well as her *Lecture on Musical History*, her *Notes on Piano and Singing Teaching*, and her *Lecture on Harmony* have never been published in either German or English, Siegel has a valid point. However, Kinkel did publish her most comprehensive writing, *Eight Letters to a Friend on Piano Teaching*, in both German and English (which built upon her *Notes on Piano and Singing Teaching* mentioned above), as well as her two singing methods, Opus 20 and Op 22. She also gave a public lecture on music history in London. Nevertheless, these accomplishments did not make it into the pedagogical or historical canon of her time. Siegel concludes that Kinkel's "artistic reputation was not large enough to warrant an interest in her thoughts about music, as was that of, say, Clara Schumann."⁹²

⁹⁰ Although most of the print media did Johanna Kinkel no favors, she had no difficulties finding publishers for her own works, partially due to both Johanna and Gottfried Kinkel's self-censorship. See Johanna & Gottfried Kinkel, *Liebe treue Johanna! Liebster Gott!* ed. Monica Klaus, second volume (Bonn: Stadtarchiv und Stadthistorische Bibliothek, 2008), 566-567.

⁹¹ Linda Siegel, "Johanna Kinkel's 'Chopin als Komponist,'" 105.

⁹² *Ibid.*

Considering Kinkel's strong political connotations in her pedagogical writings and the general public perception of an artistically talented woman as being strongly influenced by their male counterparts or parents,⁹³ it might have been Kinkel's reputation as a politically-oriented woman that prevented her from a more profitable career as a professional teacher, especially in Germany. Kinkel's "widely publicized involvement in politics,"⁹⁴ as well as the great deal of socio-cultural phenom-

⁹³ When Nancy Reich elaborates on the biographical backgrounds of some well-known nineteenth-century female song composers in her article "European Composers and Musicians, ca. 1800-1890," it becomes evident that all of them were received in relationship to their male partners or parents. Louise Reichardt (1779-1826) published some of her compositions in a joint collection with her father in 1800; Josephine Lang (1815-1880) began her musical career joining her parents at the Munich court as a singer; Fanny Hensel (1805-1847) published her first works in her famous brother Felix Mendelssohn's collections; Clara Schumann (1819-1896), who had enjoyed an excellent musical education by her father, composed almost all of her Lieder after her marriage to Robert Schumann, with whom she also published joint collections; Pauline Viardot's (1821-1910) musical career began under the guidance of her father Manuel Garcia, a well-known singer and composer, who is also praised as a vocal pedagogue by Johanna Kinkel. Cf. Johanna Kinkel, *Notizen zum Klavier- und Gesangsunterricht*, ULB S 2394, 5. For further details on the female composers introduced above see Nancy Reich, "European Composers and Musicians, ca. 1800-1890," in *Women and Music: A History*, ed. Karin Pendle, 2nd edition (Bloomington and Indianapolis: Indiana University Press, 2001), 152.

⁹⁴ Linda Siegel, "Johanna Kinkel's 'Chopin als Komponist,'" 105. For details on the Kinkels' representation in the public media, see for example "Noch einmal für Kinkel," in *Neue Leipziger Zeitung* 242 (1850): 961. Here, a pro-Kinkel article reveals that many daily newspaper articles publically despised Kinkel and his wife: "Several newspapers report on the humanity with which Kinkel is being treated in Spandau. These reports are not true. ... He [Kinkel] is exposed to his superior, who is 'loyal' to the greatest extent. His wife is not allowed to visit him 'as she is prejudicial to his peace of mind and his indoctrination.'" Original citation: "Verschiedene Zeitungen geben Berichte über die Humanität, mit der Kinkel in Spandau behandelt würde. Diese Berichte sind unwahr. ... Er [Kinkel] ist der Willkür eines Vorgesetzten preisgegeben, der 'Frommer' im höchsten Grade ist. Der Besuch seiner Frau wurde verweigert, 'weil sie seinem Seelenheil, seiner Bekehrung hinderlich sei'.

ena revealed in her writings and in her Opus 20, might have deterred contemporary teachers, students, and, more importantly, parents from associating with Kinkel and her controversial politics. Kinkel's inclusion of humorous comments on gender roles and on the relationship between the state and the church⁹⁵ in her *Eight Letters to a Friend on Piano Teaching*, as well as her critical approach to contemporary fashions, show that Kinkel combined her political and socio-cultural views with her profession as a teacher. This is one of the main reasons why Kinkel's pedagogical approach was received with suspicion during her lifetime and why it has now been nearly forgotten. Johanna Kinkel's writings bear witness to her extraordinary life, not only as a musician with "an unusually broad knowledge of music,"⁹⁶ but also as a middle-class female composer who challenged the conventions of her time.

⁹⁵ In her *Eight Letters*, Kinkel explains that "Salon and music relate to each other like state and church: both can only improve if they are being kept separately." Johanna Kinkel, *Acht Briefe*, 10. Original citation: "Gesellschaft und Musik stehen jetzt wie Staat und Kirche; mit beiden kann es nur besser werden, wenn sie scharf gesondert bleiben."

⁹⁶ Linda Siegel, "Johanna Kinkel's 'Chopin als Komponist,'" 106.

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Refracted Zen in the Art of Composition: An Investigation of Zen Buddhism in Hans Otte's *Book of Sounds*

Tysen Dauer

The scant secondary literature about Hans Otte often locates the influence of Zen Buddhism in his compositions dating from the 1990s. While Otte's interest in and exposure to Zen Buddhism peaks in that decade, the composer had already begun exploring Zen Buddhism in the 1960s. Otte's *Book of Sounds* (1979-1982) was written after the composer had taken up the practice of *zazen* meditation, read the writings of D. T. Suzuki and Zen-obsessed guru, Rajneesh, and worked with American composers interested in Zen Buddhism and Eastern thought. These interests and influences are evident in the visual art, design, notation, aesthetic goals and musical techniques used in *The Book of Sounds*, as well as in Otte's use of language in his introduction to the composition. Identifying the influences of Zen Buddhism in *The Book of Sounds* also places the work within the larger history of the popularization of Zen Buddhism in the West.

The contemporary cultural saturation of Zen Buddhism in the West has a history extending at least as far back as Schopenhauer, who believed that his own philosophy of *Vorstellung* was a kindred spirit with Buddhism.¹ While the influence of Zen Buddhism on American artists and composers like John Cage has been well documented, composers in Europe were also interacting with Zen and other Buddhisms, particularly after World War Two.² German composer Hans Otte, for example, began investigating Zen Buddhism and meditation in the 1960s, yet the reception of his work only locates the influence of Zen in later compositions.³ In 1979, when Hans Otte began writing *Das Buch der Klänge* or *The Book of Sounds* (1979-1982), Buddhism in Europe was beginning to transition from a scholarly topic towards institutionalization and popularization.⁴ Otte had come to know the “core Buddhist literature” (Buddhist sacred texts) as well as the works of D. T. Suzuki, and Indian-born guru Rajneesh’s writings on Zen.⁵ The composer’s position as the Director of Radio Bremen had also brought him into contact with numerous American composers who had turned to the East for inspiration.⁶ As I will make clear, Hans Otte’s primary sources of information about Zen Buddhism presented highly idiomatic representations of the religion that can themselves be seen as refractions, or personal transformations and interpretations of Zen Buddhism. I will show in what way

¹ Peter Abelson, “Schopenhauer and Buddhism,” *Philosophy East and West* 43, no. 2 (1993): 255.

² Helen Westgeest, *Zen in the Fifties: Interaction in art between East and West* (Zwolle: Waanders Publishers, 1996), 143-175.

³ Ingo Ahmels, *Hans Otte: Klang der Klänge* (Mainz: Schott Musik International, 2006), 63.

⁴ Martin Baumann, “Buddhism in Europe: Past Present, Prospects,” in *Westward Dharma: Buddhism beyond Asia*. Edited by Charles S. Prebish and Martin Baumann (Berkeley: University of California Press, 2002): 85.

⁵ Ahmels, *Hans Otte*, 62-63.

⁶ *Ibid.*, 36-38, and 133-134.

and to what extent Otte's *Book of Sounds*, a post-minimalist piano cycle, manifests the "refracted" and, therefore, unique representations of Zen Buddhism with which Otte interacted.

How can Zen Buddhism be present in a composition? Answering this question requires a brief foray into the history of exoticism in the West. Recently, Ralph Locke has provided a highly inclusive framework for dealing with compositions that feature non-Western influence, which he named the "All the Music in Full Context" paradigm.⁷ Rather than assume that exoticism can only be identified in notes and rhythms, Locke's paradigm identifies elements of exoticism in texts, staging, design, and performances. Even composers' statements about their composing process can reveal forms of exoticism. Thus, Steve Reich's suggestion that borrowing musical structures from non-Western music is more appropriate than imitating non-Western sounds is understood by Locke as a type of exoticism.⁸ Following Reich's line of reasoning, using the musical structures of another culture is more appropriate because it is, in his words, "more subtle" than imitating the sounds of another culture.⁹ The exoticism in Otte's *Book of Sounds* is of an even subtler nature. Otte's exoticism stems not from Japanese or Zen musical structures, but from their underlying aesthetics. Where Reich wrote with musical structures in mind, Otte wrote under the influence of the aesthetics upon which those structures are founded. Had Otte's influence stemmed from Zen Buddhist music, it may have been deemed direct or "unrefracted."

⁷ Locke describes various perspectives on exoticisms and refrains from declaring specific exoticisms "good" or "bad." For each case in Locke's work, and in Otte's case, determining the value of the exoticism at hand is a separate discussion. Ralph P. Locke, *Musical Exoticism: Images and Reflections* (Cambridge: Cambridge University Press, 2009), 59-64.

⁸ Locke, *Musical Exoticism*, 31.

⁹ Steve Reich, "Postscript to a Brief Study of Balinese and African Music," in *Writings on Music: 1965-2000*. Edited by Paul Hillier (New York: Oxford University Press, 2002), 71.

Instead, Otte seems to have written *The Book of Sounds* under the influence of his practice of meditation and his own understanding of Zen Buddhist aesthetics.

Ultimately, even Otte's understanding of Zen Buddhism and Zen Buddhist aesthetics was refracted since his access to and understanding of Japanese and Zen aesthetics was predicated on the prominence of cultural figures like D. T. Suzuki. Such figures brought unprecedented attention and access to their own idiosyncratic understandings of Japanese and Zen Buddhist thought by means of lectures and publications. Their interpretations and presentations of Zen Buddhism were often considered to be particularly authentic because of their own personal relationships with Japanese culture. Yet Buddhist scholar Robert Scharf suggests that D. T. Suzuki and most Zen Buddhisms encountered in the West were derived from highly idiosyncratic perspectives and fringe Zen groups in Japan.¹⁰ For example, D. T. Suzuki's writings on Buddhism show the influence of both universalizing syncretism and an undercurrent of Japanese racial superiority (*nihonjinron*).¹¹ The presence of scholars, religious figures, and gurus in the West who promoted highly individualized understandings of Zen Buddhism was on the rise following the Second World War as cultural barriers between Japan and the West lowered.¹² By the time that Otte began his work on *The Book of Sounds*, D. T. Suzuki had passed away leaving behind an extensive body of work. The Zen Buddhisms that were largely inspired by D. T. Suzuki and Shunryu Suzuki's presence in the West, had successively been reinterpreted in the Beat, Hippie, and New Age movements.¹³

¹⁰ Robert H. Scharf, "The Zen of Japanese Nationalism," *History of Religions* 33/1 (1993): 40.

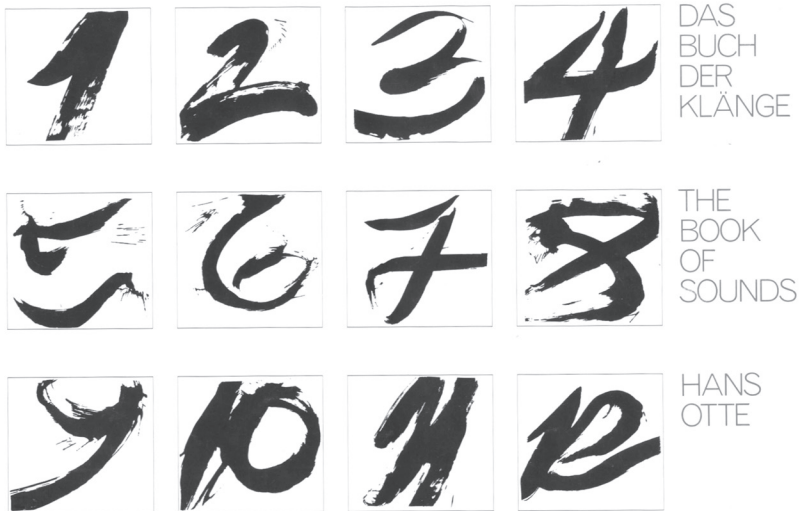
¹¹ Dharmachari Nagapriya, "Poisoned Pen Letters? D. T. Suzuki's Communication of Zen to the West," *Western Buddhist Review* 5 (October 2010), Accessed March 13, 2014, <http://www.westernbuddhistreview.com/vol5/suzuki-gentium.html>

¹² J.J. Clark, *Oriental Enlightenment: The Encounter between Asian and Western Thought* (London: Routledge, 1997), 98.

¹³ *Ibid.*, 104-105.

The score of *The Book of Sounds* is brimming with references to the representations of Zen Buddhism prevalent in the West at the time of its composition, particularly the concept of *wabi*, translated as “solitariness” or “aloneness” by D. T. Suzuki.¹⁴ The word has strong connotations of both spiritual poverty and “understated beauty.”¹⁵ Even before opening the score of *The Book of Sounds*, one encounters a display of pseudo-Japanese calligraphy on the front cover: the numbers one through twelve represent the twelve movements of the work (Example 1).

Example 1: Cover Art from *The Book of Sounds*¹⁶



¹⁴ D. T. Suzuki, *Zen and Japanese Culture* (Princeton: Princeton University Press, 1959), 253.

¹⁵ Ibid. Also in Graham Parkes, “Japanese Aesthetics,” *The Stanford Encyclopedia of Philosophy*, Winter 2011 Edition, Edited by Edward N. Zalta (Accessed February 6, 2014) <http://plato.stanford.edu/archives/win2011/entries/japanese-aesthetics/>

¹⁶ Hans Otte, *The Book of Sounds* (Munich: E. R. P. Musikverlag Eckart Rahn, 1983), cover page.

The enclosing of each calligraphic number inside a square creates a highly symmetrical order, which underscores the clean lines and simplicity of the calligraphy, and echoes the qualities associated with *wabi*. Three smaller and slightly altered versions of the cover art also occur between certain movements of the work. The cleanliness and simplicity of the calligraphy also resonates in the musical notation. All but three of the movements use exactly five staves per page and Otte's use of repeated rhythmic patterns and avoidance of bar lines leads to a highly regularized notational appearance. This is especially the case in the final movement of the work that consists almost entirely of quarter note chords (Example 2).

Example 2: *The Book of Sounds*, Movement 12, page 1¹⁷

Another example of *wabi* in Otte's score occurs in the fourth movement, which is made up of a monophonic melody repeated

¹⁷ Ibid., 28

between reoccurrences of a triplet chordal figure that constantly undergoes slight pitch alterations. Both, the notational design and the musical content result in clean lines and empty space (Example 3).

Example 3: Lines 1-2 of Movement 4¹⁸

Wabi and other esthetic concepts can also be located in the notes and rhythms of the work. The first movement for example, consists of alterations between two types of material: ‘A’ material (consisting entirely of the pitches F, A, C, and E written as dyads) and ‘B’ material (consisting primarily of C, E, G, and B written as triads). The ‘A’ and ‘B’ material is slightly altered throughout the course of the work, but those alterations maintain a relatively narrow pitch content and always return to the original. The rhythms of the movement are similarly straightforward with quarter notes dominating the A material and sixteenth notes prevailing in the B material.¹⁹ *Ma*, or “space/silence” and its aesthetic relative *hire*, or “cutting” can also be heard and seen in Otte’s score.²⁰ Both concepts play a role in Movement 10, which is largely made up of whirring sixteenth

¹⁸ Ibid., 15.

¹⁹ Ibid., 8-9.

²⁰ Henk Oosterling, “Living - in between - Cultures: Downsizing Intercultural Aesthetics to Daily Life,” in *Intercultural Aesthetics: A Worldview Perspective*, edited by Antoon Can den Braembussche, Heinz Kimmerle, and Nicole Note (Brussels: Springer Science+Business Media B.V., 2009), 31. Explanations of terms are confirmed in Parkes, “Japanese Aesthetics,” *The Stanford Encyclopedia of Philosophy* <http://plato.stanford.edu/archives/win2011/entries/japanese-aesthetics/>

note sextuplet figures interrupted only once, about two-thirds of the way through the piece. Otte separates the contrasting material from what precedes and follows by means of a double bar line, fermata, pedal change, half rest, textural change, and a sudden drop in dynamic level. All of these devices “cut” the primary motive of running sixteenths from the intervening material by opening up aural space or silence (Example 4).

Example 4: *Ma and Kire in Movement 10*²¹

Movements 1, 2, 4, 8 and 9 use similar techniques to produce aural space that delineates highly contrasting material.

In addition to the structural echoes of Zen Buddhist concepts, Otte’s description of the work and its goals echoes the rhetoric of Bhagwan Shree Rajneesh, as found in his extensive writings on Buddhism. Rajneesh was an Indian philosophy professor who became a syncretic guru, and Otte’s interest in Zen Buddhism in the 1960s and 70s coincided with the dramatic growth in the number of Rajneesh’s disciples. Rajneesh was particularly popular in America, Britain and Germany and Otte’s interest in his writings occurred at a time when Rajneesh was primarily publishing lectures and essays on Zen Buddhism. Between the years 1975 and 1982, i.e., immediately before and during Otte’s work on *The Book of Sounds*, Rajneesh published eighteen books on Zen, many translated into German (an unnecessary luxury for Otte, who was fluent in English). The rhetoric of Rajneesh’s writings (particularly surrounding music and meditation) had a residual effect on Otte, who uses similar language to

²¹ Otte, *The Book of Sounds*, 25.

describe his compositional process and the goals of *The Book of Sounds*. Rajneesh speaks of “infinite music,” “music of the spheres,” or “celestial music” being, “used by many religions as an approach towards prayer – because music will make your ears more vibrant, more sensitive. One has to become more of the ears and less of the eyes.”²² Rajneesh also saw parallels between music and *zazen*, or Zen Buddhist seated meditation, as well as the possibility of music aiding in the meditation process; his own *satsang*, or religious gatherings, were accompanied by music.²³ The following excerpts²⁴ from a German introduction to Rajneesh’s religious thought reveal the centrality of music in his philosophy and the close relationship he believed music and meditation shared.

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| Musik ist ein Weg, der zur Meditation führt – und der schönste von allen. Music hilft dir von aussen, mit dem inneren in Einklang zu kommen. | Music is a path that leads to the most beautiful meditation. <i>Music helps you come to inner harmony/unison/accord from the outside.</i> |
| Musik ist eine harmonie...zwischen Ton und Stille. | Music is a harmony...between <i>sound and silence.</i> |
| Musik ist äussere Meditation – Meditation ist innere Musik. Beide gehen zusammen, Hand in Hand, sie umarmen einander. Es gehört zu den grössten Erfahrungen des Lebens, so von allen seiten mit Musik eingehüllt zu sein, dass sie dich überwältigt, dich überflutet und die Meditation in dir inuner stärker wird – bis Meditation und Musik sich endlich treffen, bis Geist und Materie verschmelzen. Das ist die <i>unio mystica</i> – die mystische Vereinigung. | <i>Music is external meditation – meditation is internal music.</i> Both go together, hand in hand, they embrace one another. <i>It belongs to the greatest of life's experiences to be enveloped from all sides in music so that it overpowers you and overflows and the meditation inside of you is made stronger until meditation and music finally converge, until spirit and matter merge. That is the unio mystica – the mystical union (The English translation is my own).</i> |

²² Yoga Anurag Osho, *A Sudden Clash of Thunder: Bhagwan Shree Rajneesh Talks on Zen Stories and Answers Question* (New York: Rajneesh Foundation, 1977), 29, 66, and 133.

²³ Rajneesh, *Rajneeshismus: Bhagwan Shree Rajneesh und seine Religion eine Einführung* (Rajneeshpuram: Rajneesh Foundation International, 1983), 34, and 52.

²⁴ *Ibid.*, 52-53

Rajneesh's use of language and his emphasis on the unity possible through listening to music and engaging in meditation is mirrored in Otte's introduction to *The Book of Sounds*.²⁵

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| <p>Mit diesem "Buch der Klänge" wird der Hörer wiederentdeckt als Partner von Klang und Stille, der, auf der Suche nach seiner Welt, einmal ganz bei Klängen sein will.</p> <p>Mit diesem "Buch der Klänge" wird das Klavier wiederentdeckt als Instrument des Klingens und Schwingens mit allen seinen Möglichkeiten der Dynamik, der Farbe, seiner Resonanz.</p> <p>Mit diesem "Buch der Klänge" wird das Spielen wiederentdeckt als Möglichkeit, sich klingend zu erfahren, mit all diesen Klängen im Raum, in der Zeit eins werden zu können.</p> <p>Mit diesem "Buch der Klänge" wird eine Welt klanglicher Erscheinungen wiederentdeckt, die erst jetzt aufgrund eines ganz anderen Bewußtseins von den Klängen auf dieser Erde geschrieben werden konnten.</p> | <p>This "Book of Sounds" rediscovers the listener as a partner of <i>sound and silence</i>, who in the quest for his world, <i>wishes for once to be totally at one with sound</i>.</p> <p>The "Book of Sounds" rediscovers the piano as an instrument of timbre and tuneful sound with all its possibilities of dynamics, colour and resonance.</p> <p>This "Book of Sounds" rediscovers play as <i>the possibility of experiencing oneself in sound, of becoming at one in time and space with all the sounds around one</i>.</p> <p>This "Book of Sounds" rediscovers a world of consonant experience, which could only now be written because of a totally <i>changed consciousness of sounds on earth</i>.</p> |
|---|---|

Rajneesh and Otte emphasize that music is both "sound and silence," a way to achieve inner unity, as well as the physical, non-rational experience of listening to sound. Where Rajneesh's concept of music as "sound and silence" leads to a *unio mystica*, or mystical union, Otte aspires to assist listeners who "wish for once to become totally one with sound." This unity with sound itself proves to be only an intermediary goal. At the premiere of *The Book of Sounds*, Otte poetically proclaimed

²⁵ Otte, *The Book of Sounds*, 5. German and English texts are both provided in the score.

that the piece was “for all those who want to be close to the sounds *in order to*, having become sonorous themselves, *rediscover the secret of all life*.”²⁶ For Otte, becoming one with sound leads to a *satori*, an enlightenment-like moment for the listener, and *The Book of Sounds* is a path listeners can follow to this goal. The listener, performer, and even the instrument are all part of the process of creating Otte's transforming “consonant experience.” In this way, Rajneesh's dream of “music and meditation converg[ing] ...spirit and matter merg[ing]” is brought to life by means of Otte's “rediscoveries.” Listeners achieve unity through qualities of an instrument and through performers acting as ‘meditators.’

For Otte this project of unity is possible “only now” (in the late 1970s), because of “a totally changed consciousness of sounds on earth.”²⁷ The “totally changed consciousness of sounds on earth” was a sentiment shared by many of Otte's fellow composers. Through his work as the Director of Radio Bremen and his association with the *Pro Musica Nova* festival, Otte came to be involved with a number of American composers interested in Eastern thought and music. Over the course of the 1960s, the Radio Bremen broadcasts, as well as the many festivals that he was connected with, introduced the works of John Cage, David Tudor, Frederic Rzewski, Morton Feldman, and Earle Brown to German audiences.²⁸ Over the course of the 1970s, Otte met and promoted the work of composers with even stronger connections to Eastern thought and music including La Monte Young, Terry Riley, their guru Pandit Pran Nath, Steve Reich and Nam June Paik. Each of these composers brought to the fore a unique perspective on Eastern thought, likely of interest to Otte.²⁹

²⁶ Ahmels, *Hans Otte, Klang der Klänge*, 15. Emphasis added.

²⁷ Otte, *The Book of Sounds*, 5.

²⁸ Amy Beal, *New Music, New Allies: American Experimental Music in West Germany from the Zero Hour to Reunification* (Berkeley: University of California Press, 2006), 142-148.

²⁹ *Ibid.*, 181, and 199. Also, Jacquelynn Baas, *Smile of the Buddha: Eastern Philosophy and Western Art from Monet to Today* (Berkeley: University of California Press, 2005), 178-187.

Of particular interest for *The Book of Sounds* is La Monte Young's "rediscovery" of stasis as a "point of structure," a technique that Young linked to Western medieval and Asian music.³⁰ One prominent example of stasis in Asian music is in Japanese religious and Nōh theater music, where stillness, or **ma**, is greatly valued and excessive movement on the part of actors (or sound in the case of musicians) is discouraged. Whatever Young's reference may have been inspired by, it is likely that Otte had a general knowledge of Japanese religious ceremony and Nōh theater through D. T. Suzuki's writings. And while Otte's writing does not achieve the temporal length of Young's drones or the stasis of his (in) famous Trio, *The Book of Sounds* offers incredibly slow tempi that often result in a feeling of motionlessness. Movement 9, for example, contains whole rests that last longer than four seconds if played at Otte's suggested metronome marking of fifty-two beats per minute. Immediately following the whole rests, the piece glacially accelerates with a dotted half note followed by a half note. The opening eighth-note hendecuplets further exaggerate the ponderous pace of the ensuing music (Example 5).

Example 5: Movement 9³¹

The musical score for Example 5: Movement 9 consists of two systems. The first system is a piano introduction in 4/4 time, marked with a tempo of quarter note = 52. It features a large black brushstroke graphic on the left. The piano part begins with a dotted half note (mp), followed by a half note (pp), and includes a ped. marking. The second system shows a piano part with dynamics mp, mf, and mp, and includes the instruction "mp come prima simile".

Often, Otte's use of highly repetitive motivic figures creates a similar effect of motionlessness by the means of remaining

³⁰ Robert Schwartz, *Minimalists* (London: Phaidon Press Limited, 1996), 23.

³¹ Otte, *The Book of Sounds*, 23.

rhythmically unvaried throughout an entire movement. Movements 3 and 8 are the clearest examples of this technique. In Movement 3 the repeated eighth notes progress at the metronome speed [MM] of 1 eighth note = 92, while in Movement 8 the pace unfolds even more laggardly, in half-note chords moving at MM of 1 quarter note = 52.

Otte's interest in slow movement and his tendency for reduced pitch content is a natural consequence of the compositional technique he employed in *The Book of Sounds*. Having reminisced on a traditionally form-obsessed compositional process in an interview with Josef Hausler, Otte stated, "My way is totally different. I often search for months to find a very particular sound and its nature, and I compose more and more in(to) this sound."³² By focusing on finding and composing in a single sound, *The Book of Sounds* often contains temporal plateaus of similar pitch content that encourage the listener to focus on the sound itself rather than potentially dramatic transformations. The opening 'A' material from Movement 1 is a prime example. The repeated quarter note dyads described earlier alternate between each other indefinitely at the rate of *twenty-six beats per minute*.³³ By reducing the speed and the pitch content of a movement, Otte furthers his Zen-like goal of uniting the listener and the sound as one in a meditative process. By narrowing the focus of the listener while emphasizing the timbre and possibilities unique to the piano, he achieves the goals laid out in the introduction to *The Book of Sounds*.³⁴

³² Philipp Vandré, "Hans Otte: "Das Buch der Klänge" (1972-82)" in *Fragment Beiträge, Meinungen und Analysen zur neuen Musik* (Saarbrücken: PFAU-Verlag, 1999), 4. The English translation is my own. The original German quotation reads: "Mein Weg ist ein total anderer. Ich suche oft monatelang nach einem ganz bestimmten Klang und dessen Natur, und ich komponiere jetzt eigentlich immer mehr in diesen Klang hinein."

³³ Otte, *The Book of Sounds*, 8.

³⁴ *Ibid*, 5.

The Book of Sounds was published in 1983 by Celestial Harmonies and its German division E. R. P. Musikverlag, a record company founded in 1979, the very same year that Otte began writing his piano cycle.³⁵ Just three years after publishing Otte's score, Celestial Harmonies released selections from the work on a recording entitled *Keys of Life*, also featuring works by Terry Riley and Alexander Scriabin. The release was hailed as the "ultimate New Age piano recording" in the 1989 *New Age Music Guide*.³⁶ Thus, despite Ahmel's protests,³⁷ Otte "fell victim" to being labeled as a New Age composer, a fate similar to that of Terry Riley, as described by Taruskin: "Like any other once-new music, Riley's was often assimilated in the minds of its critics to the routine practices it had helped set in motion, and it suffered in retrospect the negative judgments the routines inspired."³⁸ Beneath our accumulated cultural associations, *The Book of Sounds* offers a unique representation of Zen Buddhist principles in musical form. Having ingested the idiosyncratic messages of D. T. Suzuki and Rajneesh, Otte's piano cycle musically refracted his own understanding of their works and unconsciously abetted the wondrously complex reception of Zen Buddhism in the West.

³⁵ Henk Werkhoven, *The International Guide to New Age Music* (New York: Billboard Books, 1998), 180-181.

³⁶ Patti Jean Birosik, *The New Age Music Guide: Profiles and Recordings of 500 Top New Age Musicians* (New York: Collier Books, 1989), 30.

³⁷ Ahmels, *Hans Otte, KlangderKlange*, 14-15.

³⁸ Richard Taruskin, *Music in the Late Twentieth Century* (Oxford: Oxford University Press, 2010), 367.

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'You Ancient, Solemn Tune': Narrative Levels of Wagner's *Hirtenreigen*

Michael Dias

ABSTRACT

At the onset of the third act of *Tristan und Isolde*, Wagner follows forty-three measures of the prelude with a forty-two-measure unaccompanied English horn solo. Known variously as the “shepherd’s tune,” the *alte Weise* or, following Wagner, the *Hirtenreigen*, this enigmatic interlude has been the subject of some contention among Wagner’s contemporary critics because of its unusual instrumentation and considerable duration. It is suggested that Wagner designed the *Hirtenreigen* as a means to accomplish his immediate dramatic priority at this point in the narrative: elucidating Tristan’s memories of his complicity in his parents’ deaths and, consequently, his realization and eventual acceptance of a similar fate for himself and his beloved. This is attained not only through the design of the initial exposition of the *Hirtenreigen*, but through its subsequent treatment when it is recapitulated during Tristan’s “Muss ich dich so verstehen” monologue in Act III, scene 1. First, it is argued that the modal characteristic and Bar-form structure of the unaccompanied melody specifically evoke an “ancient” topos, which Wagner exploits to raise the issue of Tristan’s past. Second, by dressing the melodic material of the *Hirtenreigen* in various instrumental and harmonic guises throughout the “Muss ich dich so verstehen” monologue, Wagner is able to present the tune in three narrative levels: the diegetic level (sound occurring within the narrative world), the metadiegetic level (sound occurring in Tristan’s memory as he recounts his past), and the extradiegetic level (sound, like the leitmotif, that does not occur within the opera’s narrative world). These concepts of narrativity are borrowed from the structural narratology of Gérard Genette and the film music studies of Claudia Gorbman. The conclusion of the paper is that Wagner’s ability to enhance the transition between narrative levels of the dramatic text through his musical setting is a hallmark of his style.

At the onset of the third act of *Tristan und Isolde*, our hero lays wounded and unconscious in his native Kareol. Wagner's stage direction for the loyal Kurvenal to kneel over his comatose master, monitoring his every breath, provides a palpable moment of heightened expectancy regarding Tristan's fate.¹ In his psychoanalytic reading of the opera, Slavoj Žižek aptly summarizes Tristan's state: "In Act III, Tristan is already a living dead man, dwelling between the two deaths, no longer at home in reality, pulled back into daily life from the blissful domain of the night and longing to return there."² Tristan is suspended – not only between life and death, but reality and fantasy, day and night. As such, in direct contrast to the heightened action at the end of Act II, there is a pause in the momentum of the narrative.

The pregnant stillness of this opening is reflected in Wagner's musical introduction to Act III. It consists of two symmetrical parts: the orchestral prelude, totaling 43 measures prior to the rise of the curtain, and an extended English horn solo referred to by Wagner as the *Hirtenreigen*,³ totaling 42 measures, to be played "auf dem Theater" ["from the stage"].⁴ The presence of a substantial prelude to the ultimate act is certainly not surprising considering the breadth and depth of the preludes to Act I (112 measures) and Act II (75 measures). Nor is the function of the prelude unclear: its purpose is to acquaint the audience with the narrative in its present state. As Thomas Grey suggests, "the magnificently attenuated gestures of the orchestral prelude convey the impression of a vast and desolate horizon, the steel-grey surface

¹ Richard Wagner, *Tristan und Isolde* (Mineola, N.Y.: Dover Publications, Inc., 1973), 466.

² Slavoj Žižek, "Deeper Than the Day Could Read," in *Opera's Second Death*, by Slavoj Žižek and Mladen Dolar, (New York: Routledge, 2002), 127.

³ Commentators have referred to this interlude by many names, including the *alte Weise*, the "shepherd's tune," and the "shepherd's lament."

⁴ Wagner, *Tristan*, 466.

of the sea that symbolizes the bleak empty day in contrast to the lush depths of night in the previous act.”⁵ However, while the function of the prelude seems clear, this cannot be said about the *Hirtenreigen*. The enigmatic interlude (see Example 1) has been the subject of some contention among Wagner’s contemporary critics.

Example 1. The *Hirtenreigen*, Act III, Scene 1.⁶

The musical score for Example 1, 'The *Hirtenreigen*, Act III, Scene 1', is presented in five staves. It is written in a key signature of three flats (B-flat, E-flat, A-flat) and a 4/4 time signature. The melody is highly chromatic and features numerous triplets. The first staff begins with a half note G4, followed by a quarter note A4, and then a series of eighth notes. The second staff starts at measure 12 and continues the melodic line. The third staff begins at measure 19 and includes a fortissimo (*ff*) dynamic marking and a triplet of eighth notes. The fourth staff starts at measure 26 and continues with more triplets. The fifth staff begins at measure 34 and concludes the excerpt. The overall texture is dense and rhythmic.

In 1876, Heinrich Dorn, likely referring to the implied chromatic harmony and surprising modal inflections, called it “a mad Fantasy upon the schalmei” which was fit for an English horn player in an insane asylum.⁷ Wagner’s renowned adversary, Eduard Hanslick, took issue with the duration of the interlude, stating in 1883:

⁵ Thomas Grey, “In the Realm of the Senses,” in *Richard Wagner Tristan und Isolde*, ed. Arthur Groos (Cambridge: Cambridge University Press, 2011), 79.

⁶ Wagner, *Tristan*, 466.

⁷ Wilhelm Tappert, *Ein Wagner-Lexicon: Wörterbuch der Unhöflichkeit* (Leipzig: E.W. Fritsch, 1877), 42.

Over this third act, so originally and suggestively introduced by the mournful song of the shepherd, there hangs an uncommonly compelling, monotonous sadness. But hardly anyone can bear with its awful length. Here, as in the second-act duet, one asks oneself how a composer of Wagner's eminent understanding of the theatre can ignore all sense of proportion.⁸

While recent commentators, in contrast to Wagner's contemporaries, tend to keep their remarks on the *Hirtenreigen* well on the side of veneration, its length and unique orchestration seem to have remained remarkable. James Treadwell finds that "the long melancholy *alte Weise* on the cor anglais instills a dumb grief into the opera that is only overcome with Isolde's very last speech."⁹ Why did Wagner risk dramatic stagnation with such an extended and pared-down interlude in an already static moment of the narrative?

Contrary to the criticism of some of Wagner's contemporaries, it will be shown that the *Hirtenreigen* and its subsequent reoccurrences in the first scene of Act III represent an essential musical device for the achievement of one Wagner's primary dramatic aims: Tristan's self-discovery of his role in his parents' deaths and, thus, the character's awareness and eventual acceptance of his fate. First, it is argued that there are two crucial characteristics of the design of the tune itself: its prominent modal inflections and its traditional Bar form. The combination of these characteristics evokes a *topos* of the "ancient" which is necessary to probe Tristan's past. Second, it is demonstrated that Wagner exploits the monophonic *Hirtenreigen* as a "blank slate" which he dresses in various instrumental and harmonic guises to explore Tristan's consciousness throughout his "Muss ich

⁸ Eduard Hanslick, *Music Criticisms 1846-99*, trans. and ed. Henry Pleasants (Harmondsworth, Middlesex: Penguin Book Ltd, 1950), 226.

⁹ James Treadwell, *Interpreting Wagner* (New Haven and London: Yale University Press, 2003), 185.

dich so verstehen” monologue. Drawing on Gérard Genette’s theories of narrative level from structural narratology and film music studies by Claudia Gorbman, it is shown that Wagner achieves this exploration by presenting the *Hirtenreigen* in three narrative levels: the diegetic level (the piping of the *Hirtenreigen* by the Shepherd character which occurs within the action of the opera), the metadiegetic level (Tristan’s memory of hearing the *Hirtenreigen*) and the extradiegetic level (aspects of the *Hirtenreigen* that are stated in the well-known leitmotif technique).

“Ancient” Design in the *Hirtenreigen*

In order to be ushered into the world of Tristan’s past, Wagner needed a musical vehicle that would transport Tristan (and the listener) to the time of his birth – a passage that, by musical design, evoked the “folk” association of the Shepherd and thus seemed to come from an old source. As Jean-Jacques Nattiez has noted, Wagner recounts in his autobiography that a folk song was a possible genetic source for the *Hirtenreigen*.¹⁰ Wagner states that he was profoundly affected by the “deep wail” of the gondola drivers in Venice and that these songs, “not unlike the cry of an animal... possibly even suggested to me the longdrawn wail of the shepherd’s horn at the beginning of the third act.”¹¹ Regardless of the truth of the anecdote, it is undeniable that, at least later in his life, Wagner considered the content of the *Hirtenreigen* to be “suggested” from an oral folk tradition (Venetian gondola drivers). Indeed, the very fact that the *Hirtenreigen* is performed by the character of the Shepherd gives this music a folk designation. This is reinforced

¹⁰ Jean-Jacques Nattiez, trans. Stewart Spencer, *Wagner Androgyne* (Princeton, NJ: Princeton University Press, 1993), 150-151.

¹¹ Richard Wagner, *My Life* (London: Constable, 1911), 697.

by the pastoral association of the English horn – an association not lost on Wagner considering his similar instrumentation for the Shepherd character in *Tannhäuser*.¹²

As the eighteenth-century conception of a “folk music” that was distinct from “art music” gained prominence in Wagner’s nineteenth-century Europe, composers sought ways to synthesize the two through so-called acts of “genius.” Béla Bartók would later identify three compositional strategies in which the two categories could be merged: composers could write music with general folk “consciousness,” incorporate actual folk themes into art music works, or use “invented” folk themes.¹³ That Wagner’s own thoughts on the synthesis of folk and art music are congruent with Bartók’s first and last strategy is clear from his own writing on Beethoven. In his well-known essay on his predecessor, Wagner praised Beethoven’s “Ode to Joy” from the Ninth Symphony for being evidence that the composer did not exploit invented folk melodies “to afford entertainment at princely banquet-tables, but... in an ideal sense *before the people themselves*.”¹⁴ In other words, for Wagner, Beethoven did not succumb to the temptation to synthesize “folk music” and “art music” elements by elevating the socio-political status of the former to that of the latter in the Ninth Symphony. The *Hirtenreigen* can be seen in this specific light as not dissimilar to Wagner’s conception of Beethoven’s “Ode to Joy” – an invented folk theme that, despite its subsequent art-music treatment, nevertheless speaks to a general folk “consciousness.” Wagner ensures the perception of the exposition of the *Hirtenreigen* as a folk melody (albeit an invented one) through his use of modal inflection and Bar form.

¹² Janet K. Page, et al., “Oboe,” *Grove Music Online*, *Oxford Music Online* (Oxford University Press), accessed April 6, 2011.

¹³ Matthew Gelbart, *The Invention of “Folk Music” and “Art Music” Emerging Categories from Ossian to Wagner* (Cambridge: Cambridge University Press, 2007), 203.

¹⁴ Richard Wagner, *Beethoven*, trans. Albert R. Parsons (Indianapolis: Benham Brothers, 1873), 92.

The tune exhibits distinct modal aspects which give it a folk affiliation. The prominent “natural” seventh scale degree (E flat) of F minor occurring after the opening leaps of a fifth and minor third, to be referred to here as “The Call” motive (see Example 2), is particularly distinctive after the passage that immediately precedes it.

Example 2. The first four measures of the *Hirtenreigen*, Act III, Scene 1, showing “The Call” motive.¹⁵



The rise and fall of the violins in the preceding eight measures, what Roger North calls the “empty sea” figure, features a prominent E natural as part of the C dominant harmony that prepares the English horn’s entrance in F minor.¹⁶ The absence of the expected leading tone, E natural, in the initial part of the *Hirtenreigen*, highlighted by the conspicuous melodic gestures of ascending and descending augmented seconds in the “empty sea” material, further enhances the modal quality of the Shepherd’s tune (specifically, the Aeolian mode). The next modal inflection occurs in the eighth measure of the melody where a G flat acts as a long passing tone between the supertonic and tonic scale degrees (see Example 3). G flat, as we will see, is a particular *idée fixe* in the *Hirtenreigen* and plays an important role as a tonal center in the subsequent use of the tune during Tristan’s “Muss ich dich so verstehen” monologue further in the scene.

Example 3. Measures 5-9 of the *Hirtenreigen*, Act III, Scene 1.¹⁷



¹⁵ Wagner, *Tristan*, 466.

¹⁶ Roger North, *Wagner’s Most Subtle Art: An Analytic Study of Tristan und Isolde* (London: Roger North, 1996), 501.

¹⁷ Wagner, *Tristan*, 466.

In contrast to this modal instance where the G flat acts as a passing tone, this pitch is used elsewhere in the exposition of the tune in its traditional role in common-practice harmonic motion: as part of an implied predominant Neapolitan chord. At these points, the G flat eschews a modal quality. However, in m. 8, the surprising chromatic motion of the flattened second scale degree which moves to the tonic heightens the folk quality of this phrase by giving it an unmistakably Phrygian flavor.

A second aspect of the *Hirtenreigen* that gives it a quality of being from the past is its formal structure. In his comprehensive study of form in Wagner's operas, Alfred Lorenz gives a formal analysis of this interlude which reveals that, while elements of the passage give the impression of an improvisatory solo, the *Hirtenreigen* exhibits a three-part traditional Bar form (AAB).¹⁸ Lorenz's conception of Bar form is based on material from *Die Meistersinger von Nürnberg*, specifically Walther von Stolzing's "Prize Song" in Act III, Scene 2.¹⁹ The Bar form, usually two *Stollen* followed by an *Abgesang*, and its terminology was subsequently adopted within the musicological lexicon following Lorenz's studies and has been found to be an important formal aspect of the songs of such medieval traditions as the *troubadours* and *trouvères* in France, as well as the *Minnesinger* and *Meistersinger* in Germany.²⁰ Regarding *Die Meistersinger*, G. M. Tucker finds that Wagner's use of this form was "in a deliberate attempt to imitate the medieval design."²¹ Following these medieval associations, Wagner's use of the form in the *Hirtenreigen*, along with the aforementioned modal quality, can similarly be considered a pointed evocation of the "ancient."

¹⁸ Alfred Lorenz, *Das Geheimnis der Form bei Richard Wagner, Band II; Der musikalische Aufbau von Richard Wagners 'Tristan und Isolde,'* (Tutzing: Scheider, 1966), 135.

¹⁹ Horst Brunner, "Bar form," *Grove Music Online, Oxford Music Online* (Oxford University Press), accessed October 6, 2013.

²⁰ *Ibid.*

²¹ G. M. Tucker, "Bar form," *The Oxford Companion to Music, Oxford Music Online* (Oxford University Press), accessed October 6, 2013.

As Lorenz suggests, the tune is in two parts: a first section consisting of two *Stollen* and a balancing second section that fulfills the function of *Abgesang* (see Example 4). These sections are delineated by their thematic content and symmetrical length: the combined *Stollen* section (AA) and the *Abgesang* (B) are both 21 measures in length. The first and second *Stollen* display parallel openings consisting of “The Call” motive as their basis (see Example 4). As well, the first *Stollen* exhibits an internal symmetry of structure, initially seeming to be in simple 4 + 4 measure phrases. When this does not come to fruition (the phrase is elongated by the aforementioned G flat in mm. 8-9 of Example 4), it has a surprising effect. Similarly, the second *Stollen* begins with the expectation of internal symmetry: its opening four measures recall “The Call” motive and are elided with an inversion of the same motive which spins out into a prolongation of the dominant (via an implied Neapolitan neighbor harmony, mm. 16-19 of Example 4). After a *fortissimo* on an implied dominant in m. 21 of Example 4, which serves to delineate sections, the *Abgesang* begins with modal and chromatic harmony developing the “Triplet Theme” from *Stollen* 1. The chromaticism of this passage and the rhythmic irregularity of the “Triplet Theme” motive, combined with an *accelerando*, give the *Abgesang* a fantasy quality. Yet, it too ends with a four-measure cadential phrase based on “The Call” motive in inversion. Appropriately, Wagner’s stylistic treatment of the tune gives the impression of a loose, semi-improvised performance while motivic and dynamic markers, along with a large-scale symmetry, attest to an AAB structure of standard Bar form. Thus, even though Wagner does not specify that the Shepherd is on stage during the exposition of the *Hirtenreigen* played “auf dem Theater” (we only realize that it is the Shepherd who is playing the tune when Wagner’s stage directions instruct him to appear after the exposition of the tune), by design, one can hear a musical presence of a folk performer improvising on the traditional form of an *alte Weise*. As we shall see, this “ancient” presence is imperative to Wagner’s dramatic aim for Scene 1, Act III.

Narrative Levels in Tristan’s “Muss ich dich so verstehen”

The monophonic presentation of the *Hirtenreigen* in its totality at the opening of the scene is the musical means by which Wagner probes Tristan’s past. Joseph Kerman has noted that the opening of this scene occurs in a “large symmetrical double cycle”²² in which Tristan passes through four psychological states: recollection, curse, relapse, and anticipation.²³ At the first hearing of the *Hirtenreigen*, Tristan begins Kerman’s “recollection” phase by initiating a vague introspection, but “he remembers no events yet, only this torturing complex of feeling – day, life, yearning, pain.”²⁴ It is only with the second cycle (also instigated by the *Hirtenreigen*) that Tristan engages in what Žižek calls a “proto-Freudian self-analysis” in which he accepts “full responsibility for his fate.”²⁵ Kerman describes the passage:

The Shepherd’s piping, *die alte Weise*, had wakened Tristan for his struggle; now it is heard again to begin the new cycle. This time Tristan’s eyes are clear. He can penetrate into the events of his past and seek their significance, not only those that we already know from the opera, but also events from his childhood and even before, symbolized by the rich gloomy strain of the Shepherd, playing as he played when Tristan’s mother and father died.²⁶

²² Joseph Kerman, *Opera as Drama* (New York: Alfred A. Knopf, 1956), 200.

²³ This has been taken up by subsequent scholars. See Žižek, “Deeper Than the Day”; and Eric Chafe, *The Tragic and the Ecstatic: The Musical Revolution of Wagner’s Tristan und Isolde* (Oxford: Oxford University Press, 2005), 237-241.

²⁴ Kerman, *Opera as Drama*, 200.

²⁵ Žižek, “Deeper Than the Day,” 128.

²⁶ Kerman, *Opera as Drama*, 201.

The revelation that Tristan had culpability in his parents' deaths occurs in Tristan's retrospective "Muss ich dich so verstehen" monologue.

In terms of the text, the opening section of this monologue is essentially an embedded narrative: Tristan, a character in a story, recalls the *story* of his parents' deaths. The musical setting of this passage, however, is more complex. At various points throughout "Muss ich dich so verstehen" we hear the melodic material of the *Hirtenreigen* in three guises: in its original instrumentation (on-stage English horn) with light tremolo accompaniment, in various types of orchestration and harmonic settings, and in the well-documented technique of the leitmotif. To make sense of these treatments of the *Hirtenreigen* and define their relationship with the embedded narrative of the text, we can turn to theories of narrative level within structural narratology.

G rard Genette's seminal work in structural narratology in the 1970s and 1980s refuted the traditional view of narration as "identifying the narrating instance with the instance of 'writing,' the narrator with the author, and the recipient of the narrative with the reader of the work."²⁷ For Genette, to analyse literary works that have a variable and multifaceted narrative aspect (such as Proust's *À la Recherche Du Temps Perdu*), a more nuanced theory is needed.²⁸ His highly influential publication *Narrative Discourse* (originally published as an essay "Discours du r cit" in his *Figures III* in 1972)²⁹ presents his "theory of narrative levels" as a result of having "simply systematized the traditional notion of 'embedding.'"³⁰ In *Narrative*

²⁷ G rard Genette, *Narrative Discourse: An Essay in Method*, trans. Jane E. Lewin (Ithaca: Cornell University Press, 1980), 213.

²⁸ Genette, *Narrative Discourse*, 214.

²⁹ G rard Genette, *Figures III* (Paris: Seuil, 1972).

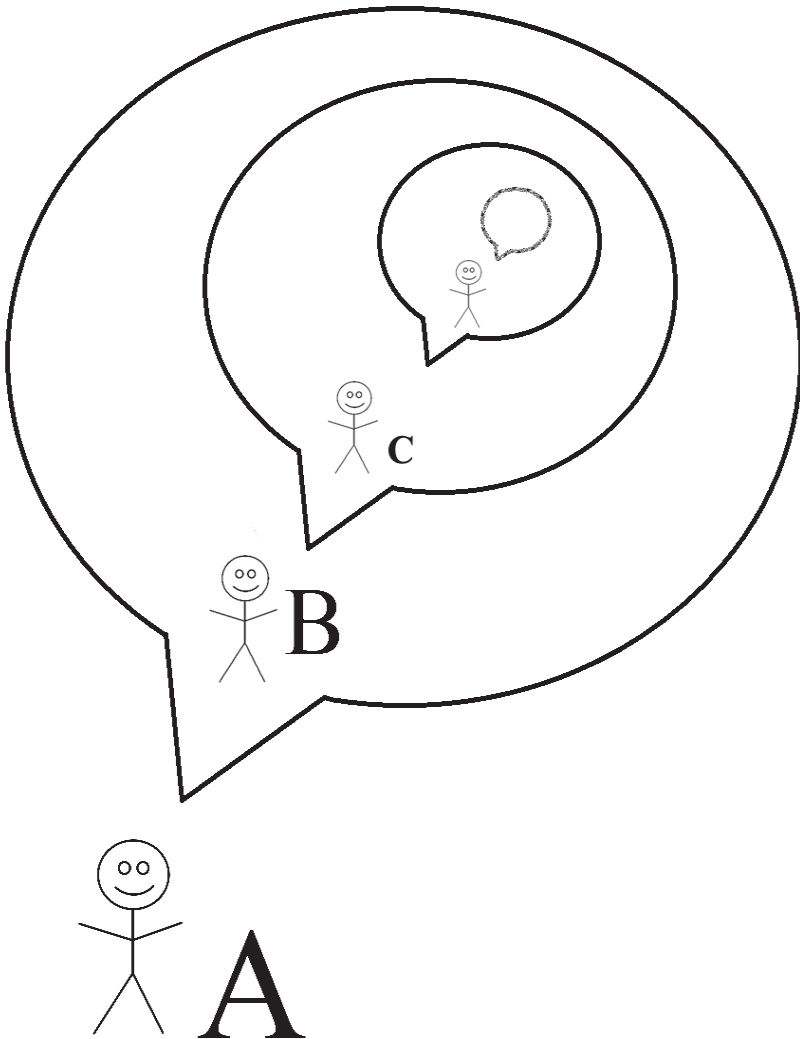
³⁰ G rard Genette, *Narrative Discourse Revisited*, trans. Jane E. Lewin (Ithaca: Cornell University Press, 1988), 84. Originally published as *Nouveau discours du r cit* (Paris: Editions du Seuil, 1983).

Discourse Revisited, Genette provides an explanatory model for the way these levels of narrative are embedded which references the “balloon-shapes” used within comic strips (see Figure 1, which is based on Genette’s model).³¹ Paraphrasing Genette’s explanatory model, one can see that an extradiegetic narrator A emits a balloon which encompasses diegetic character B.³² This character B could then narrate a metadiegetic narrative that includes character C (this “embedding” of narrative within a narrative could continue *ad infinitum*).

³¹ Genette, *Narrative Discourse Revisited*, 85.

³² While nominally derived from Plato’s concept of *diegesis* (to contrast the concept of *mimesis*) its modern connotation was coined by film music pioneer, Étienne Souriau, and refined by Genette. See David Neumeyer, “Diegetic/Nondiegetic: A Theoretical Model,” *Music and the Moving Image* 2, no. 1 (Spring 2009): 27.

Figure 1. Genette's embedded levels of narrative where A is the extradiegetic narrative level, B is the diegetic narrative level, and C is the metadiegetic narrative level.



Using Genette's definitions we can deem the initial section of Tristan's "Muss ich dich so verstehen" monologue (see Figure 2) as beginning in the diegetic narrative level, transforming to the meta-diegetic level, and returning to the diegetic level.

Figure 2. The text for the opening section of Tristan's "Muss ich dich so verstehen" monologue.³³

| | |
|--|--|
| <p>Muss ich dich so verstehn, du alte ernste Weise, mit deiner Klage Klang? Durch Abendwehen drang sie bang, als einst dem Kind des Vaters Tod verkündet: - durch Morgengrauen bang und bänger, als der Sohn der Mutter Los vernahm. Da er mich zeugt' und starb, sie sterbend mich gebar, - die alte Weise sehnsuchtbang zu ihnen wohl auch klagend drang, die einst mich frug, und jetzt mich fragt: zu welchem Los erkoren, ich damals wohl geboren? Zu welchem Los?</p> | <p>Must I understand you thus, you ancient, solemn tune with your plaintive tones? Through the evening air it came, fearfully, as once it brought news to the child of his father's death. Through the grey light of morning, ever more fearful, as the son became aware of his mother's lot. As he begat me and died, so, dying, she bore me. That ancient tune of anxious yearning sounded its lament to them too, asking me then, and asking me now, for what fate was I then born? For what fate?</p> |
|--|--|

³³ Wagner, *Tristan*, 518-522. The English translations in this article are taken from Richard Wagner, *Tristan und Isolde (Tristano e Isotta)* (Kitabu, 2012), Act Three, accessed July 17, 2014, Kindle Editions.

As a character in the opera narrative, Tristan's direct reference to the Hirtenreigen – "Muss ich dich so verstehen du alte ernste Weise..." ["Must I understand you thus, you ancient, solemn tune..."] – occurs on the diegetic level. However, as soon as he starts his story of his parents' deaths, his reference to hearing the Hirtenreigen announce his father's death is in the metadiegetic narrative level. Finally, at the end of this excerpt when Tristan finds the "ancient tune" imploring him to answer "Zu welchem Los?" ["For what fate?"], the diegetic narrative level has returned. He is no longer recounting a story. Rather, he is contemplating his fate out loud. In Carolyn Abbate's in-depth exploration of narrativity in opera, it is stated:

All operas have scenes of narration, scenes in which a character tells a story. But, what, meanwhile, is being done by and with the music? Put another way: what occurs at this juncture that brings music together with a representation of the scene of narration?³⁴

To answer this, one can turn to concepts in film music studies following structural narratology.

In her study of the way music is treated in film, Claudia Gorbman adopts Genette's concepts of extradiegetic (Gorbman writes "nondiegetic" but it is a difference of terminology), diegetic, and metadiegetic narrative levels.³⁵ These concepts have been

³⁴ Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton, N.J.: Princeton University Press, 1991), 61.

³⁵ Claudia Gorbman, *Unheard Melodies: Narrative Film Music* (Bloomington: Indiana University Press, 1987), 22.

further adopted to apply to music in opera.³⁶ As film studies scholar David Neumeyer elaborates, sound that “fails to be positioned securely in relation to spatial coordinates” within the narrative is extradiegetic.³⁷ This would account for the vast majority of music in operatic works. It also provides a narrative orientation for the Wagnerian leitmotif. Like most music produced by the operatic orchestra, the leitmotif is not spatially located in the narrative world itself, and thus it is extradiegetic.³⁸ However, due to its unique function “to represent or symbolize a person, object, place, idea, state of mind, supernatural force or any other ingredient in a dramatic work,” where non-leitmotivic orchestral passages can blur the boundary between narrative levels, the leitmotif is particularly fixed to the extradiegetic level.³⁹ Gorbman defines diegetic music to be “music that (apparently) issues from a source within the narrative.”⁴⁰ Diegetic music, a phenomenon that is common in opera,

³⁶ For a handful of studies using the concept of narrative levels in opera see Robbert Adrianus Jacobus van der Lek, *Diegetic Music in Opera and Film: A Similarity Between Two Genres of Drama Analyzed in Works by Erick Wolfgang Korngold* (Atlanta, GA: Editions Rodopi B.V., 1991); Matt Baileyshea, “The Struggle for Orchestral Control: Power, Dialogue, and the Role of the Orchestra in Wagner’s *Ring*,” *19th-Century Music* 31, no. 1 (2007): 3-27; and William Cheng, “Opera *en Abyme*: The Prodigious Ritual of Korngold’s *Die tote Stadt*,” *Cambridge Opera Journal* 22, no. 2 (2011): 115-146. In instrumental music, see Vera Micznik, “Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler,” *Journal of the Royal Musical Association* 126, no. 2 (2001): 193-249; and Elizabeth Paley, “‘The Voice Which Was My Music’: Narrative and Nonnarrative Musical Discourse in Schumann’s ‘Manfred,’” *19th-Century Music* 24, no. 1 (Summer, 2000): 3-20.

³⁷ Neumeyer, “Diegetic/Nondiegetic,” 26.

³⁸ For a fascinating re-evaluation of the narrative function of the leitmotif, see Baileyshea, “The Struggle for Orchestral Control.”

³⁹ Arnold Whittall, “Leitmotif,” *Grove Music Online, Oxford Music Online* (Oxford University Press), accessed February 11, 2014.

⁴⁰ Gorbman, *Unheard Melodies*, 22.

occurs three times in *Tristan*.⁴¹ Kerman notes the significance of the instances of diegetic music occurring at the opening of each act (the Sailor's song of the opening of Act I, Mark and Melot's hunting calls in Act II, and the *Hirtenreigen* in Act III) and notes the increasing degree of musical importance in each instance.⁴² He states, "These musical ideas are all symbolic, and permeate the beginnings of the act in question – most profoundly in the case of the Shepherd's '*alte Weise*' of Act III."⁴³ The two common musical narrative levels (diegetic and extradiegetic) are contrasted with the more exceptional level, what Gorbman (following Genette) calls metadiegetic music: those sounds that are "imagined by the character in the film," such as in a dream or flashback.⁴⁴ Here, the character "'takes over' part of the film's narration and we are privileged to read his musical thoughts."⁴⁵

Film music scholar, Robynn J. Stilwell, has deemed the transitions between these narrative levels to be of "great narrative and experiential import."⁴⁶ As she states, "the border region – the fantastical gap – is a transformative space, a superposition, a transition between stable states."⁴⁷ This permeability of border between narrative levels is not exclusive to film music. Abbate has noted that, in some cases of

⁴¹ There are numerous examples of diegetic music in opera that range from the earliest canonical works, such as the lyre-playing hero in Monteverdi's *L'Orfeo*, to the three onstage chamber orchestras during the ballroom scene in Mozart's *Don Giovanni*.

⁴² Kerman, *Opera as Drama*, 197.

⁴³ *Ibid.*

⁴⁴ Gorbman, *Unheard Melodies*, 22.

⁴⁵ *Ibid.*, 23.

⁴⁶ Robynn J. Stilwell, "The Fantastical Gap Between Diegetic and Nondiegetic," in *Beyond the Soundtrack: Representing Music in Cinema*, eds. Daniel Goldmark, Lawrence Kramer, Richard Leppert (Berkeley, University of California Press, 2007), 200.

⁴⁷ Stilwell, "The Fantastical Gap," 200.

narrative song in opera, “a border that is usually clearly marked – the border between music that the characters do not hear and are not aware of singing, and songs that they can hear – has been dissolved.”⁴⁸ This is particularly so in Wagnerian opera. She states,

Wagner’s dissolution of this border created opera in which the characters live in a realm animated by music that they at times seem to hear, at times to invent.... Elusive as it is, the illusion of the character who *hears* is a characteristic element of Wagner’s language. Act III of *Tristan* is born of this illusion; when the “Alte Weise” passes into the orchestra during the second part of *Tristan*’s narrative, we are aware that the music we hear comes from *Tristan*, that we are hearing what he hears as he lingers at the edge of our world.⁴⁹

Wagner musically exploits all three narrative levels in *Tristan*’s “Muss ich dich so verstehen” monologue of Scene 1, of Act III. As it will be shown, these levels are not strict and exclusive from each other but, rather, they are situated along a gradient.

The Extradiegetic Narrative Level: The *Hirtenreigen* as Leitmotif

As the leitmotif, corresponding to the extradiegetic level, is the most well-known narrative technique, we will explore it first. A prominent example of material from the *Hirtenreigen* used in the extradiegetic level is when *Tristan* initially rises from his comatose state (when *Kurvenal* reminds him that he is in the ancestral surroundings of his father). *Tristan* exclaims “Meiner Vater?” directly after which the first six notes of “The Call” motive are heard in

⁴⁸ Abbate, *Unsung Voices*, 117.

⁴⁹ *Ibid.*, 117-118.

the oboe.⁵⁰ This marks the first time that “The Call” material has strayed from its original instrumentation, key, and harmonic setting (see Example 5).

Example 5. “The Call” motive transformed into a leitmotif (in the oboe) in Scene 1, Act III.⁵¹

Tristan: Mei - ner Vät - er? Kurw.: Sich dich nur um!

4 Tristan: Was er - klang mir?

F^{#7} B D³

F⁶ B^{b6}

Up to this point, we have heard the tune in its original unaccompanied form and key of F minor, directly before Tristan awakes earlier in the scene. It is clear that, at this earlier point, the tune is present in the diegetic level: Tristan hears the piping within the narrative. He directly references it: “Die alte Weise; - was weckt sie mich? [That old tune? Why does it waken me?].”⁵² However, at Tristan’s reference to his father, as opposed to earlier in the scene, the tune is operating on the extradiegetic narrative level. Tristan is not hearing the Shepherd’s piping within the action of the

⁵⁰ Wagner, *Tristan*, 474.

⁵¹ *Ibid.*

⁵² *Ibid.*, 470.

narrative (note that Tristan asks “Was erklang mir?” [“What rang me?”] in the past tense and, likewise, Kurwenal replies “Des Hirten Weise hörtest du wieder” [“The Shepherd’s tune you were hearing”],⁵³ also in the past tense) yet “The Call” is informing the dramatic content of the narrative. As such, “The Call” in this leitmotif setting retains its shape (a leap of a perfect 5th followed by a leap of a third then a descend of a second), but it is harmonized over a second-inversion D dominant 7th chord and a French augmented 6th chord, which acts as predominant to the dominant of B flat major – a very chromatic harmonic setting (see Example 5), vastly different than the implied harmony of the *Hirtenreigen* exposition. Furthermore, the fact that Wagner gives the tune to the oboe, a double-reed instrument of the same family, directly references the instrumentation of “The Call” in its initial instance. In effect, the passage represents the birth of “The Call” as a leitmotif. Its placement directly after Tristan’s reference to his father imbues this motive with a dramatic association of Tristan’s parents.

In true Wagnerian style, the composer capitalizes on this association at a crucial moment later in the “Muss ich dich so verstehen” monologue: the instant when Tristan realizes his fate has been sealed since his own mother’s death during his birth – “Die alte Weise sagt mir’s wieder: mich sehnen - und sterben!” [“The ancient tune tells me once more: to yearn - and to die!”].⁵⁴ His first instinct is to deny this in disbelief: “Nein! Ach nein! So heist sie nicht!” [“No! Ah, no! That is not it!”].⁵⁵ At this point, after extensive use of the *Hirtenreigen* in its original form (as will be detailed below), “The Call” leitmotif is blasted by the high winds (*sehr gehalten*) in counterpoint with what is often referred to as the “Day” motive in the horns (see Example 6).⁵⁶

⁵³ Ibid., 474-475.

⁵⁴ Ibid., 523.

⁵⁵ Ibid., 523.

⁵⁶ North, *Wagner’s Most Subtle Art*, 509.

Example 6. “The Call” as a leitmotif in Scene 1, Act III.⁵⁷

The musical score for Example 6 consists of three staves. The top staff is the vocal line for Tristan, with lyrics: "Tristan: Nein! Ach nein! So__heisst sie nicht!". The middle staff is for high winds, featuring the "The Call" leitmotif. The bottom staff is for horns, featuring the "Day" leitmotif. The key signature is three flats (B-flat, E-flat, A-flat) and the time signature is 4/4. The score is divided into two measures, with a D-flat major chord (D^b) in the first measure and a D major chord (D⁷) in the second measure.

Again, the harmonic treatment of the “The Call” differs from the implied harmony of the exposition of the tune at the beginning of the act. Here, Wagner begins “The Call” with the same notes as the exposition (F – C – E flat – D flat), but these are harmonized over a progression that begins in a D flat major harmony (reached via a deceptive cadence as the VI in F minor). It continues via chromatic motion that results in the dominant of G minor (the sequencing of this passage a whole tone higher in the proceeding measures is achieved by this dominant chord resolving via a deceptive cadence to an E flat major chord, the VI of G minor). Although Tristan attempts to deny his fate of death in this passage (“Nein! Ach nein!”), it is perhaps this exact moment in which the first deceptive cadence occurs (to the VI of F minor) that both the audience and Tristan realize that his fate is fixed. Wagner continues to use “The Call” leitmotif throughout the monologue in conjunction with a variety of others.⁵⁸ His employment of the *Hirtenreigen* material in the extradigetic level (through the use of leitmotifs) is one technique which

⁵⁷ Wagner, *Tristan*, 522-523.

⁵⁸ See Chafe, *The Tragic and the Ecstatic*, 255-265.

makes this dramatic end so clear. In addition to this technique, Wagner uses the *Hirtenreigen* earlier in the "Muss ich dich so verstehen" monologue in a way that retains more of its large scale structure as it oscillates from moment to moment between the diegetic and metadiegetic levels.

The Diegetic and Metadiegetic Narrative Levels

In the most practical sense, Wagner employs the *Hirtenreigen* as a dramatic device to introduce Tristan's past into the narrative of the opera. As stated above, at the moment that Tristan becomes conscious, the *Hirtenreigen* is used in its exclusively diegetic state – it occurs within the world of the drama. Besides the fact that Tristan refers to the tune directly ("Die alte Weise; - was weckt sie mich?"⁵⁹), its narrative status is evident because Wagner assigns the diegetic piping of the tune a musical identity: the presentation of the *Hirtenreigen* material in unaccompanied or minimally accompanied English horn emitted from the stage. Simply put, when Tristan hears the piping of the *alte Weise*, he is simultaneously awakened from his comatose state and reminded of his parents' deaths. This sets the stage for the dramatic material of the scene: Tristan's expectation of Isolde's ship and the realization of his fate of death due to the implication he had in the deaths of his mother and father.

The revelation of Tristan's role in his parents' demise occurs in the "Muss ich dich so verstehen" monologue of the same scene. This "penetration of events of his past," as Kerman writes, is achieved through Wagner's musical treatment of the tune during this monologue.⁶⁰ Through orchestration of the *Hirtenreigen* material, the gradual and episodic progression from the diegetic narrative level

⁵⁹ Ibid., 470.

⁶⁰ Kerman, *Opera as Drama*, 201.

to the metadiegetic level is attained in order to musically enhance the approach to the frontier of Tristan's internal consciousness. At the onset of the "Muss ich dich so verstehen" monologue, as in the earlier part of the scene when Tristan initially awakes, "The Call" motive is preceded by a statement of the "The Wail" by the English horn from the stage, with light accompaniment by tremolo strings on a B flat pedal. Here, the diegetic presence of the tune signals Isolde's absence, as the Shepherd was instructed to "spiele lustig und hell!" ["play merrily and clearly"]⁶¹ on seeing her ship. More important for Wagner's dramatic aims, it triggers associative memories of the deaths of Tristan's parents and is thus the beginning of the progression to Tristan's internal sphere and the metadiegetic narrative level. This is supported musically by the gradual increase of orchestration from the orchestra pit to the point of complete replacement of the on-stage English horn. In addition, there is a marked increase in the number of unexpected harmonies.

The first *Stollen* of the tune is recapitulated in full by the English horn with the light accompaniment of tremolo strings in expected diatonic harmony (in F minor) until Tristan's entrance (see Example 7).

⁶¹ Ibid., 469.

Example 7. *Stollen 1*, *Stollen 2*, and the beginning of the *Abgesang* of the *Hirtenreigen* during the first 20 measures of Tristan's "Muss ich dich so verstehen" monologue.

Stollen 1

EH.
Vls.

Stollen 2

7 Tristan: Muss ich dich so ver stehn

Vla. & Vc.

12 du al - te ern - ste Wei - se,

15 mit dein - er Kla - ge Klang?

Timp.
Bsn.

Abgesang -----

18 Durch A - bend - we - hend

23 drang sie bang, als einst dem Kind des Va - - ters

26 Tod ver - kün - det;

Ob. 3 Cl. 3 Ob. 3

Hn. 3 E.H. 3 Hn. Pizz. Vlc. & Bcl.

At Tristan’s entrance, the G flat of this *Stollen* (upon which he begins “Muss ich dich so verstehn...?” [“Must I understand you thus...?”])⁶² that was so surprising in the exposition of the tune is softened by a chromatic descent with suspensions in the strings. The proceeding second *Stollen* also occurs in a different harmonic dress than the initial exposition of the tune. Most noticeably, the wail-like extension of the dominant in the second *Stollen* is re-harmonized as a dominant 7th chord rooted on C with a flattened 5th (C7^b5, mm. 16-19 of Example 7). The Neapolitan neighbor prolongation implied in the exposition of the *Hirtenreigen* does not occur (mm. 16-19 of Example 4). The orchestral forces (from the pit) increase with the addition of a timpani roll when Tristan narrates his story (on the final note of the second *Stollen* immediately before the *Abgesang* begins). Three measures after Tristan’s metadiegetic recounting of his past begins, the development of the “Triplet Motive” is passed from the English horn to the oboe, clarinet and horn with bassoon accompaniment (in addition to the ever-present tremolo strings). The rhythmic augmentation of the opening of the *Abgesang* in addition to the variable orchestration thereby brings the tune completely into the internal sphere of Tristan’s memory (see Example 7). Over these five measures (“...drang sie bang, als einst dem Kind des Vaters Tod verkündet...” [“...it came, fearfully, as once it brought news to the child of his father’s death...”])⁶³, Tristan is reliving the memory of the tune – the diegetic narrative level is displaced by the metadiegetic narrative level in both the textual *and* musical elements of the opera. This metadiegetic episode of the musical setting is “popped” immediately after Tristan reveals his father’s death (one of Wagner’s dramatic priorities). At this point, the pizzicato G in the basses (the “pop,” m. 28 of Example 7) combined with *sforzandi* in the horn

⁶² Ibid.

⁶³ Ibid., 519.

and bass clarinet initiates the return of the on-stage English horn and *Abgesang* material continues again with light accompaniment: the music has slid back towards the diegetic level (the light accompaniment of the orchestra prevents a complete reverting to the diegetic level). Thus, as Tristan's text continues in the metadiegetic narrative level ("Durch Morgengrauen bang und bänger, als der Sohn der Mutter Los vernahm" ["Through the grey light of morning, ever more fearful, as the son became aware of his mother's lot."]),⁶⁴ the musical setting of the text oscillates in and out of the metadiegetic level – in and out of Tristan's memory of the past. Wagner portrays these musical transformations to and from the diegetic and metadiegetic levels through his orchestration, rhythmic variation, and harmonic setting of the *Hirtenreigen*.

The proceeding passage of the "Muss ich dich so verstehen" monologue represents the next plunge into Tristan's consciousness and results in an extended musical passage in the most wholly metadiegetic level yet: when Tristan divulges his mother's death ("Da er mich zeugt' und starb, sie sterbend mich gebar" ["As he begat me and died, so, dying, she bore me"]).⁶⁵ Here, the *Hirtenreigen* is presented in its most divergent form in comparison to the exposition (see Example 8).

⁶⁴ Ibid., 519-520.

⁶⁵ Ibid., 520.

Example 8. *Hirtenreigen* material presented in G flat during the "Muss ich dich so verstehen" monologue.

Tristan: ...ver - nahm. Da er mich zeugt' und starb, sie

The "Wail"

E.H.

Vln.

Bcl.

"The Call"

6 sterb - end mich ge - bar, die al - te

Stollen 2

Ob.

9 Wei - se sehn - - sucht - bang zu ihn - en wohl auch

Cl.

12 kla - gendrang, die einst mich frug und jetzt mich frägt: zu

"Triplet Motive" -----

Ob. 3

17 wel - chem Los er - ko - ren, ich da - mals wohl ge - bo - ren?

"The Wail" -----

Cl. Ob. Cl.

21 Zu wel chem Los? Die al - te...

Ob.+Cl. Hn+Bsn. Stollen 2 E.H.

It is in a different key (initially G flat major which gives way to G flat minor) and played by orchestral instruments other than the English horn (first by the bass clarinet and then exchanged between the oboe and clarinet). Although the key center returns to F minor at the mention of the “klagend drang” of the tune, this metadiegetic episode does not subside until Tristan questions his own fate at “Zu welchem Los?”⁶⁶

The episode achieves its movement away from F minor via a chromatic and harmonically unstable passage. This is initialized by the G flat at the end of “The Wail” motive acting as a common tone between the dominant C7^b5 chord and the proceeded C flat chord (at “Da er mich zeugt” in mm. 3-4 in Example 8).⁶⁷ The C flat chord, in turn, acts as the dominant of F flat major as the bass clarinet sounds the “The Call” motive (via a third-relation, an E flat major chord) and a modified statement of the second *Stollen* is iterated in G flat (without preparation of a dominant). Approaching the harmonic progression of this section from a broader view, this second *Stollen* occurs within a temporary and unstable G flat key area (Wagner writes F sharp) as an expansion of the G flat in the exposition of the tune (after “The Wail” motive) within an overall F minor tonality. The modulation back to F minor is also achieved through highly chromatic motion during the “Triplet Motive” material from *Stollen* 1, resulting in the dominant of F minor for the “The Wail” material as Tristan comprehends his destiny (“zu welchem Los erken, ich damals wohl geboren? Zu welchem Los?” [“For what fate was I then born? For what fate?”]).⁶⁸ Both motives are rhythmically augmented. Immediately after this, the second *Stollen* returns in the English horn (in F minor) and the final material of the *Abgesang*

⁶⁶ Ibid., 522.

⁶⁷ Ibid., 520.

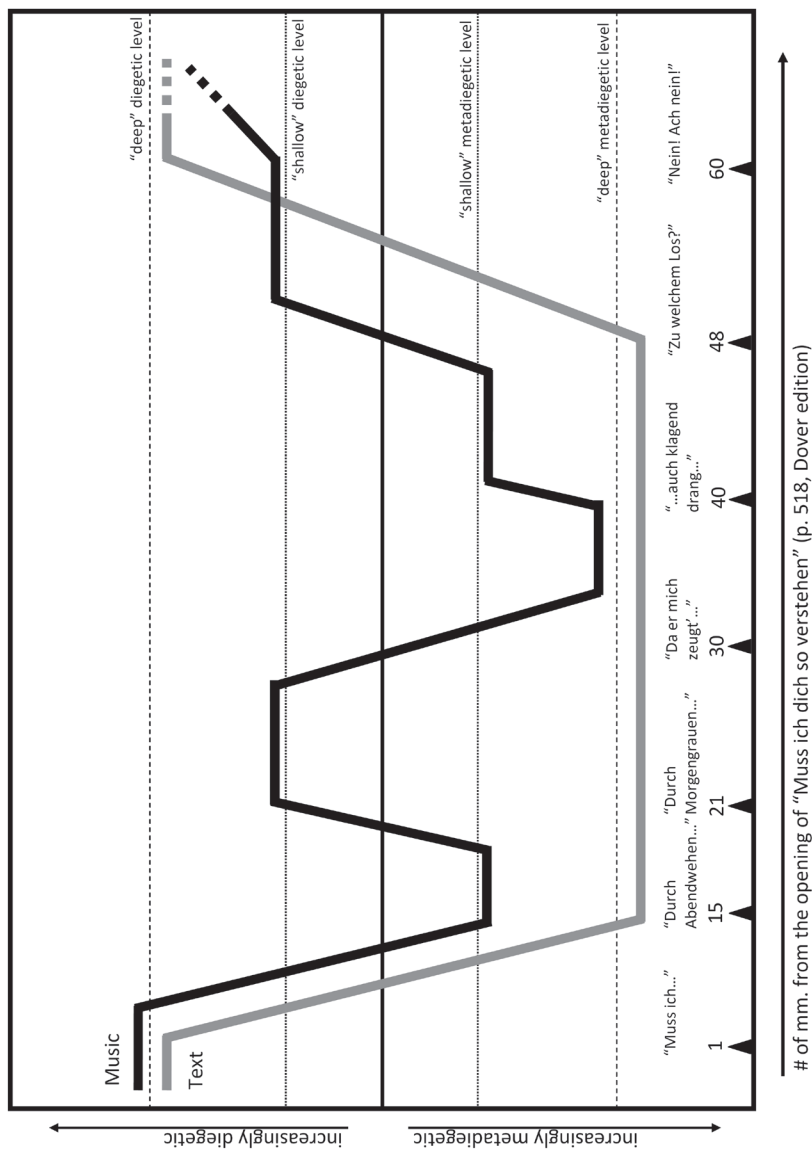
⁶⁸ Ibid., 521-522.

(“The Call” inverted) finishes on a strong cadence (“Die alte Weise sagt mir’s wieder: mich sehnen - und sterben!” [“The ancient tune tells me once more: to yearn - and to die!”]).⁶⁹ The textual content of Tristan’s monologue at “Zu welchem Los?” and the music both occur once again at the diegetic narrative level (the immediacy of his self-questioning in the text indicates that it is not part of his meta-diegetic narrative).

Figure 3 graphically summarizes the previous analysis. It compares the progressive transition through narrative levels of the musical material with that of the textual material. The exposition of the *Hirtenreigen* provides an initial expectation of key, harmony, and orchestration that is withheld later in the scene. The degree of transformation of the *Hirtenreigen* material via harmonic setting, orchestration and key controls the oscillation between the diegetic and metadiegetic level of the narrative while the textual content of Tristan’s monologue remains statically metadiegetic. Essentially, Wagner’s technique here intensifies the overall metadiegesis of strategic points in the monologue as Tristan’s probes his own internal sphere and, thus, brings his past to the fore.

⁶⁹ Ibid., 522.

Figure 3. Graphic summary of the changing narrative levels of the music and text in the first section of the “Muss ich dich so verstehen” monologue.



This pattern of musically passing from the diegetic level to the metadiegetic level begins in a very similar way at the next iteration of the *Hirtenreigen* from the on-stage English horn (after Tristan exclaims “Im Sterben mich zu sehnen, vor Sehnsucht nicht zu sterben!” [“While dying to yearn, but not to die of yearning!”]).⁷⁰ Just as in the beginning of the monologue, when Tristan continues the metadiegetic narration of his monologue recounting past events involving Isolde (“Die nie erstirbt, sehrend nun ruft um Sterbens Ruh’ sie der fernen Ärztin zu” [“Never dying, yearning, calling out for the peace of death to the far-away physician”]),⁷¹ the musical setting of the tune is taken up by the orchestra in a variety of instrumentations and key areas. However, unlike the first cycle in which the tune returns to the diegetic sphere – the “reality” of the opera’s dramatic world – the *Hirtenreigen* remains in the metadiegetic and extradiegetic levels (leitmotifs) until it is completely expunged from the opera at “Der Trank! Der Trank! Der furchtbarer Trank!” [“The draught! The draught! The fearful draught!”].⁷² If, at the opening of the act, Tristan was “no longer at home in reality,” suspended between “daily life” and “the blissful domain of the night,”⁷³ then at the end of the “Muss ich dich so verstehen” monologue, Wagner’s musical treatment shows that our hero has surrendered to the night and to his fate of death.

⁷⁰ Ibid., 522.

⁷¹ Ibid., 526-527.

⁷² Ibid., 532-533.

⁷³ Žižek, “Deeper Than the Day,” 127.

Conclusion

Drawing on passages of Wagner’s writings that juxtapose the possible genetic source of the *Hirtenreigen* and the composer’s synthesis of Schopenhauer’s philosophy on music and dreams, Nattiez makes the following claim: “There is no doubt that we are intended to interpret the Shepherd’s *alte Weise* within the context of this [Schopenhauerian] metaphysical approach to dreams and music.”⁷⁴ Nattiez finds that,

For Tristan death is the kingdom where he could finally forget and no longer be plagued by desire, but the “ancient tune” reminds him that the death of his parents, doubly linked to his conception and birth, dooms him likewise to death. And this is something he can forget only in death itself.⁷⁵

As it has been made clear, the *Hirtenreigen* is used by Wagner as an instrument to probe the depths of Tristan’s memory, expose Tristan’s (and therefore Isolde’s) fate of death, and, thus, complete the Schopenhauerian puzzle.⁷⁶ In this way, it is not dissimilar to the famous opening “desire” sequence of the prelude to the opera which famously results in three statements of the “Tristan” chord in chromatic sequence, a passage that is strongly imbued with the *topoi* of desire and unrequited love. Like the *Hirtenreigen*, as the “desire” sequence returns throughout the opera at important dramatic points, it is dressed in a variety of guises and a variety of orchestrations – simultaneously *giving* meaning to the drama at any one point as well as *gaining* meaning. In this way, the *Hirtenreigen*

⁷⁴ Nattiez, *Wagner Androgyne*, 152.

⁷⁵ *Ibid.*, 153.

⁷⁶ For a full exploration of Wagner’s debt to Schopenhauer in *Tristan und Isolde*, see Chafe, *The Tragic and the Ecstatic*.

can be viewed as a crucial balancing counterpart that is grounded in diegetic “reality” of the opera. As the “desire” sequence is used when the lovers initially accept their love in the final scene of Act 1, the *Hirtenreigen* is used when Tristan accepts his and Isolde’s fate of death as the Schopenhauerian culmination of eternal love.

Abbate identifies instances of the kind of musical narrative complexity described above in several of Wagner’s operas including *Der Fliegende Holländer*, *Tannhäuser*, as well as *Tristan und Isolde*.⁷⁷ Indeed, Abbate sees the composer’s ability to manipulate the narrative level of the music of his operas as an “illusion” that was “one element of Wagner’s language that (unlike leitmotifs) few other later composers could mimic.”⁷⁸ It is easy to dismiss Hanslick’s negative comments regarding the “awful length” of the *Hirtenreigen* as anti-Wagnerian diatribe. Yet, in one way, there is something to Hanslick’s observation after all. For, although a complete occurrence of the *Hirtenreigen* is necessary for the achievement of the narrative “illusion” during its recapitulation throughout the “Muss ich dich so verstehen” monologue, the interlude comes very close to stagnating the pace of the opera. In this way, the *Hirtenreigen* represents Wagner’s extraordinary dedication to his Schopenhauerian dramatic priorities. Perhaps this is the reason that other opera composers had difficulty imitating Wagner’s narrative style: they lacked his idealist commitment. However, in another way, the drawn-out passage that Ernest Newman called “one of the strangest and most poignant ever imagined by man,”⁷⁹ fulfills a necessity of the drama even in its halting of the narrative progress. The exposition of the *Hirtenreigen* hangs the narrative of the opera in a timeless, mythological world which primes us for the events of the third act – an enigmatic world, but a Wagnerian one nonetheless.

⁷⁷ Abbate, *Unsung Voices*, 95-98.

⁷⁸ *Ibid.*, 118.

⁷⁹ Ernest Newman, *The Wagner Operas* (New York: Alfred A. Knopf, 1949), 264.

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