

RETHINKING

SCHUBERT



EDITED BY
LORRAINE BYRNE BODLEY
AND JULIAN HORTON

Rethinking Schubert

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*For Walther Dürr,
whose generous spirit, warm heart, and sterling
scholarship we treasure.*

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Acknowledgements

This book had its origins in a course I teach on late Schubert to students at the beginning of their academic career. My writing on this theme¹ and my love of Schubert's 'late' music inspired me to invite my dear friend, Julian Horton, to co-author a call for papers and co-organise the conference, *Thanatos as Muse? Schubert and Concepts of Late Style*, which took place at the Maynooth University Department of Music on 21–23 October 2011 in collaboration with the School of Music at University College Dublin. Following the success of this international gathering, scholars were invited to expand and develop their papers to become essays in *Rethinking Schubert*.² Seven new chapters were commissioned from leading Schubert scholars who were either unable to attend the conference or who were present but have written alternative chapters to fit the new remit. This book differs from many other volumes of essays on Schubert in two strategic ways. First, we have tried to integrate very detailed technical analyses with more general scholarly issues of Schubert reception. Secondly, the volume reflects our desire to include leading German-language and francophone Schubert research in an English-language volume of essays. In the interests of a wider English-speaking readership, Hans-Joachim Hinrichsen's stellar scholarship is made available in the opening chapter, which has been specially commissioned for this volume of essays. Early versions of previously published chapters appeared in Lorraine Byrne Bodley, 'Wandermotive in Schuberts Goethe Liedern', *Schubert Jahrbuch* (2014); Walther Dürr, 'Kompositionsstrategien des späten Schubert', in Klaus Aringer and Ann-Kathrin Zimmerman (eds), *Mozart im Zentrum: Festschrift für Manfred Hermann Schmid zum 60. Geburtstag* (Tutzing: Hans Schneider, 2010), pp. 367–79 and William Kinderman, 'Franz Schuberts "Neuer Stil" und das Erbe Beethovens', in *Schubert: Perspektiven 9/1* (Stuttgart: Franz Steiner Verlag, 2009), pp. 60–79. A translation of Xavier Hascher's essay, 'Anti-parcours et non-narration dans le premier mouvement de la Symphonie inachevée de Schubert' will appear in Márta Grabócz (ed.), *Narratologie musicale: topiques et stratégies narratives en musique* (Paris: Éditions des Archives contemporaines, forthcoming). We would like gratefully to acknowledge permissions given by the publishers and the editors to include these essays.

Julian Horton and I have been fortunate in having particularly able advisors. For the production of this book we relied on the assistance of a number of people. Suzanne Ryan, the music editor at Oxford University Press, gave her unflinching encouragement and wise counsel from the very inception of this project. Damian Penfold and, in its early stages, Jessen O'Brien and Adam Cohen

were superbly efficient in steering a complicated book into production. Likewise the reports of the anonymous readers consulted by Oxford University Press picked up on any shortcomings, asked some key questions and encouraged us in the final stage of our work. We thank them sincerely for their invaluable help.

Although we have worked together to bring this volume to completion, there are nevertheless thanks that are best offered separately; it is in this spirit that the following remarks are conceived.

Lorraine Byrne Bodley

I owe a special debt of gratitude to Walther Dürr, to whom this book is dedicated. Without his profound knowledge of Schubert and monumental contribution to Schubert scholarship, without his willingness to revise and rethink, without his example and inspiration, all our work would be very different. Walther chaired the first paper I gave at the International Schubert Conference at the University of Leeds, 29 June–1 July 2000, and took time from his busy life to travel to Dublin to read a paper on Schubert's sacred music at the first international conference I organized when I was a postdoctoral fellow in the Department of Germanic Studies in Trinity College, 4–5 April 2003.³ I am deeply grateful to him for his encouragement on both occasions and at the international conference, 'Vom Wasser haben wir's gelernt', organized by the Deutsche Schubert-Gesellschaft, 27–29 September 2012, at which I read the German-language version of my chapter on 'Der Musensohn'. I am also profoundly grateful to him and his equally warm-hearted colleagues, Christine Martin and Rudolf Faber, for the generous welcome they gave me during my four months as visiting fellow at the Schubert-Archiv, University of Tübingen, which was made possible by Deutscher Akademischer Austausch Dienst and Gerda Henkel Foundation fellowships. Christine and Walther shared their office with me on many occasions as I worked on the final editorial points of this book. I warmly acknowledge the linguistic and scholarly acumen as well as the generosity of Jürgen Thym, who wanted to pay tribute to Walther by translating his chapter. I am deeply indebted to Graham Johnson, who in the midst of correcting the proofs for volume 3 of *Franz Schubert: The Complete Songs*, took time from his busy life to pay homage to Walther. I will always be immensely grateful.

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Julian Horton

When Lorraine asked me to collaborate in bringing *Schubert and Concepts of Late Style* to fruition, I approached the project as an analyst with an interest in Schubert's music, rather than as a Schubert scholar, and therefore with a degree of trepidation. In the end, however, the tangible sense of overarching interdisciplinarity proved to be one of the conference's great strengths. This spirit of disciplinary collaboration has carried over into the preparation of *Rethinking Schubert*; the volume has merit not least because it reflects a kind of bifocal engagement, through which a range of disciplinary perspectives are brought to bear on Schubert's music, which then in turn serves as a means of refracting broader disciplinary debates. My first thanks therefore go to the community

of Schubert scholars who have engaged with this project and tolerated my intervention. This encounter has greatly enriched not only my understanding of Schubert, but also my practice as an analyst.

The work for this project has been undertaken in the midst of a great many competing claims on my time, including the prosecution of my duties as Head of the School of Music at University College Dublin, and subsequently as Head of the Music Department at Durham University. The book's completion would not have been possible without the patience, support and understanding of colleagues in both institutions: at UCD, Majella Boland, Ciarán Crilly, Desmond Earley, Nicole Grimes, Jaime Jones, Frank Lawrence, Wolfgang Marx, Thérèse Smith, and Harry White; at Durham, Martin Allison, Martin Clayton, Nick Collins, Neil Combstock, Joyce Dent, Jeremy Dibble, Tuomas Eerola, Eric Egan, Alasdair Jamieson, Jess Lawrence, Laura Leante, Peter Manning, Simon Mills, Karen Nichol, Max Paddison, Richard Rijnvos, Faye Smith, John Snijders, Simone Tarsitani, Trevor Wishart, Bennett Zon and Patrick Zuk.

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Notes

1. 'Late Style and the Paradoxical Poetics of the Schubert-Berio *Rendering*', in Barbara Reul and Lorraine Byrne Bodley (eds), *The Unknown Schubert* (Aldershot: Ashgate, 2008), pp. 233–50.

2. Further essays have been developed for Lorraine Byrne Bodley and Julian Horton (eds), *Schubert's Late Music: History, Theory, Style* (Cambridge: Cambridge University Press, 2016); a special edition of *Nineteenth-Century Music Review* guest-edited by Lorraine Byrne Bodley and James William Sobaskie (2016); and a special issue of *Music Analysis* devoted to Schubert's String Quintet (2014).

3. Goethe and Schubert in Perspective and Performance, Trinity College Dublin, 4–5 April 2003. Papers were published in *Goethe and Schubert: Across the Divide* (Dublin: Carysfort Press, 2003).

Contributors

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Lorraine Byrne Bodley is a senior lecturer in Musicology at Maynooth University. She is the first woman in Ireland to have had conferred on her a DMus in musicology, a higher doctorate awarded for published work (NUI, 2012). She also holds a PhD in music and in German from University College Dublin (2000). Recent awards include a Gerda-Henkel Foundation Scholarship (2014) and two DAAD Senior Academics Awards (2010 and 2014). In 2015 she was elected President of The Society for Musicology in Ireland and Member of the Royal Irish Academy. She has published thirteen books including *A Community of the Imagination: Seóirse Bodley’s Goethe’s Settings* (Carysfort Press, 2013); *Goethe and Zelter: Musical Dialogues* (Ashgate, 2009); *The Unknown Schubert* (Ashgate, 2008); *Proserpina: Goethe’s Melodrama with Music by Carl Eberwein* (Carysfort Press, 2007) and *Schubert’s Goethe Settings* (2003). Recent publications include *Schubert’s Late Music: History, Theory and Style*, co-edited with Julian Horton (Cambridge University Press, 2016), and she will write a new biography on Schubert for Yale University Press.

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Schubert, neo-Riemannian and Schenkerian theories, the history of tonal theory and medieval vernacular music. She has been awarded numerous fellowships, including, in the United Kingdom, from the AHRC and the British Academy; and in the United States, the National Humanities Center, Institute for Advanced Studies, in Princeton, New Jersey, and the ACLS. She contributed an essay on Schubert to *The Oxford Handbook of Neo-Riemannian Music Theories*, edited by Alexander Rehding and Edward Gollin, and her book *Analyzing Schubert* appeared with Cambridge University Press in 2011.

Julian Caskel studied musicology, philosophy and political sciences at the universities of Heidelberg and Cologne. He completed his PhD on scherzo movements in 2009. Afterwards he was employed at the University of Cologne in a research project on the aesthetics of musical rhythm in the twentieth century. Published and forthcoming articles cover topics ranging from Haydn, Mahler and Eisler to contemporary composition and film music. He is also the co-editor of the *Handbuch Dirigenten* that has been released by Bärenreiter.

David Damschroder, who teaches at the University of Minnesota, inaugurated his harmony project with *Thinking about Harmony: Historical Perspectives on Analysis* (Cambridge University Press, 2008), which is being complemented by monographs on individual composers, *Harmony in Schubert* (Cambridge University Press, 2010), *Harmony in Haydn and Mozart* (Cambridge University Press, 2012), *Harmony in Chopin* (Cambridge University Press, 2015), *Harmony in Beethoven* (Cambridge University Press, 2016), and *Harmony in Mendelssohn and Schumann* (in preparation). The project, intended to span the long nineteenth-century, will soon proceed to harmony after 1850 (Verdi to Debussy). In addition, Damschroder's *Tonal Analysis: A Schenkerian Perspective* is forthcoming from W. W. Norton.

Walther Dürr was born in 1932 in Berlin. He studied musicology with Walther Gerstenberg and German and Italian languages and literature at Tübingen University. In 1956 he received his PhD. From 1957 to 1962 he was a lecturer at Bologna University, and from 1962 to 1965 he was a lecturer and assistant at the Akademisches Auslandsamt of Tübingen University. From 1965 to 1997 he was an executive member of the editorial board of the *Neue Schubert-Ausgabe* (editor especially of the songs). In 1977 he became an honorary professor at Tübingen University. He retired in May 1997, but he is still a member of the editorial board of the *Neue Schubert-Ausgabe*.

Lisa Feurzeig, a professor of music at Grand Valley State University in Michigan, is a musicologist and singer. Her research emphasizes German-language vocal music: lieder, opera and operetta. Her book *Schubert's Lieder and the Philosophy of Early German Romanticism* was published by Ashgate in 2014. She has also published articles on Wagner, Fauré and Schubert and

two critical editions. Feurzeig is drawn to interdisciplinary connections and to traditions where the arts mingle, such as the Viennese Volkstheater and Bollywood films. As a singer, she has performed art song and chamber music ranging from the twelfth to the twentieth century.

David Ferris is an associate professor of musicology at Rice University in Houston, Texas. He is the author of *Schumann's Eichendorff Liederkreis and the Genre of the Romantic Cycle* (Oxford University Press, 2000), and his work has appeared in the *Journal of the American Musicological Society*, *Journal of Musicology*, *Music Theory Spectrum*, and *Music and Letters*. He is currently editing two volumes of keyboard sonatinas for the new complete edition of the music of Carl Philipp Emanuel Bach and a volume of songs for the *Neue Robert-Schumann-Gesamtausgabe*.

Cameron Gardner is an associate lecturer in music at Cardiff University and an academic lecturer in music at the Royal Welsh College of Music and Drama, where he teaches undergraduate and postgraduate modules. In 2006 he completed his PhD at Cardiff University, a hermeneutic analysis of Schubert's 1825 piano sonatas (a chapter of which appeared in 'The Unknown Schubert', Ashgate 2008). He contributes regularly at international conferences, writes for the journal *Eighteenth-Century Music*, is active as a pianist and has worked for the BBC. In 2005, as a committee member of the Schubert Institute (UK), he directed the conference, 'Schubert's Instrumental Music: Performance, Genre, Completion' at Cardiff University.

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Walburga Litschauer (eds), *Schubert und das Biedermeier: Beiträge zur Musik des frühen 19. Jahrhunderts* (Bärenreiter, 2002).

Hans-Joachim Hinrichsen was born in 1952 and studied germanistics, history and later musicology at the Freie Universität Berlin, where he completed his doctorate and habilitation. Since 1999 he has been a professor of musicology at the University of Zurich. He is the co-editor of *Archiv für Musikwissenschaft*, *Schubert: Perspektiven* and *wagnerspectrum*. He was elected a member of the Academia Europaea in 2008 and of the Österreichische Akademie der Wissenschaften in 2009. He has published widely on music history from the eighteenth to the twentieth centuries and music aesthetics, as well as interpretative and reception history. His recent publications include *Bruckner-Handbuch* (Metzler and Bärenreiter, 2010), *Franz Schubert* (C. H. Beck, 2011), *Beethoven: Die Klaviersonaten* (Bärenreiter, 2013) and *Bruckners Sinfonien: Ein musikalischer Werkführer* (C. H. Beck, 2016).

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Graham Johnson is one of the world's most sought-after song accompanists. *The Songmakers' Almanac: Twenty Years of Recitals in London* (Thames Publishing, 1996) tells the story of the groundbreaking series of concerts which established his reputation. He is particularly noted for his commercial recordings of lieder, most notably for Hyperion, with whom his most renowned project was a series of thirty-seven CDs of the complete lieder of Franz Schubert. Johnson is the senior professor of accompaniment at the Guildhall School of Music and Drama and has led a biennial scheme for young songmakers since 1985. He is the author of several books, including *The French Song Companion* (Oxford University Press; 2000); *Britten, Voice & Piano: Lectures on the Vocal Music of Benjamin Britten* (Guildhall, 2003); *Gabriel Fauré – The Songs and Their Poets* (Guildhall, 2009) and *Franz Schubert: the Complete Songs*, 3 vols. (Yale University Press, 2014). His numerous honours include an Order of the British Empire (1994), Royal Philharmonic Society's Instrumentalist of the Year (1998), membership in the Royal Swedish Academy of Music (2000), Chevalier in the Ordre des Arts et des Lettres by the French government (2002), honorary membership in the Royal Philharmonic Society (2010), the Gramophone solo vocal

award (1989, 1996, 1997 and 2001), a doctorates of music honoris causa awarded by Durham University (2013) and Boston's New England Conservatory (2013), the Jerusalem Music Centre Medal (2013) and the Wigmore Hall Medal (2013).

William Kinderman's many books include *Beethoven's Diabelli Variations* (Oxford University Press, 1989), *Artaria 195: Beethoven's Sketchbook for the 'Missa solemnis' and the Piano Sonata in E Major, Opus 109*, 3 vols. (University of Illinois Press, 2003), *The String Quartets of Beethoven* (University of Illinois Press, 2006), *Mozart's Piano Music* (Oxford University Press, 2006), *Genetic Criticism and the Creative Process*, co-edited with Joseph E. Jones (University of Rochester Press, 2009), *Beethoven*, 2nd edn (Oxford University Press, 2009), *The Creative Process in Music from Mozart to Kurtág* (University of Illinois Press, 2012), and *Wagner's 'Parsifal'* (Oxford University Press, 2013). As a pianist he has recorded Beethoven's Diabelli Variations and last sonatas. Since 2001 he has been a professor at the University of Illinois and taught as a DAAD guest professor at the University of Munich. In 2010 he received a research prize for lifetime achievement from the Humboldt Foundation.

Andrea Lindmayr-Brandl studied musicology and philosophy as well as mathematics and music at the Paris-Lodron University Salzburg and at the Mozarteum, Salzburg. After postgraduate studies at the Schola Cantorum Basiliensis in Switzerland, she graduated in 1988 with a dissertation on Ockeghem from the Paris-Lodron University Salzburg. She finished her habilitation (professorial dissertation) on Franz Schubert in 2001 and was appointed an associate professor the same year. After holding the Austrian Chair Professorship at Stanford University (2006–7) and a guest professorship at the University of Vienna, she was appointed a full professor at the Paris-Lodron University Salzburg in 2010. She directs several research projects and is an active member of many academic institutions and organizations, for example, on the board of the *Neue Schubert-Ausgabe*. Her fields of research are studies in Renaissance music, source studies, notation, editorial work, the historiography of early music and Franz Schubert and his time.

Walburga Litschauer completed studies in musicology, philosophy and theatre at the University of Vienna Sciences and in piano at the Vienna Conservatory. In 1980 she earned a PhD from the University of Vienna. She is a member of the editorial board of the *Neue Schubert-Ausgabe* and director of its Vienna office. She has edited volumes of Schubert's piano music for the NSA and has also worked on the Anton Bruckner edition. Her numerous publications include two volumes of *Neue Dokumente zum Schubert-Kreis* (Musikwissenschaftler Verlag Wien, 1986) and *Schubert und das Tanzvergnügen*, co-written with Walther Deutsch (Holzhausen, 1997), as well as articles on Schubert, Bruckner and the music history of Carinthia. In 1992 she was awarded the Grand Prix

Franz Schubert for special achievement in Schubert research. She is president of the Carinthischer Sommer festival.

Leon Plantinga graduated from Calvin College in Grand Rapids, Michigan, in 1957. He received his master of music degree in piano at Michigan State University in 1959 and his PhD in the history of music from Yale University in 1964. He has been a member of the faculty of the music department at Yale since 1964, chairman of the department for a dozen years, and director of the division of the humanities from 1991 to 1997. As Henry L. and Lucy G. Moses Professor of Music Emeritus, he currently teaches one or two courses a year. Plantinga has published widely in the history of European music of the later eighteenth and nineteenth centuries, including a book on Robert Schumann as a music critic, a life and works of Muzio Clementi, a history of nineteenth-century European music, a book on the concertos of Beethoven and a great many articles and reviews. He has given lectures at many institutions in North America, Europe and Asia.

James William Sobaskie teaches at Mississippi State University and is the book reviews editor of the *Nineteenth-Century Music Review*. His publications on Schubert include studies of three late chamber works and an essay that portrays two late piano pieces as self-elegies. He also is a member of the *comité scientifique* of *Œuvres Complètes de Gabriel Fauré*, and his critical edition of Fauré's last two works, the Trio pour piano, violon et violoncelle and the Quatuor à cordes, inaugurated the monument in 2010. With Lorraine Byrne Bodley he is guest-editing a second special issue of the *Nineteenth-Century Music Review* entitled 'Schubert Familiar and Unfamiliar: Continuing Conversations'.

Michael Spitzer is Professor of Music at the University of Liverpool. Author of *Metaphor and Musical Thought* (University of Chicago Press, 2004) and *Music as Philosophy: Adorno and Beethoven's Late Style* (Indiana University Press, 2006), his many writings explore the interfaces between music theory, aesthetics and psychology. He is presently writing a history of music and emotion.

Deborah Stein teaches at the New England Conservatory and the Vancouver International Song Institute. She has published on relations between text and music in the German lied, including *Hugo Wolf's Lieder and Extensions of Tonality* (UMI Research Press) and *Poetry into Song: Performance and Analysis of Lieder* (Oxford University Press), co-authored with the pianist Robert Spillman and with a foreword by Elly Ameling and Max Deen Larsen. She also edited a book of essays, *Engaging Music: Essays in Music Analysis* (Oxford University Press).

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and edited collections, including the chapter 'Schubert's Transitions', in Brian Newbould (ed.), *Schubert Studies* (Ashgate, 1998). Her monograph *Schubert's Fingerprints: Studies in the Instrumental Works* was published by Ashgate in 2011.

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Introduction

Rethinking Schubert: Contexts and Controversies

Lorraine Byrne Bodley and Julian Horton

The time is propitious for a re-evaluation of Schubert scholarship. The last decade has witnessed a decisive flowering of research notable for its sheer disciplinary diversity. Important contributions in the fields of textual scholarship, reception and cultural history have evolved alongside a flowering of theoretical and analytical engagement, which has placed Schubert at the centre of mainstream music theory. Scholars approaching Schubert's music consequently have available an unprecedented wealth of historical data, textual sources, theoretical tools and analytical perspectives.

Song has necessarily been critical to these developments. Our understanding of Schubert's text-setting habits has been substantially enhanced by Susan Youens' numerous monographs and articles, from *Retracing a Winter's Journey: Schubert's Winterreise to Heinrich Heine and the Lied*,¹ by Walther Dürr's editorship of the lieder volumes in the *Neue Schubert-Ausgabe*—including most recently volumes 8 and 9, which contain such gems as 'Klage des Ceres' (D 323)—and his articles on music and text as well as source studies for his recent *Lied Lexikon*;² and by Graham Johnson's *The Hyperion Schubert Edition* and *Franz Schubert: the Complete Songs*.³

In addition to the contributions of this triumvirate of Schubertian song scholars, our knowledge of Schubert reception and its historical circumstances has been greatly increased by Scott Messing's two-volume study *Schubert in the European Imagination*,⁴ as well as by numerous articles which have appeared in the *Schubert-Jahrbuch*, edited by Christiane Schumann and others (1996–2013);⁵ *Schubert durch die Brille*, edited by Ernst Hilmar (1998–2003);⁶ *Schubert: Perspektiven* (2001–), edited by Hans-Joachim Hinrichsen and Till Gerrit Waidlich;⁷ *Cahiers Franz Schubert: Revue de musique classique et romantique* (1992–2009), edited by Xavier Hascher;⁸ and *The Schubertian* (1996–), edited by Crawford Howie. Studies appearing in these and other journals have developed our understanding of the political milieu in which Schubert lived,⁹ his social circle,¹⁰ close friends,¹¹ possible relationships¹² and commissions received.¹³ Over the past decade new documentary sources have augmented our understanding of biographical issues.¹⁴ Our knowledge of such neglected repertoire as Schubert's operas has been greatly

enhanced by recent volumes of the *Neue Schubert-Ausgabe*,¹⁵ the recent editions of Schubert's part-songs,¹⁶ lesser-known liturgical works,¹⁷ symphonic sketches and fragments¹⁸ and sketches for Schubert's final piano sonatas and piano duets.¹⁹ And many neglected areas of research have been addressed by the series *Schubert: Perspektiven—Studien*²⁰ and such books as Lorraine Byrne Bodley and Barbara Reul's *The Unknown Schubert*.²¹

No less encouraging is the centrality of Schubert's music to the burgeoning theoretical and analytical literature on nineteenth-century harmony and form. The 'heavenly length' of his instrumental forms has been the site of much recent activity, prompting Hans-Joachim Hinrichsen's *Untersuchungen zur Entwicklung der Sonatenform in der Instrumentalmusik Franz Schuberts* (1994), Xavier Hascher's *Schubert, la forme sonate et son évolution* (1996) and Hascher's edited volume *Le Style instrumental de Schubert: Sources, analyse, évolution*.²² Subsequent research in this area has crystallised around the dichotomy between hypotactic and paratactic modes of formal planning, the former associated with the teleological processes of Beethoven's instrumental forms, the latter with Schubert's episodic alternatives. Drawing on Carl Dahlhaus's notion of the Schubertian 'lyric-epic' and the topographical metaphors marshalled by Theodor Adorno, Scott Burnham, Su-Yin Mak, Poundie Burstein, Charles Fisk, Anne Hyland and others have established a sophisticated analytical framework operating in fruitful dialogue with the principal threads of modern *Formenlehre*.²³

Schubert's music has played an even more significant role in the recent evolution of harmonic theory. Appropriations of Hugo Riemann's ideas tracking back to the work of David Lewin have spawned a rich legacy of research, to which Schubert's harmonic practice has been central.²⁴ Richard Cohn, David Kopp and Suzannah Clark, amongst others, have sourced key elements of neo-Riemannian theory in Schubert, and David Damschroder's novel extensions of Schenkerian theory for nineteenth-century music have also taken Schubert as pivotal.²⁵ The root of this interest is of course the harmonic 'purple patches' noted by Donald Francis Tovey, and especially the new freedom with which Schubert treats chromatic thirds and semitonal relations.²⁶ The realisation that these practices access an alternative triadic universe, governed by the logic of parsimonious voice leading and traceable to hexatonic and octatonic pitch collections, has made possible major advances in the study of nineteenth-century tonality, which expose the systematic basis of practices that theory has struggled to encompass.

In all, Schubert's importance for the present condition of musical scholarship is hard to overstate. Consequently, although *Rethinking Schubert* certainly pursues the revisionist agenda implied by its title, it also looks to consolidate the gains of recent research. The volume brings together some of today's leading Schubertians, both established voices and leading younger scholars, who collectively speak to the themes of the composer's importance and our perennial

fascination with him. The book's aim is to subject recurring issues in historical, biographical and analytical research to renewed scrutiny, paying special attention to matters of style, the analysis of harmony and instrumental form, and text setting. Each of these fields has received fresh stimulus in recent years through the development of new hermeneutic and theoretical approaches and the discovery of fresh source materials. Our objectives are both to affirm and to extend these developments through a thematic exploration of Schubert's compositional style (in Part I) and by addressing issues in tonal strategy and form in Schubert's instrumental and vocal music (in Parts II and III). Within this framework, implicit dialogues—engendered in the book's multiplicity of voices—are presented kaleidoscopically. Collectively, the chapters yield new insights into Schubert, his music, his influence and his legacy, and broaden the interpretative context for the music of his final years.

While the essays consider some of Schubert's most famous music (the 'Unfinished' Symphony, the final piano sonatas and impromptu, *Winterreise* and *Schwanengesang*), they also crucially adjust judgements of his later works by explaining their musical features not in terms of an inability to break free from Beethoven's towering influence, but as the work of a composer forging his own musical vision. The notion that Schubert's style both deviates from and challenges Beethoven's precedent is affirmed throughout this volume by Hinrichsen, Kinderman, Dürr, Black, Spitzer, Caskel and Youens. Concomitantly, the exploration of Schubert's late style as critique (Binder) and synthesis (Hinrichsen, Dürr, Black and Wollenberg) endorses the image of a composer who was consciously shaping his musical style and career. In contrast to the postmodern view, Schubert is revealed as a musician deeply engaged with and responsive to his surroundings.

This characterisation ranges across textual, historical and analytical contributions. *Rethinking Schubert* reviews Schubert's revision process (Litschauer and Hyland), his formal prolixity (Gardner), the connection between song and instrumental music (Wollenberg), issues of reception (Lindmayr-Brandl) and the traditional association of Schubert's 'late' or 'mature' style with impending death (Hinrichsen, Dürr, Giarusso and Stein). The volume explores the themes of memory (Ferris and Spitzer), narrativity (Hascher, Gardner and Caskel), sensory studies (Black and Feurzeig), the novel handling of sonata form (Hascher and Gardner) and issues in harmonic theory (Damschroder's imaginative rethinking of voice-leading techniques and Clark's engagement with neo-Riemannian theory). New contexts are offered for familiar literature in Hascher and Lindmayr-Brandl's readings of the 'Unfinished', Stein's interpretation of *Winterreise* as a Romantic fragment and Byrne Bodley's re-contextualisation of 'Der Musensohn' (D 764). Less familiar lieder—'Einsamkeit' (D 620), 'Schwanengesang' (D 744) 'Im Freien' (D 880) and 'Der Winterabend' (D 938)—Schubert's sacred music and operatic genres are also explored (Youens, Clark and Spitzer). Bringing

together varied and fresh approaches to both Schubert's best-known and his neglected works, this book provides the reader with an enriched understanding of Schubert the man and musician, and of the cultural context in which his music was composed. The essays assemble a portrait of the artist that reflects the different ways in which Schubert has been misunderstood over the past two hundred years and provide a timely reassessment of Schubert's compositional legacy.

Part I broaches a central question in Schubert studies: can one speak of late style for a composer who died at the age of thirty-one? In the opening essay, Hans-Joachim Hinrichsen addresses the crux of this controversy, asking whether one should subject Schubert's last works to an aesthetic discussion of late style. For Hinrichsen, even more important than the adequate naming of this style is the recognition that Schubert took a different compositional path in 1824, engendering stylistic features that have increasingly influenced subsequent composers, interpreters and listeners. Hinrichsen concludes by appraising Schubert's 'mature' style as belonging, alongside Beethoven's last style, to the most historically powerful compositional paradigm shift of the nineteenth century. Following on from Hinrichsen, Walther Dürr posits that Schubert's late compositions, especially the works from 1827–28, indicate his search for new paths—a direction that is not necessarily linked with his impending death. This idea lies at the crux of the current debate on the composer's 'late' style. Dürr's consideration of the Piano Trio in E \flat major instead endorses the idea of late style as synthesis, whereby Schubert employs and expands a series of techniques to create something substantially new. Through a consideration of contrapuntal techniques, motivic and sub-motivic connections between movements and the composer's reappraisal of tonality—including non-modulatory harmonic 'swerves'—Dürr isolates key musical features of Schubert's last works.

Following on from Hinrichsen and Dürr, William Kinderman opens up the discussion of two of the central ideas explored in this volume: Schubert's 'new style' as a self-assured alternative to Beethoven's legacy; and the relationship between the instrumental music and the lied. The aesthetic framework of Schubert's mature instrumental works—from the *Quartettsatz* of 1820 to the String Quintet and the final three piano sonatas of 1828—reveals a highly distinctive, original approach that is indebted to Schubert's profound experience with lieder. Kinderman endorses Hinrichsen's belief that Schubert's relation to Beethoven displays a 'self-conscious alternative position' through a reading of Schubert's final sonata trilogy, which also responds to Charles Rosen's reading of the A major Sonata and Charles Fisk's identification of the wanderer in Schubert's Piano Sonata D 960. Kinderman explores Schubert's characteristic lyricism by tracing poetic

residues of 'Der Atlas' in the C minor Sonata (D 958) and in 'Ihr Bild' (D 960), arguing that Schubert's identification with the wanderer figure imbues his later instrumental works with an impressive post-Beethovenian originality. Picking up on this notion of late style as synthesis, Susan Wollenberg establishes a typology in chamber works such as the *Quartettsatz* (D 703), the G major Quartet (D 887), the String Quintet (D 956) and keyboard literature including the 'Wanderer' Fantasy (D 760), the Impromptu for Piano (D 899 no. 2 and no. 4), the Piano Duet Fantasy (D 940), the Piano Sonata in G major (D 894), and the last three piano sonatas. In order to define 'late' style, Wollenberg examines Schubert's characteristic treatment of episodic forms, especially in his slow movements, the ramifications of his major-minor usage, the application of variation processes in his instrumental forms, and the music's 'heavenly lengths'.

For Brian Black, Schubert's sensitivity to the sensual quality of sound and its expressive potential is a unique feature of his music lying at the heart of his innovative use of harmony and his affecting modulations. Yet Schubert's handling of such elements has also been criticised as self-indulgence, which sacrifices structural rigour to a hedonistic gratification of the moment. Black argues that this misunderstanding still colours recent responses to his music. In contrast to this reception history, Black shows how carefully marked sonorities or striking harmonic events in Schubert's vocal and instrumental works emerge as important structural components that also lend a given work its particular expressive significance. His chapter links with Kinderman's essay through his identification of a highly original treatment of form that depends upon allusion, recall and sudden transformation rather than the type of developing variation traditionally associated with Beethoven. Black's comparative analysis of 'Ihr Bild' and the Impromptu Op. 90 No. 3 sheds new light on the mutual enrichment of lied and instrumental music, revealing that in both pieces the dramatic flow and expressive content is conveyed by the transformation of a single sonority. Like Dürr, Black argues that this aspect of Schubert's music, though present from the very beginning of his career, becomes a powerful force in the masterpieces of his last years.

Parts II and III partner the debate about Schubert's compositional style with analytical excursions into style, harmony and form, with the result that familiar works are freshly understood. Part II focuses on the instrumental music, moving through orchestral works to studies of the late sonatas; Part III deals with vocal works. These essays find common ground in various shared preoccupations, notably debates about Schubert's relation to Beethoven and Classical practice, and also the thorny question of how best to theorise Schubert's adventurous harmonic idiom.

The theoretical diversity that Schubert's harmony encourages is apparent from a comparison of three chapters: Suzannah Clark's and Michael Spitzer's contributions to Part III, and David Damschroder's chapter in Part II. The neo-Riemannian tendency in recent tonal theory is represented here by Clark's analysis of 'Schwanengesang' (D 744). Her reading pays close attention to the theoretical problems generated by Schubert's ambiguous treatment of modality, demonstrating that the music's vacillation between A \flat minor and A \flat major can be explained in transformational terms without recourse to an overarching concept of key, thereby carrying the Schubertian purview of neo-Riemannian theory beyond its home territory of third relationships. Clark's approach stands in constructive opposition to Michael Spitzer's readings of 'Im Freien' (D 880) and 'Der Winterabend' (D 938), which develop a corrective to the neo-Riemannian emphasis on tertial structures: Spitzer argues that diatonic tonal relations remain the norm for Schubert's practice and explores the concept of axial lyric space as a means of capturing its melodic specificity. In his identification of these two neglected masterpieces as consummate examples of the composer's late style, Spitzer asks how and why Schubert's late style differs from Beethoven's, which is traditionally viewed through an Adornian lens. He subsequently explores how Heidegger illuminates the ontology of Schubert's late songs, with their ethos of sonority, lyric temporality and memory, thereby building on a phenomenological tradition of music analysis, as suggested by David Lewin's famous Husserlian analysis of Schubert's 'Morgengruss', whilst reflecting Black's approach to the aesthetic domain of *Spätstil*.

David Damschroder also focuses broadly on Schubert's diatonic strategies, examining the role that scale degree 6 plays as a pivot between tonic and super-tonic regions in the finale of the Piano Sonata D 960, throwing new light on the innovative ways in which Schubert explores mediant relations. Whereas Schubert's use of tonic and dominant 6-phase chords gives the opening movement a sombre cast, by the finale a new ebullience has emerged, which is characteristic of the composer's perspective; the chapter thereby explores an insightful intersection of theory and biography.

Together, these essays expose the centrality of Schubert's music for the theory of post-Classical tonality. Poised between the asymmetries of diatonic tonality and the symmetrical structures that increasingly pervade nineteenth-century practice, Schubert has become a testing ground for theoretical models, which seek to reconcile the triad's symmetrical and asymmetrical 'natures', as Richard Cohn has termed them.²⁷

The remaining essays in Part II represent a broad constituency of scholarly attitudes. Andrea Lindmayr-Brandl surveys the reception of Schubert's 'Unfinished' Symphony to reveal the circumstances that created its extraordinary fame. Rather than appraise or adduce explanations

of its incompleteness, she examines three myths surrounding this work, which greatly contributed to its reputation. First, there is the rumour of a 'hidden' symphony, which can be traced to Schubert's first biographer, Heinrich Kreissle von Hellborn, who believed Anselm Hüttenbrenner and his brother Josef held back the most precious 'pearls' of Schubert's *oeuvre*. Second, there is the mystical correlation whereby Schubert stops composing the symphony at the same time Beethoven becomes deaf. Finally, there is the misconception of the 'Unfinished' as a *Sterbefragment*, a work that is incomplete because the composer died while working on it. Lindmayr-Brandl's foray into reception history complements Hascher's exploration of narrativity in the 'Unfinished' which examines the extraordinary tensions between sonata norms and symphonic style in the first movement and relates them to narrative sonata archetypes. Referencing the vocabulary introduced in Freud's dream theory, Hascher distinguishes between a 'manifest' narration on the surface, which follows the narrative programme normally associated with sonata form, and a deeper, hidden, 'latent' one that is obsessional in nature and accounts for the spectacular, violent outbursts that periodically interrupt its course. Reflecting Sonata Theory's characterisation of formal individuality as a consequence of the composer's dialogue with convention, and recalling Hugh MacDonald's 'Schubert's Volcanic Temper', Hascher's chapter elucidates the music's tendency to stage the dilemmas of the composer's subjectivity.²⁸

Cameron Gardner turns to another unfinished work, claiming fresh significance for the unfinished Piano Sonata in C major ('Reliquie', D 840), which has been neglected in musicological and analytical studies. Gardner's chapter picks up on Hascher's theme of narrativity and places a welcome gestural spin on the concepts of development design bequeathed by Caplin and by Hepokoski and Darcy, identifying proportional and harmonic correspondences between this sonata and the 'Great' C major Symphony (D 944).²⁹ The essay opens up questions of how to understand Schubert's piano sonatas, which the subsequent chapters in Part II variously elaborate. Walburga Litschauer and Anne Hyland offer a rare portrait of Schubert in the process of sketching and revising the Piano Sonata D 960. Schubert's drafts for this work represent some of the most important documents of their kind: they shed light on his working methods and challenge the perception of Schubert as an undisciplined, spontaneous composer who was disinclined to revise. Their essay charts the compositional evolution of the sketches and autographs before offering a more detailed study of the Piano Sonata in B \flat major (D 960) in which a number of key features of Schubert's customary revisions are analysed from the perspective of thematic construction, phrase structure, hypermetre and performance practice.

Returning to the theme of Schubert's style as a deviation from and challenge to Beethoven, Julian Caskel's analysis of the first movement of Piano Sonata

D 959 subverts recent scholarly tendencies by associating the work's contrasts between teleology and improvisation with a subversion of Beethovenian heroism. The first movement could be connected to the second movement of Beethoven's Sonata Op. 31, via Schubert's formal mediation of improvisatory structural moments and a genuine ordering of sonata-form events in sonata form. For Caskel, this parallelism provides a clue as to why Schubert's final sonatas can—on the grounds of stylistic typology—be received as works written in a 'late style'. The originality of Caskel's contribution reinforces a synergy with Hinrichsen's and Spitzer's chapters: these authors observe that the historical discussion of the parameters of 'late style' are derived from Beethovenian models and are conceptualised as a departure from his 'heroic' style. Caskel shows how, in the first movement of D 959, Schubert departed from that model. He also draws on Adorno's dichotomy between extensive and intensive types of musical time to define Schubert's specific modes of departure, where the metamorphosis of the intensive into the extensive type lends the movement a narrative dimension.

Leon Plantinga concludes this section by expanding the purview of its repertoire, repositioning the composer within the Viennese musical vanguard by offering a broad study of Schubert's mature instrumental music in the cultural and political circumstances of Metternich's Vienna. Plantinga addresses the composite portrait of Schubert's Vienna reflected in the dual images of the composer in reception history and in the antinomies of his musical style. Plantinga argues convincingly that the composer's music constantly echoes the sounds heard in Vienna's taverns and ballrooms—the close harmony of the *Männerchor* and the infectious rhythms of *Ländler* and *écossaises*—while in later works Schubert plumbed new depths of tragedy and despair. In his consideration of the first movement of Schubert's *Fantasie in F minor*, a processional march for piano duet, and the slow movements of the final two piano sonatas (D 959 and D 960), both of the *Ländler* type, Plantinga shows how these two tropes are mingled in Schubert's most impressive late music.

Part III takes up questions of text setting in Schubert's vocal literature but parallels Part II in its progression from public works through to studies of individual songs. These essays explore text setting in Schubert's lieder, stage and sacred works in the context of their development in his final years. By exploring a range of Schubert's late sacred music written during an extraordinarily productive period when Schubert's health may have prompted meditations on his own mortality—the 'Schlussgesang' and 'Das Gebet des Herrn' of Schubert's *Deutsche Messe* (D 948), the *Sanctus* and *Agnus Dei* of Schubert's uncommissioned Mass in E \flat major (D 950) and his final two sacred works, *Tantum ergo* (D 962) and *Offertorium: Intende voci* (D 963)—James Sobaskie broadens our vision of Schubert's spirituality and reveals a composer

deeply engaged in the vicissitudes and possibilities of human temporality. Schubert's last opera *Der Graf von Gleichen* is Lisa Feurzeig's quarry in a provocative new interpretation addressing questions of text and meaning. In a comparative study of Eduard von Bauernfeld's libretto with its folk sources, Feurzeig shows how Schubert's last opera moves towards a bold exploration of the theme of sexual intimacy—a three-way marriage—in a plot that would never pass muster with Metternich's censors.

An exploration of text setting in *Winterreise* (D 911) and *Schwanengesang* (D 957) ensues in a sequence of essays employing diverse musicological and analytical methods. Firstly, Deborah Stein builds upon recent research on *Winterreise* by offering three approaches to interpreting the cycle's end, which respectively emphasise poetic progression, tonal design and chromaticism, the latter picking up again on the recent flowering of theoretical interest in Schubert's late harmony. In contrast to readings of *Winterreise* which locate the musical climax in the final song, 'Der Leiermann', Stein recognises the cycle's culmination in 'Der Wegweiser', arguing that the weary wanderer does not embrace death but arrives at a critical point in his troubled journey, and that the signpost points away from his torment and towards uncharted territory. Stein's provocative conclusions about the cycle's close leads her to link it with the German Romantic fragment through its championing of incompleteness, irresolution and ambiguity. David Ferris, Richard Giarusso and Benjamin Binder offer contrasting perspectives on *Schwanengesang*, which, for Ferris, leads to a consideration of Schubert's settings of Heinrich Heine. Ferris shows how two of the six settings, 'Der Atlas' and 'Der Doppelgänger', are concerned, like many of the poems in Heine's *Buch der Lieder*, with themes of memory and loss. In an analysis of the interplay of tonality, voice leading, texture and hypermetre, he unveils Schubert's manipulation of the declamatory patterns in Heine's poems in order to express narrative and semantic levels musically, offering a new approach to the vexed question of how these songs cohere. Binder focuses on one of these settings in a reading that relates Schubert's 'Der Doppelgänger' both to Adorno's association of late style with self-critique and Joseph Straus's identification of it as inscribing physical or mental disability. Binder reads 'Der Doppelgänger' as a late work in *both* respects: Schubert's artistic response to his physical and psychological disabilities takes the form of a reflective self-critique. Finally, Giarusso's essay addresses the debate over the role 'Die Taubenpost' plays in *Schwanengesang*. In contrast to many performers and critics, who dismiss the song as a trifling successor to the weighty Heine settings, he argues that the tenor of Schubert's last lied—and the antinomy it creates with the Heine settings—embodies the quintessence of Schubert's late style. While recognising the physical and emotional struggle of Schubert's final years, Giarusso identifies

the cautious yet resilient optimism at the heart of Schubert's 'swan song', arguing that its place at the end of the cycle is utterly appropriate.

Returning to the central trope of Schubert's *Winterreise*, Byrne Bodley contextualises the composer's lifelong preoccupation with the wanderer figure through her consideration of Schubert's Goethe settings of 1822, most notably 'Der Musensohn' (D 764). She re-evaluates Schubert's reception by his favourite poet and addresses the vexed question of how—or whether—pathways between life and art can be mapped. Byrne Bodley's exploration of the wanderer trope is answered by Susan Youens's consideration of antique and contemporaneous debates about the nature of solitude in relation to Schubert's setting of J. B. Mayrhofer's 'Einsamkeit' (D 620), which she reads as an acknowledgment of and a challenge to the Beethovenian model of *An die ferne Geliebte*. Youens's chapter unveils subterranean connections between the confluence of *Erlebnislyrik* (the poetry of personal experience) and an artistic credo in Alois Isidor Jeitteles's poems for Beethoven's cycle, and a similar confluence, very differently expressed, in 'Einsamkeit'. Finally, Youens's deliberations are aptly followed by Graham Johnson's Postlude, which explores intersections between the worlds of performance and musicology in a tribute to Walther Dürr, who has done so much to rethink Schubert, and to whom this volume is warmly dedicated.

Taken together, the articles gathered here go some way towards apostrophising the lasting fascination Schubert's music has for both musicologists and music theorists. The most readily explicable aspect of this appeal is undoubtedly our continuing engagement with the songs. Schubert will always be the first port of call for scholars interested in the relationship between music and the poetic text; the contributions to that area in *Rethinking Schubert* amply demonstrate why this should be so. Yet perhaps more striking is the depth of thought that attaches to the instrumental works in this volume. Their highly protracted dissemination has combined with a habitual critical hostility to produce a reception history that has proved uncongenial to musical analysis. Empowered by the new momentum behind theories of nineteenth-century harmony and form, the breadth and sophistication of approaches assembled here show decisively that it is no longer acceptable to dismiss Schubert's instrumental forms as flawed lyric alternatives to Beethoven.

What *Rethinking Schubert* provides, then, is not only a conspectus of current scholarship, but also a mandate for future research. There are, of course, neglected corners of Schubert's output which remain to be investigated in detail, and these may well provide areas of scholarly growth in future. Yet whether we pursue unknown repertoire or refresh canonical works, *Rethinking Schubert* reveals with particular clarity the extraordinary methodological variety that is now available to research. The contemporary Schubert, in short, is vibrant, plural, transnational and complex.

Notes

1. Susan Youens, *Retracing a Winter's Journey: Schubert's Winterreise* (Ithaca, New York: Cornell University Press, 1991), and *Heinrich Heine and the Lied* (Cambridge: Cambridge University Press, 2007).

2. See, for example, Franz Schubert, *Neue Ausgabe sämtlicher Werke*, ser. IV, *Lieder*, vols 1–14 (1970–2011), and *Kritische Berichte*, vols 1–14 (1972–2014); and Walther Dürr, Michael Kube, Uwe Schweikert and Stefanie Steiner (eds), *Schubert-Liedlexikon* (Kassel: Bärenreiter Verlag, 2012).

3. Graham Johnson, *Franz Schubert: the Complete Songs* (London and New Haven, CT: Yale University Press, 2014).

4. Scott Messing, *Schubert in the European Imagination*, 2 vols (Rochester, NY: University of Rochester Press, 2006–7).

5. Christiane Schumann et al. (eds), *Schubert-Jahrbuch* (Kassel: Bärenreiter Verlag, 1996–2013).

6. Ernst Hilmar, ed., *Schubert durch die Brille*, vols 1–3 (Vienna: Internationales Franz-Schubert-Institut, 1988–9), and vols 4–30 (Tutzing: Hans Schneider Verlag, 1990–2003).

7. Hans-Joachim Hinrichsen and Till Gerrit Waidelich (eds), *Schubert: Perspektiven* (Stuttgart: Franz Steiner Verlag, 2001–).

8. Xavier Hascher (ed.), *Cahiers Franz Schubert: revue de musique classique et romantique* 1–17 (1992–2009).

9. See, for example, Michael Aschauer, 'Drei Stationen einer Auseinandersetzung mit dem System Metternichs: Franz Schuberts politische und weltanschauliche Haltung, dargelegt anhand seiner Schriften, ausgewählter Liedtexte und dreier Freundesgestalten', *Studien zur Musikwissenschaft* 48 (2002), pp. 373–88.

10. See, for example, Ilija Dürhammer, 'Homoerotische Chiffren im Schubert-Kreis', *Kunstpunkt* 24 (2002), pp. 19–20; and Alice Hanson, 'The Significance of the Ludlamshöhle for Franz Schubert', in Barbara Hagg (ed.), *Essays on Music and Culture in Honor of Herbert Kellman* (Paris and Tours: Minerve, 2001), pp. 496–502.

11. See, for example, Andrea Gott dang, '“Ich bin unsern Ideen nicht untreu geworden”: Moritz von Schwind und der Schubert-Freundeskreis', *Schubert: Perspektiven* 4 (2004), pp. 1–48; Michael Ascher's recent research on Anselm Hüttenbrenner in Ulf Bästle, Alice and Michael Aschauer (eds), *Lieder für eine Singstimme mit Klavierbegleitung*, 3 vols (Warngau: Accolage, 2008–10); and Till Gerrit Waidelich, '“Torupson” und Franz von Schober: Leben und Wirken des von Frauen, Freunden und Biographen umworbenen Schubert- und Schwind-Freundes', *Schubert: Perspektiven* 6 (2006), pp. 1–237, and 7 (2007), pp. 107–20.

12. See, for example, Rita Steblin, 'Schubert's Love Affair with Marie von Spaun and the Role Played by Helene Schmith, the Wife of Mozart's First Violinist', *Schubert: Perspektiven* 8 (2008), pp. 49–87, and 'Schubert's Pepi: his Love Affair with the Chamber Maid Josepha Pöcklhofer and her Suprising Fate', *Musical Times* 149 (2008), pp. 47–69.

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18. Franz Schubert, *Neue Ausgabe sämtlicher Werke*, ser. V, vol. 6, *Sinfonische Entwürfe und Fragmente*, ed. Michael Kube (Kassel: Bärenreiter, 2012).

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I

STYLE

Is There a Late Style in Schubert's Oeuvre?

Hans-Joachim Hinrichsen

Late Works?

'All works by Schubert are early works.' This formulation is not my own invention; with it I paraphrase the beautiful bon mot from the art historian Herman Grimm's classic work, which is still worth reading, about the Renaissance artist Raffaello Santi, who died young. Grimm introduces the chapter on Raphael's last works with the statement 'All works by Raphael are early works', brusquely casting aside the solemn concept of 'late work', with its entire spectrum of meaning: 'after the completion of the *Sistine Madonna*, he had still three years to live. For those who have not yet reached the age of forty, the greater part of human life lies in the future. During one's thirties experience still surprises and appears as an adventure. Raphael was thirty-seven and still full of high expectations when he died; he had more to give.'¹

If, however, all works by Franz Schubert, who died even younger, are *per definitionem* 'youthful works' (this is the proper and far more charming meaning of Grimm's original German expression 'Jugendwerke'), then the question of a 'late work' appears emphatically to be obsolete. In music historiography, the concept, which can be applied to Bach or Schoenberg, first made an entrance in Beethoven research. With a glance at the late work of Goethe, literary history had supplied a model for it; art history proceeded analogously with Michelangelo and Titian (and it was directly against these two contemporaries that Grimm aligned his 'youthful' Raphael in 1872.) Since then the intractable 'late work' of Beethoven—which Carl Dahlhaus certified, as it were, as 'chronologically displaced'² on account of its special reception history—has remained a particular subject of analysis and reflection.³

It is curious that Beethoven's late work blossomed at the same time as the final works of Schubert, who died so young. How far Schubert was aware of this must, for the time being, remain open. In any case, from the beginning there is in the solid corpus of Beethoven interpretation the conviction that this late work was surrounded by an aura of mystery and enigma. Paul Bekker apostrophised it in 1911 in his large-scale Beethoven monograph as 'the purest metaphysics of music'⁴—a completely contradictory compliment, in which admiration for 'the highest and most profound, which the imagination of a creative artist could generally perceive and reveal',⁵ is connected with criticism of a much more blatant meaning of the extrasensory—to be precise, with the supposed

nonchalance of the composer towards manifest sensual beauty. This alleged indifference towards a physical melodiousness, which one wanted to perceive everywhere in Beethoven's late style, was often ascribed to the 'otherworldliness'⁶ of the composer, arising from his increasing deafness. As early as 1936, however, the Beethoven biographer Walther Riezler rightly warned against the dangers of an absolute mystification of the late work, which receives its solemnity by dint of being removed from reality and close to death: 'Beethoven, unlike Goethe, Michelangelo and Titian, is not over eighty, has not glimpsed even in the distance the threshold of old age. At the age at which he died, Goethe still had his last Indian summer before him'.⁷ This statement, with its laconic emphasis on simple biographical facts, is reminiscent of Grimm's pointed remarks on Raphael; in any case, the remark on the 'lateness' of Beethoven's last works—as distinct from those of Goethe, Michelangelo or Titian—is important, because it makes clear that in Beethoven's case, lateness does not refer to a ripe old age and a glimpse of the approaching end. As one observes on closer inspection, Riezler conspicuously avoided the concept of 'late work' by giving the relevant chapter of his book the bare title 'The Late Style'. This, too, is interesting when looking at Schubert.

Let us linger for a while with late Beethoven. While his late style had long met with great resistance, its particular difficulties first became apparent in the twentieth century. Theodor W. Adorno's essay *Spätstil Beethovens*, published in 1937—which had a great impact on many readers through its treatment in Thomas Mann's musician's novel *Doktor Faustus* (1947)—played a significant role in this gradual reorientation. For Adorno, as for earlier reception, Beethoven's late style is characterised by a polarisation of extremes, which he wants to understand, however, not as the expression of an individual recklessly breaking the rules (as was usual until then), but as the objective 'formal laws' of the late works, which can be technically analysed. Adorno does not seek the key to these laws, however, primarily in Beethoven's inclination towards sharp contrasts, extremes of tessitura and abrupt transitions—all of which are emphasised often enough—but rather in those seemingly indifferent 'formulae and expressions of convention', by which are loosely intended the chains of trills, cadential figurations, ornaments or accompanying figurations that 'the middle period would barely have tolerated',⁸ and which now vehemently rejected the integration found in the former stylistic unity. For Adorno, Beethoven's late style is not just the deliberate heightening of creative subjectivity but, on the contrary, a disturbing withdrawal from the dominant aesthetic, giving the impression of fragmentation and the demolition of form: 'It explodes them, not in order to express itself, but to throw off inexpressively the appearance of art'.⁹ In this outlandish interpretation, Beethoven's unwieldy late style becomes a compositional self-criticism of the synthesis of styles in Viennese Classicism and, with it, a paradigmatic, classic case of aesthetic

modernity. Beethoven's late works are for Adorno no longer graphic symbols, but allegories, which are difficult to decipher.

If today one wants to avoid the concept of the 'late work', laden as it is with ideologies and mystification, by falling back, like Riezler or Adorno, on the terminological possibility of 'late style', one in a certain sense jumps from the frying pan into the fire. This is because the musicological concept of style—although represented so prominently in Guido Adler's programmatic standard work¹⁰—is regarded with suspicion and, at least in German-language musicology, considered an idealist construct. One can infer this justifiable suspicion immediately from a critical analysis of Adorno's Beethoven essay, because here Adorno manages to separate the 'late style' of Beethoven, in a critically emphatic sense, from a quite retrospectively affirmative 'late work'. Nothing better clarifies that Adorno's historically and philosophically ambitious concept 'late style' is an ideological construct.¹¹

Biographical Caesura

At least with respect to the tradition of German aesthetics and music philosophy, these rather complicated reflections are unfortunately necessary in order to free what follows from the ideological connotations of the concepts 'late work' and 'late style', even if they might appear to the English-speaking reader a little like conceptual acrobatics. In any case, we can now say that when it comes to Schubert we are naturally also concerned with 'last works'. In a purely chronological sense, this is a question of the works from the final years, which certainly have many important features in common with each other, whilst also being distinctive; as a result, they reject the collective singular of 'the' late work. It is true that one could play off an emphatic internalised 'late style' in such works as the last three Piano Sonatas, the Piano Trios, the String Quintet and the *Winterreise* or the Heine lieder against the far less subtle and external impact of such cautious 'late works' as the Violin Fantasie (D 934), the Rondo in B minor (D 895) and the *Konzertlied* 'Der Hirt auf dem Felsen'. This, however, would in effect repeat Adorno's sophistic argumentative trick. Obviously this captures an aspect of Schubert's late oeuvre: meditative works for private reception coexist with compositions full of effects for a more public performance; inwardness and virtuosity do not preclude one another, and that appears to follow an exactly calculated plan.

This is seen very impressively in the great four-movement Fantasie for Violin and Piano in C Major, D 934. In it many of the above-named characteristics are indissolubly united. First of all, it presents one of the innovative experiments with cyclical form that Schubert was presciently to develop (seminally in the 'Wanderer' Fantasy and later again in the F minor Fantasy,

D 940). By way of example, here is the sonata form that was obligatory for the great cycles of works (also in the other fantasies) in the triple Hegelian sense of the words of *delere*, *elevare* and *conservare*—literally removed, enhanced and (paradoxically) preserved. The work thereby profits from the type of development for which Schubert had paved the way in all large-scale instrumental forms around this time. Secondly, the fantasie presents, in addition to this complex constructivism, a certain inclination towards open virtuosity and obvious effect-chasing, which are generally associated with the solo concerto and therefore intended for the concert podium, to which Schubert the universalist did not contribute, as is well-known. The violin part exhibits tremendous technical difficulties, which are not to be found in any of the remaining chamber music—apart from the Rondo in B minor, D 895, which is related in form. Thirdly, this virtuosity is however directly connected with the series of variations in the third movement. And, in an impressive paradox, its point of departure is built on one of the most inward, beautiful and rapturous of Schubert's lieder, the Rückert lied 'Sei mir gegrüßt' (D 741). This is exactly the practice that Alfred Einstein rebuked in 1952 in the virtuoso flute variations composed a few years earlier on the sorrowful lied 'Trockne Blumen' from *Die schöne Müllerin*: 'Es betrübt den Verehrer Schuberts, ein Lied so einziger Innigkeit und Verhaltenheit überhaupt einer virtuoson Behandlung ausgesetzt zu sehen und schließlich verwandelt in einen triumphalen Marsch—ein Sakrileg, das sich niemand anders gestatten durfte als Schubert selbst' (It is depressing for any lover of Schubert to see a song of such unique intensity and restraint subjected to a virtuoso treatment and transformed eventually into a triumphant march—a sacrilege which no one but Schubert could have been allowed to commit).¹² Technically speaking, however, the overstepping of the formal boundaries and, sociologically speaking, the mixture of audiences is precisely consistent with the objectives of the 'late' Schubert; in these strategies experiences are merged, which draw upon paths taken in previous years. A fine example of this is the lied 'Der Hirt auf dem Felsen', composed in the last year of Schubert's life for Anna Milder, through which the addition of the obbligato clarinet crosses the boundary between lied and concert aria (and, with regards to the commissioner, was also intended for concert performance).

It is altogether problematic to divide up into different phases and epochs the oeuvre of one who died so young; in fact, Schubert's compositional development was fluent in the last year of his life. A definite break, however, is noticeable, which launches the strategic new orientation mentioned above. In the spring of 1824, when the composer was twenty-seven years old and on his way to recovering after a long illness, Schubert wrote the famous letter to his painter friend Leopold Kupelwieser in Rome after the prospects of a breakthrough with music-theatrical works for the Kärntnertortheater had gone up in smoke, for decisive external reasons:

Die Oper von Deinem Bruder (der nicht sehr wohl that, daß er vom Theater wegging) wurde für unbrauchbar erklärt, u. mithin meine Musik nicht in Ansprache genommen. Die Oper von Castelli, *Die Verschwornen*, ist in Berlin von einem dortigen Compositeur componiert, mit Beyfall aufgenommen worden. Auf diese Art hätte ich also wieder zwey Opern umsonst komponirt. In Liedern habe ich wenig Neues gemacht, dagegen versuchte ich mich in mehreren Instrumental-Sachen, denn ich componirte 2 Quartetten für Violinen, Viola u. Violoncelle u. ein Octett, u. will noch ein Quartetto schreiben, überhaupt will ich mir auf diese Art den Weg zur großen Sinfonie bahnen.—Das Neueste in Wien ist, daß Beethoven ein Concert gibt, in welchem er seine neue Sinfonie, 3 Stücke aus der neuen Messe, u. eine neue Overture produciren läßt.—Wenn Gott will, so bin ich auch gesonnen, künftiges Jahr ein ähnliches Concert zu geben.¹³

[The opera by your brother (who did not do too well in leaving the theatre) has been declared unsuitable, and thus my music was not considered. Castelli's opera, *The Conspirators*, has been set by a local composer in Berlin and received with acclamation. In this way I seem once again to have composed two operas for nothing. With regards to songs, I have not written many new ones, but I have tried my hand at several instrumental works, for I wrote two quartets for violins, viola and cello, and an octet, and I want to write another quartet; I intend to pave the way towards a grand symphony.—The latest in Vienna is that Beethoven is to give a concert at which he is to produce his new symphony, three movements from the new mass and a new overture.—God willing, I too am thinking of giving a similar concert next year.]

Many points, all tightly interconnected, can be singled out as noteworthy in this passage:

1. After the final rejection of the 'heroic-romantic' opera *Fierrabras* by the directors of the Kärntnertheater,¹⁴ Schubert himself becomes aware of a marked, conscious shift of focus away from opera and song, and towards instrumental works.
2. These instrumental works—by which is meant the great chamber music of the spring of 1824 (among them, the Octet, D 803, and the String Quartet D 810, *Death and the Maiden*)—are to 'pave the way to a great symphony'.
3. Schubert mentions Beethoven's announcement of a concert (which took place two months later in May 1824), which was to include the premiere of the Ninth Symphony and some movements from the *Missa solemnis*.
4. In the foreseeable future, Schubert wants to mount a similar concert, at his own expense and with his own works (a plan he in fact carried out, but only many years later, in March 1828).

Apart from the fact that the concert plan copied from Beethoven demonstrates remarkable self-confidence, there has been much debate about

Schubert's aim of a paving a 'way to a great symphony'. This formulation has mostly been taken to indicate that the great chamber works of 1824 were preliminary compositional exercises for something greater, which a year and a half later would in fact be tackled in the form of the 'Great' C major Symphony. This interpretation, however, makes little sense. The great, late string quartets would thereby be completely and very unreliably reduced to simple compositional, technical finger exercises. Yet Schubert had not the slightest need of such exercises in any technical, formal or instrumental sense.

One of the instrumental works mentioned in this letter shows evidence of a systematic synthesis of forms that predates the Violin Fantasie. The second movement of the String Quartet in D minor, D 810, develops seminally the technique of using a lied—and, indeed, one of a most inward character—as the foundation of a series of variations. There is also a significant element taken from *Fierrabras*, which is very subtle and almost untraceably concealed for the non-expert: the coda of the opening movement integrates that idiosyncratic and unmistakable Schubertian cadential formula found in the duet sung by Emma and Karl (D 796, No. 19), which was sufficiently important as a harmonic invention for Schubert that he also added it to the beginning of the *Fierrabras* overture.¹⁵ Lied, opera, chamber music and 'the way towards a great symphony' form a complex mixture in this compositional strategy, indicating the extent to which Schubert very rationally calculated his next steps.

From this point of view, a clear consciousness of the sociological and aesthetic aspects of the concept of musical forms manifests itself in Schubert's famous formulation of the 'path towards a great symphony'.¹⁶ The system is striking whereby Schubert successfully takes the path, in the chamber music of 1824, which will lead him to the public forum of the great symphony: to paying listeners at a concert of works composed with them in mind as the target audience. This was a project which he was finally able to realise in his 'private concert' of 26 March 1828 (although not as a symphonic concert like Beethoven, but 'only' as a chamber music concert). For Schubert, a composer of chamber music and also of symphonies, this was a new approach, a radical, sociological change of paradigm in Schubert's compositional direction—enabled not least through the string-quartet subscription concerts led by Ignaz Schuppanzigh, who had just returned to Vienna,¹⁷ in the framework of which one of the string quartets (A minor, D 804) mentioned in the letter to Kupelwieser was performed on 14 March 1824. From this point of view, the pioneering of a path to the 'great symphony' via the composition of large-scale chamber music follows an exact and rational calculation. By contrast with everything found in earlier chamber music composed for friends or family, the works of the spring of 1824—as expressed so clearly in the letter to Kupelwieser—are now ever more consciously aimed at the general public. This sociologically orientated change in Schubert's mature works corresponds completely to aesthetic, structural characteristics, which are first recognisable in the interaction with generic

norms. The musical genre—here, the genre of the ‘symphony’—is just as much an aesthetic logical form as it is a social institution.

Among the aesthetic-structural characteristics, I must at least emphasise—although for reasons of space I cannot elaborate upon—Schubert’s constructive and innovative handling of sonata form, which would undoubtedly be considered as belonging to the most influential characteristics of the ‘late’ (or, better, mature) personal style, and which affected the wider history of instrumental music.¹⁸ There are various interactive harmonic and structural measures, all of which occur in the works composed after the ‘break’ of 1824 (which today, however, I would no longer simply unite without reservation under the concept of the ‘late work’, as I did twenty-five years ago):¹⁹ modulations, sudden shifts and key relations through which the dramaturgical model of sonata form has historically been hugely altered²⁰ and which has led to a certain expansion of form, which Robert Schumann called ‘heavenly length’²¹ and Martin Chusid labelled with the unsurpassable expression ‘spaciousness’.²² For the first time in the ‘last’ works of Schubert those risky and (according to ‘Classical’ sonata principles) unacceptable modulations through enharmonic keys in the exposition can finally be found through which a clear destination of the process intentionally becomes blurred and which were later taken up by Liszt, Bruckner and Dvořák as technical enrichment²³—well-known examples are found in first movement of the E \flat major Piano Trio, D 929 (bars 36–45) and the last Piano Sonata, D 960 (bars 43–48).

Last Maturity

I had already mentioned the curious coincidence whereby Beethoven’s ‘late style’, which is generally accepted in research, overlaps with the ‘last’ works of Schubert. This suggests that we come back once more to the characteristics of late style that Adorno emphasised in Beethoven. In his Schubert essay of 1928 Adorno characterised the enchantment, the surprise, but also the disturbing element of the almost completely personal style of modulation which can be found, for example, in the first movement of the great C major Symphony or the String Quintet, which Adorno, at the same time, attempts to contextualise from a perspective of compositional history and in a historical-philosophical frame of reference:

Schubert’s forms are forms of invocation of what once appeared, not of the metamorphosis of the invented. This a priori foundation completely took hold of the sonata. In place of developed connecting movements, there were harmonic shifts as round-exposures that would lead to a new topological area that knows as little development in itself as what has gone before. . . . Not for nothing are Schubert’s changes of mood . . . connected to the harmonic

shifts, the handling of modulation, which, by the same token, causes light to fall out of changing depths. Those sudden, unmediated modulations, incapable of development, like photographic filters, distort the light from above.²⁴

It is therefore the absence of history and development in an emphatic sense that Adorno heard in Schubert's handling of sonata form. This circumstance of being out of time and space—and the broad dimensions of form engendered by such means (which, as mentioned above, Chusid called 'spaciousness')—permitted him to have recourse to one of the main characteristic metaphors of his entire essay: the presentation of Schubert's music not as a process, but as a landscape—and indeed, one whose details develop not in chronological succession but according to the spatial aspect of passing through it. It is evident that here the figure of the wanderer is modelled on the protagonists of the two great Wilhelm Müller song cycles—*Die schöne Müllerin* and *Winterreise*. Much more important, however, is that Adorno also applied a different aspect of his peculiar metaphor to Beethoven a little later. Here for the first time in his review of Beethoven's late bagatelles there is talk of a landscape consisting of rubble, which would already contain the ingredients that Adorno will diagnose in Beethoven's late style as the disassociation and decay of classical forms. At this stage of his own musical-aesthetic development, the mature Schubert and the late Beethoven are, for Adorno, the two composers who have broken through the affirmative appearance of Viennese classicism: Schubert through a rejection of the formal principles of the Classical sonata; Beethoven through a criticism of the classical principles of form through the composition of his own late works. This, at the same time, is why Beethoven, and not Schubert—exploited journalistically much earlier by Adorno—should become the central theme of his main musical, philosophical work, bearing the succinct title 'Beethoven'. Beethoven is, for Adorno—and this is the really fascinating aspect of Beethoven's career—a dialectical composer, so to speak, who in the course of his own development not only brought classical principles of form to an unparalleled zenith, but had developed his work into a criticism of his very own principle.

As already indicated, Adorno's interpretation of Beethoven implied the separation of some late works from the realm of late style—an almost absurd consequence of the imposed conformism to which he subjugated his own interpretation of style, a consequence that I do not want to pursue any further here. Yet Adorno's interpretation has also had consequences for Schubert reception—especially since the reissuing of the 1964 Schubert essays in the *Moments musicaux* by the author, who had in the meantime become famous. Schubert's music is—as we can all agree today—anything but charming, leisurely or harmless; rather, it is truly profound in thought and, as Thomas Mann once said about Schubert's long-undervalued contemporary, Adalbert Stifter, full of 'quiet catastrophes'. And often enough the catastrophes are not even

quiet: one thinks, for example, of the middle sections of the slow movements of the late Piano Sonata in A major or the String Quintet, as well as some songs from *Winterreise*. The perception of this deeply disturbing dimension has conspicuously increased in Schubert studies since the mid-twentieth century, a change that, as mentioned, has essentially to do with the delayed reception of Adorno's great Schubert essay. Schubert has today—as if the Biedermeier cliché in reception history needed to be restored—been projected onto a sceptical, distraught state of the world; the image of his wanderer from *Winterreise* has virtually become a symbol of existential homelessness, if I interpret correctly the journalistic, popularised and even academic literature since the last two centenary years. The composer himself has basically been cured of the Biedermeier cosiness of the 'Dreimäderlhaus'—quite fortunately, one could say, if it had not been replaced by an equally distorted reception cliché. For it is hardly possible to integrate into the complete works those from the final years of Schubert's life, which cannot be mediated through this concept of the negation of life and history: first and foremost, the great, extroverted, virtuosic works such as the Violin Fantasie, and furthermore all the song and dance compositions, relate to a sphere of bourgeois sociability which to this day one can hardly grasp any better than by using the concept of Biedermeier.²⁵

The entire complex of Schubert's last works is, therefore, very difficult to bring under a uniform concept of 'late works'. But there are, in this body of work, overarching stylistic traits which are characteristic of Schubert in 1828 and which had been prepared in the works since 1824—even if these are not 'late style' in the presence of death, but rather mark a mature middle style corresponding to the personal consciousness of a composer, which only through the biographical chance of the sudden early death has been imbued with the aura of 'lateness'. Equally interesting is the attempt to make visible some of these stylistic features of the late Schubert in a kind of productive assimilation through compositional reception history. In a tonal realisation of the 1828 sketch for the Symphony in D major (D 936A), of which Schubert could sketch only three movements before death took the quill from his hand, the Italian composer Luciano Berio logically developed this aspect of the material further. His instrumental reconstruction, with the telling title *Rendering* (1989–90), does not claim to realise as exact and philologically valid a picture as possible of this symphonic bequest, but rather to comment upon and to interpret it. As Berio proceeded, he further fragmented Schubert's already fragmentary sketch and connected the bequeathed fragments with passages of his own to form a complete composition. These added passages, however, have as their material basis melodic and harmonic citations from other works by Schubert in his last compositional year—for example, from *Winterreise*, *Schwanengesang* and the last Piano Sonata. Admittedly, all of these citations are no longer audible as such; they are only revealed from a close reading of the score or, even better, by research on the

sketches that Berio has left behind.²⁶ Through this one forms a picture of the criterion for Berio's selection of these quotation fragments—which are partly insignificant—as *tertium comparationis*: they circle around a melodic sound in a way that is typical of Schubert's late melodic language, as in the second subject in the first movement of the String Quintet, D 956 (bars 60–100), or which a glance at the first subject of the B \flat major Piano Sonata, D 960, could establish. Berio's compositional commentary on Schubert's late work implies, therefore, a very peculiar Schubert interpretation: a kind of generative transformational grammar of Schubert's late melodic construction. The great appeal of this work lies not least in that.

This 'last' style of Schubert's is, along with the melodic qualities singled out by Berio (which, incidentally, Peter Gülke also pointed out very powerfully in his monograph²⁷), are nevertheless characterised above all by structural features that are established in the harmony and lead to the 'spaciousness' identified by Chusid: experimentation with mediant relations, derivation of formal key schemes from the structure of 'symmetrical' key chords, the increasing radicalism of the process of modulation leading to the consequent functionalisation of enharmonics and a new kind of concern with contrapuntal techniques (most perceptible in the E \flat major Mass, the F minor Fantasy and the third movement of the D major symphonic fragments), which definitely contributed to the late decision to take a course with Simon Sechter.²⁸ The 'break' of the spring of 1824, emphasised above, very obviously triggered a strategic reorientation and an enormous dynamic in Schubert's development. It is probably much more appropriate, therefore, to speak less of a 'late' style than of a 'new' style.²⁹ When Johannes Brahms was the age at which Schubert died, he had just reached his 'first maturity'.³⁰ Biographical chance has seen to it that in the case of Schubert the 'first' (or perhaps also already the 'second') has, regrettably, remained the 'last maturity'. Whether, therefore, as Franz Grillparzer formulated in his fine epitaph, the buried 'hopes' were more beautiful than the 'rich possession',³¹ Robert Schumann already doubted, and with good reason. Schubert's 'late style', in complete contrast to that of the late Beethoven, is characterised not by serene consolidation and critical balancing, but by a euphoric departure on a journey which was broken off in mid-flight.

Translated by Lorraine Byrne Bodley

Notes

1. Herman Grimm, *Das Leben Raphael's* (1872; Berlin: W. Hertz, rev. 1896), p. 148.
2. Carl Dahlhaus, *Ludwig van Beethoven und seine Zeit* (Laaber: Laaber-Verlag, 1987), p. 263.

3. See Michael Spitzer, *Music as Philosophy: Adorno and Beethoven's Late Style* (Bloomington: Indiana University Press, 2006).

4. Paul Bekker, *Beethoven* (1911; Berlin: Schuster und Loeffler, rev. 1912), p. 195.

5. *Ibid.*

6. *Ibid.*

7. Walther Riezler, *Beethoven* (Berlin: Atlantis-Verlag, 1936), p. 233.

8. Theodor W. Adorno, *Spätstil Beethovens* (1937), in Theodor W. Adorno, *Gesammelte Schriften*, ed. Rolf Tiedemann (Frankfurt am Main: Suhrkamp, 1970–86), vol. 17, p. 14.

9. *Ibid.*, p. 15.

10. Guido Adler, *Der Stil in der Musik* (1911; Leipzig: Breitkopf & Härtel, rev. 1929).

11. On Adorno's Beethoven reception as a whole see Hans-Joachim Hinrichsen, 'Modellfall der Philosophie der Musik: Beethoven', in Richard Klein, Johann Kreuzer and Stefan Müller-Doohm (eds), *Adorno-Handbuch* (Stuttgart: Metzler-Verlag, 2011), pp. 85–96.

12. Alfred Einstein, *Schubert: ein musikalisches Porträt* (Zurich: Pan-Verlag 1952), p. 282.

13. Franz Schubert, letter to Leopold Kupelwieser, 31 March 1824; quoted in Otto Erich Deutsch, *Franz Schubert: Die Dokumente seines Lebens* (Kassel: Bärenreiter-Verlag, 1964), p. 235.

14. See Thomas A. Denny, 'Schubert's "Fierrabras" and Barbaja's Opera Business', in *Schubert: Perspektiven* 5 (2005), 19–45, especially 44.

15. See Hans-Joachim Hinrichsen, "'Bergendes Gehäuse" und "Hang ins Unbegrenzte". Die Kammermusik', in Walther Dürr and Andreas Krause (eds), *Schubert-Handbuch* (Kassel: Bärenreiter-Verlag, 1997), pp. 491 ff.

16. Note that in the original German wording ('den Weg zur großen Sinfonie') Schubert deliberately uses the definite article ('zur' is the abbreviation of 'zu der'), not the indefinite article as is the case in the common English version of this famous quote. What Schubert is aiming at can best be described as the idea of compositional 'greatness' which may be epitomized not in 'a grand symphony', but in 'the' great symphony as an ideal of greatness and grandeur altogether.

17. On Schuppanzigh's return to Vienna in April 1823, see Salome Reiser, *Franz Schuberts frühe Streichquartette: Eine klassische Gattung am Beginn einer nachklassischen Zeit* (Kassel: Bärenreiter-Verlag, 1999), pp. 206–11.

18. Hans-Joachim Hinrichsen, *Untersuchungen zur Entwicklung der Sonatenform in der Instrumentalmusik Franz Schuberts*, Veröffentlichungen des Internationalen Franz Schubert Instituts 11 (Tutzing: C. H. Beck, 1994).

19. Hans-Joachim Hinrichsen, 'Die Sonatenform im Spätwerk Franz Schuberts', *Archiv für Musikwissenschaft* 45 (1988), pp. 16–49.

20. The standard reference for this viewpoint is formed in James Webster, 'Schubert's Sonata Form and Brahms' First Maturity', *19th-Century Music* 2 (1978), pp. 18–35, and 3 (1979), pp. 52–71.

21. In the course of German- and English-language reception history, Schumann's term 'himmlische Länge' (heavenly length) has suddenly become appropriated in the plural ('Längen'), which is, in reality, a snide remark. Whereas *Länge* signals praise (or, at the very least, can be read that way), *Längen* in music is always negative.

22. Martin Chusid, 'The Chamber Music of Schubert' (PhD diss., University of California, 1961), p. 245.

23. Hans-Joachim Hinrichsen, "'Romantische" Harmonik u. "klassisches" Sonatenprinzip: zum Funktionswandel der Sonatenexposition im 19. Jahrhundert', *Archiv für Musikwissenschaft* 50 (1993), pp. 217–31.

24. Theodor W. Adorno, *Schubert* [1928], in *Gesammelte Schriften*, 20 vols. (Frankfurt: Suhrkamp/Insel, 1997) vol. 17, 27 and 29 f.

25. Compare contributions in Michael Kube, Werner Adelhold, and Walburga Litschauer (eds), *Schubert und das Biedermeier: Beiträge zur Musik des frühen 19. Jahrhunderts; Festschrift für Walther Dürr zum 70. Geburtstag* (Kassel: Bärenreiter-Verlag, 2002).

26. The sketches are held in the Paul Sacher Stiftung, Basel. For a close reading of Berio's composition see Hans-Joachim Hinrichsen, "'Rendering per Orchestra": Luciano Berios komponierter Essay über Schuberts Spätwerk', *Schubert: Perspektiven* 2 (2002), 135–66.

27. Peter Gülke, *Franz Schubert und seine Zeit* (Laaber: Laaber-Verlag, 1991), p. 319: 'Umkreisung könnte geradehin als der Grundhabitus schubertscher Musik gelten' (Circling could be considered the habitual basis of Schubert's music).

28. Rita Steblin, 'Studying with Sechter: Newly Recovered Reminiscences about Schubert by His Forgotten Friend, the Composer Joseph Lanz', *Music & Letters* 88 (2007), pp. 226–65.

29. Compare with William Kinderman, 'Franz Schuberts "Neuer Stil" und das Erbe Beethovens', *Schubert: Perspektiven* 9 (2009), pp. 60–79; translated into as chapter 3 in this volume.

30. James Webster, "Schubert's Sonata Form and Brahms' First Maturity", *19th-Century Music* 2 (1978), pp. 18–35, and 3 (1979), pp. 52–71.

31. 'Die Tonkunst begrub hier einen reichen Besitz, / Aber noch viel schönere Hoffnungen' (The art of music here buried a rich possession / But far fairer hopes). Deutsch, *Franz Schubert: Die Dokumente seines Lebens*, 580).

Compositional Strategies in Schubert's Late Music

Walther Dürr

Schubert's late compositions—that is to say, those written between 1826 and 1828—are commonly connected with two rather contrasting interpretations. On the one hand, there is the view expressed by Franz Grillparzer, a poet close to Schubert, whose epitaph, formulated nine months after Schubert's death, is often cited (though also with considerable reservations): 'The art of music here entombed a rich possession, but even far fairer hopes'.¹ On the other hand, there is that adopted by Walther Vetter, who gave the fifth and last part of his monumental Schubert biography the title 'Vollendung des Klassikers' ('Fulfillment of the Classical Composer'), a title that alludes not only to Schubert's 'fulfilment', but to that of an entire era in music history.² Even Peter Gülke, who sees anticipations of Gustav Mahler in the symphonic fragment D 936A (which originated shortly before Schubert's death),³ insists in his Schubert monograph, 'Schubert never moved beyond the positions taken in *Lazarus*, the Mass in A♭ major, and the Unfinished Symphony'.⁴ True, there is no longer any talk about 'fulfilment'—at least not explicitly. It is, however, implied: if Schubert continued to compose new works after those just mentioned, it only can mean that he wanted to consolidate positions he had reached. In the following, I would like to show that Grillparzer's statement at least jibes with Schubert's own judgement about the works of his last years: far from being a 'fulfilment', the works open new avenues for the composer, rather than consolidate existing positions. I will focus on the Piano Trio in E♭ major (D 929), composed in November 1827 (one year before Schubert's death), a work that—to quote Gülke again⁵—must be considered, together with the Piano Trio in B♭ major (D 897) and the String Quartet in G major (D 887), as one of those compositions that lead from the crisis years and the breakthroughs of 1824 to the instrumental music of Schubert's last months. It is a work that reveals, in exemplary fashion, the directions the composer was taking in his last years.

Three areas in particular seem to indicate the new directions: first, Schubert shows an increased interest in contrapuntal techniques; secondly, he pays more attention to thematic, especially motivic and submotivic relationships; and thirdly, we encounter a new kind of sonority. These areas, of course, are not really new, but their emphasis amounts to a new assessment of their

importance for compositional structure. And it may also have something to do with Schubert's more intensive orientation towards the Beethovenian model.⁶ It seems as if the younger composer is turning more freely towards the older one, especially since, after Beethoven's death, he believes that he no longer needs to compete directly with the master.

Counterpoint

Contrapuntal techniques had played a role in Schubert's oeuvre since his youth, especially since his counterpoint studies with Antonio Salieri.⁷ These techniques had a clear function: Schubert used them as he had learned to do in his youth, as a means of characterisation in a certain style of sacred music. Thus, we encounter fugues in the concluding culminations in the Gloria movements of his masses, or as sections highlighting a particular number of a sacred work, for example in the middle and end of the German *Stabat Mater* (D 383). Furthermore, he used counterpoint in secular works, either in playful occasional music (in this case, he simply wrote canons for his circle of friends in the style of Michael Haydn or Salieri)⁸ or for important moments in his operas (thereby meeting the expectations of opera audiences for intricate vocal ensembles, the so-called *pezzi concertati*).⁹ In both instances, contrapuntal techniques are used selectively, as it were. In his later works, however, they pervade the texture of entire movements.

At this point it is worth remembering that Schubert studied the late works of Beethoven and alluded to them in his own compositions.¹⁰ He was also occupied with compositions of the old masters. He regularly attended the private concerts of Georg Kieseewetter¹¹ and had got to know Bach and Handel, in addition to Palestrina. Since 1824 he had engaged in an intensive study of Handel and asked that Bach's *Well-Tempered Clavier* be sent to him.¹² Numerous works of his last years show traces of these studies, for example the Mass in E \flat major (D 950), not only the great fugues but also the canon in the 'Incarnatus est' of the Credo as well as the fugato in the 'Dona nobis pacem' of the Agnus Dei. And then there is *Miriam's Siegesgesang* (D 942), the Fantasy in F minor for piano duet (D 940), and the finale of an unfinished Symphony in D major (D 936A).¹³

How Schubert manages contrapuntal techniques and how they define entire musical structures can be seen in the Piano Trio in E \flat major. I will focus initially on the Scherzo movement. Schubert himself—in a letter to the publisher Probst¹⁴—called the movement's trio a minuet and in the official title avoided the term 'Scherzo', replacing it with 'Scherzando'. The tempo indication 'Allegro moderato' makes clear why: it is indeed a minuet rather than a scherzo. And this tempo not only legitimises contrapuntal procedures (here one thinks of the contrapuntal style in some minuets by Joseph Haydn, which

Example 2.1 Schubert, Trio in E \flat major for Piano, Violin and Violoncello, D 929, iii, Scherzo, bars 1–8²⁹

The image shows the musical score for the Scherzo (iii) of Schubert's Trio in E-flat major, D 929. The score is in 3/4 time and consists of three staves: Violin (top), Piano (middle), and Violoncello (bottom). The tempo is marked 'Allegro moderato' and the dynamics are 'sempre piano'. The music begins with a canon between the piano and strings. At bar 23, there is a key change from A-flat major to E major. The score shows the first eight bars of the piece.

may have been a model for Schubert), but also allows an increased audibility of the individual voices by way of imitation: it makes them more transparent. Schubert organises the main section of the movement initially as a canon (see Example 2.1; the trio, as will be discussed later, follows different principles).

The beginning of the movement (the first twenty-seven bars) is a canon between the right hand of the piano and the two strings. Then, separated from the preceding through a typically Schubertian harmonic switch from A \flat major (arrived at in bar 23) to E major, a new section follows, in which Schubert replaces the strict canon with free imitation. Strictly speaking, the section continues in a two-part texture, now assigned to the piano's right hand and the cello, while the violin adds accompaniment figures and the left hand provides the harmonic foundation. It is noteworthy here that Schubert does not follow intervallic guidelines (in the sense of a 'real' answer). In the reminiscences of Joseph Lanz mentioned earlier, this issue is addressed as follows:

One day, I showed him a little double fugue I composed [this may have been the beginning of their acquaintance]. The theme leaped from the tonic to the dominant and, in turn, the answer from the dominant into the tonic. He asked: 'Why did you not make the answer the same?' When I told him that I had proceeded according to generally accepted conventions in order not to move away prematurely from the home key, he smiled.¹⁵

Indeed, Schubert until about 1825 retained the real answer in his fugues, which he valued higher than the tonal one, hardly paying attention to the attendant problems of key;¹⁶ after that, tonal answers became the rule. Schubert's (probably) ironic smile may be explained by a comment of Gottfried von Preyer, who, like Schubert, studied with Salieri: 'Schubert despised dry and monotonous didactic examples and the mechanical observations of pre-conceived formulas. He always thought that the barren system of rules would only limit his flight of thoughts'.¹⁷

After the middle section, the movement modulates back to E \flat major and returns to the initial theme and thereby to the canon of the beginning, but this

time reversing the succession: the strings begin, the piano answers. Schubert tries out several other canonic possibilities before the movement concludes with a free coda of sixteen bars.

Canonic constructions also play a role in the Finale of the Piano Trio. Repeated pulsing quavers characterise the movement's secondary theme. They seem to be derived from the secondary theme of the first movement and thus appear almost as an episode whose sole function is to establish cyclical links. The theme is, however, of significance for the entire movement, as the continuation of the Finale shows. At the end of the exposition, it returns transformed, developing out of a diminished seventh chord and suddenly assuming the attributes of a three-part canon,¹⁸ in which, however, the answer of the strings appears partly shortened (as if they try to catch up with the hurriedly advancing piano). Finally all three instruments land on the diminished seventh chord that got everything started, although it does not quite fit the canon's key. After that, everything begins anew until finally all three instruments find their way out of the playful conundrum (see Example 2.2).

Example 2.2 Schubert, Trio in E \flat major, D 929, iv, Scherzo, bars 165–178³⁰

The musical score for Example 2.2 consists of three systems of staves, each with a vocal line, a string line, and a piano line. The key signature is E-flat major (two flats) and the time signature is 3/4. The first system (bars 165-170) shows the piano (pp) and strings (pp) with a diminished seventh chord (S⁷) in the piano part. The second system (bars 171-176) shows the piano (pp) and strings (pp) with a diminished seventh chord (S⁷) in the piano part. The third system (bars 177-178) shows the piano (cresc.) and strings (cresc.) with a diminished seventh chord (S⁷) in the piano part, leading to a fortissimo (f) dynamic.

Despite all the apparent motion, we encounter stasis—comparable to the surprising fermatas and discontinuations so characteristic for Schubert's late works. Something entirely new can nevertheless evolve from them. The same constellation returns in the development section of the Finale, expanded to fifty bars, and also in the recapitulation, thereby imbuing the entire movement with an unmistakable identity.

Motivic and Sub-motivic Connections

Schubert scholars have repeatedly pointed out that his compositions are characterised by subliminal links, as it were, which hold together the individual sections of a composition, even when they are not thematically related. Peter Gülke has shown this, for instance, in the String Quintet of 1828, Carl Dahlhaus in the Unfinished Symphony (composed as early as 1822) and others even in the early string quartets.¹⁹ In other words, this seems to be a consistent factor in Schubert's creativity. Yet it is hardly possible, as a rule, to distinguish whether such sub-thematic connections are intentionally employed to structure the music or simply manifest themselves as a result of his musical thinking. When we encounter, for instance, the interval $f'-e'$ over and over again in similar constellations in *Winterreise*—the cycle begins that way—regardless in which key a song is written, we may assume that Schubert uses this feature in a calculated way. The pitches, we should remember, implied for the singer at the time a characteristic change of register, namely the change from chest to head voice. Thus, the interval becomes also one of those elements that weld the entire cycle into a unity, which the listener may perceive aurally, but which can be described only with difficulty.

A fortunate circumstance, however, makes it possible to witness Schubert's compositional process in detail in the Piano Trio in $E\flat$ major—not only to observe the connections, but also to prove that Schubert did not use them casually. In the reminiscences of Leopold Sonnleithner we can read the following:

The famous singer Josef Siboni, then director of the conservatory in Copenhagen, had a student named [Isak Albert] Berg, who was a young tenor of outstanding talent. . . . Berg, who later became the first teacher of Jenny Lind, arrived in Vienna in the winter of 1827–28 with a recommendation to the Mademoiselles Fröhlich [close friends of Schubert], in whose small social circle he frequently performed. With extraordinary beauty he sang Swedish folk songs, and Schubert, who heard him on one such occasion, was delighted by these Swedish songs. He asked for a copy and used the most outstanding ones in his $E\flat$ major Trio.²⁰

It has been difficult to find the Swedish songs that Schubert used in his Trio. But thirty years ago Manfred Wilford²¹ was able to prove that Schubert did