Special Issue

Performing Form: A Dialogue between Performance and Analysis

Hugh Collins Rice and Pina Napolitano

Schoenberg's music is so often approached via theory rather than performance. Perhaps this is not surprising, given the almost unparalleled opportunities it offers for a range of theoretical perspectives, as evidenced in music theory journals for the last fifty years. This article seeks to redress the imbalance. It gives a perspective on a dialogue in progress between Pina Napolitano, a pianist with an academic background in philology, and Hugh Collins Rice, a composer with an analytical background. It is neither about the performance of a particular analysis nor the analysis of a specific performance, but something altogether more interactive. It was a genuine dialogue between a pianist, who is not a trained musicologist and a composer, who is not a performer. It was precisely the creative and interactive dual perspective that opened out new ways of thinking about the pieces. The purpose was not to change the performance according to the analysis or vice versa but to enrich each other's vision of the music. It began during a series of analysis classes for pianists led by Hugh Collins Rice at the Music Academy in Pescara in 2010. At this time Pina Napolitano was preparing to record Schoenberg's solo piano works and she has gone on to perform them from memory many times in recital across Europe and America.

The knowledge gained from preparing and performing a corpus of music like this is inevitably different from that gained from analysis; not least because it is so distinctively personal.[1]The overall perception of a piece might be similar, but interesting differences emerge and become fruitful points of discussion. Notably, these often involve the perception and realization of form and musical material. A passage that could be analyzed with elegance could seem awkward to perform, and vice versa.

In approaching the pieces discussed here – Op. 23, no. 3 and no. 5, Op. 33a and Op. 33b – the abstract and technical facets can dominate, making the music remote from any performing or listening experience. The dual perspective of analysis and performance enables the music to be explored in a more rounded manner, where the technical aspects can still play an important role, but also be challenged and enhanced by the performer's experience. This changed the perception and understanding of the music for the participants, in the case of the *Klavierstück* Op. 33b resulting in a significant realignment of perspective.

Hugh Collins Rice (HCR): Analysis and performance are two different activities, but both interpret a musical score. The relationship between these two interpretive activities can appear unbalanced, the analyst desiring to instruct the performer in a more 'correct' performance. The analytical literature on Schoenberg's *Klavierstück* Op. 33b tends to conform to this type: Martha Hyde's analysis focusing on pedaling and the secondary pitch sets, and Michael Friedmann suggesting analytical observations which *should* impact on performance.[2]

1 The corpus of recorded performances by, for example, Maurizio Pollini, Glenn Gould, and Eduard Steuermann, illustrate just how individual each performer's engagement with these works can be. The individual pianist's perspective captured here is concerned not so much with performance choices as with her intuitive perception of the works through the intimate experience of inhabiting them in performance.

2 Martha Hyde, "Dodecaphony: Schoenberg," in *Models of Musical Analysis: Early Twentieth Century Music*, ed. Jonathan Dunsby (Oxford: Blackwell, 1993), 56–80; Michael Friedmann, "Motive, Meter and Row: Conflicting Imperatives to the Performer in Schoenberg's *Klavierstück* Op. 33b," *Ex Tempore* 8 (1995): 29–49.

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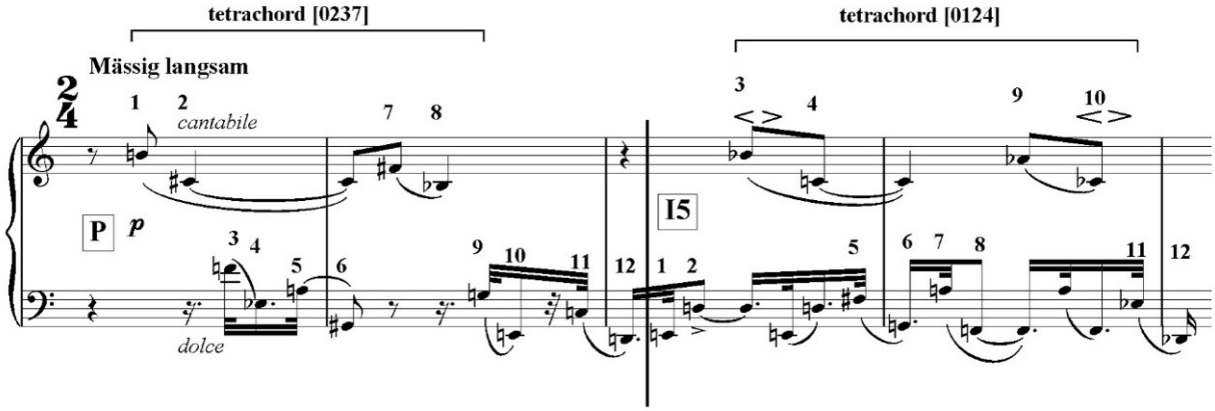
This approach does feature in Second Viennese School performance ethics; as Jonathan Dunsby says, "… it is a Schoenbergian assumption that a thorough conceptual understanding of the musical score is the prerequisite of adequate performance."[3] We can add the well-documented fastidiousness in performances supervised by Schoenberg and his colleagues, seen for example in the careful preparations for the Society for Private Musical Performance concerts, in reports of Webern's rehearsal technique, and in observations by Rudolf Kolisch and others.[4] But there are other views of the relationship between analysis and performance. Nicholas Cook, for example, has suggested a more interactive relationship is both possible and necessary.[5]

Pina and I found our discussion centering on Op. 33b because of the interpretive challenges it presented for both performance and analysis. It is a work which has not attracted the analytical scrutiny of Schoenberg's other piano pieces. Brian Alegant in a substantial analytical article describes it as largely "ignored in the concert hall and in the music-theoretical literature."[6] It sits oddly at the end of a performance of the complete Schoenberg solo piano works in chronological order: a post-script to the other seemingly more substantive and significant works. It seems to require some special pleading.

Nor is the piece part of an *opus* with a single identity: the two pieces of Op. 33 are not *Zwei Klavierstücke* but separate works, published at different times by different publishers.[7] And it is based on a single transposition of its series (with its inversional semi-combinatorial partner), so the theoretical and analytical scope it offers is also limited. As our discussion unfolded, we focused increasingly on issues of form, and the nature of the work's musical material.

Example 1. Op.33b opening.



The opening of any piece (**Example 1**) is inevitably important to both analysis and performance. This is perhaps particularly so in the works of the composers of the Second Viennese School. The issue of a *Grundgestalt*, explored by authors like David Epstein and Josef Rufer, is intimately connected with the presentation of a musical idea, from which the rest of the piece emanates.[8] Analysis of any of Schoenberg's serial works will tend, therefore, to begin at the beginning. It is here that the row, its patterns and relationships are likely to be presented and provide the basis for analysis of the rest of the piece. As Martha Hyde says: "Schoenberg's beginnings usu-

3 Jonathan Dunsby, "Guest Editorial: Performance and Analysis of Music," *Music Analysis* 8, no. 1/2 (1989): 6.
4 Joan Allen Smith, *Schoenberg and His Circle: A Viennese Portrait* (New York: Schirmer, 1986), 81–124.
5 Nicholas Cook, "Analysing Performance and Performing Analysis," in, *Rethinking Music*, eds. Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 2001), 239–261.
6 Brian Alegant, "Unveiling Schoenberg's Op. 33b," *Music Theory Spectrum* 18, no. 2 (1996): 143.
7 Op. 33a published by Universal Edition, Vienna (1929) and Op. 33b published by The New Music Society of California Publisher, San Francisco (1932).
8 David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Oxford: Oxford University Press, 1979); Josef Rufer, , *Composition with Twelve Notes*, trans. Humphrey Searle (London: Barrie and Rockliff, 1965).

ally set forth the regular ordering of the basic set."[9] Indeed she sees the opening of Op. 33b as a particularly strong exposition of the properties of the row as revealed by her analysis.[10]

Analysis will therefore tend to present the opening of a work like Op. 33b as an exposition of the basic musical material at its clearest, something which, almost by definition, is unproblematic. That analytical perspective is, however, challenged when the opening is not only problematic for the performer, but one of the most difficult parts of the piece to grasp.

What do you think is the problem?

Pina Napolitano (PN): The main difficulty at the beginning is textural. On the one hand we have something that for the performer seems to present many traits of a late Brahmsian *Intermezzo*: a lyrical character underlined by the words *cantabile* and *dolce*; a dynamic range centered around *piano* for 16 measures; phrasing built on *legato* couplets for all but four of the 16 measures (mm. 5-8). There are associations for example, with Brahms's Op. 116, No. 5, or Op. 117, No. 2. On the other hand, the thinness and sparsity of the texture and the wide spatial disposition of the intervals make that musical effect difficult to achieve. It is as if there were a deliberate creative tension between the way the material is notated and its intended musical characterization in performance. Though the series is clearly delineated, the texture and 'physicality' of the music at this point is felt for the pianist as embryonic.

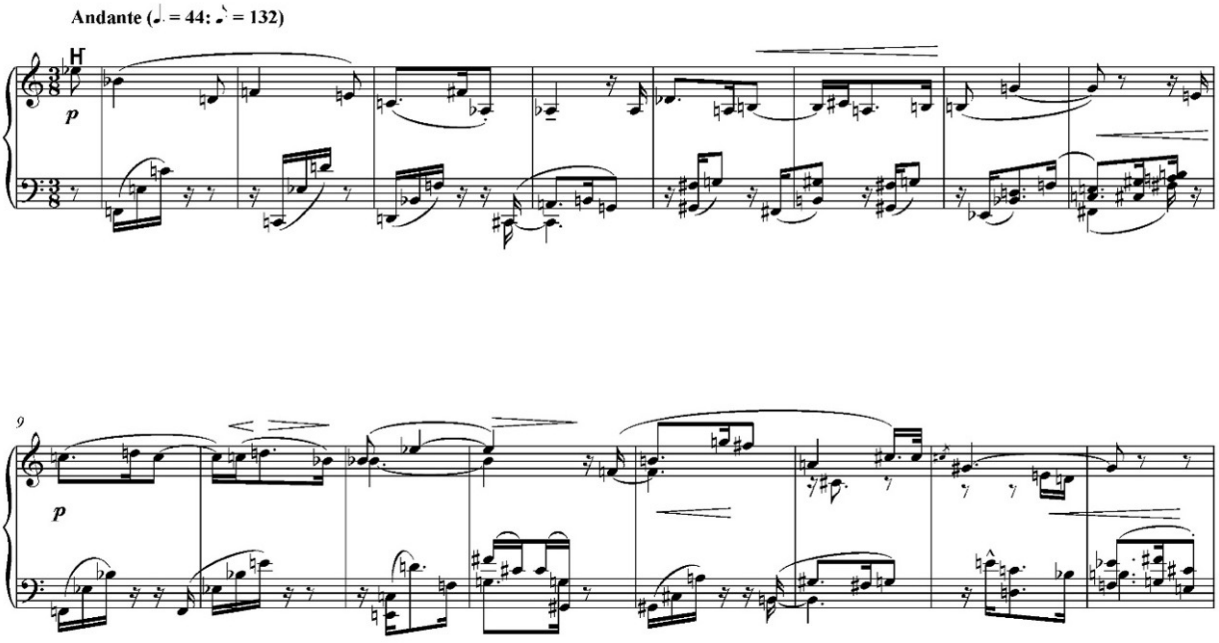
The opposite textural issue occurs later in the work with the second theme. The material here feels awkwardly thick to play: four voices, very closely intertwined, within an overall *forte* dynamic. The challenge is differentiating them and seeking to avoid making the texture too heavy and unclear. And so, in performance both the main thematic materials of the piece present challenges.

HCR: While the main thematic materials of the work have analytical clarity, the music seems very different from the performer's perspective. Clarity and ease of (analytical) characterization are replaced by a certain (performance) difficulty and awkwardness. It brings to mind Dunsby's comment that "[a]nalysis deals, in general, with the ideology of veneration, the celebration of cultural perfection, the explanation of how things work in music, not of how they don't work quite as well as one might wish."[11] The relationship of rhythm and meter at the opening can also seem quite fragile. Friedmann's analysis explores this aspect through re-barring the music; he refers to "metric crosscurrents" and sees them "illustrated to great advantage in the opening."[12]

PN: The relationship between meter and rhythm at times feels not straightforward, but in performance this is less of a problem than the textural issues. It is certainly more difficult than in many of Brahms's late works, where rhythmical figurations frequently cross over the bar line, for example at the opening of the Intermezzo Op. 76, No. 6. But this is the kind of challenge we as performers are accustomed to confronting; the difference is only one of degree.

9 Hyde, "Dodecaphony: Schoenberg," 65.
10 Ibid., 66.
11 Dunsby, "Guest Editorial: Performance and Analysis of Music," 15.
12 Friedmann, "Motive, Meter and Row", 35.

Example 2. Piano Concerto - opening, solo piano part only



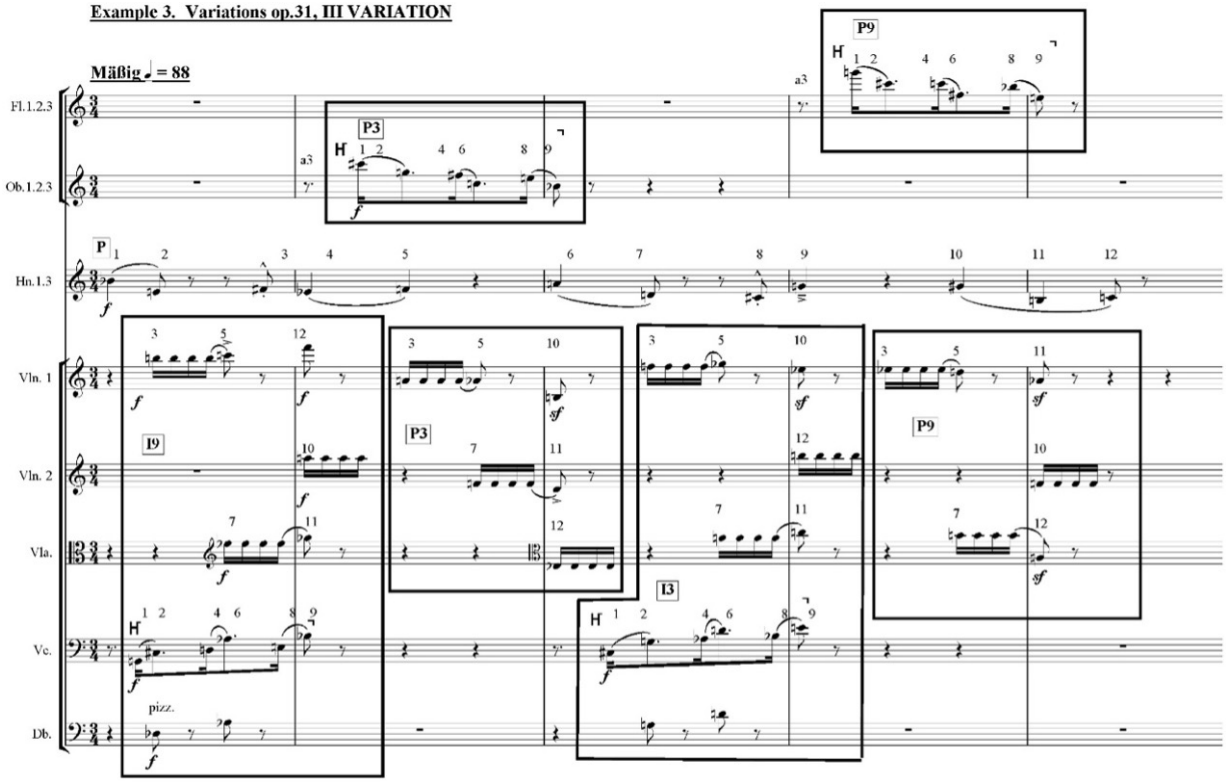
HCR: A comparison with the opening of the *Piano Concerto*, Op. 42 is interesting (**Example 2).** This unambiguously presents 'a theme' with an intuitively graspable pianism, which is both striking and unusual in Schoenberg's output. The very close relationship between series and theme perhaps creates a difficult set of challenges for the analyst, but for the pianist it is a clearer departure point than that of Op. 33b.

PN: The first time I began working on Op. 33b it immediately reminded me of the Concerto. There is something about the phrasing, the *legato* couplets, the use of repeated notes, and even the overall type of sound world and harmony that made me instantly connect the two works. Along with the Intermezzo from Schoenberg's *Suite for Piano*, Op. 25, they also feel the most Brahmsian of all Schoenberg's piano compositions. The opening of the Concerto, however, feels very natural to play, both from the textural and the rhythmical points of view: a real Viennese waltz. In that respect, it is the opposite of Op. 33b. So, they are at one time very alike and completely contrasting. The Concerto remains probably the most idiomatic of Schoenberg's piano pieces in performance.

HCR: The *Piano Concerto* contains Schoenberg's most extended serial writing for the piano and, though different in many ways from Op. 33b, has an interesting analytical relationship with it. The harmonic connection is apparent in analysis: both works have series with strong whole tone implications, leading to many places where the harmonic color of the two works is quite similar.[13]

13 The hexachords of Op. 33b are predominantly whole tone and in the *Piano Concerto*, two of the three tetrachords of its series are whole tone.

Example 3. Variations op.31, III VARIATION



A further comparison can be made with the third variation of the Orchestral Variations, Op. 31, which was completed three years before the composition of Op. 33b (**Example 3)**. Here the texture is very similar to the opening of Op. 33b, though with three strands rather than two. These are:

1. the theme on the horns broken into two- and three-note segments (not unlike the right-hand part at the opening of Op. 33b),

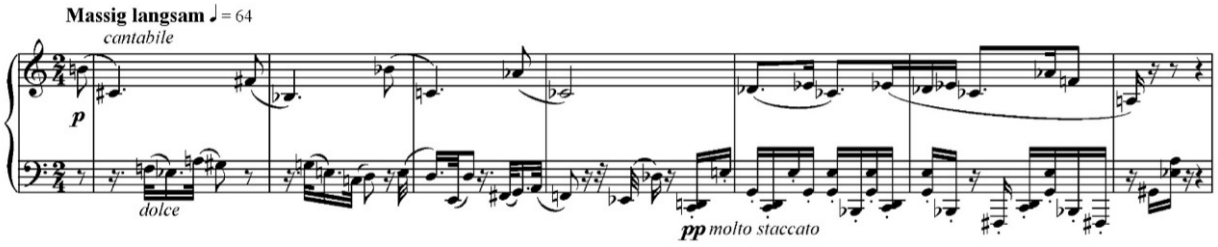
2. a dotted rhythm *Hauptstimme* using tritones extracted from the row (in character similar to the left-hand part of the opening of Op. 33b),

3. repeated note semiquavers.

The striking difference from Op. 33b is the regularity, particularly of rhythm, but also in the serial patterning. There is certainly little evidence of "metric crosscurrents".

It would be possible to make a few minor alterations to the opening of Op. 33b (**Example 4)** to make it something more stable and to circumvent the textural problems–not yet as thematic as the *Piano Concerto* opening–nor as regular as the third variation of Op. 31, but enough to set out on a different sort of journey and performing experience.

Example 4. Op.33b opening, rewritten.

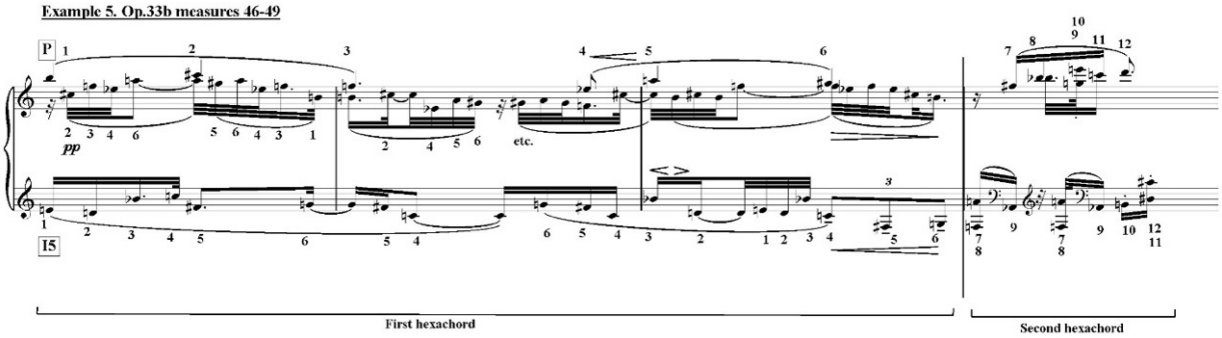


PN: Certainly that rewriting makes the beginning feel less frail, more comfortable to play and to voice. But it is difficult to imagine how it would continue and go on to the second theme. Schoenberg's writing with wide intervals in the left hand, however uncomfortable to play, seems to create a sense of empty space that the thickness of the second theme will come to fill. In this sense the two themes can be understood as complementary, and the awkwardness of the opening as part of an overall strategy.

HCR: Analysis might show the opening of Op. 33b as a clear presentation of serial partitionings, significant dyads and tetrachords, and "metric crosscurrents"–aspects of a *Grundgestalt* all of which have a considerable impact on the rest of the piece. That would suggest a tendency, even a necessity, to see the rest of the form in terms of development and return. But understanding the difficulty for the pianist in this opening changes perception of form. The struggle to articulate this material means that a sense of what the beginning is, and the relationship of the form to its head motif, is much less straightforward, and perhaps also richer and more multi-layered.

It is not only at the opening where performance and pianistic qualities are a significant factor. The passage from mm. 46-49 **(Example 5)** is largely ignored in the published analyses. Friedmann describes it as "an insert" because these measures, which occur in the second half of the work, "are not paralleled by a comparable passage in the first thematic 'run-through'."[14] Alegant identifies no particular formal role for this passage, pointing to the *crescendo* leading up to it as being "completely thwarted by the *subito pp.*"[15]

Example 5. Op.33b measures 46-49

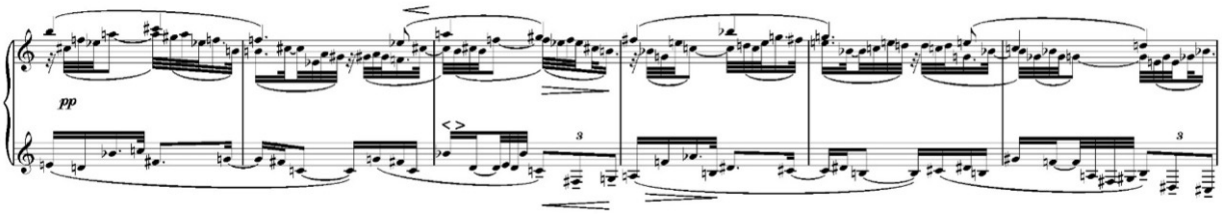


So, this is a passage which sits outside the main formal signposts and does not form a significant moment in the work according to the different analytical strategies of Hyde, Friedmann and Alegant.[16] But there are several features of the passage which seem unique: its register, its texture and its use of the row. Indeed, the treatment of the row, the first hexachord unfolding in a leisurely way over three measures, while the second hexachord is dispatched in less than a measure, suggests that the melodic flow is interrupted, that it could easily have been a fuller melodic statement.

This passage therefore suggests the possibility of something more expansive. If the second hexachord had been treated similarly to the first it could have looked something like **Example 6**. That would have made it much more difficult to pass over in analysis. As it is, its curious place in the form and its anticlimactic effect after the passage which precedes it render it difficult analytically.

14 Friedmann, "Motive, Meter and Row," 41. See also the table on page 34.
15 Alegant, "Unveiling Schoenberg's Op. 33b," 163.
16 A further insightful and detailed analysis of Op.33b by Jack Boss was published after this paper had been written. Boss develops Alegant's analysis, exploring tetrachordal and trichordal partitionings of the row and their synthesis across the form. The passage from measures 46–49 does not form part of Boss's analysis and is one of the very few not to be given an annotated musical example.
Jack Boss, "Schoenberg's Op. 33b and the Problem of its Contrasting 'Continuation' and Second Theme," *Music Analysis* 37, no. 2 (2018): 203–42.

Example 6. Op.33b, measures 46-49 with rewritten extension



PN: For the performer however, this is a rather unproblematic, pleasant and easy passage. Its polyphony fits naturally under the hands, the singing quality of all lines can be brought out effortlessly, and for the pianist it has a natural fluidity that up to this point seemed missing. From here on, the entire piece seems to change, becoming more natural and easier to perform, as if it were only now achieving its full expression.

HCR: Of course, it remains possible that this passage is indeed a relatively insignificant part of the structure, just more natural to play. But the performance experience suggests something more important, a turning point even. That is an insight which lies outside analytical strategies prioritizing *Grundgestalt*, formal archetype, or the whole range of serial mechanics. The passage is linked in some ways with the very end of the work. Friedmann recognizes that, describing its "fluidity" as part of a *texturally* recapitulatory role "to gradually bring balance and smoothness to the apparently disjunct pieces of material introduced in the first 11 measures of the piece."[17]

PN: The sensation of playing this passage *is* recapitulatory, but in the sense of feeling like a substituted passage or 'over-writing' of a more literal recapitulation. It shares the quiet dynamic of the first theme in the opening, whereby the association of dynamic and formal function is quite clear throughout the work; the first theme always being presented *piano* and the second theme *forte* or *mezzo forte.*

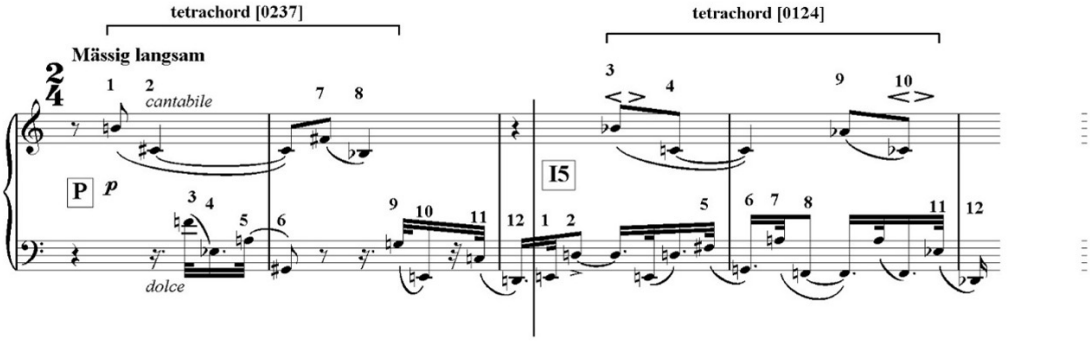
HCR: This perception of the passage as pianistically more completed again pulls in a different direction from analysis, whereas we have seen the serial structure is in some ways *in*complete. Viewed from a purely analytical standpoint there is nothing in this passage identifiable as a recapitulatory moment. It seems separate from both of the main thematic ideas of the piece, which are characterized by different partitionings of the series, neither of which is employed here. Instead, there is an entirely new use of the series, which begins as though making a large statement of the whole row rather than segments from it, as in the main material of the rest of the piece.[18]

Even at a simple level, considering the performing perspective changes the center of gravity of the work and therefore of the form. The piece becomes less about the working out of a *Grundgestalt* and more about an action on the material which happens during the piece. This in turn has an impact on the perception of the form, and understanding form was clearly part of the Second Viennese School's attitude toward performance. Erwin Stein, for example, states "performance is a function of musical form."[19] Yet understanding the form can be one of the biggest initial difficulties in performing Op. 33b.

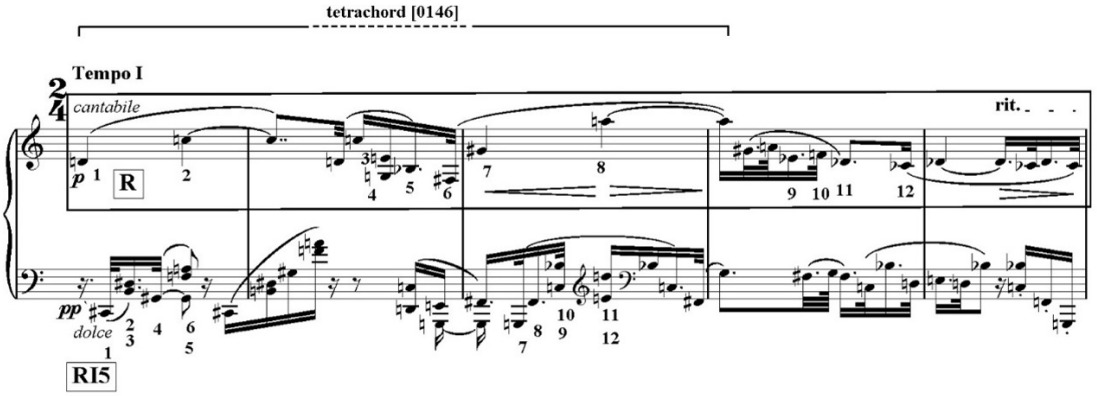
17 Friedmann, "Motive, Meter and Row", 41.
18 The use of the row here is described by Alegant as "two temporal levels of P's first hexachord," and is a serial texture he links with the recapitulation in the first part of the *Piano Concerto*. See his "Unveiling Schoenberg's Op. 33b," 163.
19 Erwin Stein, *Form and Performance* (London: Faber & Faber, 1962), 14.

Example 7. Op.33b

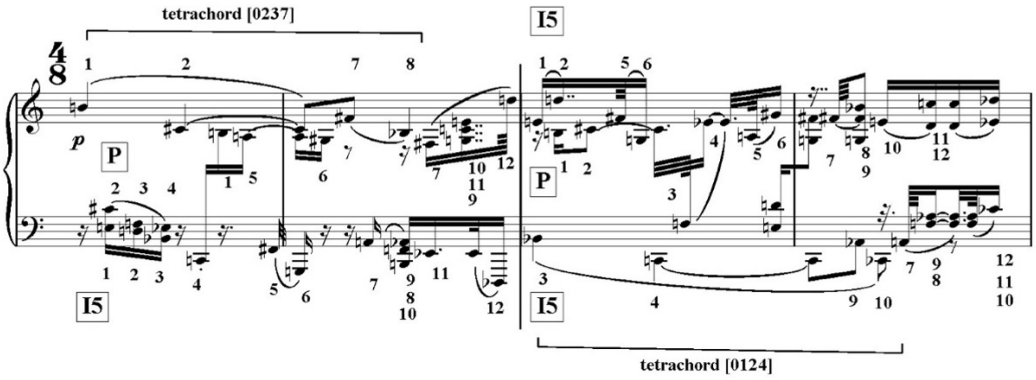
i. measures 1-5



ii. measures 32-36



iii. measures 57-60



PN: At first the form of the piece felt strange. There was a sense of tension between an ABABA form and a sonata form, with two contrasting themes and three distinct parts. In each part, the first theme came back more pianistic and more texturally replete, and thus easier to perform (**Example 7)**. The first theme seemed to evolve texturally through the influence of the second theme, with the strongest point of this reciprocal action occurring in mm. 46-49, where its fluent and pianistically natural character returns in the coda. The order of the two themes is

also reversed in the recapitulation. The piece could be imagined as following two trajectories as represented by the first and second themes crossing each other and starting to synthesize from the development section onward.

HCR: We have always held slightly different views of the form of this piece: the performance experience inclining more towards a sonata form, the analytic experience suggesting primarily an ABABA with coda, albeit with a significant binary division and elements of sonata form.[20] Published analyses themselves vary slightly in their interpretation of the form. For Hyde it is in two parts (with subdivisions) and a coda; Alegant has it as ABABA with coda but sees this as broadly conforming with Friedmann's eleven sections.

The formal layers are rich, but the pianist's perception of the passage at m. 46 as a turning point, from which the music becomes easier to interpret, makes the form richer still. The second half of the work becomes not simply about balancing the first (a binary interpretation of form), nor a thematically signaled recapitulation (a sonata-form interpretation), nor a continuation of the alternation of two main materials (a rondo interpretation), but adds a whole new dimension to the musical material with the more pianistic music opening up the possibility of the closing measures. And the pianistic awkwardness of the opening becomes an important facet of the musical narrative; the music at m. 46-49 moving from the role of 'insert' to that of *peripeteia*.[21]

PN: The idea that mm. 46-49 were beautiful but analytically strange confirmed the performance experience that something special and different was happening there.

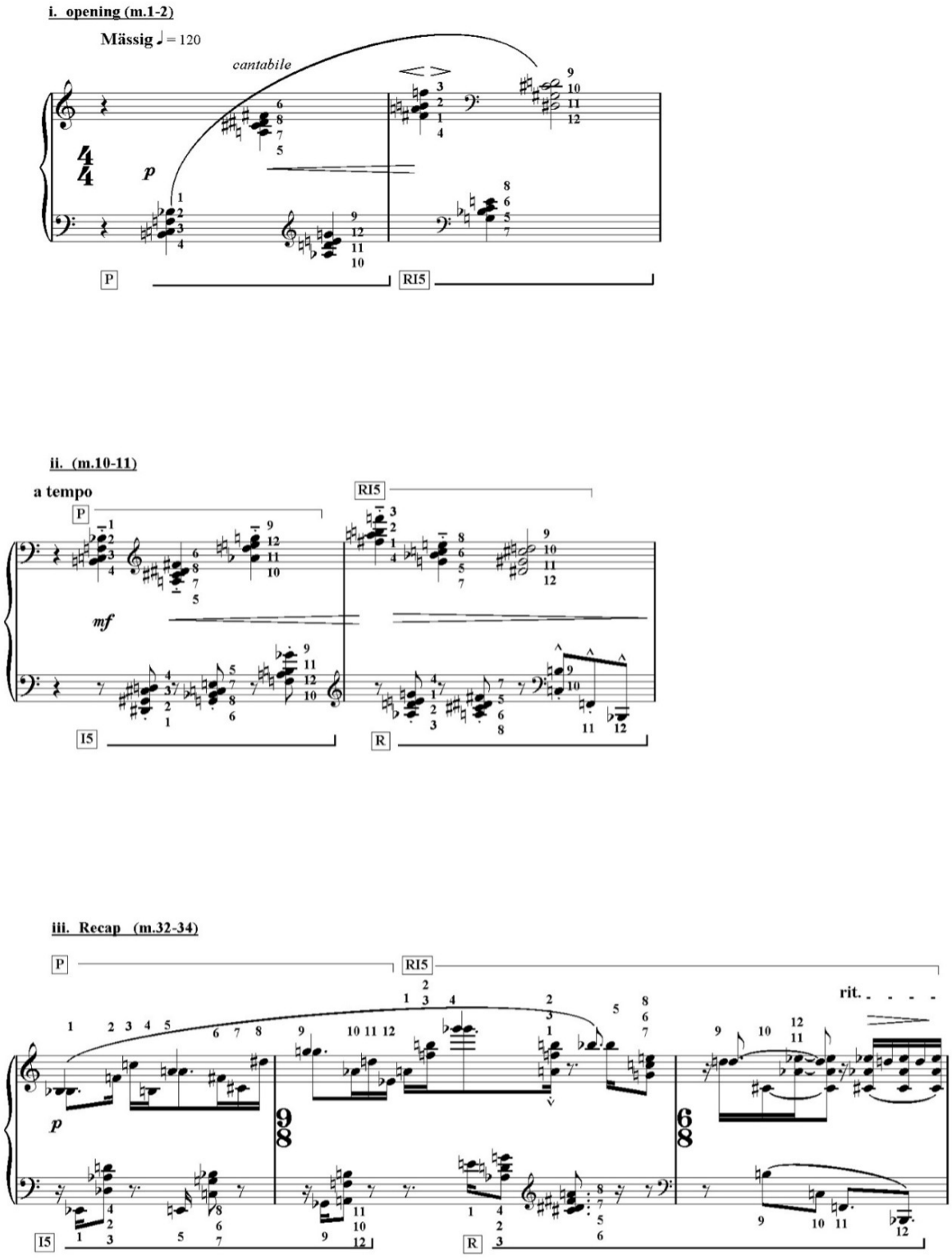
This experience of a passage being difficult to analyze but comfortable to play happened more than once in our dialogue; equally sometimes when the music made perfect analytical sense, it was more awkward to play and grasp its musical sense during performance. There is something similar in poetry. Poetic analysis encounters almost insurmountable obstacles: forced syntax and grammar, metrical and rhythmical rules not obeyed, enigmatic imagery, references which are unclear or ambiguous, a lot of concurrent or even opposite interpretations seeming at once plausible. And it can be just there that the 'poetry' happens more deeply, as if arising autonomously, breaking even the author's own rules of composition. Some verses in these cases can remain completely resistant to analysis; form and content are so tightly connected that they cannot be disentangled using other words.[22]

20 Hugh Collins Rice, "The Interaction of Form and Material in Schoenberg's *Klavierstück* Op. 33b," *Tempo* 66, no. 259 (2012): 24–30.

21 It is possible to see a similar sort of trajectory in the piano part of the first of the op. 48 songs, *Sommermüd*. Although this work has a late opus number it was in fact written in 1933, two years after op. 33b.

22 I encountered this problem more than once while working on my doctoral dissertation in Russian Literature on the poetry of Osip Mandel'štam. See Pina Napolitano, *Osip Mandel'štam: i Quaderni di Mosca* (Firenze: Firenze University Press, 2017).

Example 8. Op.33a



HCR: While in the *Klavierstück* Op. 33b perceptions from performance and from analysis often suggested different interpretive trajectories, there were also instances where analysis and performance seemed to coalesce much sooner into a more unified view. One example comes in the *Klavierstück* Op. 33a. Whatever the analytic approach, a definite point of recapitulation is ascertained when the original transposition of the row reappears at m. 32. Albeit a recapitulatory moment, this is the first time in the piece where the series is used in a way that makes its note

order perceptible; previous iterations having been written as chords (**Example 8)**. In analytical terms this moment seems to represent an epiphany, a revelation of something which had previously been obscured. This sense of something revealed can be seen in the music which follows, that is, a highly condensed recapitulation that moves the music swiftly to its conclusion.

PN: Performing Op. 33a created the sensation that in mm. 32-33 something was finally unfolding and coming to light. It is the first moment of real peace in the work. It is the longest phrase and the first and only long *legato* section with an overall static *piano* dynamic. That felt very similar to playing mm. 46-49 of Op. 33b, that is, liberating, as if finally arriving at the 'real' presentation of the first idea in both pieces.

HCR: Discussing the Op. 33 pieces was particularly interesting, but it was not only here that dialogue between analysis and performance has been fruitful. The piano pieces Schoenberg composed in the years 1920-23 – the *Klavierstücke*, Op. 23 and the *Suite for Piano,* Op. 25 – have a historical importance stemming from their place at the beginning of serialism and its development. The insight that these works come from a laboratory of technical change has, not surprisingly, rather overwhelmed the musical qualities of the works.

PN: Op. 23 is the most beautiful and musically intriguing of Schoenberg's piano pieces, and probably the most rewarding to perform. Learning Schoenberg's works was never an experience of academicism or of specific focus on their historical importance even though, of course, there was an awareness of these issues, which were especially true of Op. 23. My encounter was always with its musical qualities, the imaginative power sustaining the continuous musical invention, the different moods and characters of each piece, the beauty emerging from their coherence, and the richness of their musical discourse. The experimental character of the writing in Op. 23 is clear; it is a language that is evolving and finding itself as each piece is composed. But this never obscures the purely musical qualities of the pieces, such as the fluidity of the lines, the abundance of dynamic indications, and the expressivity of musical gestures, all of which are helpful and trustworthy guides for the performer.

HCR: The fracture between the theorists' view of Schoenberg's music and concert performance can reach its starkest here. The final piece of Op. 23, the *Waltz*, presents the most extreme example. As Ethan Haimo explains, "[m]ost discussions of the Waltz have commented on the elementary level of its twelve-tone technique."[23] Charles Rosen considered the piece "a timid step toward serialism."[24] Kathryn Bailey, whose analyses illuminate the musical rather than theoretical characteristics, writes, "[t]his has always struck me as a didactic piece, devoted to demonstrating the variety of ways in which a 12-note [*sic*] row can be distributed over a musical surface."[25] None of these views seems to hold much promise for the performer!

PN: And yet this piece has always been fun and engaging to play, with no sense of its supposed didactic quality in performance. An overall dancing rhythm and a seemingly ironic character sustain it throughout and support the performer in the interpretation together with the sudden bursts of energy and sound coming from the *crescendo* sections leading to *forte* or *fortissimo*.

HCR: The challenge for analysis here is to have some regard for these elements, which promise something more enthralling than a historically important but rather dry piece of innovative composition. The performer's perspective opens out fresh possibilities. Even setting aside the mechanics of the serialism (elementary or otherwise), analysis and performance can once again illuminate intriguingly different perspectives. Any analysis of the form of the *Waltz* from Op. 23

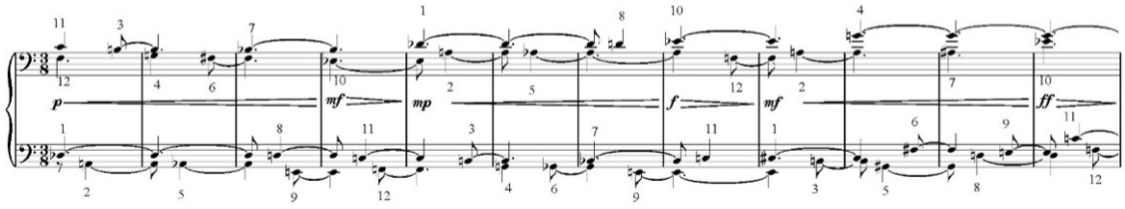
23 Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914-1928* (Oxford: Oxford University Press, 1990), 96.
24 Charles Rosen, *Schoenberg* (London: Fontana, 1976), 84.
25 Kathryn Bailey, *Composing with Tones: A Musical Analysis of Schoenberg's Op. 23 Pieces for Piano* (Royal Musical Association: London, 2001), 99.

would see it as a variant of the standard ABA pattern common in dance movements, although Bailey includes a number of sonata implications.[26] Experience of performing brings a more physical relationship with the musical material and one less concerned with formal archetypes.

PN: Playing this piece brings no perception of sonata form. Rather than a three-part structure, it feels like a series of episodes, where the initial waltz gets continuously transformed until it comes back at m. 100. The waltz rhythm feels natural and easy to bring out in performance. There are only a few sections where it seems to disappear in the background: mm. 44-57, and those sections characterized by ascending or descending dyads, namely mm. 26-27, 58-60, and 97.

HCR: The sense that the form is episodic, rather than academically neoclassical, changes the perspective of the piece. The idea of the waltz coming in and out of focus as the piece progresses suggests that analysis of topic might be more fruitful than one dictated by formal archetype or row use.[27] The significance of the waltz in Schoenberg's chamber music has been explored by Alexander Carpenter;[28] it also forms an important part of Michael Cherlin's analysis of the *String Trio* Op. 45, in which waltz elements "form a conceptual thread that is repeatedly broken or submerged only to reappear time and again throughout the remainder of the work".[29] The *String Trio* and the *Waltz* from Op. 23 are very different compositions, from opposite ends of Schoenberg's serial output, and with a different approach to the function of waltz material. But the idea of a conceptual thread brings them closer together than formal or serial analysis could.

Example 9. Op.23 no.5 measures 44-55



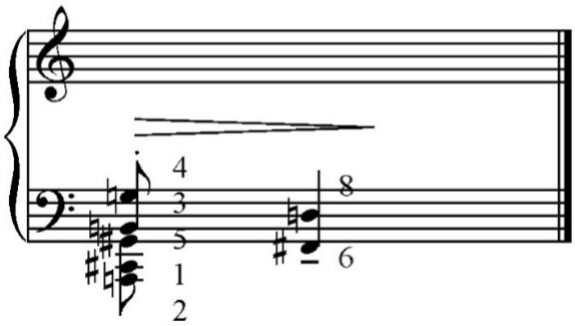
The *Waltz* from Op. 23 suddenly seems altogether less didactic. This can be true even in a passage like mm. 44-55 **(Example 9)** where Schoenberg appears to be doing nothing other than demonstrating ways of producing tetrachords from the row in an automatic way. It is notable for its absence of musical character; it has neither the contrast of a middle section or Trio of an ABA dance, nor the energy of a development.[30] Although the pulse is uniformly maintained with one new pitch on each beat of the measure, there is nothing particularly waltz-like about the passage. But this mode of musical absence makes more structural sense within a more episodic understanding of the form. It is a moment when the waltz seems almost to be lost before the music builds to an initial climax (m. 58), presents a fleeting reminiscence of the waltz (m. 68), and then a further climax (m. 74), which, though the point of recapitulation, does not fully re-engage with

26 Ibid., 104–21.
27 For an exploration of topics in Schoenberg's music see: Jessica Narum, "Sound and semantics: topics in the music of Arnold Schoenberg" (PhD diss., University of Minnesota, 2013) http://purl.umn.edu/158990.
28 Alexander Carpenter, "A Bridge to a New Life: Waltzes in Schoenberg's Chamber Music," in *Schoenberg's Chamber Music, Schoenberg's World*, eds. James K. Wright and Alan M. Gillmor (Hillsdale NY: Pendragon Press, 2009), 25–36.
29 Michael Cherlin, "Memory and Rhetorical Trope in Schoenberg's String Trio," *Journal of the American Musicological Society* 51, no. 3 (1998): 591.
30 In her analysis Bailey marks this point as the beginning of the Trio/Development. See her *Composing with Tones,* 104.

the waltz patterns until a few measures later.[31] A more episodic sense of the form is paradoxically both shapelier and more meaningful.

PN: Maybe it is precisely the episodic form that makes this piece feel less didactical in performance than other dance movements in Schoenberg, such as those of the *Suite for Piano*, Op. 25. There the form feels a lot clearer, but also 'squarer' and neoclassical, and therefore drier. The textures are also more uniform, the general design more unified, and the pace of dynamic change slower, increasing the danger of repetitiveness and eventually boredom in performance. Achieving expressivity in those dances is much harder.

Example 10. Op.23 no.5, final bar.



HCR: The ending of the *Waltz* provides a further example of the different perspectives of analysis and performance. The final measure (**Example 10)** is hard to explain from a theoretical perspective. It is made from order numbers 1-6 and 8 of the series. Not only does it fail to complete the row (lacking pitches 9-12) but the omission of the 7th note also loses the augmented triad (formed of notes 6, 7, and 8), which features quite prominently; it is also the first left hand chord at the beginning of the piece.[32] Analysis suggests a succession of negatives: *not* a complete row, and *not* an augmented triad. It becomes hard to explain the sense in which the piece concludes rather than just stops.

31 Bailey makes a very strong case for m. 74 as recapitulation and shows that the reprise is "remarkably similar" to the opening. *Composing with Tones*, 104.

32 The omission of the 7th note is one that Bailey finds "curious", *Composing with Tones*, 121.

PN: Again, this is a passage which is problematic for the analyst, but not for the performer. The row may be incomplete, but the musical sense feels fully achieved in performance. Fragments of main themes come back, continually interrupted, and the music disappears a little at a time until only silence is left. The waltz rhythm is reaffirmed in a slower tempo many times before it dies away, half seriously, half mockingly. For the pianist, this makes it a real and natural closure to the work, the most satisfying part to play, a sort of clarification and justification of the entire piece.

HCR: It is a conclusion that makes sense as part of a narrative of waltz presentations rather than through its serial manipulation or sonata teleology. The third piece of the *Klavierstücke* Op. 23 presents a number of related issues. While the *Waltz i*s built from a twelve-note series, this piece is built from a five-note row, which often retains its contour through transposition and inversion, and therefore behaves like a motif as well as a row. The analysis is consequently led in the direction suggested by the often dense combinations of this five-note row. It is then a short step toward seeing the piece in terms of contrapuntal archetypes. For Bailey, the piece "is a fugue, though a fugue that has strong family ties with sonata form."[33]

PN: The contrapuntal character is very evident for the performer. Nothing feels vertical, not even the chords that are continuously 'crossed' by the horizontal melodic lines. The feeling of a fugue, though, comes and goes. It does not feel like an imitation of a Baroque fugue, and connections with the other pieces of the work, especially with No. 1, keep resonating.

HCR: At this stage the instincts of the analyst and the performer seem in harmony, but the ending of the piece is another of those places where the analysis attains a clarity that does not have a similar impact on performance. In the final ten measures Schoenberg settles on a use of the row which is stable.[34] The combination of rows P_0 with I_{11}, and P_7 with I_4 creates aggregates, while focusing on the pitches C and G, which are the only two pitches not found in any of these four rows.[35] The combination of the elegance of the row use and the simpler textures at this point gives an ease to the analytical interpretation, but one not mirrored by ease of performance.

PN: Here again, while the analytical perspective of this portion of the piece is unproblematic, the performance is challenging. This section always felt strange, drier than the rest of the piece, as if it were set apart, and difficult to interpret. Perhaps there was the sense of the material becoming didactical. In performance the right decision seemed to be to leave it absolutely static in tempo and 'dry', a sort of 'waste land' after the rest of the piece, which is so expressive. Then it seemed to work.

HCR: It is easy for the analyst to focus here on the elegance of compositional process and lose sight of the gear change in the texture and expressive potential of the music. It is perhaps something which is at least as important in understanding the shape of the piece as any connections with the fugue or the sonata. Just as in the *Waltz* from Op. 23 and in the *Klavierstück* Op. 33b, there is a different narrative here which suggests a greater flexibility than Schoenberg is often given credit for.

Pierre Boulez believes that "we should not expect of Schoenberg those agreeable clichés, which 'lie under the hands' or the sort of novelty that goes with an innovative use of the resources of the instrument." [36] He describes Schoenberg's piano music as being "of first impor-

33 Ibid., 58.
34 For being over one quarter of the total length. the last ten measures still make up a substantial portion of the piece.
35 Analysis of the properties of the rows and of this passage can be found in Haimo, 94–5 and Bailey, 68–72.
36 Pierre Boulez, "Arnold Schoenberg," *Stocktakings from an Apprenticeship,* ed. Paule Thévenin, trans. Stephen Walsh (Oxford: Oxford University Press, 1991), 288.

tance" in his catalog of works.[37] While we might agree that the music does not deal in the "agreeable clichés" of pianism, we should not discount the insights–and enjoyment–of the pianist. The absence of pianistic cliché brings the performer into a more questioning relationship with the music, perhaps one which therefore engages naturally with analysis. Analysis of form, musical materials and process is important. But a pianist who learns and performs the music engages with it at a level of intensity the analyst rarely can. As these examples from Op. 23 and Op. 33 show, analysis and performance can support and challenge each other. In a work like Op. 33b it is the insights of both performance and analysis which can reveal the full richness of the music. This is perhaps more important in Schoenberg than almost any other composer, because it can help shift the focus from the technical and didactic to something more rounded and communicative; As Schoenberg might have put it, understanding "what it is" and not just "how it is done".[38]

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37 Ibid., 287.

38 Schoenberg used these terms in 1932 in a much-quoted warning to Rudolf Kolisch of the dangers of serial analysis. See Arnold Schoenberg, *Letters* ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber & Faber, 1964), 164.

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