Recentering Music: Sketch Studies and Analysis

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Abstract and Keywords

Study of the creative process in music promises to help facilitate reintegration of a field of research that has become decentered through the cultivation of subdisciplines. The approach of genetic criticism and recent sketch studies move beyond traditional music philology. With examples from several composers and works of Beethoven as a central focus, this article assesses the limitations of *Urtext* editions, the musical-work concept, and organicist and constructivist approaches. Beethoven's music is found to be less autonomous and more intertextual than is often acknowledged. A blending of source research and musical analysis can help heal disciplinary wounds inflicted by the severing of topics that belong together in the same body of knowledge.

Keywords: creative process, genetic criticism, music philology, sketch studies, work concept, Urtext, organicism, Beethoven, artistic autonomy, intertextuality

Study of the artistic creative process engages with the relation between empirical and interpretative concerns, involving both an assessment of primary sources and their aesthetic interpretation. Such sources include composers' sketches, drafts, and revised scores; the interpretative sphere embraces analysis and critical evaluation. The perspective of philology has privileged written sources, often focusing on the identification of a final written text or printed version of a work (in German, *Fassung letzter Hand*), in connection with the preparation of editions. That such a singular definitive version of a musical work may prove an elusive goal reveals some of the limitations of a strictly philological method, while pointing toward the potential of an enhanced treatment of sources. On the one hand, alternative versions or variants may entail an approach extending beyond a singular text of a work. On the other hand, aspects of the creative process may become accessible through study of sketches and preliminary drafts, so that our view of sources extends in the direction of origins.

A well-known study by Georg Feder, *Music Philology*, sets out the emphatic postulate that "for the purposes of philology it only matters that the work exists in *written* form!" (Feder

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2011, 13). Feder readily allows that such a written record may be partial, ambiguous, or of questionable quality. He finds that

> it is of no importance whether the work is anonymous or attributed to an author, whether its style is appropriate for the genre or quite individual, whether the work is affected by aesthetic or functional purposes, whether it exists in one or several versions, in score or in parts, whether it is written down in a notation of tones or fingerings (as in certain tablatures), whether the work wholly belongs to its author or was co-composed, so to speak, by tradition, whether the work is better known in an unauthorized arrangement than in the original version, whether or not it includes improvised portions, whether it could be performed completely or in a selection or several movements, whether it vanished from or remained in the repertoire after its premiere, and whether aesthetic criticism classifies it as an art work or as an inferior work.
>
> (Feder 2011, 13)

Such treatment of written sources without regard to aesthetic context and artistic quality —in short, a methodology that remains indifferent to matters of artistic *content*—is decidedly problematic in the case of music, in which the written notation needs to be heard to be grasped. A musical score is not self-sufficient. Among those assumptions of music philology that have stimulated debate is the notion of final authorial intent endorsed by Feder, which has been rejected by some scholars who prefer to regard artworks in a social context. For instance, James Grier, following Jerome J. McGann (1983), writes that the editor should not "consider only the artistic wishes, or intentions, of the author in establishing the text" since "the act of communicating the work to an audience is a fully integrated part of the creative process," and therefore the "social, cultural, political and economic [context] impinges on the final form and meaning of the work" (Grier 1996, 16). In music philology as well as historical musicology and music theory, attempts to seek a balanced, integrated focus can be undermined by the development of subdisciplines and the intense cultivation of systematic methodologies in circumscribed areas of study. Examples of these problematic systematic methodologies will be given in what follows. An evaluation of this field entails review of scholarly and ideological currents that reach back to earlier eras.[1]

In 1985, Joseph Kerman remarked that "critical thought in music lags conceptually far behind that in the other arts" and that "nearly all musical thinkers travel at a respectful distance behind the latest chariots (or bandwagons) of intellectual life in general" (Kerman 1985, 17; see also Gerhard 2000). Kerman's observation continues to hold some validity, although within the increasingly fragmented professional landscape in music, a proliferation of chariots bearing various banners has emerged. The more integrated field envisioned by Guido Adler and others in earlier times has split into a colorful array of discrete subdisciplines, with weakened connections between what have become largely autonomous areas of activity.[2] In the "musicology" entry of the 2001 edition of *The New Grove Dictionary of Music and Musicians*, eleven largely autonomous divisions were de-

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scribed, many of which contain further subdivisions. These include textual scholarship and archival research alongside historical method, theoretical and analytical method, aesthetics and criticism, sociomusicology, performing practice, and various other subdisciplines. An integrated approach to the creative process in music clearly needs to draw upon multiple areas of study, without submitting to the specialization that sets them apart from one another.

Shortcomings arising from such fragmentation were discerned in the 2003 study *Decentering Music: A Critique of Contemporary Musical Research* by Kevin Korsyn, who employed a "Tower of Babel" metaphor in assessing scholarly debates. The Hebrew word *balal,* from which the English term "babel" is derived, means "to confuse" or "to jumble." Korsyn described a factionalization of music scholarship and struggle among factions to compete for cultural authority, while pointing to a lack of critical engagement within these subdisciplines (Korsyn 2003, 15). He perceived a "professional tendency toward uniformity" sometimes suggestive of an Orwellian "Ministry of Truth," whereby the splintering into discrete subdisciplines has effectively decentered the research environment in favor of an "ideology of the abstract" (Korsyn 2003, 24–25). Korsyn convincingly related these problems in music scholarship to broader trends in the humanities that were widely perceived by the threshold of the twenty-first century.

A response to such fragmentation or "decentering" of music scholarship is reflected in the title of the present chapter. In retrospect, we can recognize how the process of decentering had already gained ground by the 1980s. One landmark in this development was a much-discussed article by one of Kerman's doctoral students, Douglas Johnson, who regarded the study of Beethoven's sketches and manuscripts as proving fruitful only within the sphere of biography, and not for aesthetic analysis of the finished compositions (Johnson 1978; 1979, 277). A few years later, Allen Forte echoed Johnson's claim and called for a complete and utter separation between musicology and the then newly founded field of music theory (Forte 1986, 335). Both the claim and the call raise urgent questions and beg the question of motivation.[3] Why would trained scholars wish to separate themselves from any source of knowledge that could be beneficial? Did they feel that the cultural knowledge of musicology would somehow dilute, weaken, or otherwise relativize the purported objectivity of their analytical methods and findings? Did the members of the relatively young discipline of American music theory feel threatened or intimidated by the old order? Why would a scholar so skilled in source studies as Johnson have been inclined to confine the productive value of such research to biography, when it clearly pertained to the evolving materials of works of art?

Around the time Johnson's essay appeared, an integrated contextual approach emerged in French literary studies, an orientation that offers a model for healing disciplinary wounds inflicted by the arbitrary severing of topics that properly belong together in the same body of knowledge. This approach, which is known in French-speaking areas as *critique génétique* (genetic criticism) or *génétique textuelle* (evolutionary text study), relates not to the field of genetics but to the genesis of cultural works, as regarded in a broad and inclusive manner (see Grésillon 2008). For scholars of *critique génétique*, the stages

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and methods of text production are a world in itself, to be explored both systematically (all available evidence may be subjected to interpretation) and critically (researchers define their own themes of inquiry throughout the multiplicity of traces of the writing process, and find their path amid the web of linguistic utterances that they discern "behind" the published text as it usually known to the general public). Although the term "genetic criticism" is not so widely used outside of France, and is still relatively unfamiliar in American music scholarship, this approach is compatible with studies of the creative process that have been pursued elsewhere. Such creative process studies represent a promising alternative to narrowly focused methods of analysis, which concentrate in a restricted way on the structure of the final text of an artwork. At the same time, both genetic criticism and some more recent sketch studies have critiqued and reframed older traditional approaches of music philology.

In his seminal 1979 essay "Genetic Criticism: Origins and Perspectives," Louis Hay regarded genetic criticism as a "new field of research" and wrote, "Of all the fairy godmothers present at the birth of genetic studies, no doubt the most powerful is the one we shall encounter at every turn, the spirit of paradox" (Hay 2004, 18). The capacity to embrace paradox helps explain the promising renewing potential of creative process studies. Elsewhere in his article, Hay observed that "today, in a whole series of domains, genetic analysis allows us to glimpse a transcendence of the contradictions that have sometimes divided modern criticism" (22).

What is involved in such a "transcendence of contradictions"? In their introductory essay to the 2004 volume *Genetic Criticism: Texts and Avant-Textes*, Daniel Ferrer and Michael Groden describe genetic criticism as "a form of criticism of its own," which explores many dimensions of meaning while also focusing on original documents such as sketches and drafts as well as other primary sources. Ferrer and Groden describe genetic criticism as "ever ready to accommodate the agency of sociological forces or psychoanalytic drives into its accounts" while finding that "it grows out of a structuralist or poststructuralist notion of 'text' as an infinite play of signs, but it accepts a teleological model of textuality and constantly confronts the question of authorship" (Ferrer and Groden 2004, 2).[4]

How can this capacity to bridge contradictions or embrace paradox prove valuable in music research? In a broader disciplinary context, we can recognize a congruence between genetic criticism as a "form of criticism" and Joseph Kerman's advocacy of "critical thought" or "criticism" as an integrative alternative to restrictive positivist methodologies. Creative process and genetic studies stand in contrast to both traditional philology and structuralist musical analysis, whereby a formalist focus on the text itself discourages probing of the creative process lest this involve entanglement with the so-called intentional fallacy.[5] Although the turn away from such formalist thinking in literary studies occurred long ago, its lingering influence has been felt far longer in music analysis, in which the cultivation of systematic methodologies exerted more appeal.

The rootedness in historical context of creative process studies raises urgent issues for contemporary humanistic scholarship in a postmodern age. As Almuth Grésillon has ob-

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served, "The discourse of genetic criticism is distinguished by many metaphors, and more specifically by two groups of metaphors: those borrowed from organicism and those borrowed from constructivism" (Grésillon 1997, 107–108). These metaphors are broadly associated with cognitive complexity and a contextualist worldview, on the one hand, and with cognitive simplicity and an objectivist/formalistic worldview, on the other. Study of the creative process typically exposes the interplay of these aspects. Tensions or contradictions can arise between a striving toward organic wholeness and continuity, on one hand, and a process of shaping and construction involving models and preexisting material, on the other.

That the appearance of a finished work can stand in an intriguing tensional relation to the process of its genesis is illustrated by the outset of *Das Rheingold*, the opening drama of Richard Wagner's cycle *Der Ring des Nibelungen.* The aesthetic effect suggests creation ex nihilo, yet the rapport of sound with silence that inspires this beginning on a low E-flat pedal point is something quite different from a mere void or blank space. The music built upon the low E-flat occupies the listener for many minutes, gradually achieving density and momentum before any change of harmony occurs. In his analysis of this "orchestral metaphor for the creation of the world," Warren Darcy has described how Wagner "produced the effect of moving gradually from timelessness into measured time, from amorphous sounds toward distinct musical shapes," until finally the orchestral music leads to the vocal entrance of the first Rhine daughter, Woglinde. Darcy concludes that in this immense musical unfolding of the prelude "Wagner has given us the ultimate demonstration of musical organicism: from a single musical pitch (the initial low E♭) he has gradually created life itself" (Darcy 1993, 77).

In his genetic study of *Das Rheingold*, Darcy was able to demonstrate an interpenetration of metaphorical organicism and self-conscious calculation, a configuration corresponding to Grésillon's distinction between organicism and constructivism. After composing the *Rheingold* prelude, Wagner retrospectively related a "complete vision" that he allegedly experienced at La Spezia, Italy, whereby he sank into a somnolent state, as if sinking in water, "whose rushing soon represented itself … as the musical sound of the E♭ major chord" (Darcy 1993, 62–63). There is good reason to doubt the full veracity of Wagner's account, particularly since the composer did on some other occasions devise striking but inaccurate myths about his creativity. In this instance, the "La Spezia vision" cannot be dismissed altogether, but we can recognize that it is misleadingly incomplete. For as Darcy shows, the manuscript sources for *Das Rheingold* reveal that Wagner did not devise the music of the prelude all at once in a "complete vision," as he later claimed. Instead, he constructed it in stages, drawing on its correspondences to later passages of the cycle, including the Erda scene later in *Rheingold* and the Norns scene at the beginning of *Siegfried's Tod* (the early version of what became the final drama of the *Ring* cycle, *Götterdämmerung*).

Scholars who ignore primary sources easily find themselves at the mercy of tantalizing but untrustworthy metaphors, such as Wagner's "La Spezia vision." Genetic criticism assumes value in this respect, anchoring research in the objective evidence of sources and

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manuscripts while insisting on the need for analytical and aesthetic interpretation. The unfortunate segregation of subdisciplines advocated by Johnson or Forte would thereby be addressed. As we have seen, those attitudes themselves reflected a widening institutional gulf between the subdisciplines of music research, specifically between sketch studies and analysis. In this context, to cite Hay’s words, genetic analysis could enable us to “glimpse a transcendence of the contradictions that have sometimes divided modern criticism,” though the fulfillment of this promise is another matter.

Principles of Genetic Criticism in Music

Music is an art of hearing, and some challenges of creative process studies of musical works stem from this sometimes forgotten fact about the investigation of written sources whose aesthetic meaning is bound up with a sounding realization. Certain approaches to composition may depart from this orientation in favor of a resolutely schematic or mathematical approach, but with most music, the printed notation stands at a certain remove from realization of its full aesthetic meaning. Unlike a painting, a musical score points toward and enables but does not yet embody the work in question.

Another term with wide application to musical genesis is “sketch studies,” as employed in the recent study *Music Sketches* by Friedemann Sallis (2015).[6] This term is of older vintage, and served as the title of an article by Kerman (1982). It is often used to designate the broad range of archival evidence from the creative process that is studied by researchers. Characteristically, Kerman appealed to the potential value of such sources as a platform for critical investigation. Kerman also perceived a tensional paradox in the relation of sketch studies to biography and analysis, and identified its background in the work of the nineteenth-century pioneer of Beethoven manuscript studies: Gustav Nottebohm. As Kerman put it, “The paradox goes back to Nottebohm, who explicitly disclaimed the value of sketches for elucidating what *he* called the ‘organic’ power or ‘demon’ of Beethoven’s genius: the same Nottebohm who published those ‘Eroica’ drafts which have fascinated musicians of all stripes for over a century” (Kerman 1982, 177).

In the present chapter, the discussion of core concepts is pursued independently of specific terminology, guided instead by the need to integrate two aspects that too often remain disconnected, in part due to the institutional compartmentalization of scholarship: the source-based study of written records, on the one hand, and the aesthetic analysis of their meaning and implications, on the other.

The desirability of such integration should be intuitively clear. Documents pertaining to musical genesis cannot be understood only historically, without recourse to their artistic content, which stands for and points toward a sounding realization. Conversely, theoretical approaches to music may be ill-suited to elucidate the creative process unless they remain open and transparent to the documentary evidence. A risk in analysis is overdetermination; a problem in archival studies lies in insufficient interpretation, as mere description of sources substitutes for insight into their meaning.

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Our age is awash in materials related to genetic criticism and the shaping of cultural products of many kinds. Unused film footage is offered to enhance the repackaging of successful movies. "Up-close and personal" interviews with performers endeavor to make the viewer or listener feel closer to the artistic process in action. In the visual arts and in literature, the importance of models, preliminary sketches and studies, and refurbishment has long been a familiar topic. The concepts and processes of literary and theatrical adaptation offer revealing perspectives on artistic production.

If by comparison music scholarship has "lagged behind," in Kerman's words, this has to do in part with the specific nature of Western music notation in conjunction with the indirect conveyance of its aesthetic meanings as sound. Since the nineteenth century, additional factors have conspired to inhibit studies of the creative process in music. The Romantic emphasis on originality and the cult of genius played a role, seeming to endow the musical masterpiece with an ineffable aura. In this context, some composers covered their tracks and suppressed their sources, while others shuddered over the disparity they perceived between the ideal and the real. Robert Schumann viewed this gulf with trepidation, finding that "it is dangerous to explore the source of the fantasy of the musician" and suggesting that "we would experience terrible things, if we could examine all works to the core of their genesis" (Appel 2010, 95).

Scholars investigating the creative process need not share this trepidation. The uneasy tension between inspiration and calculation—between organicism and constructivism—belongs to that "spirit of paradox" cited by Hay, and the elucidation of this spirit is a worthwhile task of research. How does this approach depart from traditional philology and established techniques of musical analysis? What research methods are most likely to bridge the gap, enabling a "transcendence of the contradictions that have sometimes divided modern criticism"?

A key aspect of genetic studies is investigation of the way an artistic work comes into existence. While not disregarding the final text, genetic criticism sees it as the outcome of a process that is not simply linear but involves successive phases, variants and detours, or adaptation or negation of preexisting models. A piece of literature, or music, cannot be reduced to the noting down of ideas that would exist in the author's mind or papers prior to the very act of writing. The production of the text is performed in a particular time and space, under material and social conditions, affected by chance and opportunity as well as design and preparation, of which a variety of documents bear traces. This inquiry into the process of genesis, as opposed to a focus on a definitive final text, entails a critical gathering of *avant-textes* or pre-texts: materials such as sketches, drafts, manuscripts, and similar sources. The collection of such materials, or *dossier génétique*, is the platform that sustains such research, supporting investigation of the creative process. Any evidence that nurtures the critic's interpretation of the writing process may be part of the *dossier génétique*, including a variety of sources such as the writer's correspondence, their own library (including their annotations on books), the journals and newspapers that

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they used to read, or documents from the other facets of their activity (especially for those authors who were involved in several distinct artistic or professional areas).

An emphasis falls thereby on the making of an artwork as an activity and a dynamic process, a perspective that can unsettle assumptions about the text as a fixed object. Genetic criticism suspends the preeminence of the published text and treats equally all the sketches and documents that preceded it. The potential of such study can be realized only if this work is undertaken in a broadened interpretative field that goes beyond traditional philology in its quest for meaning. Through the approach of genetic criticism or creative process studies, the artwork is regarded not as a closed entity but as a cultural deed, some of whose traces of lived experience may still be retrieved (see in this regard Gumbrecht 2003, 84).

Two Reductionistic Approaches: *Urtext* Editions and Schenkerian Analysis

The goals and practice of genetic criticism depart from some well-established practices of music philology and the making of editions. Feder observes that editions following the *Urtext* model have "much reduced critical commentary" and that "often this designation 'Urtext' describes more a goal than a reality" (Feder 2011, 154–155).[7] An *Urtext* is an original or earliest version of a text, but as Feder admits, the quest for a musical *Urtext* may prove elusive. Study of the creative process offers an alternative to influential but reductionistic tendencies of music philology. An approach based on creative process study questions the ideology of the *Urtext* and the notion of artistic autonomy, whereby a musical masterpiece is regarded as having a highly determined character toward which responsible performers and listeners might appropriately display an attitude of distanced reverence in the spirit of *Werktreue*, or "faithfulness to the work." *Urtext* editions arose after World War II in response to the need for musical texts free from generous editorial additions, which in many cases could not be clearly distinguished from the composer's original notation. Another factor in this development was the widespread availability of recorded music. In earlier times, distinguished performers incorporated their performance recommendations into editions, since they had no means of preserving their interpretations in recordings. By the mid-twentieth century, expectations moved toward a new objectivity in the making of editions, a shift toward the so-called original text, or *Urtext*.

Despite the undeniable positive value of such editions, two drawbacks emerged. The first problem is neatly encapsulated in the question "Wie viel 'ur' ist es?" or "How very 'original' is it?," a quip that plays on the commonplace question in German "Wie viel Uhr ist es?" ("What time is it?"). The point is that a *singular* original text, or *Urtext*, is often an elusive goal. Some composers, such as Chopin or Liszt, frequently revised or elaborated their pieces in performances or in teaching, so a *Fassung letzter Hand* or definitive final version may not exist. Some genres, particularly operatic ones, do not lend themselves

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well to the notion of a singular *Urtext* because practical performance conditions so often required changes and revisions.

A more serious problem lies in the misconception that adequate performance is secured by faithful rendering of an *Urtext*. It is known that numerous stylistic traits and nuances in musical performance remain unspecified in many written scores or printed editions. Nevertheless, the simplification of the task involved in performing the basic text exerted appeal, and could even seem to carry the implication of a regulative function, such that performance inflections that went beyond the *Urtext* were regarded as superfluous and misguided. Devout obedience to the *Urtext* principle could thereby easily become a negative inhibiting factor in performance.

Related to a preoccupation with *Urtext* values is the notion that scholarly editing would be limited to the task of securing an unobjectionable musical text. Philology, regarded as the study of written records, is an indispensable starting point but not the endpoint for the investigation of genetic processes in music. What if the outcome of source research is not to validate a singular text but instead to reveal legitimate alternative versions, or otherwise draw attention to the many compositional choices and aesthetic quandaries embedded in the artistic process?

With investigations of documents such as sketchbooks, drafts, and revised autograph scores, it soon becomes clear that intriguing issues arise as we open the door to the composer's workshop. Since these sources concern the evolving materials of the artwork, their interpretation requires aesthetic judgment within a historical and stylistic context. This brings us to the methodologies of analysis: the ways in which we can best grasp the aesthetic goals that motivated composers.

The reductionistic tendencies that have characterized some scholarly editing have surfaced as well in the practice of music analysis. Allen Forte's pursuit of systematic analysis of autonomous works in a contextual vacuum is in general terms comparable to the restricted view of editors focused on the sometimes elusive *Urtext*. Both approaches tend to eschew interpretative complexities, pursuing a quasi-scientific objectivity while thereby reducing the scope of the inquiry (Schuijer 2008).

Influential models for such developments in music analysis arose during the post–World War I era. Especially important in this regard was the Viennese music theorist Heinrich Schenker. Although he often consulted original manuscript sources in earlier phases of his career, Schenker found his interest in musical genesis waning as his graphic analytic method became more elaborate. Schenker's aesthetic orientation was organicist, but his graphic method—in which philological assumptions are embedded—was key to his strong impact from the post–World War II era until the present.[8] The reception of Schenker's work has involved a methodological reduction, as Kevin C. Karnes has observed: "It is now widely recognized … that the systematized variety of Schenkerian analysis widely promulgated in North American universities bears little resemblance to the conflicted bulk of what Schenker actually published" (Karnes 2008, 194).

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Forte adapted Schenker's graphic method to a starkly objectivist approach, whereby, as Kerman observed, valuational or affective references were excluded, as Forte strove "to achieve the objective status and hence the authority of scientific inquiry" (Kerman 1994, 14). Kerman was referring here particularly to Forte's book on Beethoven's Piano Sonata op. 109, entitled *The Compositional Matrix*, in which selected sketches by the composer were cited in relation to a linear analysis of the finished work (Forte 1961). The treatment of manuscripts in Forte's study is often arbitrary, as sketches are lifted out of context to support analytical points.[9] The thrust of the endeavor was not to explore Beethoven's creative process as such but to confirm a preordained theoretical framework. Consequently, it is doubtful to what extent this "compositional matrix" relates to Beethoven's creative process.

A systematic theorist of a very different stripe was Alfred Lorenz, who devoted himself to formal analyses of Wagner's later music dramas, from the *Ring* to *Parsifal.* Lorenz was determined to solve what he described as *das Geheimnis der Form* in Wagner's work. He sought to identify this "secret of form" as an unbroken sequence of symmetrical forms, which were analyzed in schematic diagrams of a different kind than in Schenker's work. Lorenz's four analytical volumes devoted to Wagner appeared between 1924 and 1933. That Lorenz's influence was strongest in German-speaking Europe and Schenker's influence strongest in America had to do with Lorenz's National Socialist convictions and Schenker's Jewish background. Despite these crucial differences, the work of both scholars reflected a systematic trend in music theory that became conspicuous by the middle decades of the twentieth century.

The approach of creative process studies or genetic criticism productively inverts the priorities of systematic theory by focusing on the meaningful results rather than the methodology of analysis. This reflects a complementary relation between analytic commentary and study of the original sources. If study of historical evidence guides the research, it remains insufficient without insight into the artistic context of the evolving musical ideas. Conversely, a theoretical analysis without a grounded context easily becomes impoverished because of being abstract and overdetermined. The following sections of this chapter assess aesthetic and methodological aspects of this integrative approach, focusing on music of several European composers whose creative legacies are well documented, and especially Beethoven, but the implications of these findings have a wide range of application.

Creative Process and the Work Concept

The age after the French Revolution has been described as an era of the "strong work concept," involving "an inviolable musical text, whose meaning needed to be deciphered with exegetical interpretations" rather than as "a mere recipe for performance" (Sallis 2015, 20). M. H. Abrams noted an associated change of metaphors of the mind from mirror to lamp (Abrams 1953). A "strong concept of art" linked particularly to Beethoven has tended to regard musical texts as harboring meanings not entirely conveyed in any single

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performance, and hence as embodying an artistic autonomy freed from influences and *avant-textes.*

Understood broadly, this development has had far-reaching aspects, including the introduction of copyright provisions in the nineteenth century and intellectual property legislation in the later twentieth century. Problematic, however, is the imposition of this notion on historical events. It has been proposed that the "work concept" is key to the historical emergence of a "musical museum" of canonic compositions. Lydia Goehr argued for the primacy of the work concept beginning around 1800, regarding Beethoven as representative of a deep separation between improvisation and composition proper, a development bound up with the emergence of a dominant canon of musical works (Goehr 1992). According to this view, music was embodied in a performance aesthetic until roughly the end of the eighteenth century, when the work concept arose as a regulative concept of musical practice.

During this period, works of Mozart and Beethoven were integrated into a continuing repertoire, and along with compositions by Bach, Handel, and many others, this legacy has largely endured. The praise from commentators of such "museum pieces" as exemplary artistic deeds reflects an embrace of an idealized work concept, but these pieces arose from historical conditions, and a severing from context can be purchased only at the cost of truth. Consider, for example, the most familiar operas of Mozart. Mozart's *Entführung aus dem Serail* (*The Abduction from the Seraglio*) of 1782 involves the resourceful adaptation of an operetta text from a year earlier by Christoph Friedrich Bretzner to *Belmont und Konstanze*, which was set to music by Johann André. Bretzner's irritation over the reuse might have had consequences in the later copyright era.[10] During the compositional process, the further Mozart and his librettist Gottlieb Stephanie got with their project, the more they departed from their model, the preexisting *Belmont und Konstanze* text by Bretzner, yet the opening sections already show decisive departures even when the text remains unchanged (Bauman 1987; Melamed 2005). An awareness of this model does not diminish but vividly enhances our appreciation of Mozart's achievement. The minor-mode evocation within the overture of Belmonte's "Hier soll ich dich denn sehen" stands out, as do Belmonte's vain attempts to interrupt Osmin's song, "Wer ein Liebchen hat gefunden," let alone the breathtaking musical development of Osmin's character with its use of Turkish music, the searching depth of Konstanze's "Traurigkeit ward mir zum Lose," and the addition of a big, showstopping virtuoso aria such as her "Martern aller Arten."

Mozart's *Don Giovanni*, which replaced the multiplicity of earlier operas on the Don Juan theme by an enduring single example, has been hailed as "a work without blemish, of uninterrupted perfection," as the highest of "all classic works," yet it was completed in haste and exists in two versions. Theodor W. Adorno found Mozart's *Zauberflöte* no less unique: "*The Magic Flute*, in which the utopia of the Enlightenment and the pleasure of a light opera comic song precisely coincide, is a moment by itself. After *The Magic Flute* it was never again possible to force serious and light music together" (Adorno 1982, 273). Such enshrining of masterpieces does not always promote better understanding of their

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nature and significance. To what extent can any individual cultural product stand outside history—as a “moment by itself,” as Adorno states?

A weakness of Goehr’s discernment of a “regulative work-concept” lies in her underestimating the role of improvisation and spontaneous invention for Beethoven. Like Mozart, Beethoven was a brilliant improviser. To oppose extemporization to composition proper misrepresents his creative process by ignoring the interdependence of freedom and determination in the stylistic context in which Beethoven worked (Hatten 2009; Kinderman 2009a, 308). Another problem is that in early nineteenth-century aesthetics, as in E. T. A. Hoffmann, discussions of the autonomy of music did not imply abstraction.[11] Only decades later, in Wagner’s polemical writings, did this notion arise, whereby “absolute” music is characterized as “detached” music and as merely abstract (Dahlhaus 1989, 19–20). Other questions concern the empirical accuracy of this interpretation: Reinhard Strohm finds Goehr’s argument marred by tendencies toward “conceptual imperialism” and by “exaggerated and oversimplified descriptions of musical practices in both the eighteenth and nineteenth centuries” (Strohm 2000, 128–152; quotations on 146).

Such general terms as “absolute” or “autonomous” music, *Urtext* or *Werktreue*, risk becoming conceptual shortcuts or anachronistic labels, entailing a loss of meaning. A musical work is not an abstract entity but an experience in sound and time. As with any creative act, the product cannot be fully envisaged in advance but represents an imaginative synthesis consisting of elements that are intimately known. The unity or integration of a musical work is best understood not as a tautological concept or even as an organic whole but rather as a totality of concrete elements and relationships that demands realization in sound. What is meant is a unity that is compatible with tension, contrast, diversity, and the individuality of a work. Our apprehension of unity or integration is dependent on our internal sound image, or *Klangvorstellung*, of the music. Without this key ingredient, analysis is empty and criticism blind. Where the genesis and structure of a work intersect, each dependent on the other, is lodged the mysterious phenomenon of the creative process—the ultimate subject of investigation.

An integrated approach can help in assessing ambiguous or enigmatic situations pertaining to artistic works. In some cases, even the way music is published can prove misleading, as with Franz Schubert’s settings of six poems by Heinrich Heine from 1828, the last year of the composer’s life. Schubert did not live to oversee the publication, but we know from a letter of his intention to issue these *Lieder* as a group.[12] These songs became known instead through their publication at the end of the so-called *Schwanengesang* (*Swan Song*), D. 957, a collection of Schubert’s last songs issued by Tobias Haslinger in 1829. In Schubert’s autograph manuscript that served as Haslinger’s source, seven settings of texts by Ludwig Rellstab precede the six settings of texts by Heine. For his publication, Haslinger added another unrelated song based on a poem by Johann Gabriel Seidl, “Der Taubenpost,” a decision apparently motivated by the publisher’s desire to cap the collection with a lighter, more optimistic song than the harrowing “Der Doppelgänger,” the last Heine setting found in the original manuscript.[13]

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Can we discern a narrative relationship linking these six songs, which Schubert intended to publish as a group? As they stand in Schubert's manuscript, this question must be answered in the negative. The powerful mythic evocation of "Der Atlas" is oddly placed as the first song; more puzzling still is "Das Fischermädchen," which is strangely isolated as the third song. In their published order, which is how these *Lieder* are still almost invariably performed and recorded, these Heine settings appear to be individual songs only loosely connected to one another.

Yet the contextual approach of genetic criticism offers a suggestive basis for explanatory interpretation. On the one hand, comparison of Schubert's poetic source—Heine's poetic cycle *Die Heimkehr* from his *Buch der Lieder*—with the song settings suggest a possible revision in the order of the six *Lieder.* On the other hand, examination of musical affinities between the first of these songs and a parallel project from 1828—Schubert's Piano Sonata in C Minor, D. 958—sheds a revealing light on the otherwise puzzling order in which the songs were written down in the manuscript (Kinderman 2009b, 2016).

Through its conflation of these songs with other unrelated *Lieder* and its failure to address the problematic order in the original manuscript, Haslinger's edition *concealed* the artistic coherence of these six remarkable songs. A reconstruction of sources and analysis of musical relationships can thereby enhance insight, overturning accidents of history. Yet the momentum of habit is strong: even today, few performances and recordings present this concise cycle of remarkable songs in a way that does them full justice. Strong indications support the revised order of these songs, but any such reconstruction remains an empirical undertaking, whereby a cautious weighing of evidence is important.

The approach of creative process studies thereby acknowledges the fluid boundaries of artistic genesis, in this instance supporting a *productive deconstruction* and reconfiguration of a work concept, whose deceptively familiar but problematic form had taken authority in turn from the composer's own manuscript. Let us now return in more detail to the legacy of the most influential figure of the nineteenth century, Beethoven—who has been declared a champion of the work concept, as we have seen.

Autonomy or Intertextuality? Interconnected Movements and Works by Beethoven

"I dare not come without my banner": Beethoven's characteristic comment when asked about his conspicuous use of written sketches provokes reflection. The comment is a quotation alluding to Friedrich Schiller's 1801 play on Joan of Arc, *Die Jungfrau von Orléans*, and Beethoven made the comment in response to a question: why the composer often carried music paper with him in order to capture and refine musical ideas spontaneously.[14] Of course, Joan of Arc was a person whose mission transcended the individual: her calling had urgent political and theological implications.

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Abundant evidence suggests that even if Beethoven's quip about carrying the "banner" was laced with comic irony, he indeed regarded his own creative artistic project as bound up with a progressive cultural mission. Despite his rather chaotic lifestyle and frequent changes of address, Beethoven preserved his musical sketches carefully and left many thousands of pages of these documents at his death in 1827. Although a proper overview of the Beethoven sketchbooks, loose sketchleaves, and corrected autographs was long in coming, and the difficulty of transcribing and analyzing the material can prove formidable, we have now reached a new threshold in accessing and understanding these documents, one that provides a fresh platform for assessment of Beethoven's creativity. In this context, let us examine an aspect of Beethoven's working method that is relevant to the topic at hand: the strong work concept, with its implication of artistic autonomy. How autonomous are Beethoven's individual compositions? To what extent do they display interconnections to his other pieces?

A conspicuous feature of Beethoven's shaping of multimovement works from early in his career consisted in the ways he connected the successive movements to one another, establishing narrative threads that weakened the autonomy of individual movements while promoting the unity of the whole. One example among many is the so-called Moonlight Sonata in C-sharp Minor, op. 27 no. 2, from 1801. A central idea of this sonata concerns the transformation of the gently ascending arpeggios of the *Adagio sostenuto* in the *Presto agitato* finale, where surging arpeggios lead to emphatic syncopated chords in the highest register, supported by a descending bass progression similar to that at the beginning of the first movement. Twenty-five years later, in his String Quartet op. 131 in the same key, Beethoven returned to this conception of a series of interconnected movements leading, in the finale, to a fully developed sonata form; and in op. 131, as in op. 27 no. 2, the clear return of thematic material from the opening movement helps to confirm the role of the finale as a culmination to the entire work.

In a remarkable example documented in his sketches for the scherzo of the *Eroica* symphony, Beethoven identified the closing repeated D♭-D-E♭ motive as "eine fremde [Stimme]" ("a strange [or distant] [voice]"). This rising figure resolves the dissonant falling motive E♭-D-C♯ from the outset of the *first* movement, thereby stabilizing or "healing" the dissonance and symbolically confirming the presence of Prometheus in a way analogous to Beethoven's ballet music for *The Creatures of Prometheus*, an important precursor to the symphony.[15]

Beethoven's reuse of thematic material between compositions is striking and important. From the beginning of his time in Vienna (starting in 1792), for instance, he occasionally drew upon the works from his youth in Bonn. A spectacular instance came to light several decades after his death, when the score of his single weightiest composition from the Bonn period surfaced: the *Cantata on the Death of Joseph II*, WoO 87, from 1790. The piece was never published or performed during Beethoven's lifetime, but a possible reason for this omission became clear when the cantata came to light in 1884: two of the most striking passages from Beethoven's opera *Fidelio* involve reuse of themes from the youthful cantata! These include the "death" topos heard at the beginning of the last act,

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in the dungeon, and the aspiring *Humanitätsmelodie* featuring the oboe that embodies the striving of the liberated community toward enlightenment. These parallels are conspicuous and may well have discouraged Beethoven from making his youthful composition known.

In other instances, however, Beethoven indulged in substantial and open reuse of ideas from one work to another. Certain compositions can even be grouped into families of related pieces, as with his cluster of pieces related to the Prometheus myth at the threshold to his so-called heroic period, or second creative period. Utilizing a preexisting contredanse, Beethoven used this subject as a symbolic theme associated with the apotheosis of Prometheus in his aforementioned ballet music, *The Creatures of Prometheus.* He then deconstructed the theme by writing variations on just its bass line, or *basso del tema*, as well as on the composite theme in his imposing Variations for Piano in E-flat Major, op. 35. This work in turn then became a springboard for the *Eroica* finale, the starting point of his creative process for that weighty symphony. Beethoven saw no need to differentiate the contredanse in these different contexts, or change its key of E-flat major.

Such artistic reuse can concern individual themes or extend to larger formal plans. Looking back at his Choral Fantasy, op. 80, from a distance of many years, Beethoven described that unusual piece as the forerunner for the choral finale of his Ninth Symphony, from 1824.[16] In other situations, he substituted movements within works after the pieces in question were complete or had already been performed. The “Kreutzer” Sonata, op. 47, took its origin from the recycling of a preexisting finale; with the “Waldstein” Sonata, op. 53, the *Andante favori*, WoO 57, the original middle movement, was replaced and published separately. Study of the sketchbooks has revealed various other situations whereby musical material was transferred from work to work, genre to genre. A case of a work’s double identity is illustrated by the great String Quartet in B-flat Major, op. 130, which can be performed either with its substitute finale or with the original finale, the *Grosse Fuge* (*Great Fugue*), op. 133.

Another intimate relation linking one major work to another connects the 33 Variations on a Waltz by Diabelli, op. 120, and the final Piano Sonata in C Minor, op. 111, whose closing movement is a set of variations on a theme itself linked to the Diabelli project. The coda of each work seems to quote the other. It is as if the variations on the arietta in op. 111 represented a kind of continuation from the gigantic, multifaceted world of the Diabelli Variations. The final sonata conveys an evocative sense of an open ending, as can be elucidated through analysis and as is even reflected by Thomas Mann’s fictional character Wendell Kretzschmar in *Doktor Faustus*, who spoke of an “end without any return,” at the end of the sonata. The complementary relation of these two artistic projects reflects the difference in genre: a diverse world of transformations of the waltz, on the one hand, and a more concentrated shaping of variations within the larger context of a sonata, on the other.

Study of the genesis of the Diabelli Variations has revealed many detailed insights concerning the individual variations, but no less significant are the implications of this inves-

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tigation for an understanding of the large-scale design of the finished work. Beethoven completed a preliminary draft for twenty-three variations in 1819; the remaining ten variations were inserted into this preexisting plan in 1823. Once this process is disclosed, we can better appreciate Beethoven's strategy for the overreaching design of this immense collection of variations, and its psychological logic. After inserted a series of parodistic variations that ironically critique Diabelli's "cobbler's patch" (Vars. 1, 15, 25), Beethoven built up the end of the work in unprecedented fashion, making allusions to other composers before crowning this colossal set of transformations with a self-allusion to his own last sonata, op. 111.[17]

During his last decade, Beethoven invested much labor in highly profiled individual compositions, yet his evolving work concepts became perhaps more interconnected than ever before. The first of the late quartets, the Quartet in E-flat Major, op. 127, was sketched in as many as six movements, in a way anticipating his later seven-movement Quartet in C-sharp Minor, op. 131. The penultimate movement of the following Quartet in A Minor, op. 132, was removed at the autograph stage and reassigned to the next Quartet in B-flat Major, op. 130. The voluminous sketches for the penultimate quartet, the work in C-sharp minor, op. 131, show that Beethoven envisioned an eighth movement (or coda to the seventh movement) in D-flat major employing a theme titled "sweet song of peace," a subject featuring conjunct motion outlining fourths in a manner reminiscent of the theme of the *Dona nobis pacem* in the *Missa solemnis* (Winter 1982, 183–184, 191, 202). Broken free from its original compositional context, that peaceful theme became the basis for the *Lento assai* of the final Quartet in F Major, op. 135.

Examination of Beethoven's autograph scores of his works reveals his tireless efforts to revise and improve the music, repeatedly required that manuscripts of movements be written out afresh, or that copies that had been intended for publication be substantially changed and revised. Beethoven sought to enrich his works at every stage, whereby his favorite dictum, "*ars longa, vita brevis*" ("art is long, life is short"), well applied to his own creative project. Especially in these later years, it must have seemed to him as if the act of completion of an artwork assumed a somewhat arbitrary character. The open aesthetic of Beethoven's late style seems implied as well by the astonishing understatement of his oft-cited comment from 1826 about the C-sharp Minor Quartet, as transmitted by Karl Holz, about it being "less lacking in fantasy than [his] earlier works."

What are the implications of these observations for analysis of Beethoven's works? Kevin Korsyn has drawn attention to Heinrich Schenker's efforts to construct "a theory of musical coherence that will not open pieces to the infinite intertextuality of the *déja entendu*," and he further observes that even when Schenker's analytical graphs reveal structural relations between movements of a work, he cannot acknowledge them, which "constitutes a remarkable blind spot in his work but one with its own logic" (Korsyn 2003, 99–100). In the context of existing studies of Beethoven's manuscripts and finished compositions, we can recognize that a fixation on artistic autonomy involves an unwarranted assumption. The quest for an elusive essence may very well belong to creative endeavor, but it should

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not be assumed in research that artistic autonomy is an intrinsic part of the object of investigation.

Beyond the Text: The Sonata in C Minor, Op. 111

Structural and aesthetic relations *between* movements of a work are vividly illustrated in Beethoven's final Sonata in C Minor, op. 111. Bearing on this issue are the extant manuscripts for the piece, which include a heavily revised autograph score for the first movement (Beethoven–Haus Bonn, BH 71) in addition to a subsequent autograph score of the complete work held in Berlin. An especially challenging passage for Beethoven to compose was the section in the first movement of the recapitulation that diverges from the exposition, with ten measures added at the point where the lyrical second theme connects to the turbulent closing passages of the recapitulation (mm. 122–131 of the finished work). In the exposition, this lyrical second theme appears in A-flat major, as the tempo slows through a *Ritardando* to *Adagio* (mm. 50–55). Then, at the upbeat to m. 56, the lyrical utterance is suddenly broken off by reassertion of the music in the faster tempo in minor, in a passage based on a diminished-seventh chord. In the recapitulation, by contrast, where Beethoven sought to make a *transition* between these radically contrasting musical ideas, his difficulties in finding a solution contributed to the need to write out a new score for the first movement.[18]

One aspect of this revised passage surfaces even in *Urtext* editions, since at the resumption of the *Allegro con brio ed appassionato* in m. 132 Beethoven was obliged to write an ossia, since he had reached the uppermost limit of most keyboards of the day.[19] His idea required a high E-flat at the outset of the *Tempo 1*, a pitch that was unavailable on most keyboards of that time but nevertheless included in the first print. However, the interest of this ten-measure compositional expansion goes far beyond the bare text of the work and is revealing of the musical meaning. A methodology that does not remain indifferent to artistic content is called for here.

In this passage—beginning with the juxtaposition of music in the two sharply contrasting tempi, first *Adagio* in C major but then resuming the *Allegro con brio ed appassionato* in minor—Beethoven blends elements from the two disparate expressive spheres. As the lyrical melody passes in octaves to the bass, motives of rising broken chords associated with the turbulent *Allegro* are played against it in the right hand. Then, in the long sequential ascending passage that follows, the turn figure associated with the lyrical idea is shifted upward, as a crescendo and acceleration in tempo forge a transition. The music reaches the *Tempo 1* at precisely the registral ceiling that transcended instruments of the day (m. 132). Unlike in the exposition, in which the lyrical utterance in the major key was abruptly negated by the resumption of the *Allegro*, a continuous narrative is achieved in this passage. Indeed, the increased strength and persistence of the lyrical material are surely connected to the movement's serene close, as threefold phrases assert plagal ca-

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dences in C major, providing a gateway to the ensuing movement in this key: the arietta with variations.

This perspective on the genesis of the sonata—revealing a key phase in its composition—is richly suggestive for analysis of the finished work, in a way not unlike our aforementioned example of the Diabelli Variations. In that instance, as we have seen, Beethoven inserted several parodistic variations into his preexisting draft of the work, tightening the relation between Diabelli's waltz and the gigantic cycle of transformations. In the genesis of the first movement of op. 111, Beethoven labored over the expansion of a passage in the recapitulation, which assumes a transitional function and bears a striking relation to the ensuing arietta movement. It is not necessary to draw upon a complete genetic edition or *dossier génétique* of this movement in order to gain insight that is of value to listeners and performers. In view of the density of musical content and shifts in tempo and character, musicians are likely to welcome perspectives that arise from an investigation of artistic genesis that goes beyond the basic musical text.

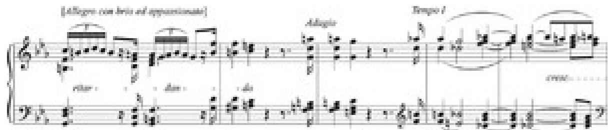

Figure 1: Beethoven, Sonata in C Minor, op. 111, first movement, mm. 119–123.

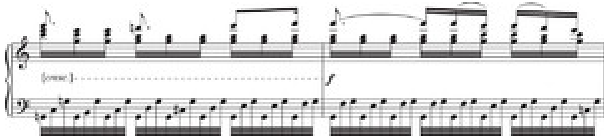

Figure 2: Beethoven, Sonata in C Minor, op. 111, second movement, mm. 157–158.

A character of foreshadowing is unmistakable at the beginning of the passage in question, as the music slows to *Adagio* (mm. 120–121) (Figure 1). For this is the tempo of the arietta movement: *Adagio molto semplice e cantabile.* The two chords of this *Adagio* segment—a major ninth chord resolving to a tonic C major chord in first inversion, with A moving to G in the uppermost voice—are of signal importance in the movement to come. This major ninth chord, with its rich dissonance of a melodic A sounding against G, F, and B, is heard at a crucial point in the recapitulatory fifth variation in a higher register (m. 158), which Jürgen Uhde has described as a "goal of the entire movement," adding that it offers long-range orientation to the performer like a "guiding lighthouse" (Uhde 1971, 613) (Figure 2). An extraordinary intensification of the A/G dyad ensues in the following coda, in which these pitches are sustained as an ethereal trill. There is little doubt about Beethoven's effort to foreshadow this sonority at the outset of the transitional passage in the first movement that we have discussed, a passage over which he labored perhaps more than any other, and whose expressive significance would merit closer attention. Yet

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few listeners and pianists give attention to this important link, while Schenker's methodological orientation has not encouraged analysts to prioritize such intermovement relations. Here once more, genetic investigation can provide a springboard for enhanced insight.

This example underscores the important relevance of studies of artistic genesis to the aesthetics of performance. The performance requirements of such music go much beyond the rendering of an *Urtext* to embrace many relationships between non-adjacent passages, engaging our memory and sensibility. We cannot impose limits on the ways in which research into sources and creative process may enrich awareness of aesthetic meaning, raising expectations and enhancing the artistic experience.

***

In conclusion, let us reflect on a metaphor that encapsulates the "spirit of paradox" while clarifying the challenge inherent in creative process studies. Works of art have been compared to icebergs: what is visible is a small part of the whole. In assessing the image of the iceberg in relation to genetic criticism, it is the smaller, visible part that represents the finished artwork and the larger, concealed part that potentially can be brought to light through research. As with an iceberg, both parts belong fused together, and are suitably so regarded from the perspective of genetic criticism or *critique génétique.*

In music research, the "spirit of paradox" entails an epistemological restraint to discourse, in order to avoid conceptual overdetermination while promoting aesthetic engagement. Systematic approaches to analysis risk succumbing to tautological circularity, whereas the concrete evidence of the compositional process points toward historically grounded and promising approaches. Studies of the creative process find their cutting edge by probing beyond the surface, opening new perspectives on the apparently familiar. Investigations of musical genesis require analytical interpretation, but the abstract, formalistic features of constructivism are in themselves not sufficient. The artwork may be viewed more productively as a "mediated product of its own genesis," removed from "the closure of the 'in-itself' and enriched with a new temporal dimension" (De Biasi 2004, 37)—De Biasi writes here about literature, but his formulation applies to music as well.

This brings us back full circle to the two groups of metaphors identified by Almuth Grésillon: those borrowed from constructivism as well as those borrowed from organicism. Organic metaphors are indispensable but not always trustworthy. The "complete vision" of the artist (in Wagner's words) may serve as a guiding idea, but the path toward that goal is often indirect and protracted, a fallible process of seeking likely to involve rejected versions and superseded attempts. Artworks do not arise or exist autonomously in isolation, lifted out of history. The path to enhanced understanding is contextual but also aesthetic, and thus requires a combination of approaches that are too often separated from one another.

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Our survey of examples has been selective, but it holds broader implications.[20] Beethoven has been seen as a champion of the work concept, but his music is less autonomous and more intertextual than is implied by this characterization. In this regard, the approach of genetic criticism is valuable and timely. An integration of historical and analytical approaches, of sketch studies and aesthetics, can indeed help heal disciplinary wounds inflicted by the severing of topics that belong together in the same body of knowledge, thereby aiding individual researchers impatient with fragmentation of their disciplines. A *recentering* of music would thereby be encouraged. Curbing the babel and proliferation of chariots might be worthwhile at a time when humanistic and artistic research urgently deserves more recognition and support.

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Notes:

(1) The present essay extends earlier efforts to place creative process studies in music into a larger disciplinary context (Kinderman and Jones 2009; Kinderman 2012a; Kinderman 2012b, 1–14).

(2) Adler himself contributed to the disciplinary compartmentalization of music research through his efforts to promote the scientific credentials of *Musikwissenschaft*, as in his essay "Umfang, Methode und Ziel der Musikwissenschaft" (Scope, method, and goal of musicology) from 1885; see in this regard Karnes 2008, esp. 3–17, 133–187. On the increasing lack of integration of current music research, see, among other sources, Laurenz Lütteken's foreword to his edited volume (Lütteken 2007), 10.

(3) See the discussion of this polarity by Friedemann Sallis (Sallis 2015), who devotes a chapter of his book *Music Sketches* to "dangerous liaisons: the evolving relationship between sketch studies and analysis" (161–176).

(4) A stimulating collection of essays probing related aesthetic issues and authorship in new music is Danuser and Kassel 2017.

(5) In a much-cited article from 1946, reprinted in revised form in Wimsatt and Beardsley 1954, 3–18, William Kurtz Wimsatt and Monroe C. Beardsley argued that authorial intent is irrelevant to understanding literary work.

(6) A panel discussion of this book from the conference "Tracking the Creative Process in Music" at IRCAM (Institut de Recherche et Coordination Acoustique/Musique) in Paris in October 2015 is accessible at http://medias.ircam.fr/x07e0e8.

(7) Regarding this familiar issue in literary textual criticism, James Thorpe warns, "The ideal of textual criticism is to present the text which the author intended. The knowledge that this ideal is unattainable in any final and complete and detailed sense can perhaps help us to avoid the pedantry of vainly trying to attain it by a glorification of method" (Thorpe 1972, 79).

(8) On this point, see Blasius 1996, especially the chapter "The Philological Paradigm," 70–85.

(9) Critique of Forte's study is offered in the commentary of my edition of the sketchbook in question (Kinderman 2003, 74, 77, 85, 87).

(10) Considerable misinformation has circulated concerning Bretzner's reaction, which appeared as a notice in the Berlin journal *Litteratur- und Theater-Zeitung*, dated April 27, 1783, and focused on the additions to his text made by Gottlieb Stephanie the Younger, not on Mozart's music (Bauman 1987, 106–107).

(11) Hoffmann elevates the expressive role of music as a medium conveying "unaussprechlich Sehnsucht" (unspeakable yearning). Nor should Hoffmann be regarded solely as a proponent of a canon of musical works as autonomous entities. As Abigail

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Chandler observes, Hoffmann also “fomented a critical methodology for the deconstruction of the musical ‘canon’” (Chandler 2006, 180).

(12) Schubert wrote this letter to his Leipzig publisher on October 2, 1828. In the same letter, he mentions the sonata trilogy.

(13) Schubert’s manuscripts and Haslinger’s publication are reproduced with commentary as Chusid 2000.

(14) This account stems from Ignaz von Seyfried, who reported that Beethoven “was never found on the street without a small note-book in which he was wont to record his passing ideas” (Thayer 2013, 95). Beethoven owned a volume of Schiller’s works containing *Die Jungfrau von Orléans*, a book now held at the Staatsbibliothek zu Berlin preussischer Kulturbesitz. Schiller’s play was first performed in Vienna in January 1802.

(15) See Lockwood and Gosman 2013, 1:39–40, where the word *fremde* is translated as “strange.” Beethoven does not write out the word *Stimme*, but it is implied by the context. For more detailed discussion of Promethean symbolism in the *Eroica*, see Kinderman 2009c, 93–106.

(16) Beethoven wrote in March 1824 about the choral finale as “a setting of the words of Schiller’s immortal ‘Lied an die Freude’ in the same way as my pianoforte fantasia with chorus, but on a far grander scale” (Beethoven 1961, L. 1269).

(17) For a detailed discussion, see Kinderman 1987, and the two-volume facsimile edition of the autograph score of the Diabelli Variations and related sources, with commentaries, that appeared as Appel and Ladenburger 2010.

(18) The passage in the recapitulation actually expands the progression from the exposition by eleven measures, since the resumption of the *Allegro con brio ed appassionato* incorporates an added measure where two different diminished-seventh chords are employed in mm. 132–133. A facsimile of this heavily revised page in Beethoven’s first autograph score BH 71 is accessible through the digital archives of the Bonn Beethoven-Haus and supplied in Kinderman 2015.

(19) Beethoven’s copyist entered a note in the autograph BH 71, p. 17, asking for guidance: “soll ich in die höhe schreiben [?]” (“Should I write so high [?]”).

(20) I have explored the potential of this approach to the music of composers including Schumann, Wagner, Mahler, Bartók, and Kurtág (Kinderman 2012b, 2013).

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