KLANGFARBENMELODIEN IN ANTON WEBERN'S SYMPHONY, OP. 21,
FIRST MOVEMENT: A LECTURE RECITAL, TOGETHER WITH THREE
RECITALS OF SELECTED WORKS OF: O. MESSIAEN,
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*Klangfarbenmelodien* is a term first mentioned by Schoenberg in his *Harmonielehre* (1911) in a discussion suggesting the idea of tone colors as a structural element equal to other musical components such as harmony, rhythm, pitch, and dynamics. The intent of this study is to investigate significant influences that led to Webern's adoption and application of *Klangfarben* techniques in the *Symphony, op. 21*, first movement. Webern's expression of *Klangfarbenmelodien* was his method of dispersing melodic lines and the manipulation of a wide gamut of varying tone colors.

A brief biography is included in the paper and Webern's professional career as a conductor is viewed and considered as to its affect on the creation of the *Symphony* with emphasis on his relationship with Schoenberg and the Society for Private Musical Performance.
The genesis of the *Symphony* and its early performance history is examined, as well as the structure of *op. 21* with specific examples of *Klangfarbenmelodien*. These techniques include the presentation of melodic lines in terms of octave register, timbre, dynamics, articulation, durations, rhythm, and instrumentation.
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CHAPTER I

INTRODUCTION

Klangfarbenmelodien is a term first mentioned by Schoenberg in his Harmonielehre (1911) in a discussion suggesting the idea of tone colors as a structural element equal to other musical components such as harmony, rhythm, pitch, and dynamics. The intent of this study is to investigate significant influences that led to Webern's adoption of Klangfarben techniques and particularly its application in the Symphony op. 21 first movement. Webern's expression of Klangfarbenmelodien was his method of dispersing linear melodic lines and manipulating a wide gamut of varying tone colors.

The opening chapter is a brief biography that illustrates those aspects of Webern's life and experiences that played a prominent role in the formation of his personal style and employment of Klangfarbenmelodien. Webern for most of his life made his living, not as a composer, but as a conductor of some international merit. Aspects of his professional career will be viewed and considered as to its affect on the creation of the Symphony. Special emphasis will be placed on his relationship with Schoenberg and
Webern's involvement with the Society for Private Musical Performance.

In another chapter, several of Webern's works that led up to the composition of op. 21 will be surveyed. In these works the evolution of his style will be followed, including the adoption of serial techniques, early Klangfarben applications, the exaggerated compression and brevity of his works, and distinctive melodic traits.

Throughout his life, Webern was influenced by his teacher Schoenberg. The extent of this influence is studied as well as other significant contributions to Webern's aesthetic views including Goethe's Farbenlehre and Urpflanze theory, artistic movements and societies (Der blaue Reiter group, for example), and Webern's great love of nature.

The genesis of the Symphony op. 21 and its early performance history is examined. And finally, the structure of op. 21 and specific examples of Klangfarbenmelodien are discussed. Klangfarben techniques analyzed include the presentation of melodic lines in terms of octave register, timbre, dynamics, articulation, durations, rhythm, and instrumentation.

The role of Klangfarbenmelodien used in the context of Webern's musical material and his serial method of composition create works unique in the musical world. The organization and application of Klangfarbenmelodien
contributes to the comprehension and unification of the Symphony. And finally, this examination will promote an appreciation of Webern's characteristic style and a premise for a knowledgeable interpretation of this work.

**Biography**

Anton Friedrich von Webern\(^1\) was born in Vienna on 3 December 1883, the same year as Wagner's death.\(^2\) Webern's father, Carl von Webern, was a mining engineer who received his diploma at the School of Mining in Leoben only after studying law and political science at universities in Graz and Vienna. Webern's mother, Amalie Greer, was the daughter of a master-butcher in Leoben. From 1894\(^3\) to 1902 the Webern family lived in the town of Klagenfurt, the provincial capital of Carinthia. At the Klagenfurt Gymnasium Anton

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1. In 1918, after World War I, hereditary titles were abolished in Austria, though occasionally on programs and in the foreign press he was still listed as Anton von Webern.


received his first musical training in piano, cello and theory from Edwin Komauer. After showing promise early in his education, he was accepted into the cello section of the local Konzertverein orchestra. Although only a provincial ensemble, the orchestra was valuable experience in repertoire and rehearsal techniques that would influence his future career as a composer and conductor. Concurrently with his orchestral duties, Webern played reductions of operas and symphonies at the piano. By the time he was eighteen he had played with the orchestra or at the piano, not only works of the Viennese Classics from Haydn to Brahms, but also Bruckner and Mahler symphonies, Richard Strauss tone-poems and Wagner operas.

The music of Wagner made a profound impression on young Webern. He attended his first Wagner opera when he was seventeen years old in April, 1901, a performance of Tristan und Isolde in Graz. In his diary he wrote, "The impression that I experienced was an overwhelming one . . . . Sitting in the first row of the parquet, I could enjoy everything wonderfully, having thoroughly studied the score beforehand, and thus I had an indescribable and unforgettable experience." This opera surely played a major role in

4. Webern's diaries are now located at the Moldenhauer Archive in Spokane, Washington. This passage, and all other references to Webern's diary entries, are
Webern's musical concepts then and later, especially in his early orchestral works—the ambiguous harmonies, non-functional chords (at least in the traditional sense), and the intense chromaticism.

The next year Webern passed his final exams at the Gymnasium in Klagenfurt. As a reward his father sent Anton on a trip to the Wagner Mecca, Bayreuth. Webern attended the festival with his cousin and life-long friend Ernest Diez. His diary bears the title "My First Bayreuth Journey" with one of the early entries reading, "O glorious Bavaria! Here there is still life! The splendid beer, the inexpensive meals, the conviviality of the people, the enormous traffic, all this makes this country enchanting to me!"5 During the Wagner festival, Webern heard Parsifal, conducted by Karl Muck, and The Flying Dutchman. Enthusiastically Webern wrote, "To find words for such impressions is an impossibility! In the face of such magnificence, one can only sink to one's knees and pray in silent devotion."6

After the summer trip to Bayreuth, Webern entered the University of Vienna's Musicological Institute in the fall of 1902. Under the general guidance of Guido Adler, he took

translated by Hans and Rosaleen Moldenhauer. This extract is quoted in Moldenhauer, A Chronicle, 45.

5 Ibid., 49.
6 Ibid., 51.
classes in harmony and counterpoint with composers Hermann Graedener and Karl Navratil, and continued studies on the piano and cello. Also during this time he sang in the Akademischer Wagner Verein under well known conductors including Felix Mottl, Hans Richter, Arthur Nikisch, and Gustav Mahler. Again, as with his earlier orchestral experience in Klagenfurt, this opportunity to perform under some of the most important musical conductors and personalities of the day, contributed to Webern's later maturity and effectiveness as a composer/conductor.

The next period in Webern's musical education was to be the most important. This began in 1904 when he first met and began his studies with Arnold Schoenberg (1874-1951). In the same year Webern made the acquaintance of fellow student Alban Berg, who had also begun his studies with Schoenberg at this time. From that moment on, these three colleagues were to be the closest of friends and allies, and together they would be responsible for the development of a new musical style and what would later be known as the Second Viennese School.

Webern's admiration and devotion to Schoenberg was boundless. He wrote of his mentor:

Schoenberg actually teaches creation. He follows the traces of the pupil's personality with the greatest energy, and tries to deepen it, to help it to break through, in short to give the pupil "the courage and strength to adopt a position from which his view will make everything he comes across a special case." This
education teaches one the greatest veracity in regard to oneself. Apart from the purely musical, it touches all the other fields of human life.

For truly, it is more than rules for art that you learn under Schoenberg. Whoever has an open heart is here shown the path of good.  

Webern’s continued devotion was later expressed in a special edition of Anbruch, August-September, 1924 for Schoenberg’s 50th birthday:

It is now 20 years since I became a pupil of Arnold Schoenberg. But however hard I try, I can grasp no difference between then and now. Friend and pupil: one has ever been the other. And this beginning . . . 'ye that rejoice; no beginning and no end!' [from Schoenberg’s Die Jakobsleiter].

In 1906 Webern received his Doctorate in Philosophy for his work on an edition of the second part of Heinrich Isaac’s (1450-1517) Choralis constantinus. This dissertation, along with musicological studies of earlier periods, had an important influence on Webern’s later compositions. For example, works that contain strict canonic techniques include the choral work Entflieht auf leichten Kähen op. 2, Five Canons op. 16, Das Augenlicht op. 26, Cantata No. 1 op. 29, Cantata No. 2 op. 31, and Symphony op. 21/1 (the subject of this paper). Variation technique, another compositional method from an earlier epoch, was used in the Passacaglia op.


8. Ibid., 10.
1. String Trio op. 20, Piano Variations op. 28. Orchestral Variations op. 30, and the Symphony op. 21/II. The Quartet op. 22 uses a type of "cantus firmus" and the Cantatas opp. 29 and 31 represent examples of oratorio. Also, Webern's Klangfarben technique is in a manner related to medieval hocket.

Webern's first works to receive opus numbers were composed in 1908, though not published until 1920 by Universal Editions, Vienna. The year 1908 also marks the beginning of Webern's conducting career. His first positions were as a co-repetiteur in a Viennese theater and a summer job as an assistant conductor at the spa Bad Ischl. Like many conductors in their first situations, Webern expressed dissatisfaction as he relayed his discontent to his cousin Ernest Diez:

I would welcome it beyond measure if you would come here. You would lighten my stay in this hell. My activities are horrible. I find no words to describe such a theater. May the world be rid of such trash! What benefit would be done to mankind if all operettas, farces and folk-plays were destroyed. Then it would no longer occur to anyone that such an "art work" had to be produced at any price. If, like myself, one has to cope with this stuff all day, it is enough to drive one mad. But through hell into purgatory and finally into heaven--such is the path I must travel. I am kept very busy. Composing is out of the question. I have not conducted as yet. The first conductor takes care of this. But perhaps I will get a chance at it soon.9

9. From a letter to Ernest Diez now in the Moldenhauer Archive. Translated by Moldenhauer and quoted in Moldenhauer, A Chronicle, 103.
This extract points out several aspects about Webern’s musical views concerning theater directing and the trials involved in career advancement for a European conductor.

After these initial conducting situations, in the next years, Webern held other positions in the cities of Treplitz (1910), Danzig (1911), Stettin (summers of 1912 and 1913), and Prague (1917-1918 and again in 1920).

Still unsatisfied with theater conducting, Webern in the summer of 1918 resigned his post in Prague and moved back to Vienna. He rented an apartment in Mödling, a village just outside Vienna, only a five-minute walk from where Schoenberg lived.

At the end of World War I on November 11, 1918, the Hapsburg regime collapsed, establishing a republic in Austria. Coinciding with these events, Schoenberg founded the Verein für Musikalische Privataufführungen (The Society for Private Musical Performance) on 23 November 1918, an organization to promote and perform new music.

The Society’s first concert on 29 December 1918 programmed the following works: Scriabin Piano Sonatas No. 4 and 7 (played by Eduard Steuermann); Debussy Proses Lyriques; and Mahler Symphony No. 7 arranged for two pianos.10

Schoenberg was at the head of the Society planning all

programs and overseeing many of the rehearsals. Webern, Berg, and Steuermann were Schoenberg's assistants (Vortragsmeister) acting as music directors, performers, and arrangers of works, such as the two-piano reduction of Mahler's *Symphony No. 7* used in the first concert.

A manifesto written by Berg outlines the beliefs and purpose of the organization. The proclamation is significant as it served later as a model for other contemporary music associations. In part it reads:

The purpose of this Society, founded in November 1918, is to provide Arnold Schoenberg with the possibility of personally carrying out his intention of giving artists and art-lovers a real and accurate knowledge of modern music.

One circumstance which contributes to a large extent to the relationship of the public to modern music, is that any impression they receive of it is inevitably one of un-clarity. The public is unclear about the purpose, the direction, the intention, the world of expression, the method of expression, the value, the nature and the aim of the works. The performances are for the most part unclear.

... The desire to achieve clarity at last, and thus take into account such needs and desires as are justified, this was one of the reasons that moved Arnold Schoenberg to found the society.

Three things are necessary for the achievement of this aim:

1. Clear, well prepared performances.
2. Frequent repetitions.
3. The performances must be withdrawn from the corrupting influence of publicity; that is, they must not be inspired by a spirit of competition, and must be
independent of applause and expressions of disapproval.\textsuperscript{11}

Concerning the first of these aims, much emphasis was placed on the preparation of the concerts. Mahler's \textit{Symphony No. 7} on the first program, for instance, had twelve rehearsals each lasting nearly four hours. Frequent repetitions were deemed necessary in order that an unfamiliar or complex work would have a chance to be understood on its own grounds. Emphasizing the private aspect of the concerts, no critics were allowed at the performances. In regard to the exclusive nature of the performances, the Society's prospectus continues: "This points to the important difference that is apparent when we compare the task of this society with that of normal present day concert life, which the society intends to keep definitely at a distance."\textsuperscript{12}

The Society lasted into its fourth season, when an economical depression forced Schoenberg to dissolve the Society after its final concert on 5 December 1921.

In its four seasons the Society gave 117 concerts including 145 works. In keeping with the plan of frequent repetitions, 100 of these works had more than one audition.\textsuperscript{13}

\textsuperscript{11} Quoted in Reich, \textit{Schoenberg--A Critical Biography}, trans. Leo Black, 120.

\textsuperscript{12} Ibid.

\textsuperscript{13} See Reich, \textit{Schoenberg--Biography}, 122.
The repertoire chosen for these concerts spanned many styles, from the traditional to the more progressive. All of the works were from this century, and included among the composers Dukas, Janáček, Milhaud, Mussorgsky, Satie, Reger, Debussy, Bartók, Ravel, Scriabin, Mahler, Stravinsky, Busoni, and Richard Strauss. Works by Schoenberg, Webern, and Berg were also played but rather infrequently. The records show fifteen works by Schoenberg, five by Berg, and nine by Webern.14

Two of Schoenberg's main reasons for forming the Society were to educate the public and to provide a stage for new music. As demonstrated by the number of concerts and works programmed, in both respects the Society was successful. For Webern, as Vortragsmeister, the Society was an artistically stimulating experience. Though the Society lasted only into its fourth season, other organizations took Schoenberg's example and formed groups dedicated also to the promotion of new music such as the International Society for Contemporary Music--ISCM (1922), International Composer's Guild of New York (1922), New York League of Composers (1923), and the annual Donaueschung Festival, formed in 1921, which was the first festival exclusively devoted to contemporary music.

Concurrently with his duties as *Vortragsmeister* of the Society, in the early 1920's, Webern also began a more important period in his conducting pursuits. In 1921 he was appointed director of the *Wiener Schubertbundes*, a Viennese choral group, and the *Mödling Männergesangvereiner*, a male chorus. Beginning in 1922 Webern was music director of the *Wiener Arbeiter Symphoniekonzerth* (Vienna Worker's Symphony Concerts) and the following year also of the *Singverein der Sozialdemokratischen Kunstelle* (Viennese Worker's Choral Union). He conducted these groups until 1934, and included in the programs were not only Viennese classics from Haydn through Brahms, but also Mahler and Bruckner symphonies, Schoenberg's *Friede auf Erden*, Berg's *Der Wein*, and works by Reger and Ives.

As Webern's reputation as a conductor grew, he began accepting invitations from orchestras in Dusseldorf (to conduct his *Passacaglia op. 11* (1921), Berlin (1922), Zurich, for the International Society of Contemporary Musical Festival of 1926; and in 1927, he was offered a position to conduct regularly for the Austrian broadcasting agency.\(^{15}\)

His first concert tour took him in 1929 to Munich, Frankfurt, Cologne, and to London to conduct the BBC Orchestra. Webern was well accepted in England as a composer.

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15. It was during this period that Webern composed the *Symphony op. 21*, in 1928.
and conductor, and during the next seven years would make five more trips to London.

Webern was by now a seasoned conductor with a distinguished international reputation. The extent of his conducting repertoire covered works from Bach up to the most contemporary. But the political disorder that was spreading throughout Europe with the rise of the Nazis, prematurely shortened his conducting career. Webern continued to be an active conductor in Vienna until 1935 when the oppressive conditions of the Nazi regime discouraged performances of his music, broke up the worker's organizations, and terminated his conducting position at the radio. Though he continued to be active as a composer for the next ten years, his final conducting engagement occurred during his last trip to London in 1936.

When conducting rehearsals Webern was described as being very intense, meticulous, and an obsessive perfectionist. Alban Berg wrote to his wife, "Without exaggeration: Webern is the greatest conductor since Mahler—in every respect."\(^{16}\) Webern's tolerance and his generally forebearing demeanor was expressed by his close friend Joseph Polnauer, who wrote,

"... his patience was inexhaustible, again and again he resorted to friendly persuasion and encouraged improvement. Never a harsh word fell, let alone a hurtful one."17 And Ernest Krenek has commented, "As an interpreter of music, Webern was an implacable perfectionist."18

With the increasing political turmoil and the outbreak of war, Webern moved his family to Maria-Enzesdorf, a small village adjoining Mödling not far from Vienna. He lived there in virtual isolation, without a phone and rarely visiting Vienna, until just a few months before his death. Near the end of the war, Webern and his wife went to Mittersill in the Salzkammergut to be with their daughters. On 15 September 1945, in this otherwise peaceful mountain village, Webern was mistakenly shot by an American soldier.

17. Ibid., 463.

CHAPTER II

WORKS

During his lifetime Webern gave opus numbers to 31 works. A study of some of the pieces leading up to the Symphony op. 21 gives valuable insights into his style and development.

The Passacaglia op. 1 and Entflieht auf leichten Kähnen op. 2, a choral work, were both written in 1908. Webern's Passacaglia is scored for a large orchestra similar to what Mahler or Strauss used: tripled woodwinds, four horns, three trumpets, three trombones, tuba, timpani, percussion, harp, and strings. Written during the time of Webern's studies with Schoenberg, the Passacaglia is built around d-minor and exhibits orchestral style characteristics of Mahler and Strauss with allusions to Brahms (Symphony No. 4 Finale "Passacaglia") in a framework of Schoenberg's "developing variation" technique.

In opp. 3 and 4, both for voice and piano and written in the years 1908-09, Webern for the first time composed music that is so highly chromatic that it loses any sense of tonality. Though these works cannot yet be considered serial, they do exhibit characteristics of Webern's later style, such as: the use of large melodic intervals (7ths and
9ths), rarely indicating dynamics above piano, and writing rhythmically in an ametrical non-pulsing manner.

*Sechs Stücke op. 6* (1909), as with the *Passacaglia op. 1*, uses a large orchestra (doubled woodwinds, four horns, four trumpets, four trombones, tuba, timpani, percussion, celesta, harp and strings), but in a much more chamber-like style similar to passages in Mahler (Examples 1 and 2). Example 2 is from the Scherzo movement of Mahler's Sixth *Symphony*, which is scored for five flutes, four oboes, five clarinets, four bassoons, eight horns, a variety of percussion instruments (including cow bells, *rute*, and a hammer), celesta, and strings. The sparing use of instruments in this passage, the combination of *arco* and *pizzicato*, and dynamic contrasts are noteworthy.

A closer look at the opening of Webern's *op. 6* shows an early example of *Klangfarben* technique. After the initial four sixteenths in the flute, the melodic line continues in the trumpet (muted), back to the flute in measure two and then to the F-sharp in the third horn. Also, from the triplet and sixteenth note figure starting in the harp in the fourth measure, a four bar stream of continuous sixteenths travels next (in measure five beat two) to the solo viola, then to the solo second violin (muted and on the bridge), and ends in the harp. This particular example shows *Klangfarben*
Example 1. Anton Webern, *Sechs Stücke*, op. 6, first movement, measures 1-8.
Example 1. Anton Webern, *Sechs Stücke*, op. 6, first movement, measures 1–8, continued.
Example 2. Gustave Mahler, *Symphony No. 6*, A minor, second movement (Scherzo), rehearsal 89.
technique in a close linear manner without the octave
displacement of pitches characteristic of later works.

The *Six Bagatelles op. 9* (1911-13) is Webern's second
work for string quartet\(^1\) (Example 3). For the printed score
of the *Bagatelles*, appearing in 1924, Schoenberg wrote a
brief forward as an introduction to Webern's style and as an
aid in understanding Webern's music. Excerpts from this
preface appear often in books and articles about Webern and
Schoenberg, and in view of the important connection between
the preface and the *Bagatelles*, it is worthwhile to look at
the entire quote:

> While the brevity of these pieces is their eloquent
advocate, such brevity stands equally in need of
advocacy. Think what self-denial it takes to cut a long
story so short. A glance can always be spun out into a
poem, a sigh into a novel. But to convey a novel
through a single gesture, or felicity by a single catch
of the breath: such concentration exists only when
emotional self-indulgence is correspondingly absent.

These pieces will be understood only by someone who
has faith in music as the expression of something that
can be said only musically. They can no more withstand
criticism than this faith can, or any other. If faith
can move mountains, disbelief can refuse to admit they
are there. Against such impotence, faith is impotent.

Does the performer now know how he is to play these
pieces—the listener, how he is to take them? Can any

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1. The first quartet was *Five Movements op. 5* (1909).
   Originally designated "op. 3", this work was then
   expanded with two later sets of movements which were to
   become *Bagatelles op. 9* while the earlier set turned into
   the *Five Movements op. 5*. See Moldenhauer, *A Chronicle*,
   123, 191-193.
barriers remain between performer and listener, when both are men of faith? But how is one to deal with the heathen? With a fiery sword, they can be kept in check, bound over: but to be kept spell-bound—that is only for the faithful. May they hear what this stillness offers?  

2. Arnold Schoenberg, Style and Idea, ed. Leonard Stein, trans. Leo Black (Berkeley: University of California Press, 1984), 483-484. In connection with the composition of op. 9 and understanding the influences on Webern's style, Moldenhauer, in A Chronicle, gives evidence that much of Webern's music is related to personal experiences (p. 190). Continually in his diaries and letters, Webern testifies to the intimate relationship he has with nature. This relationship is discussed later in this paper, but it does not seem an exaggeration that personal events tied to the local weather influenced, if only indirectly, Webern's creative impetus. Moldenhauer postulates on page 190:

In a letter to Berg, written from Stettin on 12 July 1912, Webern described his approach to composition: an experience would go around in his mind until it became music, "music that quite decidedly had to do with the experience--often down to the details."

Moldenhauer continues, citing from a letter Webern wrote to Schoenberg on 7 August:

"I am now writing a string quartet.... It is out and out dreadful that it does not rain. Everything dries up here." The intense heat affected everyone. Even at the peaceful Preglhof tensions ran high, and violence erupted, Webern was deeply shaken. "I had to be an eye witness when a drunken farm-hand stabbed our foreman twice in the back.... It was horrible. We at once rendered assistance to the poor fellow, dressing his wounds and bringing him to town. I was present again as he was sewn up, and so forth. The wounds are incredibly deep. I hope that the spinal cord has not been injured, for his feet are still paralysed. Now I am calmer, but that moment the deed was done! O God, why is there so much misery?! I am fearful of this eternally burning sun. No rain, no coolness."

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This preface was written during an important period in Schoenberg's creative life since it appeared just one year after his announcement of his new method of serial composition. Two significant issues are touched upon: 1) the extreme compactness or shortness of the *Bagatelle* movements; and, 2) the difficulties in the comprehension and acceptance of the work.

Webern was aware of and expressed concern about the brevity of his pieces. In a letter to Schoenberg he wrote, "The shortness of my quartet pieces is embarrassing to me, too. My orchestra pieces are much longer." He was probably referring to his *Six Pieces for Orchestra*, op. 6 (1909) or, maybe to his *Five Pieces for Orchestra*, op. 10 (1911-13) which was written at the same time as the *Bagatelles*. The context of the letter does not clarify which work Webern is alluding to, although the brevity seen in the quartet movements from then on became the norm. As illustrated in the following figure of comparative lengths of separate movements in various works from this period, the progress toward compression of musical ideas is consistent and steady.

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Figure 1. Comparison of Individual Movement Lengths in opp. 6, 9, 10, 11

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<thead>
<tr>
<th></th>
<th>op. 6 (1909)</th>
<th>op. 9 (1911-13)</th>
<th>op. 10 (1911-13)</th>
<th>op. 11 (1914)</th>
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<td>1'8&quot;</td>
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<td>1'1&quot;</td>
<td>III 21&quot;</td>
<td>III 1'31&quot;</td>
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<td>4'28&quot;</td>
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<td>2'52&quot;</td>
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<td>VI</td>
<td>2'</td>
<td>VI 24&quot;</td>
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The *Five Pieces for Orchestra* op. 10 is the next work that bears directly upon the writing of the *Symphony* (Example 4). The orchestra of op. 10 consists of seventeen solo players: flute (also piccolo), oboe, B-flat clarinet (also bass clarinet), E-flat clarinet, horn, trumpet, trombone, harmonium, celesta, mandoline, guitar, harp, percussion (eight instruments), violin, viola, cello, double bass.

There are no orchestral tutti in op. 10 and the ensemble is used often as a chamber group, with some instruments being used only sparingly. The flute, for example, plays in movements 1 and 2, is tacet in movement 3 (incidentally, the longest movement) and 4, and has a mere four notes in movement 5: two quarter-notes, one half-note, and one eighth-note. This same sort of instrumental economy, in the context of a larger group, is seen in the *Symphony*. 

IV.

*Fließend, außerst zart* (tempo molto)

[Musical notation image]

*Tempo* 

*Poco a poco diminuendo*

*Molto forte*

*Remoto*

*Pianissimo*

*Tempo*

*Legato*

*Ritardando*

*Diminuendo*

*Accrescendo*

*Legato*

*Tempo*

*Ritardando*

*Diminuendo*

*Accrescendo*
although, in op. 21 the frugal use of some of the instruments is modified and more strictly organized.

The Three Little Pieces for Cello and Piano op. 11 was written in 1914, and was the only purely instrumental work Webern wrote for the next twelve years. The compositions from opp. 12 to 18 all involve solo voice and accompaniment while op. 19 uses a vocal quartet. Not until the composition of String Trio op. 20 (1926-27) does Webern return to an exclusively instrumental texture.

Two significant observations appear in Webern's vocal works. First, the full extent of Webern's severe compression and concentration of material becomes evident, considering that though a twelve-year period was spent composing opp. 12 to 12, the total performance times of these works barely add up to thirty-two minutes of music. Second, among these vocal works are Webern's first pieces using the serial method of composition. The development of Webern's application of the serial technique takes place in opp. 17, 18, and 19. The scope of this paper does not permit a thorough analysis of this evolution, however, briefly summarized: op. 17 no. 1 is non-serial; op. 17 no. 2 is built on connecting phrases of the same serial form; op. 17 no. 3 repeats the series in the voice with serial fragments in the accompaniment; op. 18 no. 2 introduces inversion and retrograde forms; op. 18 no. 3 has each contrapuntal line following through separate sequences
of the row (later to become standard with Webern); and in Two Songs op. 19 (1926) both pieces are built on the same series and, for the first time, transpositions are used.\(^5\)

The String Trio op. 20 is not only Webern's first purely instrumental work in twelve years, but it is also the first nonvocal piece to use the twelve-tone composition method of all twelve notes of the chromatic scale relating only to one another. The twelve-tone form and construction of op. 20 is moderately strict, and brings together serial techniques used in opp. 17 to 19. The string trio prepares the way for later instrumental works that exhibit more organizational control of serial composition and greater multi-level symmetry. These later works include the Symphony op. 21 (1928), Quartet op. 22 (1930), Concerto op. 24 (1934), String Quartet op. 28 (1938), and Variations for Orchestra op. 30 (1940).

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CHAPTER III

SYMPHONY OP. 21

The genesis of Symphony op. 21 spanned about nine months and proceeded through several stages in its large scale structural design. The earliest sketches\(^1\) of op. 21 date from November-December 1927 with indications for three movements: I. Rondo: lively - Sun II. Variations: moderately III. Free form: very calmly - moon. A later entry lists the movements as: I. Variations II. Rondo (scherzo, march-like) III. Slowly.\(^2\) Webern finished the variation movement on 27 March 1928. Sketches for the next movement began on 11 May 1928 and the completion was recorded on 27 June. Still working within the framework of a three movement work, Webern began drafts for the proposed final part on 3 August. The drafts for the intended final movement are extensive and appear on three pages in Sketchbook 1.\(^3\)

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3. Pages 51 to 53 in the sketchbook and reproduced in facsimile on plates 9, 10, and 11 of *Sketches (1926-45)*.
Ernest Krenek in his commentary to the facsimile edition Sketches (1926-45) wrote "... Webern notes in his diary on August 2, 1928: 'During the following days occupied with the third movement of my Symphony op. 21. Arrival at the decision to keep it at two movements.'" In a letter to Schoenberg on 20 August 1928, Webern wrote of his decision to limit the Symphony to only two movements and mentions them in the order that they now exist.

I was again rather far along with a third movement. But whatever I sought to imagine as a supplement [before or after] or as a centre between the two movements disturbed me, and I recognized [after long deliberation] that the work should consist only of the two movements. The first is a slow movement that lasts almost a quarter of an hour; the second is the variation movement. . . . In respect to form, I was finally put at ease by the example of so many two-movement sonatas by Beethoven and also by the two-movement orchestral works by Bach.

An examination of what Webern says about the individual movement timings may throw some light on questions concerning tempos and overall pacing of the two movements. Curiously, in the above letter, Webern states a duration of fifteen minutes for the first movement. Two weeks later, in another letter to Schoenberg, he estimates "about six minutes" for

4. *Ibid.* 3. Krenek must have been mistaken as to the date of this diary entry. The sketches are dated and are clearly marked as 3 August 1928. Moldenhauer is probably more accurate in his remark that this same entry is from an undated record of the diary. See Moldenhauer, *A Chronicle*, 325.

the second movement, "therefore about twenty minutes of music" in total. If the tempo indications in the score are followed, it becomes apparent that the actual length of the piece does not concur with the statements in Webern's letters. This indicates that Webern's original ideas of the tempos were much slower than what is usually performed and what is indicated in the score. In addition, the Universal Edition score gives a performance timing of ten minutes.

The Universal Edition score of op. 21 appeared in June 1929 with a dedication to Webern's nine-year-old daughter Christine. Webern entered in his diary, "Very beautiful. Unfortunately one printing error." In the same year, the New York League of Composers solicited Webern for a chamber orchestra work. Since it had not yet been performed, Webern submitted the Symphony. The League accepted the work and paid Webern $350. In a letter to the society's director he indicated:

Please tell the conductor of my Symphony that each part for the string instruments in it may also be played in multiples (the occasional remark 'solo' in the score is thereby explained), for instance, about four first

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6. Ibid., 326.

7. Quoted in Moldenhauer, A Chronicle, 326. I could not locate any information about this specific reference to a "printing error."

8. The New York League of Composers was founded in 1923 by Claire R. Ries.
violins, four second violins, three violas, and three violoncelli. However, it is of course entirely possible to play the work soloistically.\(^9\)

The world premiere of *Symphony op. 21* took place in New York's Town Hall 18 December 1929. The work was conducted by Alexander Smallens, then assistant conductor under Leopold Stokowski with the Philadelphia Orchestra. Several reviews appearing in New York papers the next day reflected the difficulty Webern's music had in the public forum.

Webern was uncomfortable with the pandemonium his music often caused. Referring to a performance of the *Five Movements op. 5* in Salzburg in August 1922, Webern wrote to Berg, "In regard to my quartet: rendition very good, really played as music. Unfortunately, however, there was a scandal again. The entire performance was disturbed by laughter. Constant laughter."\(^{10}\) The pianist-composer Rudolph Ganz relates the incident:

> It was during the quiet fourth movement that a loud outcry "furchtbar!" [terrible] was heard. It was Herr Grosz objecting to the new music. From the other aisle came the equally forceful "Maulhalten" [shut up]. Grosz insisted that he had paid for his ticket and was entitled to his opinion, whereupon both men rose and went for each other. Half the audience got up and took an active part in the melee. The quartet had fled by this time and police rushed in from all sides. . . . There was hissing and applauding from the different camps, when--suddenly--Anton von Webern appeared atop

\(^9\) Quoted in Moldenhauer, *A Chronicle*, 327.

\(^{10}\) Ibid., 249.
the orchestra staircase, listening to the overpowering bravos of the progressives and all those who were horrified by the inexcusable incident. The battle of applause lasted at least ten minutes, when it was announced from the stage that the programme would not continue. Next day some 50 musicians were invited to hear the quartet in its entirety in a special performance in a smaller hall one hour before the evening concert. It was an unforgettable revelation.

The episode in Salzburg, unfortunately, was not an isolated one. A similar uproar took place in Siena, Italy in September 1928 for the Sixth ISCM Festival. An historical context can be perceived by looking at how Webern's works were accepted (or not accepted) when they first appeared on programs. During a performance of the String Trio op. 20, a critic from the Milan paper Popolo d'Italia shouted "barbarian music, Schweinerei!" Although Webern was unable to attend the concert, the incident was relayed to him by Rudolph Kolisch, the violinist who performed the trio.

Webern wrote to Schoenberg:

Have you heard that there was a really full-fledged scandal in connection with my Trio in Siena? As Kolisch told me, it was like this: During the first measures of the second movement the restlessness became so great that he decided to interrupt. The ensuing demonstrative applause restored quiet, and Kolisch could once again begin the movement and play it to the end. But then things really broke loose, sparked by an Italian critic who declared that he would induce Mussolini to order the festival broken off. Such music should not be allowed to be played in Italy. Then a German critic, Springer by name, retorted. Immediately after this the Italian critic went at him with his fists. Members of the audience jumped on the podium. At this point Casella

11. Ibid., 248.
and Dent gave speeches and ordered the Italian out of the hall. Whereupon the latter is said to have challenged Casella to a duel.\textsuperscript{12}

It is surprising to consider that both performances mentioned above took place in the context of festivals for contemporary music. Though these were international festivals, they took place in rather provincial small cities. However, in New York under the auspices of the League of Composers, Webern's \textit{Symphony} received a truly cosmopolitan hearing in one of the leading cultural centers in the world.

New York audiences can be extremely critical, though probably not as excitable as the Italian public is. Olin Downes, the critic for the \textit{New York Times}, wrote this summary that appeared the day after the concert:

\begin{quote}
... we prefer the light-hearted or sentimental effusion of Goossens.\textsuperscript{13} He is not troubled by the introspection and the ingrowing remorse and pain which seem to be indicated by the "Symphony for Chamber Orchestra" of Schoenberg's pupil, Anton Webert\textsuperscript{[sic]}.\textsuperscript{14} This is one of those whispering, clucking, picking little pieces which Webert\textsuperscript{[sic]} composes, when he whittles away at small and futile ideas, until he has achieved the perfect fruition of futility, and written precisely nothing. "The ultimate significance of nothing"--this would be the proper title of this piece. The audience laughed it out of court, and this laughter could not be restrained, as Webern's little orchestra suggested nothing so much as a cat that, arching its back, glared and bristled its fur, and moaned or growled
\end{quote}

\textsuperscript{12. Ibid., 324.}

\textsuperscript{13. Another composer whose \textit{Concertino} was played at the same concert.}

\textsuperscript{14. Twice in this review, Webern was misspelled as Webert.}
or spit. Mr. Smallens's powerful left hand, raised for silence, could not stifle the yells of laughter that came from all over the hall, and that nearly drowned the sounds of Webern's whimpering orchestra.

This music was heard not only for the first time in New York, but bore on the program the proud device, "world premiere." And thus the mountain labored, and scarce a mouse.

... To Webern's piece he [Smallens] gave particular care, but it is a pity that his efforts were devoted to so much poor music.15

Two months later, Webern conducted the European premiere of op. 21 in Vienna on 24 February 1930. Critical reaction was less severe, though cautious, as Joseph Reitler, in the March 3 edition of the Neue Freie Presse, wrote:

Perhaps it is that he wants to place something in opposition to the material sounds of machine music or to the confused rhythmic noises of a Stravinsky or Bartok, something that is dematerialized in sound, something dissolved in rhythm. The ecstatic manner with which the composer conducted his work compels at least the assumption of good faith. Sometimes, when we contemplate the development and practices of music outside Vienna, this Anton Webern appears to us like the eternally tragic figure of a sentry whom one has forgotten to relieve, and who now, as the last of the faithful, guards the precariously tottering edifice of

15. Olin Downes, "League of Composers," New York Times, 19 December 1929, 31. Eleven years later, Olin Downes still did not much care for Webern's music. On May 22, 1941, he wrote in the New York Times that the performance of the String Quartet op. 29 was "Dead Sea fruit, and Dead End music. . . . The windows were closed, because, as it was remarked, the delicate music of Webern could not be heard if they remained open. Not for this music the fresh air or the crude turbulences of the world. For it is the ultimate of orderly and deliberate disintegration. . . . Is it any wonder that the culture from which it emanates is even now going up in flames?"
an asthetic which has long looked for escape and found Jonny.16

A year later on 10 April 1931 in Berlin, conductor Otto Klemperer performed the Symphony. Among the reviews was this one appearing in the Rheinisch-Westfalische Zeitung:

Artistically, Webern still lives in the inflation period of unhappy memories. At that time, perhaps one listened seriously to such a curiosity once, but nowadays it has an unspeakably ridiculous effect. What kind of a Vienna is this that sends us such symptoms of degeneracy under the label of "music"?17

And in the Berliner Borsencourier on 14 April 1931, a reviewer wrote "... conceptions that cannot be grasped in their new meaning, that are being musically realized in dots and drops, without coherence, totally crumbled melodically-spiritually."18

The Symphony was scheduled for its London premiere later that year in August for the upcoming ISCM Festival. In a letter to Schoenberg, Webern expressed reservations about the London premiere: "I have a horror of the music festival and fear of having to go through a scandal again. It is quite clear to me that there will be one with my Symphony."19

16. Quoted in Moldenhauer, A Chronicle, 344. "Jonny" refers to the Ernst Krenek opera Jonny spielt auf, which was extremely popular at this time in Europe.

17. Quoted in Moldenhauer, A Chronicle, 363.

18. Ibid.

19. Ibid.
Contrary to Webern's doubts about the acceptance of his music, the London audiences were receptive and supportive. On six different occasions he was invited to London as a celebrated composer to conduct some of his own works with the BBC Orchestra.

In a comprehensive review appearing in the Christian Science Monitor after the concert, critic W. H. Hadden Squire wrote:

At Queen's Hall . . . one listened in vain for the shyest of hisses. Indeed the two programs produced only one work about which there could be the slightest controversy. This was Anton Webern's Symphony for Small Orchestra [op. 21].

It is extremely difficult to sum up one's impressions of this sphinxlike work, constructed with astonishing skill and the utmost economy of means. The ear gropes among these new, strange, elusive relations of sound for a meaning that is largely hidden from us by the rubbish we have accumulated from innumerable musical conventions.

Hadden Squire, in his last phrase, recognizes that Webern's musical idiom is, at its base, very different from what many musicians expect. This aspect of the music makes it difficult to access. Squire continues to state that despite the problems in understanding, Webern's music has a special significance:

That the meaning, however difficult to grasp, is there one never doubts. And slowly one becomes aware of musical thinking—and feeling—that reduces to sheer vulgarity most of that which passes under the name of contemporary music. Quiet, unhurried, devoid of every vestige of superfluity, this work reveals a world of
sound that is remote from the din of the music market, a world where only the musically disinterested may enter.

It is useless to pretend that here is a mere paper-musician. For all his technical skill, Webern is preeminently a poet of sound.20

Positive audience and critical response was more common than it had been before, but it was not consistent. Even Webern was not immune to the exacting observations. The pianist/composer Paul Stadlen related the following story:

I think it was early 193721 in Vienna that I accompanied Webern to a concert where his Symphony was being performed. Webern felt rather gloomy, because the conductor [who is still famous today]22 had not spent nearly enough time discussing the work with him—and there had been occasional waves of mirth during rehearsals. The moment the performance was over, Webern turned to me and said with some bitterness: "A high note, a low note, a note in the middle—like the music of a madman!"23

In view of the special irony in Webern's statement, this perceptive performance summary helps elucidate a peculiar aspect of Webern's style. Clearly, an effective rendering of


23. Peter Stadler, "Webern Symposium," The Score No. 25 (June 1959), 65-68.
the Symphony requires more than just the right notes at the right time. As noted in the following comment, this was true for Webern, and it is also accurate for musicians today.

Stadlen continues concerning the Symphony's performance:

I felt few among the audience would have wanted to quarrel with that summing up--yet I wondered whether authentic interpretation was really all that was required to bridge the gap between Webern's image of his Symphony and the conglomeration of correctly placed, but seemingly unconnected little shrieks and moans.24

Despite misconceptions, misinterpretations, and misunderstandings, Webern expressed a continual unwavering faith in his Symphony. Though discouraged by unfavorable press reviews and audience heckling, he wrote, "The more I occupy myself with my Symphony, the more urgent does my wish become that at least the very closest of my friends might, through the coming performance, gain an appropriate impression of it . . . I have an abounding desire to explain it . . . as thoroughly as possible."25 To understand "as thoroughly as possible," it is necessary to observe several salient principles in Webern's writings concerning a desire for maximum comprehension and total unity.26 These thoughts,

24. Ibid.

25. Quoted in Moldenhauer, A Chronicle, 470.

as well as other general and specific performance practice problems, are topics dealt with later in this paper.

Two decades later, Webern's Symphony was still able to split an audience. In January 1950, twenty years and one month after its world premiere in New York, Dimitri Mitropoulos conducted op. 21 with the New York Philharmonic-Symphony. A reviewer in Musical America noted:

Not only lovers of contemporary music, but also the conservatives [did they but know it] owe Dimitri Mitropoulos a great debt for his devoted interpretation of Anton von Webern's Symphony. . . . It is as functional and intrinsically beautiful in its design as a sun-bleached shell or a veined autumn leaf . . . . The audience was sharply divided into those who protested [some of them audibly], and those who were sincerely fascinated by the music. The ayes recalled Mr. Mitropoulos several times at the close, and nays emitted some ineffectual boos . . . The important aspect of the Symphony, however, is not its structural intricacy . . . it is the fact that the music is communicative, eloquent and spiritually alive.27

The Musical America reviewer also suggested that the work be repeated, a practice that was closely connected to Schoenberg's Society for Private Musical Performance thirty years earlier.

Mr. Mitropoulos should have repeated the work, as he repeated the Schoenberg Serenade at the ISCM concert on 27 January 1950, 27.

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November 23 [1949], but perhaps the Philharmonic-Symphony audience would have rebelled at so disturbing, if salutary, an exposure. 28

Mitropoulus had also repeated Schoenberg's A Survivor from Warsaw in April 1950 with the New York Philharmonic-Symphony. 29 As with Schoenberg's Society performances thirty years earlier, it appears that the practice of repeating a new or unfamiliar work on the same program was not uncommon and was an integral part of Mitropoulus' convictions as a conductor.


The close relationship between Webern and Schoenberg has already been established. As a student of Schoenberg's from 1904-1910, Webern was certainly aware of his teacher's work on his *Harmonielehre* (*Theory of Harmony*). Although Webern was no longer Schoenberg's student in 1911 when the book was first published, there remained between the two of them a continuing intimate correspondence and much consanguinity. After reading the preface in which Webern found his name mentioned as a source of inspiration for the book, he wrote to Schoenberg: "You thank us?! Whatever I am, everything, everything is through you; I live only through you. That you could use us for practice was our limitless good fortune, a boundless blessing for us."¹

In view of Webern's overtly enthusiastic statement, a closer look at what Schoenberg wrote about *Klangfarbenmelodien* helps illuminate Webern's techniques of combining color and melody.

At the very end of his Theory of Harmony, Schoenberg writes:

I will forgo any further description in favor of yet another idea I want to mention in closing. In a musical sound [Klang] three characteristics are recognized: its pitch, color [timbre], and volume . . . . The evaluation of tone color [Klangfarben], the second dimension of tone, is in a still less cultivated, less organized state.  

In this extract, limiting the parameters of "musical sound" to only three characteristics (pitch, color, and volume), may be an oversimplification. However, Klangfarben, at this point, is recognized by name for the first time and Schoenberg advances ways to define its organization. He continues that this idea of Klangfarbenmelodien requires a theory, laws, and a way to measure the connection of sounds with one another. This sounds quite similar to Schoenberg's method of twelve-tone composition where all pitches are related to one another. In both cases there is an attempt to achieve maximum unity combined with greater comprehension. How this unity is achieved is not answered by Schoenberg, but he does express his belief that this is the setting of the future:

[O]ur attention to Klangfarben is becoming more and more active, is moving closer and closer to the possibility

of describing and organizing them. . . . For the present we judge the artistic effect of these relationships only by feeling. How all that relates to the essence of natural sound we do not know, perhaps we can hardly guess at it yet; but we do write progressions of tone-colours without worry, and they do somehow satisfy the sense of beauty. What system underlies these progressions?3

Schoenberg continues, describing patterns of tone-colors, or, Klangfarben progressions that are potentially equal in importance to melodic or harmonic progressions. These "tone-color" progressions provide a higher level of coherence analogous to thought processes . . . progressions out of the tone-colors of the other dimension . . . progressions whose relations with one another work with a kind of logic entirely equivalent to that logic which satisfies us in the melody of pitches.4

The concept of tone-color progressions equal to other structural components as described by Schoenberg is illustrated in his *Five Pieces for Orchestra* op. 16, III, "Farben" (1909) (Example 5). In the movement, subtitled Summer Morning by a Lake, the harmonic and melodic components are combined with Klangfarben progressions. In the score, Schoenberg gives the following indication for the conductor:

The change of chords in this piece has to be executed with the greatest subtlety, avoiding accentuation of

3. Ibid.
4. Ibid.
entering instruments, so that only the difference in color becomes noticeable.\textsuperscript{5}

For Schoenberg, \textit{Klangfarben} progressions were a part of the future of music. He also expresses his opinion that \textit{Klangfarbenmelodien} "is capable of heightening in an unprecedented manner the sensory, intellectual, and spiritual pleasures offered by art," and a belief that tone-color melodies could take one to a higher level of consciousness, "that it will bring us closer to the illusory stuff of our dreams." Schoenberg eloquently ends his treatise with the following:

Klangfarbenmelodien! How acute the senses that would be able to perceive them! How high the development of spirit that could find pleasure in such subtle things!

In such a domain, who dares ask for theory?\textsuperscript{6}

Schoenberg's last phrases could very well have been the inspiration Webern used to pursue his own personal style. A challenge given by his teacher for Webern to investigate and organize this new "domain".

In his \textit{Path to the New Music}, Webern offers two principal ideas he received from Goethe. First, from Goethe's \textit{Theory of Colour} Webern uses the following

\begin{itemize}
\item[5.] Arnold Schoenberg, \textit{Five Pieces for Orchestra op. \textsuperscript{16}} (New York: C. F. Peters, 1952), 31.
\item[6.] Ibid.
\end{itemize}
definition: "Colour is natural law as related to the sense of sight," and combining this idea of color with music, he concludes: "Since the difference between colour and music is one of degree, not of kind, one can say that music is natural law as related to the sense of hearing." 7 Second, Goethe's concept of Urpflanze, or "Plant Metamorphosis", was used by Webern to demonstrate unity in his serial compositions. The Urpflanze idea states that everything in nature is derived from one primeval plant, thus everything in nature is related to this plant, and to everything else. Webern used the Urpflanze theory to show the unity of his tone-rows and in connection with the techniques of Schoenberg's "developing variation". Accordingly, twelve-tone composition, in which all material is derived from the one row, is comparable to "Goethe's Urpflanze; the root is in fact no different from the stalk, the stalk no different from the leaf, and the leaf no different from the flower: variations on the same idea." 8

Ernest Krenek remarks on Webern's conception of Urpflanze as representing a quasi-poetic formulation of some of the scientific tenets that Goethe expounded in his Farbenlehre. This work was very close to Webern, who


8. Ibid., 53.
found Goethe's idea that all organic life originated from one germinal nucleus to be a notion related to the basic concept of the twelve-tone technique.\footnote{Commentary by Ernest Krenek in Anton Webern, \textit{Sketches (1926–1945)}, 6.}

Webern received from Berg a copy of Goethe's \textit{Farbenlehre} in the spring of 1929, which was after the composition of the \textit{Symphony}. He described it "as the most sublime book of all time."\footnote{Quoted in Moldenhauer, \textit{A Chronicle}, 328.} How familiar Webern was with \textit{Farbenlehre} before he wrote \textit{op. 21} is not exactly known. Moreover, the link he makes with color and music in the \textit{Path to the New Music} lectures is only an indirect liaison and does not conform to the particular implementation of \textit{Klangfarben} techniques in his works. The intent of Webern's use of Goethe's color theory seems to be more philosophical than practical.

In \textit{Path to the New Music} Webern continually stresses the urge for complete unity and maximum comprehension. Goethe's \textit{Urpflanze} theory was Webern's aesthetic confirmation:

\begin{quote}
The same law applies to everything living: "variations on a theme"—that is the primeval form, which is at the bottom of everything. Something that seems quite different is really the same. The most comprehensive unity results from this.\footnote{Webern, \textit{Path}, 53.}
\end{quote}

Moldenhauer put it this way:

\begin{quote}
In Goethe's statement, "The same law will be applicable to all else living," Webern found the 'infallible proof' of his analogy between the Urpflanze and the tone-row
\end{quote}
system, the principle on which all his aesthetic thought now was based.12

The symmetrical structure of most Webern tone-rows and the manner in which he presents them, as seen in op. 21, have direct correlations with Goethe's Urpflanze.

In addition to the influences Schoenberg and Goethe had on Webern's work, two other significant contributing concepts are evident. First, Webern's love for nature had a great deal of effect on his music. He had a profound fondness for the outdoors, was an avid mountain hiker, and referred often to nature in his letters and song texts. In a letter to Berg in 1919 Webern expresses the closeness he has for nature:

I have been on the Hochschwab [mountain]. It was magnificent: because for me this is no sport, no mere pleasure, but something quite different: search for the highest, discovery of correspondences in Nature for everything that serves me as a model, everything that I should like to have in myself. And how fruitful this trip was! These deep gorges with their mountain pines and their puzzling plants. These above all are what touch me. But not because they are so "beautiful." Not the beautiful landscape, not the beautiful flowers in the usual romantic sense move me. My motif: the deep, fathomless, inexhaustible sense in all these, especially these expressions of Nature. All Nature is precious to me, but what is expressed "up there" is the most precious.

I should now like to press on to the purely real knowledge of all these phenomena. So I keep my Botany with me all the time and look for writings that give me explanations of all that. This reality contains all marvels. Investigation, observation of real Nature is for me the highest metaphysics, theosophy. I have got acquainted with a plant "wintergreen." A little plant,

rather like a May-bell, not spectacular, hardly noticeable. But this smell like balsam. This smell! It contains for me everything of tenderness, movement, depth, purity.13

In this letter it is not difficult to ascertain the passion with which Webern describes the interrelationship of nature and music, or to note the similarities between Webern and his music and the wintergreen plant. Furthermore, Glenn Watkins in his book Soundings14 presents various interesting correlations between nature and music of this century, notably the influence of Mahler's Das Lied von der Erde.

Another influence evident in Webern's work is the significant role contemporary art and artists played in affecting his aesthetic beliefs. Some of Webern's earliest works to appear in print were published in Der blaue Reiter, founded in 1911 and edited by the artists Kandinsky and Marc. Schoenberg was also an artist of some merit and a close friend of Kandinsky. The Watkins book, the dissertations by Wallace McKenzie and Judith Fiehler, the article by Nancy Perloff in The Musical Quarterly, and Rognoni's The Second Vienna School all convincingly set forth the mutual


influences these artists and artistic movements had on Webern and each other.  

CHAPTER V

STRUCTURAL CHARACTERISTICS

The Symphony is in two movements scored for clarinet, bass clarinet, two horns, harp, first and second violin, viola, and cello. The first movement, marked Rubig Schreitend (calmly or peacefully proceeding), is a double canon spread out over ten staves. Movement two is a theme and seven variations with a coda. The first movement is sixty-six measures long and is separated into two main sections that are repeated. An analysis of pitch material and canonic structures shows that these two main sections can further be divided into three parts. This particular arrangement of a triple division in a basically binary form is a notable characteristic of sonata form.¹

Symmetry in Pitch Organization

Cancrizans, palindromes, and mirrored structures abound in the construction of op. 21.²

1. Kathryn Bailey in her article on op. 21 proposes that there is enough evidence to place the movement in a tripartite form—ABC. Kathryn Bailey, "The Evolution of Variation Form in the Music of Webern," Current Musicology XVI (1973), 55-70.

2. See K. Bailey, "Variation Form"; M. Starr, "Webern's Palindrome," Perspectives of New Music, Vol. 8, No. 2
The most obvious palindromic structure is the row that the Symphony is based upon. This row, shown in Example 6, exhibits a unique characteristic in which the second set of six pitches is a retrograde inversion transposed at the tritone of the first set of six pitches. This type of mirrored construction eliminates the retrograde and retrograde inversion forms of the series-complex, thereby leaving only twenty-four possible row forms. For instance, the retrograde form of the prime row is the same as the series transposed at the interval of a tri-tone.

Mirrored symmetry is prominent in the row combinations of the first movement canons. In the opening canon the dux and comes are mirrored inversions of each other. Strengthening this image, the first and last pitches are the same: both begin on A below middle C and end on E-flat an octave apart (Example 7). Further investigation of all the canons presented in the first movement shows a similar type of mirrored pairing. For example, in the opening section (exposition), the second canon (beginning in measure two and four in the harp) tone-rows mirror the first canon transposed at a major third (Example 8); the second canon dux begins on F, a major third below the starting pitch of the first canon.

(Spring-Summer 1970); Hiller Fuller, Information Theory Analysis; and Austin, Music in the Twentieth Century for examples.
Example 6. Prime row for Symphony, op. 21, first movement.

Example 7. Pitches of the first canon's dux and comes.

Example 8. Pitches of the exposition's second canon dux and comes.
(A), and the canon begins on C-sharp, a major third above the first canon's first note (A).

Another level of symmetry exists in the pitch class sets of the first movement in op. 21. As alluded to in the previous paragraphs, the pitch A below middle C is the tone which the exposition is built around, and it will exhibit its influence later in the movement. Example 9 illustrates all the pitches that appear in the exposition (measures 1 to 26). The symmetrical arrangement around A, especially the semitones A-flat and B-flat encircling A are notable. In the exposition, all pitches except the E-flats appear in only one octave placement. The E-flats appear an octave apart, respectively a tri-tone above and below the initial pitch A. Not only are pitches mirrored above and below the note A, the specific placement and arrangement of these pitches suggest a harmonic structure of two sets of stacked perfect fourths (Example 10).

The middle section, or development, is the shortest part of the first movement (barely twenty measures) but it exhibits a greatly enlarged set of pitches (Example 11). This pitch set has a more extensive range than the other sections, and does not show the same type of symmetrical structures seen in the exposition. Several other important symmetrical aspects are pointed out. First, this section is
Example 9. Pitch materials used in the exposition of the first movement.


Example 11. Pitch materials used in the development section.
a four-part canon in which the second half is an exact cancrizan of the first half. The mid-point where the canon turns around is between measures 34 and 35. Secondly, the beginning pitches of the first two canonic entrances in the clarinet of measures 25 and 27 begin on E, suggesting a modulation to the dominant of A, which is the predominant pitch of the exposition. Finally, the first two voices are mirrored inversions of each other, as they are in the first canon of the exposition. The second two entrances begin a major third above and below the pitch E and are also inversions of each other.

The third section, or recapitulation, uses the same rows, in the same order as the first section. Most of the pitches are used in only one other octave placement except the notes A and E-flat (Example 12). The rhythms of the third section are more varied and the tessitura is higher than in both previous sections.

Example 12. Pitch materials of the recapitulation.
Considering Webern's pursuit of maximum comprehension with complete unity, and his carefully chosen row combinations cast in the canonic structures, in composing the *Symphony* he has attempted, as Rene Liebowitz wrote, "to derive an abundance of thematic forms from the least possible musical material in the smallest possible space, while at the same time holding all forms to a strict unity."3 Webern himself put it the following way:

Now I must say this: what you see here—cancrizan, canon, etc.--constantly the same thing--is not to be regarded as a "tour de force"; that would be ludicrous. I was to create as many connections as possible, and you must allow that there are indeed many connections here!4

**Klangfarben Techniques**

Mahler once said that in orchestrating his symphonies, he generally would not give a note...

...to an instrument which could negotiate it with ease, but rather to one which could produce it only with difficulty, with constraint, indeed with exaggerated effort, exceeding its natural limitations. For this reason, the bassoons and double basses in my music must often screech in the highest register, while the flutes gasp in the lowest one.5


Liebowitz remarks in his book *Schoenberg and His School* that Webern's special style of orchestration and melodic dispersion is a result of the suppression of individual characteristics of each instrument. This statement suggests that Webern avoided writing in any kind of idiomatic manner for his instruments, that he purposely deprived an instrument of its specific tone-colors. The orchestration of the first movement's initial canon has examples of this unique stylistic trait. In the second horn, measure 3, the low concert G is placed in the lowest part of the instrument's range, which has the tendency for a dark sound and is somewhat unfocused. The F in measure 6 of the clarinet and the D in measure 8 of the bass clarinet are also in the extreme low register of these instruments. In the cello, measure 9, the D is only one step above the lowest possible note on the open C string.

As the first canon of the first movement unfolds from instrument to instrument there is within each part a skip of almost two octaves. The interval is an octave plus a major seventh, and it occurs in the *comes* of the first canon at measure 2 to 3 in the second horn, measures 6 and 15 of the clarinet, and measures 10 and 13 of the cello. These large skips obscure, at times, not only the melodic line, but also the particular instrument that is playing.
The canon stated at the beginning of the first movement is scored and organized in such a way that motives, both melodic and rhythmic, of the dux and comes can be followed and understood in a context of the total texture. In connection with other examples of mirroring structures, the orchestrated sequence of instruments is also mirrored. The first four notes of both canonic voices appear in the horns, the next four notes in the clarinets, and the last four pitches of the first tone-rows appear in the lower strings (cello and viola) (Figure 2). The second tone-rows of the first canon statement are subtly elided with the first rows since the last two pitches of the first row statement are also the first two notes of the second row that is used in the initial canonic phrase. To illustrate this point, in measures 11 and 12 in the cello part, the notes C and E-flat are pitches eleven and twelve of the first row and pitches one and two of the second row. For this reason, the cello while playing the dux of the first canon has six consecutive pitches representing the last four notes of the first series and the first four notes of the second series. Continuing the palindromic structures, the clarinets play the next four pitches of the rows and the canons end in the instruments where they began—the horns.

Apparent in the phrases of the first movement initial canon is the wide diversity in octave placement of pitches.
Figure 2. Instrumentation Series of the Exposition's Canonic Lines

**Exposition—Double Canon**

**Canon I Dux and Pitch Groupings:**

<table>
<thead>
<tr>
<th>horn</th>
<th>clarinet</th>
<th>cello</th>
<th>clarinet</th>
<th>horn</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>4</td>
<td>6</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>

**Canon I Comes and Pitch Groupings:**

<table>
<thead>
<tr>
<th>horn</th>
<th>bass clarinet</th>
<th>viola</th>
<th>bass clarinet</th>
<th>horn</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>4</td>
<td>6</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>

**Canon II Dux and Pitch Groupings:**

<table>
<thead>
<tr>
<th>harp</th>
<th>cello</th>
<th>violin</th>
<th>harp</th>
<th>horn</th>
<th>harp</th>
<th>horn</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3</td>
<td>1</td>
<td>3</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>violin</td>
<td>harp</td>
<td>viola</td>
<td>harp</td>
<td>viola</td>
<td>harp</td>
<td>viola</td>
</tr>
<tr>
<td>4</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>1</td>
<td>7</td>
</tr>
</tbody>
</table>

**Canon II Comes and Pitch Groupings:**

<table>
<thead>
<tr>
<th>harp</th>
<th>viola</th>
<th>violin</th>
<th>harp</th>
<th>horn</th>
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<th>horn</th>
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<tbody>
<tr>
<td>1</td>
<td>3</td>
<td>1</td>
<td>3</td>
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<td>2</td>
<td>2</td>
</tr>
<tr>
<td>viola</td>
<td>harp</td>
<td>violin</td>
<td>harp</td>
<td>cello</td>
<td>harp</td>
<td>cello</td>
</tr>
<tr>
<td>4</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>1</td>
<td>7</td>
</tr>
</tbody>
</table>
Almost all of the intervals used in the melody of the first canon are larger than an octave. The notable exceptions are at the beginning, middle, and end of the canon. The very first interval spans a major sixth, the exact middle interval, measures 11 and 12, a minor third, and at the end of the canon the last two intervals are a minor second and again a major sixth. A previous example shows how large leaps often put an instrument into its extreme low or high range. Another aspect of the melodic form that contributes a sense of discontinuity is the frequent change of melodic direction. In the last three notes of the first canon dux in measures 18 to 20 the horn rises an octave and a major seventh in four pitches. This rising musical gesture without turns brings a certain amount of repose in relation to earlier material. The intervals are smaller and they proceed in the same direction. The calando and diminuendo markings contribute to a sense of cadence at this point. Of course, the following voice of the first canon answers in a descending gesture in measures 20 to 22, mimicking and reinforcing the cadential feeling.

The second canon in the exposition (beginning with the harp in measure 2) acts as an accompaniment to the first. The orchestration of this canon is varied greatly in comparison to the first. Whereas the first canon is organized into groups of four pitches, the second canon
changes its instrumentation much more often (Figure 2). Several other clear and subtle examples contribute to the accompanimental nature of the second canon. One of these is the difference in the number and length of pauses between pitches. The second canon contains more rests than the first canon, and only rarely are pitches connected. The first canon does not exhibit to such an extent this disjunct texture. Also, in the second canon there is use of the harp (it is not used at all in the first canon) and many pizzicati. The second canon changes often from arco to pizzicato, while the first canon has no pizzicato. Included in this survey of the exposition is a comparison of the average relative lengths of the pitches. The first canon contains notes of greater lengths than the second canon. The shortest note in the first canon is the quarter note. In the second canon, though, quarter notes are more prevalent than in the first canon, and there are several grace notes. Dynamics are likewise more varied and active in the second canon than in the first canon which presents a more sustaining line. The first canon has written dynamics between pianissimo and mezzo-piano, while the second canon's dynamics are from pianissimo to forte. Also, within the second canon the voices are highly varied. Activity occurring within the second canon on all levels is greater than in the first canon. For example, there are larger
leaps, more dynamic contrast, greater variety of articulations, numerous different sonorities (pizzicato, arco, muted in the strings and horns, on the bridge, harmonics), and the second canon's instrumentation changes more often. This particular structure of the exposition's double canon creates an impression of varying color continuity. Klangfarbenmelodien in the first canon proceeds at a steady pace, whereas the second canon's tone-color progressions express a more varied and active color continuity than in the first canon.

When the player or listener is aware of these melodic, rhythmic, dynamic and instrumentation characteristics and applications of Klangfarbenmelodien in the melodic lines, it is much easier to separate and follow the canons in the context of Webern's special musical idiom. The varied techniques of Klangfarben as they are used in the canons bestow a combined effect of subliminal unity.

The four part canon of the first movement middle section introduces new Klangfarben techniques in its organization. One of the new applications is in the way the first two voices of the canon begin (Figure 3). In the first canon of the exposition, the dux is introduced by the second horn, and the comes follows two measures later in the first horn. At the beginning of the development though, the clarinet begins both the first and second entrances of the canon in close
Figure 3. Instrumentation Series of the Development Section Four-Part Canon

**Development - Four-Part Canon**

**Dux and Pitch Groupings:**

<table>
<thead>
<tr>
<th>Instrument</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>clarinet</td>
<td></td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>violin</td>
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<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>harp</td>
<td>2</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>violin</td>
<td></td>
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<td></td>
<td>5</td>
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<td></td>
</tr>
</tbody>
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**Comes #1 and Pitch Groupings:**

<table>
<thead>
<tr>
<th>Instrument</th>
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<th>2</th>
<th>3</th>
<th>4</th>
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<th>6</th>
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<tbody>
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<td></td>
<td>1</td>
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<td></td>
</tr>
<tr>
<td>harp</td>
<td></td>
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<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
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**Comes #2 and Pitch Groupings:**

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<th>3</th>
<th>4</th>
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</thead>
<tbody>
<tr>
<td>clarinet</td>
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<tr>
<td>violin</td>
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<td></td>
</tr>
<tr>
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<td></td>
</tr>
<tr>
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</tbody>
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**Comes #3 and Pitch Groupings:**

<table>
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<tr>
<th>Instrument</th>
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<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>viola</td>
<td>3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>horn</td>
<td></td>
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</tr>
<tr>
<td>harp</td>
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<td></td>
</tr>
<tr>
<td>bass clarinet</td>
<td></td>
<td></td>
<td></td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>cello</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>harp</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>2</td>
</tr>
</tbody>
</table>
succession. If the listener is not aware of this, it may appear that the clarinet is only repeating its entrance, instead of actually starting an answering voice of the canon.

The middle section of the first movement repeats itself exactly in cancrizan and there is only one statement of each row. As earlier mentioned, the clarinet begins two voices of the four-part canon. The middle section of the first movement continues in a similar fashion by assigning certain canonic gestures to particular instruments. For example, the fifth and sixth tones of each series are played by the harp (in the cancrizan section they are pitches seven and eight). This example first appears at measure 28 and again at one measure intervals in each of the succeeding voices of the canon. During the middle section, the harp is restricted to playing only these notes and the last two notes of the fourth voice at measure 34 which then turn around and repeat backwards. The type of Klangfarben application that appears in the harp part selectively limits the use of an instrument to a specific melodic gesture. The harp's role in this passage becomes apparent and its function in the canonic structure is recognizable.

As mentioned and diagrammed previously, the pitch material used in the development section of the first movement is greater than the surrounding formal sections. (Refer to Example 11.) However, the middle section exhibits
the most restrictive use of dynamics, notating only between pianissimo (pp) and pianississimo (ppp). There is also a more limited use of note lengths in the development compared to the outer sections. Simply put, there are long notes and short notes. The longer pitches are at least a dotted half note, and the short notes are eighths and grace notes. A careful look at the arrangement of the note lengths will reveal a steady pattern of long-short-short throughout the first part of the development, and the retrograde, short-short-long, in the mirrored second half. The only exceptions to this form appear at the mid-point where the canon turns around on itself. Grace notes consistently appear before the note they are tied to, therefore, in order to continue in the same manner in the cancrizan, certain exceptions to the rule are made at the turn-around point of each voice.

A brief look at these turn-around points will reveal another subtle structural aspect. In the exposition the rows are elided together in such a way that the last two pitches of the first row are also the first two tones of the second row. In the development section, two voices share the first and last pitch at the turn-around point, and the other two voices complete the row before starting again on the initial pitch of the cancrizan. Some sources point out the fact that the two B-flats in voices one and three are missing in the
forward statement, but in fact, the rows are linked together as they are in the exposition. The forward and retrograde statements of these two rows share the B-flats.

*Klangfarben* applications in the paired voices of the quadruple canon are evident when observing the relative tessitura of these coupled parts. The first and third entrances both begin on E and are retrograde inversions of each other. The range of these two voices covers three complete octaves from the B-flat below middle C to the B-flat three octaves higher. Voices two and four are concentrated in the lower spectrum spanning four octaves starting from the B below the bass clef to the A on the first line above the treble clef. The approximate separation of pitch materials used in the paired canons, and how it is subsequently orchestrated, is an example of how Webern applied *Klangfarben* techniques to vary and unite the melodic lines. Careful listening, closer examination of the music, and repeated auditions will gradually illuminate and clarify the seemingly complex textures that are incorporated in this short development section.

It is remarkable how the concentration of such a large gamut of pitches from a limited source of only one row, over a short span of time (barely twenty measures), is so tightly

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and carefully focused into the structure of a quadruple canon in the development section.

The final section, which begins at the end of measure forty-one in the viola, uses the same rows, in the same order, and appear the same number of times as in the exposition. For precisely this reason, many theorists think the first movement is in a sonata form. I tend to agree with this conclusion, but note variations in content and structure.

As in the beginning, the pitch material is limited to a single placement for each note, except the notes A and E-flat which appear now in two different octaves (Example 12). The range is larger in the recapitulation than in the exposition, but is still not as great as the range in the development section. Also, the pitches extend much higher compared to the exposition and even a minor third above the top note in the development.

Whereas, in the exposition all pitch material is organized around the note A in a strictly symmetrical arrangement, in the recapitulation there is no such symmetry or emphasis on the note A. The pitches used in the third section do not clearly express the quartal harmonic structure of the exposition. There is, however, a subtle expression of symmetry in the pitch organization of the final section. In the opening section, the pitch structure is centered on the A
with all other notes encircling at equidistant intervals above and below. In the recapitulation, an inverted symmetrical structure, while not circling around a single pitch, is framed by the notes A that are on the boundaries of the pitch set (Example 13). Situated at the upper and lower extremes, the two notes A act as a telescope and focus attention to the pitch material they encircle. Admittedly, this is quite a subliminal illustration of harmonic symmetry, and is not nearly as obvious as the structure of the exposition.


Klangfarben is applied differently to the rows in the recapitulation even though it is the same pitch material. The order of instrumentation and the number of row members each instrument plays is not symmetrical, and follows no
apparent pattern (Figure 4). However, several aspects show that anarchy has not taken over.

The first canon of the recapitulation uses only strings and clarinet. Harp, horns, and the bass clarinet are reserved for the second canon. The difference in the number of instrumental changes between the two canons is evident. The first canon is similar to the exposition's initial canon in the low frequency of changes, while the second canon changes much more often, as it did in the opening. Incidentally, there are no pizzicati in the development and recapitulation, and the harp, which in the exposition has several half notes, plays only eighth and grace notes for the remainder of the movement. This is a clear-cut example of a selective application of Klangfarben technique of a musical gesture to a specific instrument.

A greater variety of rhythms is used in the recapitulation and it is considerably more active than the earlier sections. Dynamics are more diverse in the recapitulation than in the other sections, as is the repertoire of different articulations.

An aspect of the Klangfarben structure seen in earlier sections, and now in the recapitulation, will emphasize particular aspects of Webern's goals of complete unity and maximum comprehension. Klangfarben techniques used in the particular type of structures employed in op. 21 will produce
Figure 4. Instrumentation Series of the Recapitulation's Canonic Lines

Canon I Dux and Pitch Groupings:

\[
\begin{align*}
\text{viola} & & \text{cello} & & \text{violin} & & \text{viola} & & \text{violin} \\
4 & & 2 & & 8 & & 2 & & 6
\end{align*}
\]

Canon I Comes and Pitch Groupings:

\[
\begin{align*}
\text{violin} & & \text{viola} & & \text{clarinet} & & \text{cello} & & \text{viola} & & \text{clarinet} \\
4 & & 2 & & 5 & & 3 & & 2 & & 6
\end{align*}
\]

Canon II Dux and Pitch Groupings:

\[
\begin{align*}
\text{harp} & & \text{violin} & & \text{horn} & & \text{harp} & & \text{violin} & & \text{horn} & & \text{violin} \\
1 & & 2 & & 1 & & 1 & & 5 & & 2 & & 7
\end{align*}
\]

\[
\begin{align*}
\text{bass clarinet} & & \text{violin} & & \text{harp} & & \text{horn} \\
3 & & 17 & & 1 & & 1
\end{align*}
\]

Canon II Comes and Pitch Groupings:

\[
\begin{align*}
\text{harp} & & \text{clarinet} & & \text{harp} & & \text{cello} & & \text{bass clarinet} \\
1 & & 3 & & 1 & & 3 & & 2
\end{align*}
\]

\[
\begin{align*}
\text{clarinet} & & \text{bass clarinet} & & \text{viola} & & \text{horn} & & \text{violin} & & \text{viola} \\
2 & & 2 & & 4 & & 1 & & 9 & & 13
\end{align*}
\]
several interesting traits in how voices of the canons begin, and in the use of specific instrumentation for certain melodic gestures or motives. To demonstrate: as a result of the organization of pitch materials, i.e., intervals that make up the row, specific rows used, and the orchestration—notably grouping like-family instruments canonically—corresponding passages of the canons are related by color. Examples of this property can be seen in the opening of the first canon in the horns; both begin on A and are retrograde inversions of each other. Another example is the beginning of the development section where the clarinet begins both the first and third canonic entrances on the same pitch, two measures apart; they are also retrograde inversions of each other. The harp figure, also in the development, appears for the first time in measure 28, and is mimicked at each recurring position of the canonic rows. Finally, in measures 47 and 48 in the first violin part, the eighth notes B to B-flat appear twice in close succession but are actually part of different voices in the same canon.

Because of the complex construction of the canons in the recapitulation, they are difficult to perceive and follow. The variation techniques applied to these melodies make them harder to recognize. During the entire first movement there is a progression towards greater activity. In all the parameters concerning Klangfarben there is a sense of
heightened animation and compact expressiveness. The recapitulation's louder dynamics, greater concentration of activity, higher tessitura, increased variety of articulations, and shorter relative note values are impressive and stimulating.

Conclusion

*Klangfarbenmelodien*, an integral part of the construction in Webern's *Symphony* first movement, unifies and gives coherence to the work as a whole. The development and evolution of this technique of composing tone-color melodies was traced in connection with Webern's life, his conducting career, and his works. An example of the development of *Klangfarbenmelodien* was the impression Mahler and Wagner had on the young Webern. The styles of these earlier composers were reflected in early works by Webern, including the *Passacaglia op. 1, Six Pieces op. 6 for Orchestra*, and *Five Pieces op. 10* for Orchestra.

Webern's knowledge and experience in the areas of orchestral repertoire and styles of orchestration, gained as a performer and later as a conductor, was significant in the particular characteristics adopted in his own method of orchestration.

Probably the most rewarding period of Webern's professional career was his involvement with Schoenberg's
Society for Private Musical Performance. Though the Society lasted only into its fourth season, it was important because of the considerable diversity of works performed and the grand forum the Society allowed for the exchange of ideas and aesthetic views.

Other major influential links in Webern's music were Goethe's Urpflanze theory, the artistic tenets of Der blaue Reiter group, and Webern's love of nature.

Style characteristics in Webern's music were recorded and discussed in terms of the following:

1) the parameters of dynamic control, contrast, and extremes (usually in the very soft);
2) the octave displacement and position of individual melodic pitches;
3) symmetry and palindromic structures in the tone-rows, canons, and larger external forms;
4) the economy of means; and,
5) the severe compression and concentration of material resulting in the exaggerated brevity of his works.

In Webern's Symphony the above characteristics and the application of Klangfarben techniques were investigated to discover their effect on the comprehension and unity of the first movement. The organization of these Klangfarben techniques and their effect in the presentation of the melodic lines were reviewed in terms of timbre, octave
register, dynamics, articulation, durations, rhythm, and instrumentation. The combination of the canonic lines were also shown to create a "harmonic" structure of sorts but in a self-contained frame of reference.

Klangfarbenmelodien in the Symphony is tightly organized and integrated within the musical materials. It is the technique which Webern uses to present his melodic lines through a wide-color spectrum in an elaborate instrumental palette of delicately tinted hues.

Stravinsky described Webern's music as "dazzling diamonds." Schoenberg wrote that Webern could "convey a novel through a single gesture, or joy in a mere breath."

The compact and penetrating beauty of Webern's Symphony might have been described by the poet William Blake, who begins the Auguries of Innocence with these four lines:

To see a World in a Grain of Sand
And a Heaven in a Wild Flower
Hold Infinity in the palm of your hand
And Eternity in an hour.
APPENDIX
My dissertation project involved the presentation of four recitals: three conducting recitals and one lecture recital. The repertoire chosen demonstrated the ability to prepare and conduct a variety of instrumental and vocal forces, and to project musical style and interpretation of different historical periods. Copies of the dissertation programs are displayed in the following five pages.

The lecture recital, *Klangfarbenmelodien* in Anton Webern's *Symphony, op. 21*, first movement, began with a brief introduction and the first of two performances of the *Symphony*. Following this initial audition, I discussed Webern's concept of *Klangfarbenmelodien*, the genesis of *op. 21*, structural characteristics, and specific *Klangfarben* techniques in the first movement. As an illustration of some of these tone color melodies, during the lecture I isolated and performed the opening double canon with the ensemble one voice at a time and in combination with the other canonic lines.

The second performance of the *Symphony* concluded the lecture.

Tape recordings of all performances submitted as dissertation requirements are on deposit in the University of North Texas Library.
North Texas State University
School of Music

Graduate Recital

RICHARD DIRLAM, Conductor

Monday, October 6, 1986    8:15 p.m.    Concert Hall

Water Music ....................... Handel
   Allegro - Andante - Allegro
   Air
   Bourree
   Alla Hornpipe

Sept Haikai ....................... Messiaen
   I Introduction
   II Le parc de Nara et les lanternes de pierre
   III Yamanaka - cadenza
   IV Gagaku
   V Miyajima et le torii dans la mer
   VI Les oiseaux de Karuizawa
   VII Coda

Presented in partial fulfillment of the
requirements for the degree of
Doctor of Musical Arts
Program

Carl Maria von Weber             Der Freischutz Overture

Richard Dirlam, DMA Conducting Candidate

Max Bruch

Concerto for Viola, Clarinet and Orchestra, Op. 88

I Andante con moto
II Allegro moderato
III Allegro molto

George Papich, Viola
James Gillespie, Clarinet
Serge Zehnacker, Conductor

Intermission

Antonín Dvořák                  Symphony No. 9 ("New World")

in e minor, Op. 95

I Adagio
II Largo
III Scherzo. Molto vivace
IV Allegro con fuoco

Serge Zehnacker, Conductor

Wednesday, February 11, 1987
8:15 p.m., NTSU Concert Hall
Program

Maurice Ravel  
Le tombeau de Couperin  
I Prélude  
II Forlane  
III Menuet  
IV Rigaudon  

Richard Dirlam, DMA Conducting Candidate

Paul Ramsier  
Divertimento Concertante on a Theme of Couperin  
I Barcarolle  
II March  
III Dirge  
IV Recitativo  
V Valse Cinematique  
VI Toccata Barocca  

Gary Karr, Double Bass  
Serge Zehnacker, Conductor

INTERMISSION

Joseph Haydn  
Symphony No. 101 "The Clock" in D Major  
I Adagio; Presto  
II Andante  
III Menuet, Allegretto  
IV Finale, Vivace  

Richard Dirlam, DMA Conducting Candidate

Thursday, March 5, 1987  
8:15 p.m.  
NTSU Concert Hall
PROGRAM

Flos Campi
Ralph Vaughn Williams

George Rosenbaum, Viola
Richard Dirlam, Conductor

Cello Concerto No. 1, Op. 33, A Minor Camille Saint-Saëns
Allegro non troppo
Allegretto con moto
Allegro non troppo; un peu moins vite
(Movements played without pause)

Adolfo Odnoposoff, Cello
Serge Zehnacker, Conductor

INTERMISSION

Symphony No. 31, D Major, K297 "Paris" Wolfgang Amadeus Mozart
Allegro assai
Andantino
Allegro

Richard Dirlam, Conductor

Thursday, February 16, 1989
8:15 p.m.
UNT Concert Hall
UNIVERSITY OF NORTH TEXAS
School of Music

presents

Graduate Lecture Recital

Richard Dirlam, Conductor

KLANGFARBEN TECHNIQUES IN ANTON WEBERN'S SYMPHONY OP. 21, FIRST MOVEMENT

Anton Webern Symphony op. 21

I Ruhig schreitend
II Variationen

Presented in partial fulfillment
of the requirements for the degree
of Doctor of Musical Arts

Monday, April 24, 1989
5:00 p.m.
Concert Hall
BIBLIOGRAPHY

Books


**Articles**


Hartwell, Robin. "Duration and Mental Arithmetic: The First Movement of Webern's First Cantata," Perspectives of New Music, Vol. 23 (Fall-Winter 1984), 348-359.


_____. "Theory and Practice in 12-Tone Music (Stadler Reconsidered)," *The Score*, No. 25 (June 1959), 58-64.


_____. "Webern Symposium," The Score, No. 25 (June 1959), 65-68.


