Introduction: Schubert as Vanishing Point

> Perhaps a more overrated man than this Schubert never existed. He has certainly written a few good songs. But what then? Has not every composer who ever composed written a few good songs? And out of the thousand and one with which Schubert deluged the musical world, it would, indeed, be hard if some half-dozen were not tolerable. And when that is said, all is said that can be justly said about Schubert.[1]
>
> – James William Davison

Schubert, one might argue, has had his day in the analytical sun. The past four decades of close exegesis of his music have resulted in a welcome and much-needed reappraisal of his instrumental forms, particularly his idiosyncratic harmonic and formal practices.[2] The disparity between the composer's popularity as a song composer during his lifetime and the neglect and misunderstandings colouring the posthumous reception of his symphonies, string quartets, and piano sonatas is now something of a distant memory, summoned either for the salacious quotations (such as the one at the beginning of this section) or to illustrate the distance separating modern Schubert scholarship from that of earlier generations. Schubert's instrumental works have become some of the most frequently and skillfully analysed compositions in what might be called the music-analytic canon, contributing vitally to areas including sketch studies, performance practice, the new *Formenlehre*, gender theory, and the theory of emotion, to name but a few. They are also the primary catalyst for critical reflection on existing music-analytic theories leading to the development of new and

[1] James William Davison, review in *The Musical World*, 13 June 1844, cited in Charles Reid, *The Music Monster: A Biography of James William Davison, Music Critic of* The Times *of London, 1846–78* (London: Quartet Books, 1984), 143.

[2] A representative cross section of this scholarship can be witnessed in James Webster, 'Schubert's Sonata Form and Brahms's First Maturity', *19th-Century Music*, 2/1 (1978), 18–35; Suzannah Clark, *Analyzing Schubert* (Cambridge: Cambridge University Press, 2011); the Special Issue on Schubert's String Quintet in C Major, D956 in *Music Analysis*, 33/2 (2014); *Rethinking Schubert*, ed. Lorraine Byrne Bodley and Julian Horton (New York: Oxford University Press, 2016); *Schubert's Late Music: History, Theory, Style*, ed. Lorraine Byrne Bodley and Julian Horton (Cambridge: Cambridge University Press, 2016), and *Drama in the Music of Franz Schubert*, ed. Joe Davies and James William Sobaskie (Woodbridge, Suffolk: The Boydell Press, 2019).

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sophisticated analytical approaches and theoretical models.[3] Schubert, as Suzannah Clark wrote in 2002, has become 'the new pearl of wisdom', and this recent 'flowering of theoretical and analytical engagement . . . has', as Lorraine Byrne Bodley noted, 'placed [him] at the centre of mainstream music theory'.[4] What, therefore, *is* there left to say?

The opening epigraph, perhaps implausibly, goes some way towards suggesting an answer. Understanding Davison's remarks necessitates an awareness of the impact of delayed posthumous dissemination on the reception history of Schubert's instrumental music *as well as* a recognition of its continued relevance to scholarship today. The review dates from 1844 when Davison attended the sixth concert of the Royal Philharmonic Society on 10 June, during which Mendelssohn conducted Schubert's overture to *Fierrabras* (D796), having failed to convince the orchestra to perform the 'Great' C-Major Symphony. Davison's specific comments on the overture held it 'literally beneath criticism', but it is his complete dismissal of Schubert as a composer which is the most revealing element of his review: aside from some songs, he asks, what has Schubert written?[5] Of course, Davison was not to blame for what we might recognise as the sciolism of this remark, given that in 1844 not a single one of Schubert's symphonies was available in print, and this very concert marked the première of an orchestral work by the composer in England. Schubert's renown – his centrality – was that of a song writer, a fact that complicated and dominated his emerging reputation as an instrumental composer, leading, more often than not, to less-than-favourable reviews of his 'new' instrumental works.[6] Even when serious intellectual engagement with this music took

[3] The application of Neo-Riemannian theoretical approaches to Schubert's harmony is one such development. See Richard Cohn, '"As Wonderful as Star Clusters": Instruments for Gazing at Tonality in Schubert', *19th-Century Music*, 22/3 (1999), 213–32; David Kopp, *Chromatic Transformations in Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2002), and Clark, *Analyzing Schubert* and 'On the Imagination of Tone in Schubert's *Liedesend* (D. 473), *Trost* (D. 523), and *Gretchens Bitte* (D. 564)', in *The Oxford Handbook of Neo-Riemannian Music Theories*, ed. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 294–321. These are complemented by the extended Schenkerian approach in David Damschroder, *Harmony in Schubert* (Cambridge: Cambridge University Press, 2010) and the spatial theory of harmonic geometry advanced in Jason Yust, 'Schubert's Harmonic Language and Fourier Phase Space', *Journal of Music Theory*, 59/1 (2015), 121–81, and 'Ganymede's Heavenly Descent', *Music Analysis*, 39/1 (2020), 50–84.

[4] Suzannah Clark, 'Schubert, Theory and Analysis', *Music Analysis*, 21/1 (2002), 209–43 (209), and Lorraine Byrne Bodley in *Rethinking Schubert*, 1.

[5] Davison, cited in Reid, *The Music Monster*, 143.

[6] A factual account of the emergence of Schubert's instrumental music in the nineteenth century is found in Christopher H. Gibbs, 'German Reception: Schubert's "Journey to Immortality"', in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (Cambridge: Cambridge

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hold (initiated by Robert Schumann's 1840 review of the 'Great' C-Major Symphony in the *Neue Zeitschrift für Musik*), it did so under the impression that this was the (perhaps misguided) work of an otherwise-disposed composer: these were the symphonies or string quartets of Franz Schubert, der Liederfürst.[7] Their unusual harmonic strategies were criticised as remote and illogical digressions, and their expansive dimensions were seen to betray Schubert's inability to control the materials of his form.[8] John Hullah exemplified this nineteenth-century bias towards Schubert the songwriter:

> The isolated songs of Schubert . . . place him in general estimation, and deservedly, at the head of all song-writers, of whatever age or country. As a practitioner on a more extended scale, a composer of symphonies and of chamber music . . . his place is lower. He is rich in, nay replete with, ideas of which he is rather the slave than the master.[9]

Even into the twentieth century, Schumann's championing of Schubert's 'heavenly lengths' was construed as an apology – a thinly veiled attempt to defend the prolixity of Schubert's instrumental idiom by emphasising the music's expansive beauty.[10] And so, the perceived opposition between vocal and instrumental composition underwrote Schubert's reception: for many authors, Schubert's gift for melody was suited to *Kleinigkeiten*, but restricted his ability in large-scale form.[11] Consequently, the widely

University Press, 1997), 241–53. It is instructive to contrast this with the contemporaneous reception of Schubert's music in England in John Reed, 'Schubert's Reception in Nineteenth-Century England', in *The Cambridge Companion to Schubert*, 254–62 and in Clark, *Analyzing Schubert*, 26–39.

[7] On the 'Prince of Song' see Albert Sadler, 1853 (*SMF* 215) and Dolf Six, *Liederfürst Franz Schubert und Wien 1828–1928* (Wien: Kommissions-Verlag Wolfram 1928).

[8] This was an opinion advocated even by members of Schubert's close circle. In an undated letter from early 1829, for example, Joseph von Spaun wrote to Eduard von Bauernfeld that Schubert's instrumental compositions were 'less interesting and partly less successful' than his Lieder, continuing: 'For all the admiration I have given the dear departed for years, I still feel that we shall never make a Mozart or a Haydn of him in instrumental and church composition, whereas in song he is unsurpassed.' Spaun's letter to Bauernfeld, quoted in *SDB*, 895–6. See also Franz Brendel's dismissal of Schubert's instrumental music in favour of the Lieder in his *Geschichte der Musik in Italien, Deutschland und Frankreich*, Vol. 2 (Leipzig: 1855), 176–8.

[9] John Hullah, *The History of Modern Music: A Course of Lectures Delivered at the Royal Institution of Great Britain* (London: Longmans, Green, Reader, and Dyer, 1875), 188.

[10] Richard Aldrich of *The New York Times* described Schumann's epithet as 'a euphemism, for what [Schumann] realized as a defect'. See Aldrich, 'The Heavenly Lengths in Schubert', *The New York Times*, Section 8, Drama, Music, Art, Fashions (Sunday November 9, 1919), 3.

[11] Such negative appraisals appeared during the late nineteenth and early twentieth centuries in the work of, inter alia, John Hullah (1875), Henry Heathcote Statham (1883), Daniel Gregory Mason (1906), George Grove (1908), and Richard Aldrich (1919).

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celebrated lyricism of Schubert's music is intimately bound up with the critical reception of the instrumental music.

Davison's comments, then, open up a host of questions regarding the perceived dichotomy between vocal and instrumental composition in the reception of Schubert's music, a dichotomy captured by Carl Dahlhaus's notion of the *Stildualismus* underpinning the history of nineteenth-century music and exemplified by Beethoven and Rossini.[12] The fact that Schubert traversed the instrumental/vocal boundary by imbuing his instrumental compositions with the quality of lyricism means that he straddles both sides of that opposition uneasily.[13] His marginalisation is further underwritten by the disciplinary remnants of Beethoven's centrality to the formalisation of music theory in the nineteenth and early twentieth centuries. It has long been acknowledged that Beethoven's middle-period works proved vital to two of arguably the most influential music-theoretical paradigms: Adolf Bernhard Marx's theory of musical form, and Heinrich Schenker's hierarchical theory of voice-leading and underlying structure.[14] In 1994, Charles Rosen recognised that this 'has unnaturally restricted analysis by limiting it almost entirely to methods of examination relevant to [Beethoven's] music.'[15] Around the same time, Scott Burnham, in his influential *Beethoven Hero*, placed this into a specifically Schubertian context:

[12] Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), esp. 8–16.

[13] Suzannah Clark has traced the influence of the *Stildualismus* on the reception of Schubert's instrumental music in Clark, 'Rossini and Beethoven in the Reception of Schubert', in *The Invention of Beethoven and Rossini: Historiography, Analysis, Criticism*, ed. Nicholas Mathew and Benjamin Walton (Cambridge: Cambridge University Press, 2013), 96–119.

[14] See Adolf Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997). As well as creating a complete edition of Beethoven's piano sonatas for Universal Edition (Leipzig and Vienna, 1926), Heinrich Schenker turned repeatedly to Beethoven's music in the explication of his music theory over the course of his career. The treatment of Beethoven's music in *Harmonielehre*, for instance, exceeds that by any other composer (see Schenker, *Harmonielehre* [Stuttgart: J. G. Cotta'sche Buchhandlung Nachfolger, 1906]). The 'Eroica' analysis (*Meisterwerk III*) is perhaps the most representative case of the importance of mid-period Beethoven for mature Schenkerian thought (see Schenker, 'Beethovens Dritte Sinfonie zum erstenmal in ihrem wahren Inhalt dargestellt', *Das Meisterwerk in der Musik, Jahrbuch III* [Munich: Drei Musik Verlag, 1930]). An informative overview of Beethoven's centrality for Schenker's thought and published works by Ian Bent and William Drabkin can be found at the website, Schenker Documents Online, https://schenkerdocumentsonline.org/index.html, accessed 12 November 2021.

[15] Charles Rosen, *The Frontiers of Meaning: Three Informal Lectures on Music* (New York: Hill and Wang, 1994), 56.

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> From Theodor Adorno to Carl Dahlhaus and Susan McClary, Schubert's music is consistently characterized as non-Beethovenian rather than as Schubertian. We can hardly begin to talk about Schubert in any other terms . . . The heroic style controls our thinking to the extent that it dictates the shape of alterity: it is the daylight by which everything else must be night.[16]

While the analysis of Schubert's harmonic and formal idioms has now largely broken free of its Beethovenian inclinations, there nonetheless remains a distinct 'logic of alterity' in the adopted interpretative metaphors and gender categorisations which sustain the antithetical positions of these two composers.[17] Partly in response to the issue to which Rosen and Burnham gave voice, subsequent scholarship transformed Schubert's 'otherness' into a positive attribute by focusing on what Lawrence Kramer terms Schubert's desire to 'represent deviation as affirmation, as positive difference rather than default, as desirable lack rather than insufficiency'.[18] Even here, Schubert's music is understood as exposing an *absence* (of logic, of dynamism), even if that absence is a self-conscious one. Thus, celebrating Schubert's difference still comes at a price, a tacit understanding that in their indifference to key concepts such as teleology and dialectical synthesis these practices represent a retreat into subjectivity and a *negation of formal responsibility* rather than a re-negotiation of it.[19]

In the analytical realm, the ramifications of this took the form of a rich, and richly contested, scholarly debate: the [un]suitability of Schubert's lyrical idiom to Classical sonata form. This was given extended consideration in Felix Salzer's 1928 essay, 'Die Sonatenform bei Franz Schubert', which was the first direct engagement with the notion of the lyric in Schubert's instrumental music and remains one of the most detailed analytical accounts of the phenomenon.[20] But Salzer's view had pre-echoes in the work of earlier writers such as Daniel Gregory Mason:

[16] Scott Burnham, *Beethoven Hero* (Princeton, NJ: Princeton University Press, 1995), 155.

[17] Lawrence Kramer, *Classical Music and Postmodern Knowledge* (Berkeley, London: University of California Press, 1995), 34. As an example of how endemic such categorisations became, see Volker Kalisch, 'Wie "männlich" ist Schuberts Es-Dur Klaviertrio (D. 929)?', *Schubert Jahrbuch* (1998), 113–23. The topos of alterity in Schubert's reception history is summarised in the introduction to *Schubert*, ed. Julian Horton (Farnham, Surrey: Ashgate, 2015), ix–xxxiv.

[18] Lawrence Kramer, *Franz Schubert: Sexuality, Subjectivity, Song*, Cambridge Studies in Music Theory and Analysis (Cambridge: Cambridge University Press, 1998), 2.

[19] In arguing that Schubert's sonata forms collectively represent 'the functional negation of all thematic, dialectical development', Adorno's 1928 essay has proved influential in this regard. See Adorno, 'Schubert (1928)', trans. Beate Perrey and Jonathan Dunsby, *19th-Century Music*, 29/1 (2005), 3–14 (11).

[20] Felix Salzer, 'Die Sonatenform bei Franz Schubert', *Studien zur Musikwissenschaft*, 15 (1928), 86–125. Salzer's essay has appeared in English translation by Su Yin Mak, 'Felix Salzer's "Sonata

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> The chief faults of Schubert's instrumental works – and they are grave ones – result in part from his way of composing, and in part from the untraversable opposition between the lyrical expression native to him and the modes of construction suitable to extended movements.[21]

This argument centred on the idea that lyricism is primarily associated with vocal genres, and the descriptor 'lyrical' often taken to denote 'any passage whose purpose is relative relaxation away from dramatic pressure and whose content is relatively melodic rather than merely motivic', thus, shunning the drama and motivic derivation of the Classical sonata.[22] Its amalgamation into the realm of serious instrumental music therefore amounts to a clash of aesthetic priorities: as Donald Francis Tovey put it, 'Schubert's large instrumental forms are notoriously prone to spend in lyric ecstasy the time required *ex hypothesi* for dramatic action.'[23] How lyric themes behave was also seen as inimical to sonata form. According to Salzer, the lyric reveals a tendency to proceed by repetition; it lacks developmental strategy and organic inevitability, and its internalised perspective tends towards recollection and retrospection rather than goal-orientation. These qualities – symptoms of the self-containment and self-sufficiency of Schubert's themes – contravene what Salzer, following Schenker's teachings, calls the sonata's 'improvisatory element' which is thereby conspicuously absent from Schubert's sonatas.[24] Thus, paradoxically, Salzer argues that 'the stable forms of lyricism represent dissipation rather than order, and that improvisation is an agent of discipline rather than freedom'.[25] Schubert's lyrical themes, in other words, are simply too stable to give way to rigorous motivic development and instead proceed

Form in Franz Schubert" (1928): An English Translation and Edition with Critical Commentary', *Theory and Practice*, 40 (2015), 1–121.

[21] Daniel Gregory Mason, *The Romantic Composers* (New York and London: Macmillan, 1906), 97–8. See also Mason's 'Franz Schubert, Romanticist', *New Outlook*, 82/11 (1906), 311–15, especially his comment that the second theme of the 'Unfinished' Symphony' is like a stanza or strophe . . . it is an instrumental song. And, like a song, it is complete in itself, not subjected to development', 313.

[22] Nicholas Toller, 'Gesture and Expressive Purpose in Schubert's Instrumental Music of 1822–28', unpublished PhD dissertation, University of Hull (1987), 74.

[23] Donald Francis Tovey, 'Tonality', *Music & Letters* 9/4, Schubert Number (1928) 341–63 (348). It is surely no coincidence that Tovey made these remarks in the context of a discussion of Rossini's influence on Schubert. For Tovey, certain Schubertian fingerprints such as the mixture of the minor and major modes were direct consequences of Rossini's influence: 'Schubert, who was thoroughly seasoned by the Rossini fever which devastated musical Vienna in the 'twenties, took this over with many of the Italian expressions.' (348)

[24] I engage in more detail with Salzer's reading of Schubert's sonata forms and with the centrality of the 'improvisatory element' to it in Chapter 1. Salzer first became acquainted with Schenker's teachings through studying with Hans Weisse, and later (after 1931) with Schenker himself. See Mak, 'Felix Salzer's "Sonata Form in Franz Schubert" (1928)', 2.

[25] *Ibid*., 2.

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via expansion.[26] This results not only in a dissipation of order, but also a distinguishing lack (of dynamism, of drama, of development, of shape). Instrumental lyricism, under Salzer's model, ultimately represents an *absence of form*.[27]

The historiographical picture emerging from this suggests that the narrative of alterity in Schubert's reception results not only in marginalisation (which has largely been addressed), but also in a misguided perception of absence or loss: a loss of formal responsibility tied to a lyrical condition that leads ultimately to a negation of form.[28] Schubert's music, it seems, offers us not more, but tangibly less. It encourages us to reflect on loss as an aesthetic concept, to experience the self-conscious absence of goal-direction and to bask in the sonorous beauty of the present moment without consideration of its relationship to an idea of the 'whole'.[29] As such, it offers us not so much an alternative to Beethoven's music, as the loss of its defining aesthetic:[30]

> For romanticism's stepchildren of Schubert's generation, the operative paradigm could no longer be heroism but had perforce become loss, and self-consciousness could no longer confidently inhabit telos but must perforce come to terms with the memories of loss.[31]

[26] A candid and convincing rebuttal of the idea that thematic expansion is not constitutive of development can be found in Poundie L. Burstein, 'Lyricism, Structure, and Gender in Schubert's G Major String Quartet', *The Musical Quarterly*, 81/1 (1997), 51–63.

[27] The idea of an absence of formal logic is echoed in Arnold Whittall's comment that 'Schubert's "freedom" from the dominant encouraged him to inflate his expositions, but suggested no new structural principle'. Whittall, 'The Sonata Crisis: Schubert in 1828', *Music Review* (1969), 124–30 (130).

[28] The poetics of loss can be traced back to the etymology of *lyric*, the term used to describe a collection of texts that were gathered together in the Alexandrian period which had been excised from the music that once accompanied them in performance as song. Thus, *lyric* described 'a music that could no longer be heard', and lyric poetry represented 'a lost collective experience' of song. See Virginia Jackson, 'Lyric' entry in the *Princeton Encyclopedia of Poetry and Poetics*, ed. Roland Greene, Stephen Cushman, Clare Cavanagh, Jahan Ramazani, and Paul Rouzer (Princeton, NJ: Princeton University Press, 2012), 826–34 (826).

[29] On this, see Scott Burnham, 'Schubert and the Sound of Memory', *The Musical Quarterly*, 84/4 (2000), 655–63.

[30] The perception of loss, or absence, that I invoke here should be distinguished from the aesthetics of loss (of a past happiness or lost innocence, of a previous time or state of being) to which Schubert's music often gives voice and which may be captured in the phrase from Schiller's *Die Götter Greichenlands* that Schubert set as his D677 (1819): 'Schöne Welt, wo bist du?'. On this, see Nicholas Rast, '"Schöne Welt, wo bist du?": Motive and Form in Schubert's A Minor String Quartet', in *Schubert the Progressive: History, Performance Practice, Analysis*, ed. Brian Newbould (Aldershot: Ashgate, 2003), 81–8 and Benedict Taylor, 'Schubert and the Construction of Memory: The String Quartet in A Minor, D. 804 ("Rosamunde")', *Journal of the Royal Musical Association*, 139/1 (2014), 41–88.

[31] John Gingerich, 'Remembrance and Consciousness in Schubert's C-Major String Quintet, D. 956', *The Musical Quarterly*, 84/4 (2000), 619–34 (629).

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But what if we were to reverse this comparison? What would be the result of replacing the centre (Beethoven/dynamism) with the margins (Schubert/lyricism)? Schubert, after all, resides at the very epicentre of the move towards a lyrical conception of form in the nineteenth century and his contributions are therefore fundamental rather than peripheral. Foregrounding – *centring* – these would open up the possibility of defining the lyric based on what it is, rather than continuing to define it by what it is assumed to lack. Equally, it would allow an interpretation of Schubert's music qua Schubert, a call made by many Schubertian scholars before me.[32] This process, then, is less a de-centring of Beethoven than it is a reframing of Schubert as central to the development of nineteenth-century lyric form.[33]

To do this, we need to shift the perspective of enquiry, to consider the lyric not as a negation of form, but as a distinct formal category in itself – a palpable presence, rather than a perceived absence. We need, moreover, to move beyond its role as topic, mood, or melodic descriptor to a consideration of its aptitude as a category of form with specific and identifiable temporal associations and significations. The work of scholars such as Carl Dahlhaus, James Webster, Hans Joachim-Hinrichsen, Robert Hatten, Poundie Burstein, Julian Horton, and, most crucially, Su Yin Mak is central in this regard because it lays the foundations upon which a more developed concept of lyric form can be advanced for Schubert's music.[34] Although distinct in methodology and focus, this body of work extends the remit of the lyric beyond the consideration of theme types and phrase

[32] This urge can be traced back to at least 1978 with the appearance of Dahlhaus's 'Die Sonatenform bei Schubert: Der erste Satz des G-dur-Quartetts D 887', *Musica*, 32 (1978), 125–30 and Walter Gray, 'Schubert the Instrumental Composer', *The Musical Quarterly*, 64/4 (1978), 483–94.

[33] James Webster's classic Brahms/Schubert pairing points at least partially in this direction; see Webster, 'Schubert's Sonata Form'.

[34] See Carl Dahlhaus, 'Sonata Form in Schubert: The First Movement of the G-Major String Quartet, Op. 161 (D. 887)', in *Schubert: Critical and Analytical Studies*, translated by Thilo Reinhard and ed. Walter Frisch (Lincoln: University of Nebraska Press, 1986), 1–12; Webster, 'Schubert's Sonata Form'; Hans-Joachim Hinrichsen, *Untersuchungen zur Entwicklung der Sonatenform in der Instrumentalmusik Franz Schubert* (Tutzing: Hans Schneider Verlag, 1994) and 'Die Sonatenform in Spätwerk Franz Schuberts', *Archiv für Musikwissenschaft* 45/1 (1988), 16–49; Robert S. Hatten, 'Schubert the Progressive: The Role of Resonance and Gesture in the Piano Sonata in A, D. 959', *Intégral*, 7 (1993), 38–81; Burstein, 'Lyricism, Structure, and Gender'; Su Yin Mak, 'Schubert's Sonata Forms and the Poetics of the Lyric', *Journal of Musicology*, 23/2 (2006), 263–306 and *Schubert's Lyricism Reconsidered: Structure, Design, and Rhetoric* (Saarbrücken: Lambert, 2010); Julian Horton, 'Stasis and Continuity in Schubert's String Quintet: Responses to Nathan Martin, Steven Vande Moortele, Scott Burnham and John Koslovsky', *Music Analysis* 33/2 (2014), 194–213.

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construction which characterised the work of Salzer and, to an extent, Theodor Adorno, thereby disentangling the lyric's affective characteristics from its formal functions.[35] Thus, similarly motivated, this study takes up the challenge obliquely bequeathed by the work of these authors: to set out the criteria for a definition of Schubert's lyric form.

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To that end, this study is underpinned by two interrelated convictions. First, that the lyricism of Schubert's music extends to aspects of form and articulates the dialectical condition of *lyric teleology*.[36] I regard these terms not so much in the traditional way as thesis/antithesis, but rather as forming a kind of oxymoronic synthesis, which I attempt to deconstruct in the ensuing chapters. Second, that Schubert's chamber music for strings is representative of this condition in a special way since it was there that the young Schubert first gave voice to some of his most characteristic formal innovations which were brought to new heights of sophistication in his last three quartets and the Quintet in C, D956. This dual focus is reflected in the two chapters comprising this book's Part I: Chapter 1 considers the conditions under which the lyric can be said to possess a dialectical nature, and Chapter 2 attends to the history and reception of the quartets, uncovering the historical and ideological reasons for the neglect of the earliest works. The centrality of the quartet to this study is symbolic of the immense personal and creative importance the genre held for Schubert at the extremities of his artistic life: as well as providing the medium through which his development as a composer of sonata forms can be traced, it is also the site of Schubert's transition from a composer of Biedermeier *Hausmusik* (1810–16) to the monumental achievements of his so-called Beethoven Project (1824–8).[37] The pre-1816 quartets in particular are crucial in identifying lyric teleology's formal markers; consequently, each of the analytical chapters couples an early work with a later one, permitting

[35] See, for example, the affinities drawn by Mak between Schubert's instrumental lyricism and the discursive strategies of poetry. Mak, 'Schubert's Sonata Forms'.

[36] This formulation was used by Horton as a descriptor for Schubert's D956; see 'Stasis and Continuity in Schubert's String Quintet', 212.

[37] The idea that Schubert saw the quartet as a vehicle for formal experimentation and innovation stems from the composer himself. Recall the letter to Leopold Kupelwieser of 31 March 1824 in which Schubert details his aspirations towards mature symphonic composition: 'I wrote two quartets for violin, viola and violoncello and an Octet, and I want to write another quartet, in fact I intend to pave my way towards a grand symphony in that manner'. *SDB*, 339.
A reappraisal of this letter is central to John M. Gingerich's thesis in Gingerich, *Schubert's Beethoven Project* (Cambridge: Cambridge University Press, 2014).

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a more robust understanding of the compositional affinity they share with the quartets of the last years.

That is not to deny that many of the formal fingerprints explored in this study are also detectable in other genres – the 'Unfinished' and 'Great' C-Major symphonies would provide fertile ground for an investigation of Schubert's lyric teleology in the public sphere as well as its influence on later nineteenth-century symphonism. But the symphonies do not display the same concentration of episodic construction across Schubert's career as do the quartets, and thus what is relevant in a symphonic (or piano-sonata) context is not necessarily transferable to Schubert's quartets. For instance, Horton's comparative analysis of the thematic syntax of Schubert's Fifth and 'Unfinished' symphonies sees no trace of the episodic design or extreme juxtapositions of the 'Unfinished' in the earlier work, concluding that 'if Schubert's great innovation in sonata practice was the incorporation of lyric elements, then in a symphonic context this interpenetration occurs as part of the shift of symphonic priorities after 1822'.[38] While this is borne out by Horton's analytical evidence, the same conclusion cannot be drawn in the case of the string quartets. On the contrary: if the stylistic chasm dividing the early and late symphonies is a symptom of the comparative lack of lyric elements pre-1822, then in the string quartets, stylistic differences mask formal affinities. Thus, while acknowledging the difference in style and assuredness between the quartets of Schubert's youth and his full maturity, yet in this generic context there are fundamental formal fingerprints of the lyric perceptible across the early–late divide which justify their treatment as a defined and delimited corpus of works in this study.

Furthermore, since many of the musical features defining Schubert's lyric teleology are concentrated in opening movements, my analyses give special focus to the first movements of these works, with passing mention to other movements where relevant. Although such prioritisation might lead to disenchantment for some readers, it is necessary for a thick analytical exploration of the concepts central to the book's thesis and thus I hope can be forgiven. Similarly, I do not confront the questions of interpretation and performance raised by my analyses despite their attraction: how would a performer, if so moved, articulate in performance the kind of stratified formal design I develop in Chapters 4 and 5? Is the parataxis of this music something to be brought out in performance, or should a performer aim for a more coherent, or linear, reading, one which establishes a single interpretative pathway, so to speak? And what might paratactic (or for that

[38] *Schubert*, ed. Horton, xxvi.

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matter hypotactic) performance equate to and is it even desirable to adopt such terms in the realm of performance studies? Jeffrey Swinkin's work addresses these questions, among others, and his consideration of paratactic performance presents a complementary side of the Adornian reading of Schubert presented in the analytical chapters of this study.[39]

My focus remains the explication and demonstration of Schubert's development of a lyrically conceived teleology which brings together matters of form, expression, and musical temporality in the service of fresh intellectual engagement. At base, lyric teleology describes a condition whereby lyric material serves a developmental or teleological function. I first developed the idea that the repetitive and paratactic tendencies of Schubert's music can be understood as functionally teleological (rather than tautological) in my doctoral dissertation, wherein I posited that teleology can productively be disrobed of its specifically Beethovenian connotations and understood in a more fundamental light as 'ascribing to music a sense of directed purpose'.[40] Here, that idea is further developed in relation to the lyric by disassociating teleology from the need to sound dynamic, instead considering how lyrical material and processes can articulate purpose and direction.[41] Moreover, I bring the concept into dialogue with a growing body of scholarship seeking to understand better nineteenth-century form and syntax, thereby situating my work within the burgeoning field of the new *Formenlehre*.[42]

A basic premise upon which my conception of lyric teleology rests is that a good deal of what we have come to accept, indeed celebrate, in Schubert's lyric *idiom* is ill-fitting for understanding how lyric *form* is articulated in his instrumental works. Specifically, the lyric is all-too-frequently viewed as occupying one side of a binary opposition, on the other threshold of which looms the daunting figure of Beethoven, or, more accurately, an idealised version of Beethoven's 'heroic' style. Such accounts serve ultimately to maintain Schubert's alterity with respect to Beethoven: the lyric is pitted against the dramatic, stasis against the improvisatory impulse, repetition against development, and parataxis against hypotaxis, in an attempt to define Schubert's distinctiveness. In maintaining these antithetical

[39] See Jeffrey Swinkin, 'Paratactic Performance: Toward an Adornian Theory of Musical Interpretation', *IRASM* 50 (2019), 221–53.

[40] Anne M. Hyland, 'Tautology or Teleology? Towards an Understanding of Repetition in Franz Schubert's Instrumental Chamber Music', PhD dissertation, University of Cambridge (2011), 8.

[41] Horton's reading of the String Quintet, D956, identifies precisely this need, locating the work's analytical challenge in 'the paradox of its lyric teleology'. Julian Horton, 'Stasis and Continuity in Schubert's String Quintet', 212.

[42] The literature falling under this title is far too extensive to list. See my discussion under 'Methodology'.

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categories, we problematically enshrine Schubert's status as 'other' in the Beethovenian narrative and needlessly restrict our understanding of the lyric (and indeed of Beethoven). Indeed, we deny the possibility that the lyric idiom can express its own dialectical identity in Schubert's hands. Consequently, the understanding of 'lyric' pursued in this study does not always imply *lyrical* melodies, but is just as relevant to short, motivically driven thematic groups which are nonetheless underpinned by the episodic or paratactic structures associated with lyric discourse. In other words, the lyrical melodies of Schubert's music and its episodic or paratactic designs are two sides of the same coin: the difference is one of kind, not type.

So, I ask: is the lyric – understood as something more than a *cantabile* melodic style – really inimical to the dramatic? Does it, by definition, shun thematic development and teleology? Or, alternatively, do these categories acquire new meaning via their manifestation in Schubert's music and therefore call for new understanding? One could go further: can the lyric in fact embody the dramatic, indeed, can it *subsume* its 'other' within a paratactic formal design? Likewise, in its ultimate denial of large-scale teleological resolution, does the lyric in fact *intensify* the processes whereby such synthesis is pursued? Perhaps such questions are ultimately of little consequence: of course, there is nuance and contradiction to be found in music to which the label 'lyric' applies, and no single monolithic definition can do justice to the rich complexity of the music of this, or any comparable, composer. But these questions suggest that there remains a need for fresh contemplation of the relationship between lyricism, development, and teleology in Schubert's instrumental music that moves beyond the basic dualisms that currently characterise it towards a more complex, multifaceted concept of lyric form defined dialectically. Under this definition, lyric teleology is a supremely progressive phenomenon.[43]

The pairing of lyricism and teleology in this way might initially seem rather crude and my calls for lyric elements to articulate a teleological trajectory might seem mistaken at best (at worst, a violation). They might even be viewed as 'arrogantly turn[ing a sphere of expression] into the opposite of what it conceives itself to be through the way it is examined'.[44]

[43] As will become clear, I believe that there is a positive reason to persist with ideas such as dialectic, progressiveness, and teleology in music studies, not because I am wedded to these as an automatic assumption about how music 'should' go, but because this music and its reception history offer an opportunity to reflect critically on their inherited meaning.

[44] Theodor W. Adorno, 'On Lyric Poetry and Society', in *Notes to Literature, I*, ed. Rolf Tiedemann, trans. Shierry Weber Nicholsen (New York: Columbia University Press, 1991), 37–54 (37).

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And this might be especially felt in the setting of a study of the string quartet, a genre frequently understood as a private conversation between four players. Adorno confronted a similar problem in his 1957 essay 'On Lyric Poetry and Society' which also considers the lyric in relation to an extraneous, and traditionally oppositional, concept: society. Adorno recognised that this had the potential to make his readers/listeners uncomfortable since the intimacy and solitariness of the lyric genre seem more suited to contemplation in a hermetically sealed environment, an abstracted reality unconcerned with the vicissitudes of sociological or cultural context.[45] But such expectations, Adorno posits, are themselves socially constructed:

> You experience lyric poetry [music] as something opposed to society, something wholly individual. Your feelings insist that it remain so, that lyric expression, having escaped from the weight of material existence, evoke the image of a life free from the coercion of reigning practices, of utility, of the relentless pressures of self-preservation. This demand, however, is itself social in nature.'[46]

Similarly, as the ensuing chapters will demonstrate, it is possible – indeed, desirable – to acknowledge a sense of teleology in Schubert's lyric forms without imposing an extraneous logic of hypotaxis or Beethovenian dynamism on the works. The teleology to which these works give voice is not confined to Beethovenian accounts of the phenomenon, nor indeed to dubious (or at least out-moded) idea[l]s of organic unity. On the contrary, this class of teleology stands as a *critique* of those very ideas, gaining substance and significance through the ways it departs from that model.

In defining the lyric as a category of form, Chapter 1 submits three central propositions, each of which forms the basis of one of the analytical chapters in the book's second part. Chapter 3 considers the hegemony of cadence in the articulation of closure and explores Schubert's persistent manipulation of the parameters of closure at traditionally significant junctures in the sonata. Chapter 4 explores parataxis's juxtaposition of ostensibly unrelated propositions, revealing the ways by which these quartets pursue a kind of synthesis distinct from tonal resolution. And the final analytical chapter, by focussing on the diverse temporalities generated by Schubert's lyric forms, offers a way of reimagining teleology. Taken together, these analytical case studies demonstrate that recognising lyric teleology as a dialectical phenomenon gets beyond any overly reductive

[45] The essay originated as a radio talk broadcast in the Federal Republic of Germany.

[46] Adorno, 'On Lyric Poetry and Society', 39.

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understanding of the lyric as confined to one side of a constructed dualism, instead appreciating how Schubert's practices are defined as much in relation to Beethoven's as against them.

As such, this book is less a study of Schubert's quartets per se than it is an attempt to open up space to allow these works to challenge some of the discourses (analytical, aesthetic, historiographical, ideological) that have surrounded and epitomised them. Attending to Schubert's quartets involves not only rethinking the composer's instrumental lyricism, but also confronting the calcification that has surrounded some of the most basic (and arguably most treasured) concepts in which our discipline trades. Teleology is just one such phenomenon. In 1987, Janet Levy exposed the covert value judgments that often accompany the explicitly or implicitly organicist vocabulary employed in musicological scholarship, urging her reader to 'be aware of covert values, of the surreptitious biases that limit and block inquiry'.[47] As well as the organic metaphor, she summons the valuing of economy, the reverence of idiomatic writing and originality, and the high position of chamber music as inherently economical in means as defining values and challenges the 'cherished absoluteness that they seem to have acquired'.[48] The analytical chapters that make up Part II of this book seek to interrogate such values, chief among them the concepts of closure (Chapter 3), synthesis (Chapter 4), and unidirectionality (Chapter 5). Ultimately, in attending to the lyric teleology of Schubert's quartets, this study seeks not to grant his music an ill-fitting Beethovenian accolade, but rather to open up genuine inquiry into the limitations that have begun to surround such values, indeed, how Schubert's music, by virtue of its innate lyricism, can lay bare and transcend such limitations.

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The assumed dichotomy between these two composers is, of course, not so strict, so absolute, 'so pristinely dualistic', in Hepokoski's memorable parsing.[49] No Schubertian work is irreducibly lyrical, paratactic, retrospective.[50] Likewise, Beethoven was not only the composer of dramatic, dynamic forms, but (as the

[47] Janet Levy, 'Casual and Covert Values in Recent Writings about Music', *Journal of Musicology*, 5/1 (1987), 3–27 (27).

[48] Levy, 'Casual and Covert Values', 27.

[49] James Hepokoski, 'Dahlhaus's Beethoven-Rossini *Stildualismus*: Lingering Legacies of the Text-Event Dichotomy', in *The Invention of Beethoven and Rossini: Historiography, Analysis, Criticism*, ed. Nicholas Mathew and Benjamin Walton (Cambridge: Cambridge University Press, 2013), 15–48 (19).

[50] Recall Hatten's remark that 'In his appropriation of sonata form, Schubert finds means to achieve both a dramatic evolutionary process and a depth of contemplation in alternating plateaus of pure lyricism'. Hatten, 'Schubert the Progressive', 49.

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Missa Solemnis, Adagio of the Quartet in E♭, Op. 127 or the *Heiliger Dankgesang* ably attest) he was also moved to the mellifluousness and depth of the lyric. The persistent treatment of Beethoven and Schubert as opposites in respect of the lyric represents not only an over-simplification of their individual idioms, but also of the progress of music history. As Dahlhaus recognised, the turn towards lyricism in the early nineteenth century, particularly that of composers such as Schubert and Mendelssohn, was a response to such works as Beethoven's String Quartet Op. 74, Piano Trio Op. 97, and the Piano Sonatas Opp. 78 and 90.[51] In these works, Beethoven began a softening of the motivic rigour associated with his middle-period style, making room 'for a lyrical emphasis which permeated whole movements, instead of being limited to their second subjects'.[52] Moreover, Beethoven's late style, as James Webster points out, 'relaxed the teleological drive of his developments and codas, and favored "weak" structural cadences.'[53] Beethoven's music therefore briefly opened doors, but the imperative to explore what lay beyond them was felt only in later generations, beginning with Schubert.

Thus, Schubert did not abandon the axioms established in Beethoven's music, but drew on and enriched them in his development of lyric form. He also went a step further in confronting a compositional problem which exercised a generation of Romantic composers: 'how to integrate contemplative lyricism, an indispensible ingredient of "poetic" music, into a symphony without causing the form to disintegrate or to function as a mere framework for a potpourri of melodies'.[54] Although this has traditionally been considered in the symphonic context, this study maintains that the string quartets articulate this same basic concern.

Schubert's innovation in bringing the vocal to bear on the instrumental in his sonatas was therefore not indicative of a crisis in the history of the sonata, the result of which was the inevitable disintegration of the concept of sonata form in the nineteenth century, as Arnold Whittall maintained.[55] Rather, it announced that the lyric was no longer auxiliary, but had perforce become a foundational stylistic and formal building block; dynamic form and lyric contemplation were to come together in Schubert's articulation of lyric teleology. Consequently, the opposition of

[51] On this, see Dahlhaus, *Nineteenth-Century Music*, 80–1.

[52] Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991), 203.

[53] Webster, 'Music, Pathology, Sexuality, Beethoven, Schubert', *19th-Century Music*, 17/1 (1993), 89–93 (92).

[54] Dahlhaus, *Nineteenth-Century Music*, 153.

[55] See Whittall, 'The Sonata Crisis'.

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vocal and instrumental inherent in Dahlhaus' *Stildualismus* (which for so long dictated the reception of Schubert's instrumental music) coalesces in Schubert's lyric form, which becomes the vanishing point of its associated dualisms.

More is therefore at stake in this venture than a mere repositioning of an already familiar term: in acknowledging the lyric's status as an autonomous formal category with identifiable processes and temporal implications, this book confronts some of musicology's most tempting, but also most damaging, legacies. Ultimately, the development of the lyric in Schubert's music encompassed not merely a change of idiom or style, nor even one of emphasis, but a fundamental transformation of the status of the lyric itself. The question remains how Schubert did this and to what end.

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