

Mahler's Search for Lost Time: a "Genetic" Perspective on Musical Narrativity*

Introduction

Ever since Theodor W. Adorno published *Mahler. Eine Musikalische Physiognomik*¹ it has become common to discuss the music of Gustav Mahler in narratological terms: that is, to search his music for structural analogies with narrative using the approaches of the productive field of "musical narratology". Within this trend, one of the most important focuses is a fictive-like musical representation of time, intended as an important ground of comparison between music and literature, and especially with the modernist novel characterised by complex temporal mazes. Another feature related to these literary references in Mahler's music is what I call here the "unfinished-ness" of Mahler's music. I mean this not only in the usual sense of an incomplete composition due to a compositional process that was interrupted before the final version of the work, but also in a more intrinsically authorial sense, as a stylistic paradigm of modernist narrative (as in the works of Proust, Musil and Kafka, for example)² which extends the sketches' and drafts' provisional and in-progress textual dimension to a work's final version. This allows the compositional process to leave traces in the final text and continue after publication, perhaps in the hands of readers. In the works of these novelists the discursive "temporal manipulations" seem to have a profound connection with this work-in-progress dimension. In literary studies, then, the analysis of this relationship has often required a "genetic"

* This article is an extract from a larger piece of doctoral research on Mahler's *Tenth Symphony* that is currently in progress. Hence, for a fuller discussion I ask the reader to await the possible publication of this research. I wish to thank Robert Samuels, Ben Winters and Jörg Rothkamm for their valuable suggestions.

¹ THEODOR W. ADORNO, *Mahler. Eine musikalische Physiognomik*, Frankfurt am Main, Suhrkamp, 1960.

² In this article, from its title onwards, I will evoke, as a modernist literary term of comparison of Mahler's music, one of these three novelists, Proust, encouraged in this direction by the essays: EVE-NORAH PAUSET, *Marcel Proust et Gustav Mahler: créateurs parallèles. L'expression du moi et du temps dans la littérature et la musique au début du XXème siècle*, Paris, L'Harmattan, 2007; ROBERT SAMUELS, *Narrative Form and Mahler's Musical Thinking*, «Nineteenth-Century Music Review», VIII, 2 (2011), pp. 237-254; JULIAN JOHNSON, *Rehearing Lost Time: Proust and Mahler*, «Romance Studies», XXXII, 2 (2014), pp. 88-98.

approach³ that is a hermeneutics of the literary text based on an analysis and a critique of preparatory sketches and drafts.

By contrast, in the vigorous debate on narrativity in music, not enough attention is given to this level of textual criticism.⁴ Given the lack of an established perspective based on this kind of narratological approach to Mahler's works, the aim of this essay is to answer initial questions on this field of musicological research and to test a proper methodological approach. On this occasion my focus will be the temporal dimension in Mahler's music from the point of view of an authorial perspective which can be inferred from a "genetic" criticism of preparatory materials.

In what follows, I will firstly of all describe key terms in the light of the literature on musical narrativity; then I will develop from these terms an analysis of a case study – a passage from the first movement of Mahler's *Tenth Symphony*. More specifically, I will look at the passage for analogues to the fictive-like temporal structures proposed by scholars of musical narrativity and not only, as they do, at a stage of the final work's version but also in earlier drafts, to compare the narrativity detected in the passage's different variants as chronologically conceived during the compositional process. By doing so, I wish to glean insights from another field of Mahler scholarship – sketches and draft-analysis – which so far has rarely been linked to musical narrativity. I have chosen this symphony, which (perhaps not incidentally) is also an incomplete composition in the traditional sense of the term, because its manuscript materials contain some of the greatest number of preparatory sketches and drafts in Mahler's music, thus allowing an extensive analysis of its compositional process.

Given my purpose of carrying out preliminary testing of the "genetic" approach to musical narrativity, the final aim of this article is to answer this methodological question: what can scholars learn about Mahler's musical narratology from an analysis of sketches and drafts of his works?

³ Cf. LARS BERNAERTS – DIRK VAN HULLE, *Narrative across Versions: Narratology Meets Genetic Criticism*, «Poetics Today», 34.3 (2013), pp. 281-326. For a general introduction to genetic criticism, see *Genetic Criticism: Texts and Avant-textes*, ed. by Jed Deppman, Daniel Ferrer, and Michael Groden, Philadelphia, University of Pennsylvania Press, 2004.

⁴ To my knowledge the only attempt in this direction is STEPHEN HEFLING, *Mahler's "Totenfeier" and the Problem of Program Music*, «19th-Century Music», XII, 1 (1988), pp. 27-53.

1. The Term “Time” in Mahler’s Musical Narrativity

The narratological term “time” is one of the most recurrent in the study of narrativity in Mahler’s music. The starting point of this reflection on this aspect is Adorno,⁵ in his book on Mahler mentioned above. He considers in Mahler’s music the searching for an alternative temporal order – that of the novelistic – to that of classical sonata form.⁶ Many years later, the reception of Adorno’s ground-breaking comparison of Mahler’s music with the novel has continued upon other conceptual grounds – mainly semiotics and narratology – which are obviously distinct from Adorno’s philosophical apparatus. From this perspective, the second point of comparison in music is the distinction in literary narratology between the “story”, or “what is told” in terms of the chronological order of a narrative’s events, and “discourse”, or “how it is told” in terms of the actual unfolding of the events in the text, which may not conform to linear chronology. For this dimension, as for other music narrative-like features, according to Lawrence Kramer, processes that are “disruptive” of classical tonal and formal nexuses play a key role in musical works that «explicitly call attention to their own contingent, historical and rhetorical character».⁷

Carolyn Abbate was one of the first scholars after Adorno’s book to develop specifically this point, especially with regard to Mahler’s music, although she adopts a sceptical position on this issue. She maintains that music lacks an important narrative feature, one identified by Paul Ricoeur: the capability of «manipulating time, of using tense to achieve a kind of moral distance in recasting the referential object».⁸ In verbal language, this capability is obtained through marking a narrator, via the past tense, which however is absent in music. The evident limit of Abbate’s approach is that she does not consider possible alternative ways of musical signification that could compensate for its obvious lack of denotative meaning given by a tense form of a verb. Moreover, Abbate’s suggestion that music lacks a past tense has triggered a vigorous debate about possible narrative-like temporalities in music, leading to a search for them on another semiotic level – that of the connotative – for an explanation, beyond mere referentiality, of the “temporal manipulations” which other

⁵ Cf. THEODOR W. ADORNO, *Mahler. A Musical Physiognomy*, trans. by Edmund Jephcott, Chicago, University of Chicago Press, 1988, pp. 60-81 (orig. ed. *Mahler. Eine musikalische Physiognomik*, Frankfurt am Main, Suhrkamp Verlag, 1960).

⁶ *Ibidem*, p. 63.

⁷ LAWRENCE KRAMER, “As if A Voice Were in Them”: *Music, Narrative, and Deconstruction*, in *Id.*, *Music as Cultural Practice, 1800-1900*, Berkeley (CA), University of California Press, 1990, p. 189.

⁸ CAROLYN ABBATE, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century*, Princeton, Princeton University Press, 1996, p. 52.

musicologists have noticed in Mahler's and other composers' music. Some authors search for a possible narrative-like temporality in self-referentiality (that is by comparing the music to a fiction whose characters can be considered the musical features themselves) and intertextuality (narrative meanings and functions as determined by references to other musical texts through more or less shared codes). Two of these studies, by Robert Samuels⁹ and Vera Micznik,¹⁰ are especially revealing on the issue of "temporal manipulations" in Mahler's music.

Samuels, following Adorno, analyses from this point of view a passage of Mahler's *Fourth Symphony*: the climax which comes at the end of the development. He notices that the border-point of this passage (and of the entire development) is a general pause that seems a signal of disquiet, put «not even within the bounds of metre, but simply introduced at the double bar-line»,¹¹ so that the following recapitulation «begins in the middle of a phrase, with the developmental outcome of first and second subjects». Moreover, «the thematic and harmonic scheme have got out of synchronisation here [...] since the first subject begins before the double bar line (disguised by a pause, the voice-leading, and changes of instrumentation and texture)». As a result of these devices, «formally, and at the level of textual discourse, this moment is the outcome of aporia, presenting the continuity of the formal unit as a fiction». ¹² In other words, here it is a conflict between codes (those of thematic continuity, motivic development and formal schemes): these are features of a "quotation-mark music" (Adorno's definition)¹³ which, I would add, implies diegetic-like temporal slippages.

Following Samuels and Adorno, I suggest that another conflict in this passage, one between all pregnant musical ideas which precede this pause-milestone, plays a peculiar role in these slippages. On the one hand, there is the brief sleigh-bells introduction, defined by Samuels as an expression of Mahlerian "modernism".¹⁴ On the other, two Haydnesque-Mozartian themes (via Schubert, quoted in the first theme) express a stylised past (this is

⁹ Cf. ROBERT SAMUELS, *Mahler's Sixth Symphony: A Study in Musical Semiotics*, Cambridge, Cambridge University Press, 1995.

¹⁰ Cf. VERA MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, «Journal of the Royal Musical Association», CXXVI, 2 (2001), pp. 193-249.

¹¹ R. SAMUELS, *Mahler's Sixth Symphony: A Study in Musical Semiotics*, cit., p. 142.

¹² *Ibidem*.

¹³ T. W. ADORNO, *Mahler. A Musical Physiognomy*, cit., p. 96.

¹⁴ Cf. R. SAMUELS, *Mahler's Sixth Symphony: A Study in Musical Semiotics*, cit., p. 141.

termed “archaism” by Samuels)¹⁵ and finally the climax, where Mahler develops the introduction by distorting it phantasmagorically and dramatically, and inserting the trumpet-call motive of the death march subsequently used in his *Fifth Symphony*. As Samuels notices, «here we have not only music in the past tense, but also future tense too».¹⁶ In lacking a denotative device for a past tense, the composer creates similar temporal manipulations by borrowing past musical styles.

1.2. Vera Micznik's Theory of Musical Narrativity and the Composer's “Narrative Impulse”

Vera Micznik's essay proposes what can be considered the most convincing model of musical narrativity in terms of theoretical credibility and analytical validation. She asks: «What are the conditions under which we need to invoke narrativity in our analyses, or under which our “narrative impulse” is stronger?».¹⁷ Her answer is that this listener's “narrative impulse” of music is triggered not only – as Jean-Jacques Nattiez¹⁸ thinks – by extra-textual factors (e.g. titles, programmes, composer's inspiration), but also by special textual narrative-like qualities of the music itself.

According to Micznik, if, due to its denotative weakness, music cannot be narrative in the most complete and intelligible way of an actual novel or tale, it can still possess musical features which place it somewhere on a spectrum of greater or lesser musical “degree of narrativity”.¹⁹ To identify these special narrative-like features she transposes some narrative concepts, taken or adapted from narratology, into the realm of music by grouping them into the two narratological categories of “story” and “discourse”. Under the heading “story” she abstracts, on a paradigmatic plane, the musical unities which are comparable to narrative “events” and analyses their meanings «from the simplest to the more complex – from explicit to implicit – semiotic levels (morphological, syntactic and semantic) as a demonstration of what makes them [comparable to] “events”».²⁰ But it is especially in relation to “discourse” that narrative-like temporal factors play an essential

¹⁵ *Ibidem.*

¹⁶ *Ibidem*, p. 143.

¹⁷ V. MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, cit., p. 198.

¹⁸ Micznik refers to JEAN-JACQUES NATTIEZ, *Can One Speak of Narrativity in Music?*, «Journal of the Royal Musical Association», CXV, 2 (1990), pp. 240-257.

¹⁹ This Micznik's scalar conception of narrativity could be traced back to HAYDEN WHITE, *The Value of Narrativity in the Representation of Reality*, «Critical Inquiry», 7.1 (1980), pp. 5-27, and GERALD PRINCE, *Narratology: The Form and Functioning of Narrative*, Berlin [etc.], Mouton, 1982.

²⁰ V. MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, cit., p. 199.

role as markers of musical narrativity. In this category on a syntagmatic plane, she examines

the particular mode of unfolding (the presentation) of these events within the “musical formal discourse” of the respective movements and the capabilities of the “discourse” itself to produce meanings through “gestural and intertextual connotations” and through “temporal manipulations”.²¹

The “discursive syntax and functions” are analogous to roles and a hierarchy of events narrated in a plot theorised by Roland Barthes as “narrative functions”.²² The “gestural connotations” are described in terms of musical gestures which are

homologous to structures or processes from other domains of reality, often realized musically through secondary parameters [...]. They explicitly signify at the connotative level processes of accumulation, velocity, dissolution, disorientation, etc., thus replacing the tonal goal-oriented plots.²³

“Temporal discursive processes” are equivalent to Gérard Genette’s narratological dimensions,²⁴ and they produce narrative meanings such as “duration”, “frequency”, “speed” and “order”. Within this dimension, she takes account of the discrepancy in Mahler’s music «between the discourse as presented in the musical text and an “ideal” temporal discursive scheme (which could consist of older formal models, generic schemes or an expected expressive pattern)». ²⁵ So, for “duration”, in Mahler’s *Ninth Symphony* she notes «a gradual increase in the time-span between the two themes during the movement». In regard to “frequency” and “speed”, she remarks that «Mahler’s use of variable tempos, and thus the great number of pauses, accelerations and decelerations, constantly affects the unfolding of events in the freedom of their “speed”, which renders the discourse more gestural, connotative of non-musical, more universal concepts». In regard to “order”, she remarks upon «the tension between the potential traditional ordering expected from the

²¹ *Ibidem.*

²² ROLAND BARTHES, *Introduction to the Structural Analysis of Narratives*, trans. by Stephen Heath, in *Id. Image, Music, Text*, ed. by Stephen Heath, New York, Hill & Wang, 1977, pp. 79-124: 93-97 (orig. ed. *Introduction à l’analyse structurale des récits*, «Communications», VIII, 1 (1966), pp. 1-27: 9-11).

²³ V. MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, cit., p. 226.

²⁴ Cf. GÉRARD GENETTE, *Narrative Discourse: an Essay in Method*, trans. by Jane E. Lewin, Ithaca (NY), Cornell University Press, 1980 (orig. ed. *Discours du récit: essai de méthode*, in *Id., Figures III*, Paris, Éditions du Seuil, 1972, pp. 66-273).

²⁵ V. MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, cit., p. 236.

functioning of events in a first-movement sonata form and the rules established by the specific events».²⁶

A more careful reading of the essay consents to understand its apparently incidental aspect, which is really an essential contribution to my invoked authorial dimension of narrativity. In many points of the essay Micznik speaks of what I can define here the “composer’s narrative impulse” as an entity which is inferable in the text through these “objective” narrative-like features and their nexuses. In other words, I can say – by using Umberto Eco’s ideas²⁷ – that, given it is impossible to recover the immanency of “empiric author’s” narrative intention (situated in a past and lost dimension of the original creative act and its living communicative context), Micznik makes a textually grounded guesswork of the narrative intention of the “model author” she is able to recognise in terms of textual strategy (Eco’s “intention of the text”).

So in this authorial direction, for example, Micznik²⁸ reflects on the genesis and evolution of a motive of the *Ninth*’s first movement during the compositional process. But it is at another point of the essay that she offers a more substantial view. She speaks of a «composer’s strategy» which is «highly conventionalised» and «to a large degree predetermined» in relation to tonality in the classical period; in «a late-Romantic composer like Mahler it [this “composer’s strategy”] is more likely to present unusual, unexpected discursive “narrative” techniques».²⁹ In Micznik’s writing, this aspect clearly relates (again proving Adorno’s intuitions analytically) to Mahler’s musical narrativity via a *performative, oral and improvisatory* musical structural dimension which in Mahler’s style coexists with (and transforms) the sonata form’s schemata. Moreover, in this conceptual view, these schemata assume Adorno’s “nominalistic”³⁰ role for the sonata form, comparable to the epic’s fixed formulas: just as these formulas acted as aids for the oral memory of oral storytellers, the sonata-form acts as an aid for the composer’s compositional train of thought.

2. Compositional Process and Different “Genetic” Variants

Micznik’s considerations imply an evidently *diachronic* and *transcendent* theoretical view that considers music as a performative act in a given historical-cultural context of communication. Unfortunately, however, given that these references to compositional

²⁶ *Ibidem*.

²⁷ Cf. UMBERTO ECO, *I limiti dell’interpretazione*, Milano, Bompiani, 1990, pp. 110-113.

²⁸ Cf. V. MICZNIK, *Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler*, cit., p. 225.

²⁹ *Ibidem*, p. 220.

³⁰ T. W. ADORNO, *Mahler. A Musical Physiognomy*, cit., p. 73.

process are incidental in Micznik's essay, her analytic apparatus really does not go beyond the borders of the analysis of the final text. In other words, it is not an aim of this essay to find extra-textual references (letters, testimonies, and also sketches and drafts) which can be linked to textual aspects to corroborate its careful and original analysis of the text. A "genetic" analysis, intended as an application of Micznik's analytical methodology to sketches and drafts, seems to be a necessary complement to her pronouncements on the composer's "narrative impulse". To explore this methodological possibility, I will apply this approach I invoke to the first movement of the *Tenth Symphony* by focusing especially on "temporal manipulations".

The first was the only movement of the symphony that was completed, in the sense of a defined and complete fair copy of the orchestrated piece, whereas the other movements were left at the stage of a partially orchestrated draft or even a short score. However, despite the apparent textual completeness, two factors make me doubt whether this movement is definitely finished by the composer. First, there is Colin Matthews's suspicion³¹ that Mahler would have further revised this movement, which especially in the final section (bars 183-275) appears not to be perfectly balanced when compared with the first movement of the *Ninth Symphony*.³² Second, the traditional category of a work's completeness seems, in general, not always to be really appropriate to this composer's creative process. It should be borne in mind that Mahler was used to adding *Retuschen* ("retouches") to the final version of his pieces of music, even after the score had been published.³³ Most of these *Retuschen* seem to come from the exigencies of performance; on the other hand, sometimes they can be linked to some "narrative" or programmatic intent, as it happens in the second movement of the *Second Symphony* according to Stephen Hefling.³⁴ In any case, this modernist anxiety over completion which is reflected in Mahler's compositional process brings to mind Proust's additive compositional process, which was manifested, for example, in the writer's habit of adding *paperolles* (paper sheets with additional text to be added to printing draft pages that were sent to his publisher at the last minute). Likewise, Mahler's creative process appears incessant, multi-pronged and above all not completely ascribable to a temporally delimited state of a single work's inspiration, where this term refers to a

³¹ COLIN MATTHEWS, *Tempo Relationships in the Adagio of Mahler's Tenth Symphony, and two wrong notes*, «The Musical Times», CLI, 1910 (2010), pp. 3-8: 3.

³² *Ibidem*.

³³ Cf. JAMES L. ZYCHOWICZ, *Sketches and Drafts of Gustav Mahler 1892-1901: The Sources of the Fourth Symphony*, PhD dissertation, University of Cincinnati, 1988, I, p. 12.

³⁴ Cf. S. HEFLING, *Mahler's "Todtenfeier" and the Problem of Program Music*, cit.

professional activity romantically and idealistically considered to be separate from the prosaic and “etiolated category of life”.³⁵ This impression is also enhanced by the presence in Mahler's works of numerous intertextual references to his own music which sometimes contribute to make his symphonies parts of longer unitary compositional cycles as, for example, in the *Wunderhorn* symphonies (and not only because they are linked by the same poetry collection). To deepen this comparison, I can say that if Mahler's symphonies, like Proust's novel, seem to be virtually endless and multi-layered periods of time, this occurs at three levels:

- ◆ that of temporal manipulations their work's final (or latest) version shows;
- ◆ that of the continuous creative processes, as above, which generates their final (or latest) versions;
- ◆ that of the meta-referential possibility that in the works' final (or latest) version can be some traces of these creative processes, in terms of a stylised compositional process.

This happens, for example, in the close of Proust's *Recherche*; something similar happens in the finale of Mahler's *Ninth Symphony* as Samuels argues.³⁶

I attempt here to give more substance and detail to this parallelism between music and novel by considering two interrelated dimensions from a “genetic” perspective:

- ◆ the dimension of “product”: the textual analysis of the different chronological versions and variants generated during the compositional process;
- ◆ the dimension of “process” generating these versions and variants in terms of compositional procedure and strategies.³⁷

Following Peter Shillingsburg, by the term “version” I mean «one specific form of the work», and a “work” is «the imagined whole implied by all differing forms of a text that we conceive as representing a single literary creation».³⁸ So in the framework of these working definitions, I mean by “variant” the local work's “different forms” the composer

³⁵ Cf. T. W. ADORNO, *Mahler. A Musical Physiognomy*, cit., p. 64.

³⁶ Cf. ROBERT SAMUELS, *Mahler Within Mahler: Allusion as Quotation, Self-Reference, and Metareference*, in *Self-Reference in Literature and Music*, ed. by Walter Bernhart and Werner Wolf, Amsterdam – New York, Rodopi, 2010, p. 48.

³⁷ By using these two terms – “product” and “process” – I am indebted to PETER MCCALLUM, *The Process Within the Product: Exploratory Transitional Passages in Beethoven's Late Quartet Sketches*, in *Genetic Criticism and the Creative Process: Essays from Music, Literature, and Theater*, ed. by William Kinderman and Joseph E. Jones, Rochester (NY), University of Rochester Press, 2009, pp. 123-150.

³⁸ PETER L. SHILLINGSBURG, *Scholarly Editing in the Computer Age: Theory and Practice*, Ann Arbor, University of Michigan Press, 1996, p. 43.

conceives chronologically during the compositional process. A variant may correspond or not to a single sketch (so that this may or may not contain more variants of the same passage).

To further restrict the size of the field, I have decided to focus on the first movement, in particular on the passage including the enigmatical and widely-discussed climax passage (bars 194-212) and the preceding section (bars 183-193). It is an extract which, at first glance, seems an example of Mahler's modernist "unfinished-ness". In relation to this passage, I will align Micznik's approach in "genetic" terms, complemented by Samuels' reflections and those of other authors on the temporality of Mahler's music. I will do this by using the established philological practice of variant analysis to compare the fair copy of the passage to its preparatory materials. In detecting possible narratologically significant changes between the variants, this will allow us to understand the dynamics of Mahler's "narrative impulse". Given the shortness of this passage, I think in this case it is possible to take into account only variants and not versions, according to the above definitions.

2.1. Raising Questions: Analysis of the Fair Copy of the Passage

Preliminary Note on Acronyms and Manuscripts Signatures

The acronyms from this paragraph onwards refer to the existing manuscript materials of this work: the Ratz facsimile version,³⁹ the manuscript pages included in the "performing edition" by Deryck Cooke⁴⁰ (respectively indicated by "RF" and "CF76", both followed by the relevant page number respectively in Arabic and Roman numerals), the Austrian National Library's manuscript⁴¹ and that of the Bavarian State Library (respectively indicated by "ÖNB" or "BSB", and the relevant signatures). Notice that, after the manuscript's signature, the page within every source is indicated in square brackets (this numbering must not be confused with that of the composer himself). Before the signatures, the acronyms referring to the relevant compositional stage are indicated as follows: "draft short score" (DSS), "short score" (SS) and "orchestral draft" (OD). Note that the "orchestral draft" – the latest version – corresponds to the previously called by me "fair copy" and (with a few changes) to Cooke's "performing edition". In the following examples of preparatory materials the numbers indicate bars which

³⁹ Cf. GUSTAV MAHLER, *X. Symphonie. Faksimile nach der Handschrift*, ed. by Erwin Ratz, München, Verlag Walter Riecke – Meran, Laurin-Verlag, 1967.

⁴⁰ Cf. *Gustav Mahler: A Performing Version of the Draft for the Tenth Symphony*, ed. by Deryck Cooke, New York – London, AMP/Faber, 1976 (1989²).

⁴¹ Cf. GUSTAV MAHLER, *10. Symphonie Fis-Dur. Partitur, Particell und Skizzen Autograph in 9 Mappen*, Musiksammlung, Mus.Hs.41000, Mus.Hs.41000 A/Mahler/11, folders 1-9 (Studierfilm MF 634, 674 | X501), Mus.Hs.37817 A/Mahler/8, Mus.Hs.19946 A/Mahler/7, Mus.Hs.44175, A/Mahler/33, F184.IGMG.1, Wien, Österreichische Nationalbibliothek.

correspond to those of OD and Cooke's "performing edition"; instead, a bar number plus a letter (e.g. 212a) indicates a discarded bar. Consequently, gaps in the numbering indicate that the composer added the missing bars in OD. Examples 1-4 are taken from the International Mahler Society's edition;⁴² examples 5-10, instead, are my transcriptions from manuscript pages.

At a "story" level, in the OD of the passage I can identify four basic structural elements which, according to Micznik's theory, are comparable to "events" of the narrative. These can be grouped into two sections:

- ◆ x (ex. 1, bars 184-193);
- ◆ climax (bars 194-212).

The latter is composed of the ideas *c* (ex. 2, bars 194-198), *c'* (ex. 3, bars 203-212) and, between them, *y* (ex. 4, bars 199-202).

The image shows a musical score for Mahler's Adagio from Symphony No. 10. It features five systems of staves. The first system includes Horns (Hr.) and Trombones (Tba.), with parts for 1.3, 2.4, 1.2, and 3. The second system includes Violins (Vl.), Viola (Vla.), Cello (Vc.), and Double Bass (Kb.). The score includes dynamic markings such as *sf*, *pp*, *p*, *dim.*, and *ppp*. The instruction "Etwas zögernd" is written above the Violin staff. The key signature is three sharps (F#, C#, G#) and the time signature is 4/4.

Ex. 1: idea *x* in OD-ÖNB Mus.Hs.41000/1, 6th bifolio [13], bars 184-193.

⁴² Cf. GUSTAV MAHLER, *Adagio aus der Symphonie Nr. 10 für großes Orchester*, ed. by Internationale Gustav-Mahler-Gesellschaft, Wien, Universal Edition, UE 13880, 1964 (1969²).

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194 [a 2]

Fl. 1.2. 3. *ff* *ff*

Ob. 1. 2.3. *ff* *ff*

Kl. B 1. 2.3. *ff* *ff*

Fag. 1. 2. 3. *ff* *ff*

Hr. 1.2. 3.4. *ff* *ff*

Tpt. 1.3. 2.4. *ff* *ff*

Pos. 1.2. 3. *ff* *f*

Tba. *ff* *f*

Hfe. *ff*

Vln. 1. 2. *ff* *ff*

Vla. *ff*

Vc. *ff*

Kb. *ff*

Ex. 2: idea c in OD- ÖNB Mus. Hs. 41000/1, 6th-7th bifolio [13-14], bars 194-198.

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196

1.2. Fl. *dim.*

3. Fl. *dim.*

1. Ob. *dim.*

2.3. Ob. *dim.*

1. Kl. B *dim.*

2.3. Kl. B *dim.*

1. Fag.2. *dim.*

3. Fag.2. *dim.*

1.2. Hr. *(sempre ff)*

3.4. Hr. *(sempre ff)*

1.3. Tpt. *(sempre ff)*

2.4. Tpt. *(sempre ff)*

1.2. Pos. *dim.*

3. Tba. *dim.*

Hfe.

Vln. 1 *dim.*

Vln. 2 *dim.*

Vla. *dim.*

Vc. *dim.*

Kb. *dim.*

Ex. 2: idea c in OD- ÖNB Mus. Hs. 41000/1, 6th-7th bifolio [13-14], bars 194-198 (continued).

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1.2. Fl. (p)

3. Fl. (p)

1. Ob. (p)

2.3. Ob. (p)

1. Kl. B (p)

2.3. Kl. B (p)

1. Fag. 2. 3. (p)

1.2. Hr. (sf)

3.4. Hr. (sf)

1.3. Tpt. (p)

2.4. Tpt. (p)

1.2. Pos. (p)

3. Tba. (p)

Hfe.

Vln. 1

Vln. 2

Vla.

Vc.

Kb.

Ex. 2: idea c in OD- ÖNB Mus. Hs. 41000/1, 6th-7th bifolio [13-14], bars 194-198 (continued).

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203

1. Fl. *f* *ff*

2.3. *f* *ff*

1.2. Ob. *f* *ff*

3. *f* *ff*

1.2. Kl. *f* *ff*

B. *f* *ff*

3. *f* *ff*

1. Fag. *ff* *ff*

2. *ff* *ff*

3. *ff* *ff*

1.2. Hr. *f* *ff*

F. *f* *ff*

3.4. *f* *ff*

1.3. Tpt. *ff* *sempre ff* *ff*

F. *ff* *ff*

2.4. *ff* *ff*

1.2. Pos. *ff* *ff*

3. Tba. *ff* *ff*

Vln. 1. *ff* *ff*

Vln. 2. *ff* *ff*

Vla. *ff* *ff*

Vc. *arco* *ff* *ff*

Kb. *arco* *ff* *ff*

Ex. 3: idea c' in OD-ÖNB Mus. Hs. 41000/1, 7th bifolio [14], bars 203–212.

The image displays a page of a musical score for an orchestra, specifically focusing on the woodwind and string sections. The score is written in G minor (three flats) and 3/4 time. It covers bars 199 to 202. The instruments listed on the left are: Flutes (1.2.), Oboes (1., 2.3.), Clarinets (1., 2.3.), Bassoons (1., 2.3.), Horns (1.2., 3.4.), Trumpets (1.3., 2.4.), Trombones (1.2., 3.), Violins (1., 2.), Viola, Violoncello (Vc.), and Double Bass (Kb.). The score includes various dynamic markings such as *p*, *ff*, *sf*, and *pizz.* (pizzicato). There are also performance instructions like *arco* (arco) and *tr* (trills). The notation is dense, with many beamed notes and slurs, indicating a complex and rhythmic passage.

Ex. 4: idea y in OD-ÖNB Mus. Hs. 41000/1, 6th-7th bifolio [14], bars 199–202.

On the paradigmatic semiotic axis of the “events”, the idea x (ex. 1) is a further reappearance of the introduction (presented for the first time in bars 1-15). The idea y (ex. 4) at bars 199-200 is a new occurrence of the motive at bars 28-31; belonging to the first theme, at bars 201-202, instead recalls the initial octaves of the same theme.

After their first appearance in the movement, the introduction and the motive presented for the first time at bars 28-31, behave during the piece as two refrains which have contrasting characters. In fact, the introduction is an uncertain and wandering instrumental recitative whose morphological indeterminacy is reminiscent of the slow introductions of classical symphonies as they search for the right tonality and theme with which to begin the composition. On the other hand, the motive at bars 28-31 is more rhythmicised and symmetrical than the introduction.

The climax is the most debated passage in the entire symphony, especially due to its striking use of the most dissonant chord of Mahler's music in *c'*.⁴³ In contrast to *x* and *y* the two musical ideas of the climax – *c* and *c'* – are presented in the passage for the first and only time in this movement. What makes these three musical ideas comparable to “events” of a “story” according to the three levels – morphological, syntactic, semantic – considered by Micznik?

At a morphological and syntactic level, these ideas, like the rest of the piece, appear to be even more strongly characterised by what I can term “diseconomy of materials” (by paraphrasing Adorno's expression “principle of economy”⁴⁴ referred by him to Beethoven's and Brahms' music). In fact, the pitches and durations in section *x* present an irregularity, a non-symmetry and a non-rhythmicisation of an amorphous instrumental recitative. Melodically, its quasi-atonal chromaticism tends, ideally, to non-repetition more than in Mahler's other music. Moreover, this is the fourth presentation in the piece of the introduction-refrain but now it seems to have a more peculiar physiognomy than its other appearances due to secondary parameters of tempo and dynamics: it is marked *etwas zögernd* (“slightly hesitant”) *p* (bar 184) and *ppp* (bar 187). Ideas *c* and *c'* can be assimilated gesturally for presenting just like an Adornian *Durchbruch*, an amorphous and inarticulate sound mass with a disruptive expressive character that is totally unexpected by the listener, distinct from similar episodes of other Mahlerian symphonies where the *Durchbruch* is, to at some extent, a logical consequence of previous gestural premises.

This disruptive character happens especially in *c'* since *c* manifests some elements of chorale-like regularity. The short section *y* instead stands out in the context of the other

⁴³ Really *c* follows a harmonic scheme which is similar to that of the beginning of the first theme as signaled by JÖRG ROTHKAMM, *Gustav Mahlers Zehnte Symphonie: Entstehung, Analyse, Rezeption*, Frankfurt am Main – New York, Lang, 2003, p. 106; however, this section is gesturally and melodically completely different and so it sounds new.

⁴⁴ T. W. ADORNO, *Mahler. A Musical Physiognomy*, cit., p. 87.

ideas for its regularity, resulting from a repetition of a melodic-rhythmic pattern, in the form of a harmonic progression.

Secondary parameters enhance this “diseconomy of materials” in a deliberate juxtaposition of contrasts between these three ideas (see table 1): between the x section and the climax and, at a smaller scale, between c and y and between y and c' . As a result of the gestural contrasts, a “disruptive” discontinuity between section x and the climax occurs that is highly impressive morphologically and unprecedented in Mahler’s music.

Contrasts of texture	x vs. c/c'
Contrasts of timbre	x vs. c/c' c/c' vs. y
Contrasts of dynamics	x vs. c/c'

Table 1: Gestural contrasts between sections $x, y, c/c'$.

At a syntactic level, more than in the *Ninth* or in any other passage of this symphony, the function of the musical materials is determined less by the conventional tonal organisation of pitches and more by the improvisatory and gestural quality of unarticulated musical ideas. From this perspective, the above-mentioned contrasts in secondary parameters and their effects in terms of the recognisability of musical gesture lead back to a non-conventionalised musical syntax. Moreover, the famous and much-debated nine-note chord presents a form of what I would define as a “simulacrum of tonality” resulting from the submission of thirds to the note A (bar 203 onwards), in accordance with Diether de La Motte’s analysis,⁴⁵ so as to determine an almost total chromaticism. The other flipside of the coin of what I can term Adornian “emancipation of consonance”⁴⁶ in this passage seems to be a sort of “consonantisation of dissonance” given this compositional procedure of stacking thirds.

At a semantic level, following Barthes’s notion of “connotation”⁴⁷ (which is also adopted by Micznik), as a consequence of this diseconomy of materials (and of its gestural effects of triggering verbalisation by listeners) I can also detect in Mahler’s *Tenth* Micznik’s

⁴⁵ DIETHER DE LA MOTTE, *Manuale di armonia*, trans. by Loris Azzaroni, Firenze, La Nuova Italia, 1988, pp. 354-355 (orig. ed. *Harmonielehre*, Kassel, Bärenreiter-Verlag, 1976).

⁴⁶ T. W. ADORNO, *Mahler. A Musical Physiognomy*, cit., pp. 20 and 62.

⁴⁷ Cf. ROLAND BARTHES, *Elements of Semiology*, trans. by Annette Lavers and Colin Smith, London, Cape, 1967 (orig. ed. *Éléments de sémiologie*, «Communications», IV, 1, 1964, pp. 91-135).

“intertextual connotations”, that in their multiplicity articulate this small passage. The typical Mahlerian semantic/intertextual fragmentation is enhanced just by a strong gestural characterisation of small units. In just a few bars of the passage, there is an exceptionally large network of disparate and even incompatible intertextual references. Section *x* seems to refer back to the music of earlier composers whose music had often been more complex, chromatically speaking, than Mahler's late style. In fact, Henri-Louis de La Grange⁴⁸ hears in this section a distant echo of a *traurige Weise*, Jörg Rothkamm⁴⁹ detects a reference to Liszt's *Trauer gondel* no. 2 and Constantin Floros⁵⁰ the mood of the prelude from the third act of Wagner's *Tristan und Isolde*. However, this chromaticism, which can be found rarely in Mahler's music, seems more foreign to the composer's predominant enlarged diatonicism. For this reason, *x* seems to fall in the category of stylistic borrowings rather than in that of musical quotations, which in Mahler's music are usually integrated into his idiom.

If we then consider this stylistic borrowing in the light of the above Samuels' ideas *x* can represent a present time, thanks to the borrowing of chromatic music that is more advanced than Mahler's usual style. However, the acute reading (influenced by the musical pragmatics of Edward Cone)⁵¹ by Julian Johnson⁵² seems to locate this strange musical idea in a more convincing semantic field. Johnson interprets this introduction-refrain as a “human voice” because of its aperiodic and improvisatory character. Moreover, «this is certainly a voice but one that quickly gets lost and apparently is unable to frame a statement or construct an identity».⁵³ Previously in the movement, the introduction-refrain (*x*) leads to a more genuinely Mahlerian and nostalgic first theme. However, this time the situation seems different. In fact, in this passage, the introduction-refrain (*x*) seems to confirm its function of introducing something older,⁵⁴ but not nostalgic, like the first theme.⁵⁵ The composer accentuates its character of uncertainty (*etwas zögernd*) in a stronger effort to search for a new temporal plan, to remember something terrible expressed by the

⁴⁸ HENRY-LOUIS DE LA GRANGE, *Gustav Mahler: la vita, le opere*, trans. by Maurizio Disoteo, Torino, EDT, 2011, p. 439 (orig. ed. *Gustav Mahler*, Paris, Librairie Arthème Fayard, 2007).

⁴⁹ J. ROTHKAMM, *Gustav Mahlers Zehnte Symphonie, Entstehung, Analyse, Rezeption*, cit., p. 102.

⁵⁰ CONSTANTIN FLOROS, *Neue Thesen über Mahlers Zehnte Symphonie*, «Österreichische Musikzeitschrift», XLVIII, 2 (1993), pp. 73-80: 73.

⁵¹ Cf. EDWARD T. CONE, *The Composer's Voice*, Berkeley, University of California Press, 1974.

⁵² JULIAN JOHNSON, *Mahler's Voices: Expression and Irony in the Songs and Symphonies*, New York, Oxford University Press, 2009, p. 29.

⁵³ *Ibidem*.

⁵⁴ The harmonic likeness, identified by J. ROTHKAMM, *Gustav Mahlers Zehnte Symphonie, Entstehung, Analyse, Rezeption*, cit., p. 106, between this idea and the first theme, enhances my interpretation of *c* as a retrospective gesture.

force of the sound (*fff*, bar 194, a full-orchestra chord of *c/c'*), which had not previously been heard in the symphony and is characterised by a painful gesture with quasi-religious connotations (from the presence in *c* of a chorale having a quasi-modal harmony). In support of this interpretation, it should be noted that, according to David Matthews,⁵⁶ the terrifying nine-note chord in *c'* (bar 203) contains all the notes of bars 113-115 of the third movement, “Purgatorio”, a passage where in a marginal note the composer quoted Matthew’s gospel⁵⁷ *Dein Wille geschehe* (“Your will be done”) to express a fatalistic pathos that, according to Rothkamm,⁵⁸ was due to Mahler’s marital crisis with Alma. According to this religious reading, the episode seems to describe a pathway from a more universal piety to a personal pain – the latter is a clear epigonic expression of romantic autobiography in notes. However, the temporal link between this terrible personal memory (Mahler’s discovery of a love affair between his wife Alma and Walter Gropius) and the religious reference (organ-choral music) is unclear.

This issue brings with it another one concerning *y*. In fact, this religious/autobiographical reading, although supported by extra-textual documents, tends to present the climax (*c-c'*) as a unitary temporal episode, but a more careful observation reveals something different. In fact, de La Grange⁵⁹ defines the idea *y* as “almost mechanical”; he hears it, like all Mahlerian motives of the same kind, an Adornian *Weltlauf* (“course of time”), «the indifference and the banality of the everyday life».⁶⁰ Hence, by developing this suggestion, I add the claim that this idea too represents here a sort of “wheel of time” between *c* and *c'* as a connective gesture of the temporal excursion between them. This is due to the melodic profile’s clear musical iconicity and its functioning as a musical idea which makes time “stream” along between *c* and *c'*. Summing up this point in combination with Johnson’s reading leads us to enquire further, from a genetic perspective, about a possible representation of more articulated temporality within the climax episode.

⁵⁵ «Every subsequent occurrence of *x*, *a* or *b(x)* produces a sense of reminiscence that is not merely the recall of previously-stated material, but, in the single-mindedness of the thematic process, a reference to something older, something more archaic», KOFI AGAWU, *Tonal Strategy in the First Movement of Mahler’s Tenth Symphony*, «19th-Century Music», IX, 3 (1986), pp. 222-233: 228. However, I think, this auratic «sense of reminiscence» is only present in the first and second theme, not in *x*.

⁵⁶ DAVID MATTHEWS, *Wagner, Lipiner, and the “Purgatorio”*, in *The Mahler Companion*, ed. by Donald Mitchell and Andrew Nicholson, Oxford, Oxford University Press, 2002², pp. 400-402.

⁵⁷ Matthew, 5,10.

⁵⁸ J. ROTHKAMM, *Gustav Mahlers Zehnte Symphonie, Entstehung, Analyse, Rezeption*, cit., p. 107.

⁵⁹ H.-L. DE LA GRANGE, *Gustav Mahler: la vita, le opere*, cit., p. 439.

⁶⁰ HENRY-LOUIS DE LA GRANGE, *Gustav Mahler: A New Life Cut Short (1907-1911)*, Oxford – New York, Oxford University Press, 2008, IV, p. 1500.

At Micznik's "discourse" level, it is possible to find in the passage, as in the rest of the piece, strong elements of a high degree of narrativity. The recourse to the Barthesian category of "narrative functions" which articulate the "discursive syntax" is quite easy, because the three ideas are also strongly gesturally characterised in morphological terms. Given its non-rhythmicised profile, *x* then assumes in the passage the role of Micznik's "static section", the suspension of action, especially due to its being *etwas zögernd*. The ideas *c* and *c'* are, instead, clearly "nuclei", which «inaugurate and conclude an uncertainty»,⁶¹ given their more defined gesturality, which assigns them the role of a hinge for the entire passage and probably for the entire movement. The "streaming" character of *y* gives it the role of a "catalyser" (which «pushes forward» or «leads to» other events)⁶² in this passage and in the rest of the movement.

The weakness of tonality in *x* and *c'*, as well as the fact that the climax does not belong to a tonally predetermined sonata-form area, fatally cancel out any conventionalised micro-formal tonal goal-orientated plots. So a "gestural connotation" is given in this passage by a strong gestural emphasis (thanks to secondary parameters) of *x* on the one hand and the climax (*c, y, c'*) on the other. Moreover, their strong intertextual connotation replaces formally predetermined tonal conflict (or differentiation), especially between *x* and the climax (*c, y, c'*) as well as, albeit to a lesser extent, between *c/c'* and *y*.

The passage also offers clear signs of a high degree of narrativity in relation to "temporal discursive processes". This is not done in relation to "duration": given the shortness of the passage and the first presentation of *c/c'*, it is not possible to detect elements in relation to this dimension (on the other hand, *x* and *y* do not differ significantly, in terms of duration, from the previous presentation in the movement). Instead, we might examine in terms of "frequency" and "speed". The episode presents four (*x, c/c', y*) events (each having its own semantic connotation) in 28 bars. It is not the highest frequency of events in the piece; however, the high number of events in these few bars that contrast strongly semantically is nonetheless remarkable. Moreover, while *c/c'* appears for the first and only time in the movement in the passage, this is the fourth appearance of *x*. In the OD, the only tempo indication is the above-mentioned *etwas zögernd*; there are no other indications between *x* and *c* to highlight the temporal fracture. However, as suggested by

⁶¹ R. BARTHES, *Introduction to the Structural Analysis of Narrative*, cit., p. 94.

⁶² *Ibidem*.

Matthews,⁶³ given the higher number of tempo indications in the first movement in the *Ninth*, Mahler would have probably refined the OD by adding further tempo indications which are, however, implicit in the numerous writing changes. In the same way, in its “streaming” character *y* could also be regarded as a change of speed *per se* if it were not for the significant time indication, due to the semiquavers contrasting with the longer-lasting sound mass of *c* and *c'*. Considering both the introduction-refrain (*x*) and the climax section (*c*, *y*, *c'*), which even contains a musical idea *c* that has not previously been heard, there is an evident modification of the sonata form in terms of changing of its conventionalised *order*.

2.2. Searching for Answers: Analysis of Preparatory Materials

Before proceeding to my analysis of narrativity across different variants, it is necessary to reconstruct the chronological order (what genetic criticism calls the “genetic story”) of the passage.⁶⁴

The introduction-refrain *x* changes very little across versions: DSS-RF13-ÖNB Mus.Hs.37817 [1 v] (ex. 5 below, bars 183-193),⁶⁵ DSS-RF14-ÖNB Mus.Hs.37817 [2] (ex. 7 below, bars 183-193), SS-BSB Mus.ms.22744 [15] (ex. 9 below, bars 183-193), OD-ÖNB Mus.Hs.41000/1, 6th bifolio [13] (ex. 1 above).

In the climactic section, however, the compositional chronology of *c* and *c'* is far more complex. In the manuscript pages DSS-RF13-ÖNB Mus.Hs.37817 [1 v] (ex. 5, bars 193-194) this section is absent. In this sketch in its place, however, Mahler writes the verbal note «8 Takt» and a relevant insertion sign (ex. 5, bars 193-213 and fig. 1, in the oval).

⁶³ Cf. C. MATTHEWS, *Tempo Relationships in the Adagio of Mahler's Tenth Symphony*, cit., p. 3.

⁶⁴ In this paragraph I take the chronological order of the composition of the preparatory materials from the forthcoming synoptic edition FRANS BOUWMAN, *Gustav Mahler: Symphony no. 10 Unfinished (1910): A Chronological Synoptic Transcription of its Surviving Sketches, Short Score and Orchestral Draft*. I warmly thank him for having allowed me to consult the print draft of this book. This order is a contentious issue in the literature; however, I think Bouwman's attempt is the most credible one.

⁶⁵ In this manuscript page bars 190-191b are cancelled but the bars 190-191 were brought back in the following manuscript page, DSS-RF14-ÖNB Mus.Hs.37817 [2], and the in SS and in OD.

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Ex. 5: idea x in DSS-RF13-ÖNB Mus. Hs. 37817 [1 v].

Fig. 1: ÖNB Mus. Hs. 37817 [1 v].

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This «*Einlage*» is found on DSS-CFxxv-ÖNB Mus.Hs.41000/6 [1v] (ex. 6).

The musical score for Ex. 6 consists of three staves. The top staff is in treble clef, the middle in alto clef, and the bottom in bass clef. The key signature has three sharps (F#, C#, G#). The section is labeled '193a' through '193h'. The music features complex textures with many notes beamed together, creating a dense, organ-like sound. A dynamic marking 'Orgelklang' is present below the first staff.

Ex. 6: idea *x'* in DSS-CFxxiv-ÖNB Mus.Hs.41000/6 [1v].

Again, this idea was cancelled. It clearly comes melodically from *x* and, for this reason, I shall call it *x'*. It is melodically different from *c* of SS (ex. 9 below, bars 194-198) and *c* of OD (ex. 2 above) which, in these two following stages, replaced just this earlier variant in the “discourse”. However, *x'* presents, for the first time, the majestic *Orgelklang*⁶⁶ (“organ sound”) choral-like gesture, expressed by secondary parameters of timbre and by some chordal relations (based on affinity of thirds) which are retained in the subsequent variant in the DSS, SS and OD.

In fact, this idea coming from *x* is further developed in the following sketch, DSS-RF14-Mus.Hs.37817 [2] (ex. 7, bars 193a-h and fig. 2).

The musical score for Ex. 7 is divided into two systems. The first system covers measures 183 to 190. It features a treble clef staff with a melodic line and two bass clef staves. Dynamic markings include 'PPP' and 'PPPP'. The second system covers measures 193a to 193d. It is labeled 'Einlage' and shows a more complex texture with many notes beamed together. Dynamic markings include 'pp'.

Ex. 7: idea *x* and *x''* in DSS-RF14-Mus.Hs.37817 [2], bars 183-193 (*x*) and 193 a-h (*x*).

⁶⁶ I wish to thank Jörg Rothkamm for having suggested to me, in a private communication, this deciphering of a not easily legible verbal annotation in the manuscript.

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Ex. 7: idea x and x'' in DSS-RF14-Mus.Hs. 37817 [2], bars 183-193 (x) and 195 a-h (x') (continued).

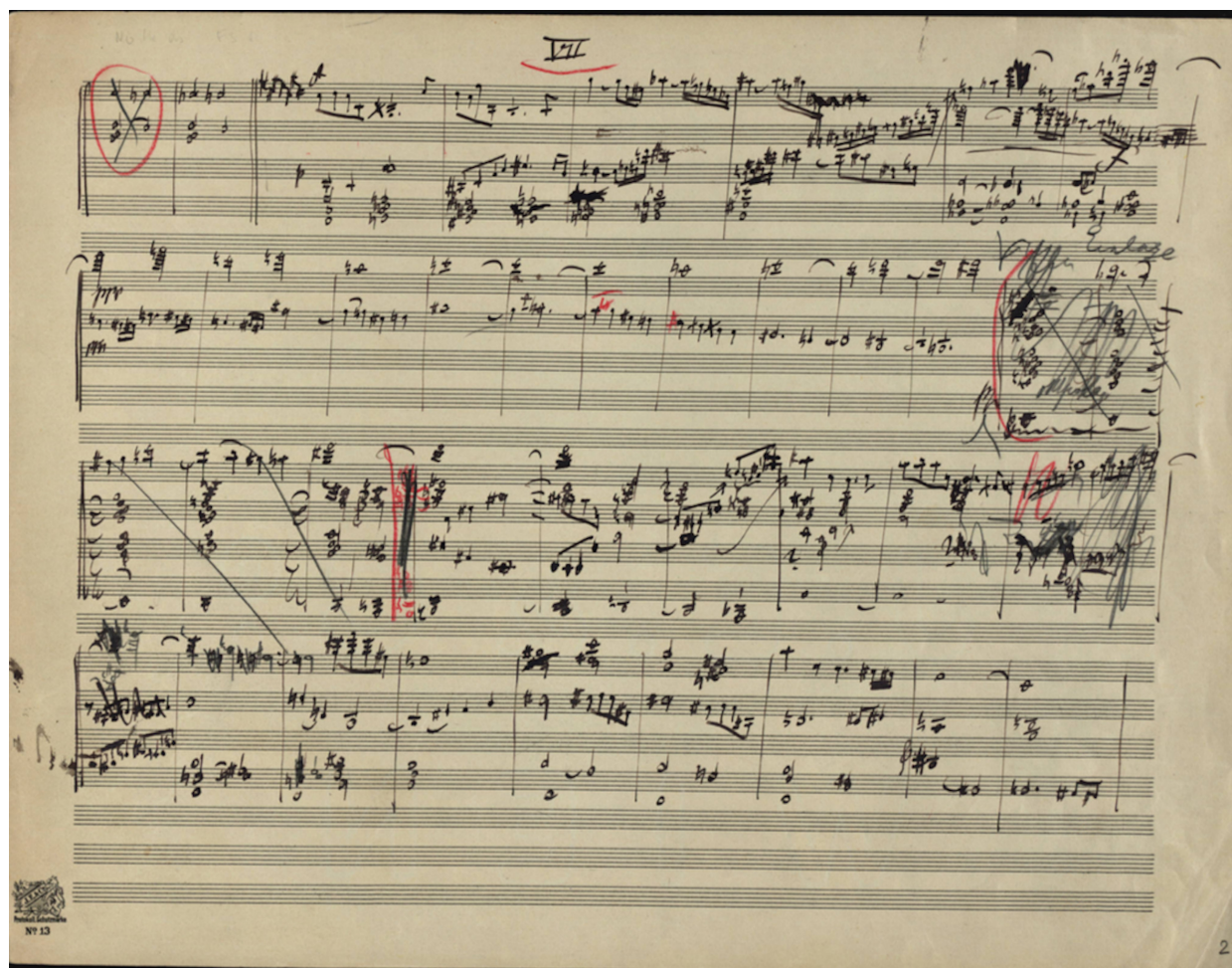
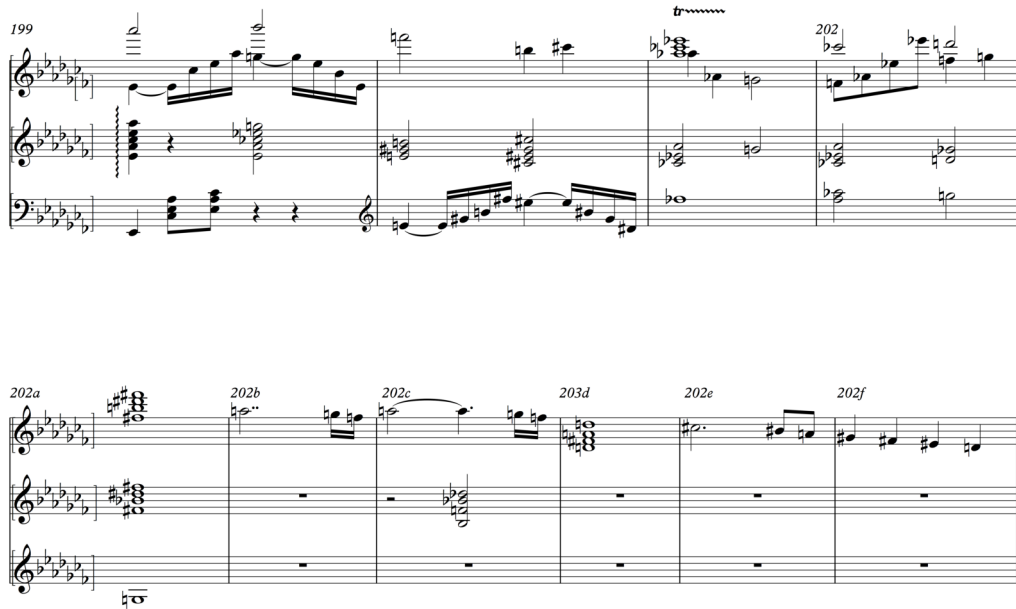


Fig. 2: ÖNB Mus. Hs. 37817 [2], by kind permission of the owner, Musiksammlung of the Österreichische Nationalbibliothek, Vienna.

This idea, which I call x'', for its melodic and harmonic and textural likeness to x', was later removed. Unlike x', however, this idea is gesturally more defined by dynamics. As pointed out by Colin Matthews, «it is an extraordinary conception, starting with a massive

pianissimo chord of E minor (or, possibly, E flat minor:⁶⁷ it is very difficult to decipher) above which floats a high (violin) line». ⁶⁸ The other three bars from the same sketch, which I call *x''/2* (ex. 7, bars 193f-g-h) carry on the idea *x''* and are discarded without being developed further.

Again, another *Einlage* in this page (ex. 7, bars 193, 193a) refers to the following sketch DSS-CFxxv-ÖNB Mus.Hs.41000/6 [11v] (ex. 8).



Ex. 8: idea *y* in DSS-CFxxv-ÖNB 41000/6 [11 v].

The first four bars of this page (ex. 8, bars 199–202) are retained in the following compositional stages: SS-BSB Mus.ms.22744 [15] (ex. 9, bars 199–202), and OD-ÖNB Mus.Hs.41000/1, 7th bifolio [14] (ex. 4), except for a few different note spellings and alterations. In these four bars the replacement of *x''* with *y* indicates the first attempt to break the monopoly of *x* and its melodic heritage in *x'* and *x''*. From the fifth bar, this sketch presents a discarded idea (ex. 8, bars 202a–f) which has a faint melodic resemblance to *x*. But the stronger transgression to the sonata form according to the Adornian “economy of materials” is given by the composer in SS-BSB Mus.ms.22744 [15] (ex. 9). Here, five bars of

⁶⁷ In contrast to Colin Matthews, as per my transcription (ex. 7), I read the passage in the key of E flat major. However, given the difficulty of deciphering of the passage, the margin of error is very high, so, the picture of fig. 2 can help the reader to make up their own mind with regards to the key of this controversial manuscript passage.

⁶⁸ COLIN MATTHEWS, *Mahler at Work: Aspects of the Creative Process*, PhD dissertation, University of Sussex, 1977, p. 135.

the new idea *c* (ex. 9, bars 194-198) are put before the idea *y* and, finally, the melodic profile of *x* and the traces it has left in *x'* and *x''* are wiped away, although the composer maintains the *Orgelklang* and choral-like gesture and some harmonic relations (based on the affinity of thirds) from the previous DSS *x'* and *x''*.

Ex. 9: idea *x*, *c* and *y* in SS-BSB Mus. ms. 22744 [15] bars 183-193 (*x*) 199-198 (*c*), 198-202 (*y*).

Ex. 9: idea *x*, *c* and *y* in SS-BSB Mus. ms. 22744 [15] bars 183-193 (*x*) 199-198 (*c*), 198-202 (*y*) (continued).

The image shows a musical score for five staves. The top staff is for Violin and Cello (Viol. + cb), the second for Flute (Fl.), the third for Clarinet (Cl.), and the bottom two staves are for a lower instrument, likely Bassoon or Contrabass. The score is in A-flat minor and spans from bar 199 to 202. The music is characterized by a complex texture with arpeggiated figures and sustained chords. The dynamics range from *f* to *ppp*.

Ex. 9: idea *x*, *c* and *y* in SS-BSB Mus. ms. 22744 [15] bars 183-193 (*x*) 199-198 (*c*), 198-202 (*y*) (continued).

Unlike the previous *x'* and *x''*, here there is the key of A-flat minor that will remain confirmed until the OD. The arpeggio is written in a shorthand form, with the dynamics as *f* vs. *p* in the previous sketch DSS-RF14-ÖNB Hs.37817 [2] (ex. 7, bar 193a) and *ff* in the OD-ÖNB Mus.Hs.41000/1, 6th bifolio [13], bars 183-193 (ex. 2, bar 194). Moreover, there is a sonorous depth which contrasts with *x*.

Compared to the OD, in SS *c* exhibits more complexity and harmonic instability. Moreover, the pedal stabilises and consolidates this new “time”. So, if *x'* and *x''* were “floating” (as defined by Matthews)⁶⁹ like *x*, *c* in SS and OD is not. The dynamics enhance this openness: *f* vs. *ppp* of *x''*.

The following five bars, *y* (ex. 9, bars 199-202), do not differ very much from the previous compositional stage. In this page, however, there is more detail in the texture and some indication of instrumentation. Both these variants (in DSS and in SS) of *y* differ from the homologous bars of the OD in terms of note spelling. The section *c'* (ex. 10, bars 203-212) in this page is also completely new. Its rewriting in the OD is characterised by few changes: the note A lasts until bar 205 (instead of bar 212 in SS); and there are some bars added (bars 208 and 210) and discarded (ex. 10, bars 205a, 211a of SS).

⁶⁹ *Ibidem*, p. 145.

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203 204 205 206 207 208

p

f *f*

Trp

Pos.

Ex. 10: idea *c'* in SS-BSB Mus. ms. 22744 [15].

209 210 211 212 212a 212b

f

Ex. 10: idea *c'* in SS-BSB Mus. ms. 22744 [15] (continued).

Before proceeding further, it is essential to identify what variants will be compared according to Micznik's approach. So, according to the above chronology, I can identify six variants (indicated in the rows "variant number" 1-6 in table 2) as local work's different forms of the passage considered. After the earliest sketch of the passage (variant 1), where the entire climactic passage is absent, every following variant results from each consecutive insert or replacement of the ideas x' , $x'' - x''/2$, y , c .

In the same table, the "discourse positions" columns indicate the syntagmatic sequence of musical unities for each variant. These discourse positions columns are indicated with numbers 1-4 in relation to the passage's syntagmatic sequence of the OD. For this reason, in early variants lacking the climactic episode some positions of them (in variants 1-4) in the table are empty, given the additive genesis of the passage.

Variant number	Discourse position 1	Discourse position 2	Discourse position 3	Discourse position 4
1	x (DSS-RF13-ÖNB Mus.Hs.37817 [1v], bars 183-193, ex. 5)	-	-	-
2	x (DSS-RF13-ÖNB Mus.Hs.37817 [1v], bars 183-193, ex. 5)	x' (DSS-CFxxv-ÖNB Mus.Hs.41000/6 [1v], ex. 6) – discarded	-	-
3	x (DSS-RF14-ÖNB Mus.Hs.37817 [2], bars 183-193, ex.7)	x'' (DSS-RF14-ÖNB Mus.Hs.37817 [2], bars 193a-h, ex. 7) – discarded	x''/2 (DSS-RF14-ÖNB Mus.Hs.37817 [2], bars 193f-g-h, ex. 7) – discarded	-
4	x (DSS-RF14-ÖNB Mus.Hs.37817 [2], bars 183-193, ex. 7)	y (DSS-CFxxv-ÖNB 41000/6 [11v], ex. 8)	x''/2 (DSS-RF14-ÖNB Mus.Hs.37817 [2], bars 193f-g-h, see ex. 7) – discarded	-
5	x (SS-BSB Mus.ms.22744 [15], bars 183-193, ex. 9)	c (SS-BSB Mus.ms.22744 [15], bars 194-198, ex. 9)	y (SS-BSB Mus.ms.22744 [15], bars 199-202, ex. 9)	c' (SS-BSB Mus.ms.22744 [15], bars 203-212, ex. 10)
6	x (OD-ÖNB Mus.Hs.41000/1, 6 th bifolio [13], bars 183-193, ex. 1)	c (OD-ÖNB Mus.Hs.41000/1, 6 th –7 th bifolio [13-14], bars 194-198, ex. 2)	y (OD-ÖNB Mus.Hs.41000/1, 6 th –7 th bifolio [14], bars 199-202, ex. 4)	c' (OD-ÖNB Mus.Hs.41000/1, 7 th bifolio [14], bars 203-212, ex. 3)

Table 2: Comparative table of variants 1-6.

By following this grid, I attempt to apply Micznik’s approach by comparing narrativity of all the variants, along the horizontal dimension of the table rows 1-6; by comparing units having different discourse positions within the same variant considered, and the vertical dimension of the discourse position columns; by comparing units of different variants within a same discourse position.

I begin with the analytic dimension of “story” (at morphological, syntactical and semantical levels). “Event” x in the column “discourse position 1” changes very little across the compositional process, so there are no significant changes of narrativity between variants. Always according to the above order of columns, I compare the sections located in the column “discourse position 2”, where there are units which are ascribable to different “events”, x (x' in variant 2, and x'' in variant 3), y (in variant 4), c (in variants 5 and 6).

Hence, at a morphological level, across these sections there is a process of reduction of irregularity, non-symmetry and non-rhythmicisation which paradigmatically could be traced back to the introduction-refrain in its many returns (including x in this passage) in the piece. Moreover, the secondary parameters here have a leading role in defining the morphology of x' , x'' , y and c . In particular, note that x'' , although with the dynamics pp , presents again the chordal *Orgelklang* gesture that was already present in x' . However, to emphasise the gesturality of this temporal plan the composer uses f in c of variant 5 and fff in c of variant 6. The essential aspect of this entire sequence across variants is that there is a strong dissociation between primary and secondary parameters: x'/x'' and c are very different from the point of view of melody and harmony, but they are very similar from that of gesture and texture. This aspect has remarkable syntactic and semantic implications. In fact, at a syntactical level, in all the sections x , x' and c , although these sketches are difficult to decipher, I can notice a progressive process of a sort of “modalisation” (in c in the SS and OD) whose previous stage is a chordal sequence based on third affinity in x' and x'' (see details in table 3).

x' (ex. 6)	Chordal sequence based on third affinity.
x'' (ex. 7)	Chordal sequence based on third affinity.
c in the SS (ex. 9)	Although the manuscript is very difficult to decipher, I have noticed a tonal ambiguity: until the bar 197, the note F is natural although in the key signature there are seven flats. Only at the end of the phrase (bar 198) this note becomes flat.
c in the OD (ex. 2)	As it shown at the ex. 11: <ul style="list-style-type: none"> ◆ until the bar 198 there is still a tonal ambiguity: in the key signature there are six flats and so the note F is natural (instead of flat) in bars 195, 196, 198. Only at the fourth quaver of the bar 198 it becomes flat within a chord which is the subdominant of A flat minor (this alteration allows leading back the entire choral to this its actual key the “event” c); ◆ the sensible of A flat minor (G) is flat, not natural (at bar 196, last quaver).

Table 3: Harmonic features of sections x' , x , c in the SS and c in the OD.



Ex. 11: piano reduction of the bars 195-198 of OD

The final result of this process is that in the OD until bar 198 the mode of *c* is not just minor but a sort of transposed fourth plagal mode enlarged to B natural and D.

Another process of reduction of irregularity can be identified in the chronological sequence indicated in column “discourse position 3” whose two terms of comparison are $x''/2$ (the continuation of x'') and *y*. In the column “discourse position 4”, instead there are no significant morpho-syntactic changes.

At a semantic level, across the variants there is a progressive increase in intertextual connotations: from only one semantic area in variants 1, 2 and 3 (the “floating” of x , x' and x'') to two areas in variants 4, 5 and 6 (the semantic area of x , x' , x'' and that of *c*, *y*, *c'*). Consequently, from the variants 4 to 5 there is a reduction of the semantic area of x due to its gradual replacement by that of *c* (via the postponing of *y* in variant 5). The passage from $x'-x''$ to *c*, in the column “discourse position 2” other than being gradual, does not occur to the same extent for all parameters. In fact, semantically, if the primary parameters ascribe the ideas x' and x'' to x , the secondary parameters (through the *Orgelklang* gesture) instead make them more similar to *c*. Moreover, the above-mentioned “modalisation” across the variants x' , x'' and *c* seem to reinforce the intertextual connotation of the *Orgelklang*. Given that *y* and *c'* change very little across variants 5 and 6 there are, with regard to these ideas, no huge semantic changes to note.

At a “discourse” level, in relation to discursive syntax and functions, x maintains its function as a “static section” in all the genetic variants. In the early variants 2 and 3 the “floating” ideas x' and x'' doubtless prolong the “static section” function of x so that they can make listeners think of an absence of action or, to be more precise, a feeling of suspense – which, however, in these variants does not occur. Only in variant 4 does the composer decide to take the step of replacing the first five measures of x'' with the streaming idea *y* (catalyser) so that the sequence reads: static section-catalyser-static section. In variant 5, the composer decides to create *c* (which is clearly a nucleus) and to put it before *y* in the sequence static section-nucleus-catalyser-nucleus, which will be retained in the OD. In

relation to gestural connotations, the gestural conflict starts from variant 4 when y replaces x'' and above all, from variant 5 when c takes the place of y in replacing x'' .

In relation to temporal discursive processes, x' and x'' in variants 2 and 3 respectively prolong the duration of x . Moreover, across variants, there is a clear increase in the “frequency” of events: from only one event in variant 1 (x), 2 (x and x') and 3 (x and x''), two events in variant 4 (x and $x''/3$, y) and three events in variants 5 and 6 (x , c and c' , y). In relation to “speed”, in DSS and SS of the passage there is no change in time. This and the above-mentioned intuitions of Matthews⁷⁰ regarding the incompleteness of the tempo indication in the OD suggest that the composer regarded this indication as *Retuschen* to be done after the OD, as mentioned above. Or, more precisely, that he probably conceived the tempo indications as a verbal explication of changing tempos that, however, are intrinsic to the temporal fractures of the succession of musical ideas.

In relation to order, across the variants there is a move away from the sonata form sequence of events. In fact, in variant 1, the only anomaly compared to the sonata form is the return of the intro-refrain x at the end of the recapitulation and its extension (x' , x'') in variants 2, 3 and 4. Instead, in variants 5 and 6 the final climax, as an appendix to the sonata form in the OD, is completely defined. However, in this moving away, the major element that disturbs the sonata form order is the idea c/c' .

3. Conclusion: Answering Questions

After the above analytical pathway, my aim here is to give a preliminary answer to the issues raised in the analysis of the OD of the passage, along with the two interrelated levels of “product” and “process” that were previously identified. By using the “genetic” analytic apparatus above, I wish to identify some key narrative-like temporal aspects in the passage that can function as templates for future attempts to generalise the approach on a larger scale for analysis of the *Tenth* and Mahler's other works. There are two key issues which arise from the final version (OD) of the passage:

- ◆ defining the status of x as a “voice” (according to Johnson)⁷¹ means it is necessary to specify more precisely “when” this voice speaks but also “who” is this voice;
- ◆ identifying more precise details about the temporal slippages between the “events” x , c and y , and in relation to a possible articulation of the temporal representation in the climax.

⁷⁰ C. MATTHEWS, *Tempo Relationships in the Adagio of Mahler's Tenth Symphony*, cit., p. 3.

⁷¹ J. JOHNSON, *Mahler's Voices: Expression and Irony in the Songs and Symphonies*, cit., p. 29.

What Johnson⁷² says regarding the “subjective” voice of *x* is, surprisingly, confirmed and developed further in the evidence from the “genetic” analysis, read in the light of the essay *Unfinished Music* by Richard Kramer.⁷³ In fact, the absence of major changes in *x* and the fact that this idea is located always in the same “discourse” position, across the compositional process, seems to put this idea in the category of what Kramer calls “draft-like” music. These kinds of unrefined musical ideas, according to this musicologist, can assume a “disruptive” and even subjectivist role in many pieces of music. In other words, I think it is possible to read the “unfinished” (in the sense of “endless”, because it lacks of cadential closure) and tentative *x* in the light of what Kramer says regarding the first movement of Beethoven’s “*Tempest*” Sonata: «the process itself, the act of composing infiltrates the substance of the work».⁷⁴ Just as in that composition, Mahler’s movement begins with a draft-like introduction which is not merely external to the piece, but enters (in the *Tenth*’s case taking the form, during the piece, of refrain) into the movement acting like a theme of it.

Hence, in this piece too, the «subjective figuring of the composer’s voice – of the composer as protagonist»⁷⁵ is an improvisatory (that is deliberately not refined and sketchy) gesture (*x*). So, this musical idea is comparable to the Beethoven sonata’s introduction which, according to Kramer, represents the composer’s improvisatory gesture of trying a new piano by «testing of its cavernous sonority, knees pressed against the damper mechanism».⁷⁶ Likewise, in this symphony the authorial presence is represented by a similar improvisatory and meta-referential gesture, characterised by an instrumental introduction which seems temporally collocated in a moment of composing which is different to that of the rest of the piece.

Unlike in Beethoven’s sonata, though, in this symphony Mahler provides us with more temporal indicators, thanks to a higher degree of narrativity. They are those indicated in the first paragraph above: the “present tense” is represented by a stylistic borrowing of a quasi-atonal music which contrasts with the character of nostalgic reminiscence of more typically Mahlerian ideas (the two themes) that *x* introduces during the piece. But the study of preparatory materials can also lead to the hypothesis that, without the denotative

⁷² *Ibidem*.

⁷³ RICHARD KRAMER, *Unfinished Music*, New York, Oxford University Press, 2008.

⁷⁴ *Ibidem*, p. 201.

⁷⁵ *Ibidem*, p. 171.

⁷⁶ *Ibidem*, p. 199.

resource of a verb conjugation, the narrative temporal slippage is represented purely analogically by importing the “process” into the “product”: that is, just by representing in music, meta-referentially, the act of writing itself. The composer's pen goes up and down (the tempo indication of x during the piece is *Andante*, an Italian word which etymologically translates as “going”) to note an uncertain and unfinished melody searching, in an *etwas zögernd* way, for the right temporal focus of his memory on the past happenings he is going to narrate (they are, in the passage, the “nuclei” c and c' and the “catalyser” y). This intrusion by the composer is anti-romantically indirect, that is to say the subject manifests not directly but by the proxy of representation of the act of writing. Moreover, in this passage as in the rest of movement, x works as a frame for a story; it seems a gesture which appears to be meta-narrative rather than narrative. For this reason, it seems comparable, *mutatis mutandis*, to the end of the narrative of *À la recherche du temps perdu* when, after the many hesitations during the previous three thousand pages, the narrator, by finally finding his lost time, becomes able to write the long story that he has been narrating during the previous three thousand pages. In both cases, it seems that it is the action of writing a story which assumes the role of protagonist of that story itself.

The gesturality of the climax characterises a different (stronger and more direct) degree of subjectivity compared to x , as suggested by the violence of sound of c and c' . In the OD, the passage from x to c exhibits the huge discontinuity of an Adornian *Durchbruch*. However, the compositional process actually tells us something completely different. In particular, in relation to Micznick's “discourse”, from variants 1 to 6 there is a gradual pathway in terms of progressive addition and stabilisation of new musical ideas which work as if were memories located in a different time. As shown in table 2, in early variants at the discourse position 2 there are prolongations of a static section x (x' and x'' in variants 2 and 3), and then in variant 4 the more gesturally defined “events” y (as a “catalyser”) and finally c (as a “nucleus” in variants 2 and 3). Moreover, it should be noted that x' and x'' respectively play a sort of bridging function, thanks to their melodic material which is ascribable to x , between the gestural connotation of x and that of the nascent *Orgelklang* idea. In variants 4, 5 and 6, of the same discourse position 2 the composer has removed the melodic material of x' and x'' that is ascribable to x . Moreover, the surprising effect is doubtless enhanced by the fact that, unlike early in the movement (bars 15-16, 48-49, 108-110 of the final version), this time the introduction-refrain x introduces an idea (c) which has no melodic resemblance to it.

Hence, this concerted effort on the part of the composer to focus *c* across the “genetic” variants confirms the character of this idea of painful flashback-like memory. Moreover, this nature is also proved by a sort of Freudian displacement and suppression of the traumatic memory: in variant 4, *x''* is replaced by *y*, which is clearly comparable to a verbal temporal connective, thanks to its “streaming” character. This means that the composer, before arriving at the anguished *c* (in variant 5), hesitates before spinning the “wheel of time”, so as not to reawaken the painful memory of *c*. Hence, in variant 5 the postponement of *y* after *c* – other than making the “discursive” position the catalyser *y* after the nucleus *c* (instead after the static section of variant 4) narratologically sustainable – enhances the role of temporal connective of *y* so as to lead the musical representation of time towards a “then”: the much more anguished *c'*. This temporal shift is also suggested by the almost total chromatic chord to represent time, which in its dissonant modernity gives the idea of an event that is more recent than the “modal” *c*, although linked with the latter by painful religious (and this time more personal) references. So the apparent rock-like monolithic climax shows its internal articulation.

The function of a “hidden bridge” between *x* and *c*, that is played by *x'* and *x''*, suggests another observation of the composer’s “narrative impulse” and his possible narrative-like working method by playing with gestural connotations. Apart from the clear progression already shown in the increasing degree of narrativity across the compositional stages, the most interesting outcome of this analysis in relation to this aspect is the dissociation between primary and secondary parameters in the management of compositional materials. This is an aspect which clearly implies an overturning of the traditional tonal hierarchy of parameters. In other words, it seems that the intertextual-gestural connotation *Orgelklang*, which was formerly present in *x'*, induces the composer to make subsequent choices at the level of primary parameters. These choices, across the compositional stages, are the above indicated “modalisation”, the removal in variant 5 of the melodic profile (coming from *x*) in *x'* and *x''* (which are apparently not suitable for a musical “flashback” of *c*) and their replacement with the chorale, which is coherent with the *Orgelklang* gestural connotation. This compositional behaviour appears to confirm Steven Coburn’s belief that Mahler «began a composition with a conventional conception and created his innovations at later stages of composition». ⁷⁷ However, I can add a further

⁷⁷ STEVEN D. COBURN, *Mahler’s Tenth Symphony. Form and Genesis*, PhD dissertation, New York University, 2002, p. 83.

elaboration to this conclusion. In fact, the presence in x' and x'' of melodic material derived from x , despite the *Orgelklang* gesture, seems to be a tribute to the canonical motivic-thematic “economy of materials” of sonata form. It would seem that Mahler, in early compositional stages, regarded as a memory aid for his “narrative” writing not only the sonata-form formal pattern – as Coburn⁷⁸ thinks – but also motivically “economical” sonata form processes, replaced later in the compositional process with gestural and intertextual nexuses.

To conclude, I wish to highlight a final aspect of Mahler's “unfinished-ness” which deserves to be studied in greater depth. The absence of motivic mediation between x and c in the final version of the score seems to indicate that the relation between the “finished” work and the preparatory materials is different to that in his other compositions, for example the finale of the *Ninth*. In that work, there are «sparse, fragmented motives [...] like involuntary memories»:⁷⁹ the composer decided to leave traces in the final version of the “unfinished-ness” of the early sketches and drafts. Here, to produce a no less fragmented and enigmatic outcome, but in contrast to the previous symphony, he decided to hide (in variant 4, by discarding x'' in discourse position 2) any connection with the materials of the early compositional stages. The result, however, remains the same, albeit by opposite means. Mahler leaves to the listener the task of hermeneutically “completing” the work in his mind: in the case of the *Ninth* by “constructing” the finale by means of sparse, sketch-like fragments, and in this case by mediating, as the composer did during the compositional process, between the contrasting materials of x and c . In both cases, the knowledge of the compositional process seems essential for Mahler's listener to take on the enigmatic hermeneutical challenges posed to them by the composer.

NOTE

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⁷⁸ *Ibidem*, p. 84.

⁷⁹ R. SAMUELS, *Mahler Within Mahler: Allusion as Quotation, Self-Reference, and Metareference*, cit., p. 48.