Schubert's Experiments with Processual Form

Experimentos de Schubert com a Forma Processual

Gabriel I. Venegas Carro
Universidad de Costa Rica

Abstract: This article assesses, from a process-oriented analytical perspective, the role of formal reinterpretation in Schubert's music. The article builds on the work of Janet Schmalfeldt (in turn inspired by the analytical and philosophical processual approaches to form of Theodor W. Adorno and Carl Dahlhaus). It also draws on the form-functional approach of William Caplin, and the dialogical formal perspective of James Hepokoski and Warren Darcy. The article's first part considers some typical structural features of form-functional transformations and presents a threefold categorization of them: intrathematic (e.g., continuation ⇒ cadential), interthematic (e.g., introduction ⇒ P-theme), and multilevel transformations (e.g., transition ⇒ contrasting middle). In addition to providing examples drawn from Schubert's works for piano that illustrate these three types of form-functional transformations (D. 899 no. 3, D. 566/I), the second part of the article discusses instances of theme-type (D. 784/I) and exposition-space-and-type (D. 935/I) transformations and form-functional intertextuality (D. 958/I) between Schubert's and Beethoven's works. The article concludes with a detailed consideration of the Piano Sonata in B-flat, D.960/I, addressing aspects of large-scale formal implications related to a particular formal strategy in Schubert's ternary P-themes: the "double-conversion effect," a process of form-functional transformation that features the reinterpretation of formal functions not once but twice in a self-contained formal zone.

Keywords: processual form, formal reinterpretation**,** formal function, Schubert´s piano music, Schubert´s form, Beethoven-Schubert intertextuality.

Peut-être qu'un jour, en pensant précisément à cette heure-ci, à cette heure morne où j'attends, le dos rond, qu'il soit temps de monter dans le train, peut-être que je sentirais mon cœur battre plus vite et que je me dirais: « C'est ce jour-là, à cette heure-là que tout a commencé. » Et j'arriverais—au passé, rien qu'au passé—à m'accepter.

—Jean-Paul Sartre, *La Nausée*

La relectura general de la obra confirmó esa teoría. En todas las ficciones, cada vez que un hombre se enfrenta con diversas alternativas, opta por una y elimina las otras; en la del casi inextricable Ts'ui Pên, opta—simultáneamente—por todas. Crea, así, diversos porvenires, diversos tiempos, que también proliferan y se bifurcan.

—Jorge Luis Borges, *El jardín de senderos que se bifurcan*

Introduction

Form and Temporality: Linear Form vs. Processual Form

A defining feature of music is that it extends in time and is thus perceived linearly by those who listen to it. Musical forms therefore might be understood as linear forms. However, notwithstanding the indisputable validity of this claim, the linear experience of musical forms does not entail an inevitable sense of process. As Carl Dahlhaus (1991) notes,

> The fact that music extends in time is not a sufficient reason to speak of music as emphatically processual. . . . It is only possible to speak meaningfully of a process, as opposed to a mere course of events, when the temporal quality of the music—the succession of things one after another—does not constitute a resistance against which the form asserts itself but, quite the reverse, composes the substance of the form, so that the components appear to proceed from one another, and a "logical," rather than an architectural, principle predominates (p. 166).

It is important, then, to distinguish between the concepts of *linear* and *processual form*. While the former refers to the general fact that the very nature of music imposes on its listeners a temporal experience, the latter points to the possibility of experiencing the form's linearity as a process in which the course of events is not merely an outcome of music's temporal nature but its very content. Thus, to approach musical form as a process entails a

reconceptualization of the relation between temporality and musical form: a move from the idea of form as something unfolded in time but not conceived in it, to the idea of form as a dynamic state in which the form, rather than merely being, is in the process of coming into existence.

The processual nature of form is more evident in some pieces than in others, and the analytic value of conceiving form as a process therefore varies according to the situation. The idea of form as a process, however, has proved to be especially germane to the music of nineteenth-century composers and their particular fondness for novel formal effects based on a processual experience of form.

The North American scholar Janet Schmalfeldt, more than any other theorist in recent years, has worked extensively on applying the idea of form as a process to Romantic music.[1] Her work, inspired by the analytical and philosophical approaches to form of Adorno and Dahlhaus, develops a long-standing interpretative tradition centered on the music of Beethoven, whose forms (especially from 1802 onward) are viewed as the result of a dialectical process within which the Hegelian concept of *becoming* plays a central role.[2]

At the core of these authors' perspective on form we find what can be called its seminal idea: the concept of formal reinterpretation. As defined by Schmalfeldt (2011), formal reinterpretation refers to "the special case whereby the formal function initially suggested by a musical idea, phrase, or section invites retrospective reinterpretation within the larger formal context" (p. 3).[3] One classic example of this situation occurs when what we perceive as expressing a continuation function turns out to be, retrospectively, a cadential function. An instance of this is found in Schubert's *Impromptu* in G-flat, D. 899

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[1] See, e.g., In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music (Schmalfeldt 2011).

[2] See Adorno (1998); Dahlhaus (1989), especially p. 13–15; and Dahlhaus (1991), especially p. 113–20 and 166–80. For an overview of Hegel's thought and its role within Adorno's work on Beethoven, see Spitzer (2006, p. 44–53). Additional sources of theoretical inspiration acknowledged by Schmalfeldt are David Lewin's work on musical phenomenology (Lewin 2006, p. 53–108) and Anthony Newcomb's process-oriented work on the music of Richard Wagner (Newcomb 1983, p. 227–45). For a full description of how the work of Dahlhaus, Adorno, Lewin, and Newcomb fits into Schmalfeldt's investigation, see Schmalfeldt (2011, p. 3–21).

[3] On the concept of formal function, see Caplin (2009, p. 21–40).

no. 3, mm. 13–16. There, after having heard a presentation phrase in mm. 9–12 (two-measure basic idea + sequential repetition) we most likely expect m. 13 to be the beginning of a continuation phrase. That expectation is realized by three measures of one-bar fragmentations (recalling the melodic contour of m. 3) plus one measure of tonic resolution. However, the harmonic progression in these four measures (IV–V$^4_2$–I^6–IV$^{5-6}$–V$^6_{4-7}$–I) retrospectively invites us to hear the whole phrase (mm. 13–16), the process of fragmentation notwithstanding, as unfolding within an expanded cadential progression, and thus expressing a cadential function.

Schmalfeldt, with the goal of refining her—and others'—analytical observations on formal reinterpretation, has borrowed from symbolic logic the double-lined arrow (⇒), which, when used in a musical context, stands for "becomes."[4] Accordingly, for example, the above-mentioned Schubert example of a continuation function retrospectively reinterpreted as a cadential function would be represented, after Schmalfeldt's practice, as an instance of "continuation ⇒ cadential." Crucial here—and indicating the greatest indebtedness to Hegel's thought—is the fact that the analytical expression "continuation ⇒ cadential" does not stand as a synoptic representation in which "cadential" is finally favored over "continuation." Quite the opposite: As Schmalfeldt (2011) explains, "the expression in its entirety serves to represent the formal function, and its central element—the 'becoming' sign—stands for the central idea to be conveyed" (p. 12). Elsewhere, "understood as an express reference to Hegelian thought, the term 'becoming' strives to accentuate the process, rather than the result" (Schmalfeldt 2011, p. 50). Furthermore,

> At the moment when one grasps that becoming has united a concept and its opposite, or negative, then all three elements—the one-sided concept, its opposite, and becoming itself—vanish. And what has become is a new moment—a stage, a synthesis—in which the original concept and its opposite are no longer fixed and separate, but rather identical determinations, in the sense that the one cannot be thought, or posited, outside the context of the other" (Schmalfeldt 2011, p. 10).

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[4] As Caplin (1998) writes, "in other contexts the symbol [⇒] indicates retrospective reinterpretation of harmony, tonality, and cadence" (p. 265 n. 46).

Thus, Schmalfeldt proposes thinking of expressions comprising the notion of "becoming" (or its symbolic representation) as a dialectic synthesis in which the result is the process, which rather than canceling the conflict, preserves it in our memory.

Formal Reinterpretation in Schubert's Works for Solo Piano

As is widely recognized, Schubert's music is as rich in highly dramatic effects as it is in hermeneutic challenges. In his music, unexpected twists—both formal and tonal—join forces to produce many unusual formal procedures from which arise analytical complications. Many of these characteristic aspects of his music—e.g., his penchant for "three-key" expositions and third-related modulations—have been extensively discussed in the theoretical literature. Nevertheless, there are still many other features of his music that need further exploration if a better and more comprehensive picture of his compositional technique is to be attained.

Considering the richness of Schubert's music in form-functional twists (no doubt partly due to the influence of Beethoven), the role of formal reinterpretation in his music might be placed among these still under-explored Schubertian fields of study. Hence, the intent of the present study is to assess Schubert's formal procedures from a process-oriented analytical perspective in order to reveal the crucial relation between form and process that resides at the core of his music. Besides developing on the work of Schmalfeldt, this study also draws on the form-functional approach of Arnold Schoenberg, Erwin Ratz, and William Caplin;[5] and the dialogical formal perspective of James Hepokoski and Warren Darcy.[6] For practical reasons, the scope of the present work has been restricted to selected examples from Schubert's music for solo piano. These pieces exemplify a great diversity of formal procedures and thus make for a pertinent case study.

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[5] See Schoenberg (1967); Ratz (1973); and Caplin (1998).

[6] See Hepokoski and Darcy (2006). My analyses adopt the analytical terminology and formal abbreviations of Hepokoski and Darcy's Sonata Theory. For a summary of these, see Hepokoski and Darcy (2006, p. xxv–xxviii).

Part I: Structural Categories of Form-Functional Transformations

In order to gain a richer appreciation of the compositional subtleties that formal reinterpretation involves, we might start by considering some typical structural features of form-functional transformations.

(A) Intrathematic Transformations

Continuation ⇒ cadential	Sonata in E, D. 157/I (mm. 52–55)
	Impromptu in G-flat, D. 899/3 (mm. 13–16)
Codettas ⇒ presentation	Sonata in C, D. 279/I (mm. 32–35)
	Sonata in E-flat, D. 568/IV (mm. 19–22)
	Sonata in A, D. 959/I (mm. 22–26)
Consequent ⇒ antecedent	Sonata in e, D. 566/I (mm. 1–6)
Consequent ⇒ second antecedent	Sonata in a, D. 845/I (mm. 5–10)
	Sonata in A, D. 959/I (mm. 60–64)
Small-ternary reprise ⇒ consequent	Sonata in a, D. 784/I (mm. 26–46)
Small-ternary exposition and contrasting middle complex ⇒ antecedent	Sonata in a, D. 784/I (mm. 1–25)

(B) Interthematic Transformations

P-theme restatement ⇒ TR	Sonata in E, D. 157/I (mm. 23–47)
Introduction ⇒ P-theme	Sonata in a, D. 845/I (mm. 1–26)
	Impromptu in f, D. 935/3 (mm. 1–13)
	Sonata in c, D. 958/I (mm. 1–21)
P-theme ⇒ TR	Sonata in e, D. 566/I (mm. 1–17)
	Sonata in a, D. 845/I (mm. 26–39)
	Sonata in c, D. 958/I (mm. 21–39)
Introduction/P-theme complex ⇒ TR	Sonata in c, D. 958/I (mm. 160–188)

(C) Multilevel Transformations

P-theme closing section ⇒ TR	Sonata in C, D. 279/I (mm. 32–44)
	Sonata in E-flat, D. 568/IV (mm. 19–24)
	Sonata in A, D. 959/I (mm. 22–54)
P-theme consequent ⇒ TR	Sonata in e, D. 566/I (mm. 7–17)
TR ⇒ contrasting middle	Sonata in G, D. 894/I (mm. 10-16)
	Sonata in B-flat, D. 960/I (mm. 21–35)
P-theme reprise ⇒ TR	Sonata in G, D. 894/I (mm. 17–26)
	Sonata in B-flat, D. 960/I (mm. 36–48)

Table 1: Examples of Form-Functional Transformations in Schubert's Works for Piano Solo

One way of conceiving form-functional transformations is to distinguish them according to the form-functional level(s) involved. Following this criterion, it is possible to establish the three broad structural categories shown in Table 1:

intrathematic, interthematic, and multilevel transformations.[7] In the first category—intrathematic transformations—formal reinterpretation takes place at the level of the theme type. The *locus classicus* of this type of form-functional transformation is the above-mentioned continuation ⇒ cadential, where, as Caplin (1998) notes, "a continuation phrase (following, as it does, a presentation [phrase]) is understood retrospectively to be a cadential phrase based on an expanded cadential progression, a phrase that nevertheless contains continuational characteristics" (p. 47). The second category, interthematic transformations, comprises formal functions that operate at a higher level of formal syntax. The *loci classici* within this category are introduction ⇒ primary theme (P) and P-theme ⇒ transition (TR). Finally, in the third category, multilevel transformations, formal reinterpretation involves moving across intrathematic *and* interthematic levels, meaning that an intrathematic function becomes (⇒) an interthematic one or vice versa. Examples of this more complex situation include P-theme's closing section ⇒ TR, TR ⇒ contrasting middle, and P-theme's reprise ⇒ TR.

We may illustrate the three categories of form-functional transformations with a short passage (mm. 1–17) from the first movement of Schubert's Piano Sonata in e, D. 566. This excerpt represents a simple yet paradigmatic example of a processual technique resulting from the merging of P and TR spaces. Here the P-theme begins with an antecedent phrase with a repeated contrasting idea (c.i.)—the first time ending with a deceptive cadence (DC) in m. 4, the second time with the normative half cadence in m. 6. At this point Schubert is already playing with our formal expectations: From a phenomenological standpoint, the DC of m. 4 is more than just a V–VI harmonic articulation; it is the denial of a prospective PAC. The form-functional process of mm. 1–6 is therefore better understood as that of a phrase in which the first beat of m. 4—despite the unusual absence of a preceding antecedent phrase—prompts the anticipation of a consequent phrase (i.e., basic idea + contrasting idea ending with an authentic cadence), the third beat of m. 4 denies such a perception, and mm. 5–6 suggest and confirm a larger antecedent function (i.e., basic idea + contrasting idea

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[7] On intrathematic and interthematic functions, see Caplin (1998, p. 255).

ending with a half cadence).[8] Mm. 1–6 thus exemplify well the first category of form-functional transformation (intrathematic transformation), in this case in the form of consequent ⇒ antecedent.[9]

Moving forward, in mm. 7–17 the anticipated large consequent phrase, instead of producing a i:PAC, changes direction and ends on a III:IAC. This functions by default as the exposition's medial caesura (MC). This de facto MC does two things: it triggers the S-theme and retrospectively reinterprets the consequent phrase of the P as TR. Thus, in the context of mm. 1–17 we perceive the interthematic transformation P ⇒ TR; in a more local context, mm. 7–17, we get the multilevel transformation consequent ⇒ TR; and at a still lower level (mm. 1–6) the intrathematic transformation consequent ⇒ antecedent. Figure 1 gives a summary of the formal process in this excerpt.
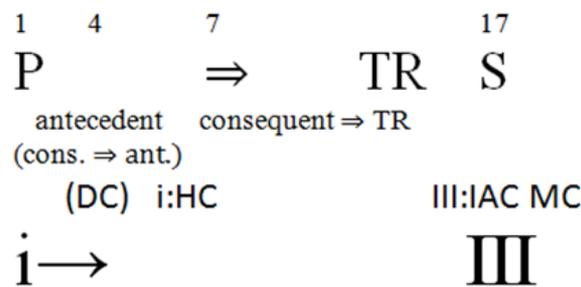

Figure 1: Schubert, Piano Sonata in e, D. 566/I (Exposition, mm. 1–17).

Part II: Three Processual Excursions

Having outlined a basic theoretical framework, we will now consider three larger examples from Schubert's piano works that feature conspicuous processes of formal reinterpretation.

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[8] In a private exchange, Professor Schmalfeldt pointed out to me a fact that strengthens the above-proposed processual interpretation of mm. 1-6: a DC is so frequently (and soon thereafter) followed by a "corrective" PAC that Schubert's HC at m. 6 really does break from tradition and thwart expectations.

[9] Similar ideas are found in Lewin (2005, p.56–59) in connection with a hypothetical example.

Piano Sonata in a, D. 784/I

The P-theme of Schubert's Piano Sonata in a, D. 784/I represents a special situation in which the listener experiences a theme-type transformation. The movement starts with the suggestion of a ternary P-theme: exposition (A), mm. 1–8 (c. b. i. + consequent); contrasting middle (B), mm. 9–21 (thematic introduction + c. b. i. + consequent); retransition (RT), mm. 22–25; and reprise (A') beginning at m. 26. However, as the reprise progresses one comes to realize that this section is not functioning as expected: mm. 30–33, instead of functioning as a consequent phrase, become a sequential repetition of mm. 26–29 (consequent ⇒ c. b. i.); moreover, the contrasting middle section (mm. 9–21) is brought back (transposed) in mm. 34–46, but now, within the new context, functioning as a continuation phrase—one that ends with a i:PAC. This turn of events makes us reinterpret, retrospectively, mm. 26–46 as the second part of a large-scale period (A' ⇒ consequent). Consequently, mm. 1–25 in retrospect become (see the backward single arrow in Figure 2) the first part of this large-scale period (A-B complex ⇒ antecedent). Thus, in the larger context, what first was perceived as a ternary P-theme is retrospectively reinterpreted as a periodic structure in which both antecedent and consequent comprise compound sentences. Figure 2 attempts to capture the main processual features of this example.
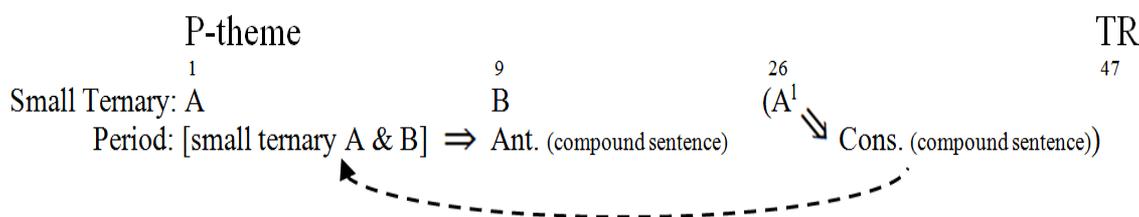

Figure 2: Schubert, Piano Sonata in a, D. 784/I (Exposition's P-Theme).

Impromptu in f, D. 935/I

In the Impromptu in f, D. 935 no.1, Schubert invites the listener to take part in a game of exposition-type reinterpretations. The movement starts with a

13-measure period that functions as the P-theme.[10] Following this, the increased rhythmic activity in mm. 13ff marks the launching of a transition whose behavior is far from simple: beginning at m. 17, what we first thought would be a repetition of mm. 13–17 veers away from tonic and indeed confirms the key of A-flat (III). The production of a III:PAC in m. 21 suggests, at first, that a two-part exposition is in progress and we have just reached a third-level default MC. This perception is nonetheless immediately called into question in mm. 21–30. Here, instead of finding a generic S-theme following the MC, one is confronted with a varied (and expanded) sentential version of mm. 17–21 that eventually arrives, once again, at a III:PAC in m. 30.[11] The cadential reiteration has the effect of declining the earlier MC in m. 21 and, as a consequence, retrospectively interpreting it as an "early" EEC within what Hepokoski and Darcy (2006, p. 60–63) identify as the second continuous-exposition subtype (in which an early PAC in the new key is followed by reiterations—often varied—of the cadence). The module in mm. 30ff starts as another varied cadential reiteration. This time, however, the module takes an unexpected turn when, after an energy-gaining process, the music locks onto a V in b-flat (iv) in mm. 38ff. This event might seem to open up a last-minute chance to produce an MC, and therefore reinterpret the exposition as two-part (continuous exp. ⇒ two-part exp.). However, a iv:HC MC is far too counter-generic to be plausible. As a result, beginning in m. 39, a de-energizing process (dynamic drop from *ff* to *pp*) eventually leads to a blocked MC in m. 44.[12] There, the dominant lock on F is reinterpreted as upper neighbor

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[10] It is worth pointing out that this P-theme projects the sense—mainly due to its free, declamatory style—of being not yet the beginning of a sonata process (i.e., the P-theme proper), and thus it might be at first considered an introduction (see, e.g., Navia 2019, p. 221). However, it is important to remember that introductions are rarely constructed as tight-knit themes (e.g., a period). As a result, one might expect that, once the beginning of the consequent (m. 7) is heard, an informed listener would sense that an apparent introduction is becoming the P-theme.

[11] Alternatively one might hear mm. 21–30 as a continuation phrase following a compound presentation (mm. 13–21).

[12] As Hepokoski and Darcy (2006) explain, "occasionally one comes across MC-effects that are distortions or significant reworkings of normative practice. . . .One of the most common of these deformations. . . is the blocked medial caesura. In these cases the energetic TR proceeds normatively and perhaps even provides a clear structural-dominant lock. . . . Shortly before the expected articulation of the MC chord, however, the forte music seems to run into a dynamic blockage. Thus the drive to the normal MC completion is prematurely shattered in mid-phrase" (p. 47).

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to V-of-III. The C-rhetoric that follows in mm. 45–66 confirms that we are far beyond the point of attaining a proper MC; consequently, the potential for S-space is retrospectively lost, and thus the III:IAC at m. 45 is heard as the "real" EEC.[13] This last event reinterprets the two-part exposition suggested by mm. 38ff as a continuous exposition (the third and final instance of an exposition-type transformation in this exposition). Figure 3 represents the process of form-functional and exposition-type transformations in this example.
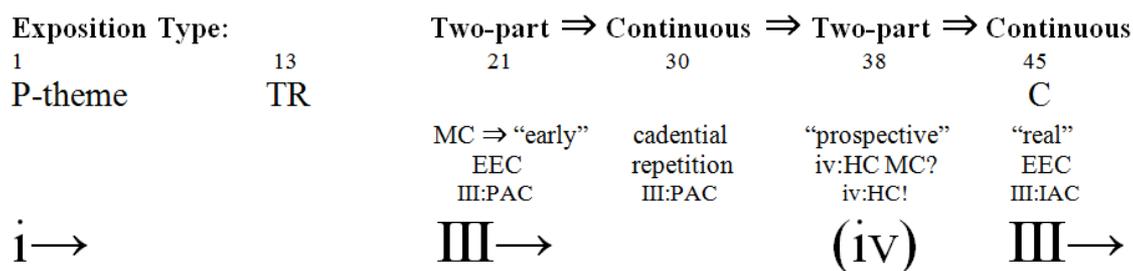
Exposition Type:		Two-part ⇒ Continuous ⇒ Two-part ⇒ Continuous			
1	13	21	30	38	45
P-theme	TR				C
		MC ⇒ "early" EEC III:PAC	cadential repetition III:PAC	"prospective" iv:HC MC? iv:HC!	"real" EEC III:IAC
i→		III→		(iv)	III→

Figure 3: Schubert, Impromptu in f, D. 935/I (Exposition).

Worth noting is the processual mark of this movement´s form as a whole: After the unrepeated exposition (mm. 1–68) there is a 44-measure rounded-binary episode (mm. 69–111) in the minor submediant followed by a four-measure retransition (mm. 111–114) and a full recapitulation (mm. 115–181). Up to this point, an informed listener would most likely interpret the form deployed in mm. 1–181 in dialogue with the formal expectations of type-3 sonatas in which a slow movement episode substitutes for the customary developmental space.[14] However, the passage in mm. 182–225, a de facto recapitulation of the interpolated episode, triggers the retrospective reinterpretation of the movement´s form: what has been first thought to be a type-3 sonata becomes a highly unusual grand parallel binary structure in which Part II as a whole (mm. 115–225) functions as a tonally and thematically successful recapitulation of Part I (mm. 1–68), thus forcing a dramatic temporal reassessment of the first episode—which first projects the sense of being in the middle portion of a three-part design but then becomes the end of the first half of a two-part design.

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[13] For an alternative interpretation of mm. 38–45, see Navia (2019, p. 222).
[14] On such a substitution strategy, see Hepokoski and Darcy (2006, p.220–21).

Piano Sonata in c, D. 958/I: Schubert, the Beethovenian

The first movement of Schubert's Piano Sonata in c, D. 958 might well be regarded as the composer's posthumous tribute to Beethoven and his subsequently most-discussed example of formal reinterpretation: the first movement of his Piano Sonata in d, Op. 31 no.2 ("Tempest").[15] In D. 958/I Schubert presents an expositional space whose first part contains two interthematic transformations: introduction ⇒ P-theme (mm. 1–21) and P-theme ⇒ TR (mm. 21–39). Unlike the above-discussed *Impromptu* D. 935/1, whose recapitulation (mm. 115–181) retraces in full the formal plan of the exposition (mm. 1–68), in D. 958/I the recapitulation presents a compressed version of the exposition's first part: in mm. 160ff what seems to be a normal recapitulation of the expositional introduction ⇒ P-theme (the modifications in mm. 163–167 notwithstanding) veers away from the expositional formal plan in m. 178, locks into the end-of-transition V in mm. 180ff, and produces a i:HC MC in m. 187 (the music in mm. 180–188 representing a slightly varied form of that in mm. 31–39). In the process of formal compression mm. 19–30 from the exposition are deleted in the recapitulation and replaced by a two-measure module (mm. 178–179) functioning as a connection between the exposition's introduction ⇒ P-theme and P-theme ⇒ TR. As a result, the exposition's dual form-functional transformation is recast in the recapitulation as a single interthematic transformation, namely introduction–P-theme complex ⇒ TR. Figure 4 compares the exposition's and recapitulation's form-functional transformations.

The similarity between Schubert's compositional treatment of these two sections (exposition and recapitulatory first part) and that in Beethoven's Op. 31 no.2/I is striking. As in the Schubert example, Beethoven recasts the exposition's dual form-functional transformation (mm. 1–21, introduction ⇒ P-theme; mm. 21–41, P-theme ⇒ TR) as a single event (mm. 143–171, introduction-P-theme complex ⇒ TR). Moreover, new material (mm. 159ff)—in this case "writing over" rather than replacing much of the exposition's first part[16]—functions as a connection between what were two separate modules in the exposition.

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[15] On the processual aspects of Beethoven's Op. 31 no.2 and its related literature, see Schmalfeldt (2011, p. 37–57).

[16] As Hepokoski and Darcy (2006) explain, "the potential for one theme writing over a space normatively occupied by another is a central aspect of Sonata Theory. This approach attends not
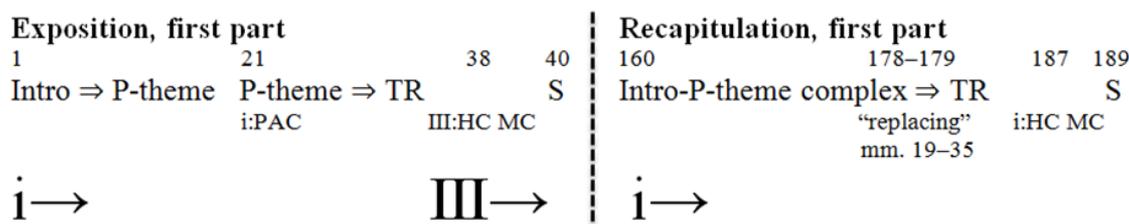
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Figure 4: Schubert, Piano Sonata in c, D. 958/I (Exposition and recapitulation, first part).

Given the great admiration that Schubert felt for Beethoven (whom he considered the greatest composer among his contemporaries) and the wide circulation of the latter's music at the time,[17] it does not seem far-fetched to speculate that Schubert may have been influenced by Beethoven's "Tempest" sonata when composing D. 958.[18] More to the point, the similarities between these two works extend beyond their first movements: both works contain major-mode Type-1 sonatas in the flat submediant as their second movements, and Type-3 sonatas in dialogue with the Type-4[3] sonata as their finales.

Along similar lines, several authors have pointed out the unmistakable resemblances (both rhetorical and harmonic) between D. 958/I's main theme and that of Beethoven's 32 variations in c, WoO 80, as well as other more subtle similarities in connection with other c-minor works of Beethoven, such as the

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only to what happens acoustically in a piece—what we hear—but also to the things that we expect to happen that do not occur or that are kept from sounding. . . . What writes over an expectation has a dual mode of existence. It exists as sound in its own right, and it exists as a replacement for something that is not happening, a something whose absence must be related to the substitute's presence" (p.214).

[17] For example, just three years after its composition Op. 31 no. 2 had already been published three times, by Nägeli (Zurich), Simrock (Bonn), and Cappi (Vienna).

[18] In this connection one might even feel tempted to indulge in more subjective interpretations. With the evidence at hand, for example, one might entertain the idea that for Schubert, the memory of himself carrying a torch alongside Beethoven's coffin the day of the latter's funeral (March 26, 1827) might have started to acquire a new meaning at some point between the summer and fall of 1828 while he was working on D. 958: he perhaps started to develop an awareness of his historical role as one of Beethoven's artistic heirs, and in the process, the memory of the funeral procession—now a transcendental revelation—became pure musical content.

Piano Sonatas Op. 10, no.1 and Op. 13.[19] All these examples, however, are distinguished from the "Tempest" in the nature of their intertextual correspondences to the Schubert. In these examples, the intertextuality is based on thematic/harmonic structure and key color or character rather than form-functional procedures. If, as claimed by Schmalfeldt and others,[20] formal reinterpretation is indeed a central tenet of Schubert's and other romantic composers' formal procedures, then form-processual intertextuality between Schubert's and Beethoven's works might constitute a fruitful path for further study.

Part III: The Double Conversion Effect and the Piano Sonata in B-flat, D. 960/I

Schubert's fondness for novel procedures based on formal reinterpretation is especially evident in those cases where the process of form-functional transformation features the reinterpretation of formal functions *not once but twice* in the course of a self-contained theme type or interthematic function. I call this formal-processual strategy the *double-conversion effect* (DCE) and this third and last part of the present study is intended as a preliminary investigation of that effect's formal features and analytical implications. The first movement of Schubert's last work for piano solo, the Piano Sonata in B-flat, D. 960,[21] will illustrate the characteristic behavior of such DCEs in Schubert's ternary P-themes.

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[19] A summary of the literature on the similarities between Schubert's D. 958 and Beethoven's WoO 80, Op. 10, no. 1 and Op. 13, is found in René Rusch (2013). The author, drawing on Jacques Derrida's ideas on "grafting," provides a suggestive post-structuralist reconsideration of Schubert's Beethoven appropriation.

[20] See, e.g., Schmalfeldt (2011, p. 15).

[21] The work is not only Schubert's last piano sonata but represents his very last thoughts on sonata form, and on that account alone is of unusual interest for any study of his treatment of that form. However, although it is certainly true that by the end of September 1828 the composer's health had significantly deteriorated as a result of syphilis-related afflictions and that less than 2 months later he died (November 19), at the time he finished D. 960 (September 26, 1828) he was still healthy enough to play their premiere and attend concerts. As the Austrian pianist Alfred Brendel (2007) notes, when Schubert completed his last sonata "he had no intimation of imminent death", thus "the last three sonatas should not be taken as a final message" (p.153) and there

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Exposition's first part

The exposition's Part 1 comprises an 18-measure compound period (compound antecedent, mm. 1–9; compound consequent, mm. 10–18) followed by one bar of caesura-fill and a passage of 29 measures (mm. 20–48) of highly ambivalent formal functions. After the PAC in m. 18 and the following bar of caesura fill, the passage starting at m. 20 sounds very much like the beginning of a new formal section, and therefore might be taken for the exposition's transition. This passage, however, turns out to be anything but a straightforward transition: at first perceived as firmly rooted in the key of G-flat, at the last moment it loses its tonal independence, and at m. 36 is absorbed by a tonic restatement of the piece's opening material.

A traditional formal interpretation would understand the entire passage in terms of a large P-space constructed as a small ternary: exposition (or A section), mm. 1–18; contrasting middle (or B section), mm. 19–35; and reprise (or A' section) starting at m. 36. This reading can be found in analyses by authors like Felix Salzer and Charles Rosen.[22] In Rosen's view, for example, mm. 20–35 form a central section framed by the main thematic idea in B-flat.[23] Although these authors interpretations have their own formal insights, neither considers the unfolding of a formal *process* in the passage. Specifically, neither addresses the role of *listener expectation* at a given moment.

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seems no reason to equate his last piano sonata with some sort of last will and testament. (On Schubert's treatment of sonata form, see, e.g., Beach [1993] and Webster [1978]. On Schubert's health around September 1828, see Brown [1966, p. 3–28]).

[22] Salzer (1962, p. 183–185) and Rosen (1988, p. 258–61).

[23] A special (and dubious) feature in Rosen's analysis is his dismissal of the root-position tonic chord in m. 39, through reading the entire A' section as controlled by a dominant pedal (F). Rosen, unfortunately, does not provide any explanation as to how his implicit F pedal at m. 39 manages to override the structural return of I at that precise moment.
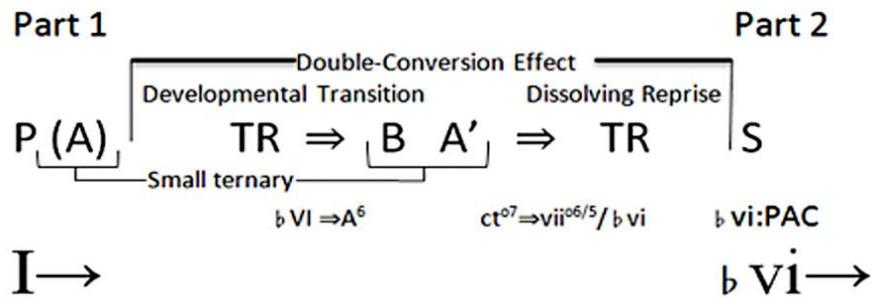
Figure 5: Schubert, Piano Sonata in B-flat, D. 960/I (Exposition, first part).

Figure 5 represents the same passage in terms a "double-conversion effect": Following the P-theme, the music moves into TR-space via a dramatic harmonic shift into G-flat major. At that point, a P-based module starts to unfold what sounds like a "developmental" transition.[24] However, the presumed TR fails to fulfill its generic task of bringing the sonata process to its next zone, i.e., the secondary theme: At m. 34 the G-flat chord is surprisingly transformed to a German-sixth harmony that drives the music to a return to the tonic with the main idea over a cadential $^6_4$ (m. 36). This unexpected turn forces us to reinterpret what we initially took for TR-space (m. 19ff) as the contrasting middle of a small ternary: TR *becomes* B or contrasting middle (TR ⇒ B), a *multilevel transformation*. From there—and as suggested by the correspondence between A and A′—the music from m. 36 seems to be moving towards a PAC at m. 45. However, the expected final cadence is evaded: the dominant seventh chord at m. 44 is embellished in the two following measures by a common-tone diminished-seventh pivot chord that is reinterpreted in the new tonal context of F♯ minor. At this point the music undergoes a *second conversion*: The ternary reprise has failed to achieve its goal (i.e., a I: PAC), and now dissolves into more generic TR activity; in other words, what we thought was A′ now *becomes* the "real" TR (a dissolving reprise), another multilevel transformation. Finally, this "new" TR produces an authentic cadence in F-sharp minor (the enharmonic bvi) that launches the S-space starting in m 48.[25]

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[24] On developmental transitions, see Hepokoski and Darcy (2006, p. 95–97).

[25] An example of a Type-3 sonata with a ternary P-theme that dialogues with the double-conversion effect is found in the first movement of the Piano Sonata in G, D. 894. In this piece, however, the DCE is present in a more embryonic form. The main difference here is the way in which the large-scale role of the music that is subjected to the first form-functional transformation

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Large-Scale Implications: The Recapitulation

As noted by James Webster (1978, p. 33–34), one important way in which Schubert treats the recapitulation in works with "three-key" expositions is to simply transpose the entire S-space down a fifth. This is the case in D. 960/I (see mm. 267ff and compare with mm. 48ff), and also in other works such as the first movements of the Octet in F, D. 803, the Piano Trio in E-flat, D. 929, and the String Quintet in C, D. 956. Nevertheless, there is an important difference between the piano sonata and these other pieces: whereas in all of them, the first part of the recapitulation deflects into the subdominant, in D. 960/I it instead remains in the tonic key until near the beginning of S-space. What is Schubert's reason for avoiding this common generic tonal deflection?

In light of the form-functional play in the exposition, Schubert's rationale for avoiding this tonal deflection might arise from his decision to bring back not only the P-theme in the tonic, but also its most characteristic formal feature: the double-conversion effect. It is clear that one critical factor in producing the *first* conversion in the exposition is the large-scale tonic prolongation that connects A and A' within a single formal unit, the small ternary. In that sense, *any* major departure from the tonic—such as one produced by an early subdominant deflection in the recapitulation—would destroy the retention of the same tonic prolongation in the recapitulation's Part I, and with that, the perception of a large formal unit. Hence Schubert's decision to bring back the double-conversion effect

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(TR ⇒ B) is perceived. In D. 894 the unusual harmonic context in this section (mm. 10–16) hints at a ♯VII: HC MC: what sounds like an augmented sixth chord at m. 16 suggests that a resolution to a C-sharp dominant chord will eventually be attained. This resolution, however, never materializes, and the aurally understood B-sharp is enharmonically reinterpreted as the C natural notated in the score. As a consequence of this harmonic reinterpretation, the augmented sixth chord in the key of F-sharp (♯VII) becomes the home-key dominant that prepares for the return of the opening material at m. 17. The music in mm. 10–16 is, then, an instance of a half-step harmonic displacement being corrected through harmonic reinterpretation. This corrected displacement, in turn, is the main reason for the perception of the multilevel transformation TR ⇒ contrasting middle that, within the broader context of the ternary P-theme with dissolving reprise (A, mm. 1–9, and A' ⇒ TR, mm. 17– 26), produces an embryonic double-conversion effect that Schubert would later use (D. 960) in a more fully developed way.

Contrary to the two examples already discussed (D. 894 and D. 960), Schubert's P-themes in general do not display double-conversion effects. See, for example, the ternary P-themes in D. 568/IV, D. 664/I, D. 485/IV, and D. 959/I. Non-Type-3 examples featuring ternary P-themes without DCEs are found in D. 845/IV, D. 850/II and IV, D. 894/II and IV, and D. 960/IV.

in the recapitulation requires him to retain the tonic key as long as possible, that is, right up to the ♭ii: PAC MC at m. 267.

By proceeding in this way Schubert now produces an additional formal-processual feature: *a double-crux effect*[26]: In m. 239 the music departs from the pattern established in the exposition by moving into an F-sharp minor/A major version of the beginning of TR. In correspondence with the exposition, m. 255 returns to the tonic. This is the first point of conversion within the recapitulatory Double Conversion Effect. However, the situation is not so simple. When Schubert shifts to F-sharp minor in m. 239, he seems to be introducing—in accordance with the unfolding of a TR function—the kind of adjustments that one might expect in a recapitulatory pre-MC space. We might therefore hear mm. 239ff as suggestive of *precrux* alterations preceding a point of *crux* at m. 243.[27] However, at m. 255 there is a return to the opening material in the tonic. Hence, as an addendum to the form-functional transformation Transition ⇒ contrasting middle, m. 243 must be retrospectively reinterpreted not as the real crux but as a "false" one. Later, in the second formal conversion (A′ ⇒ TR), Schubert introduces the necessary *precrux* alterations that drive the music to the ♭ii: PAC MC at m. 267. This cadence, as the culminating point of the processual play initiated in the exposition, is a highly dramatic formal articulation: At a single stroke, it opens the recapitulatory S-space, completes the recapitulation's DCE, and produces a double-crux effect. Figure 6 summarizes these points.
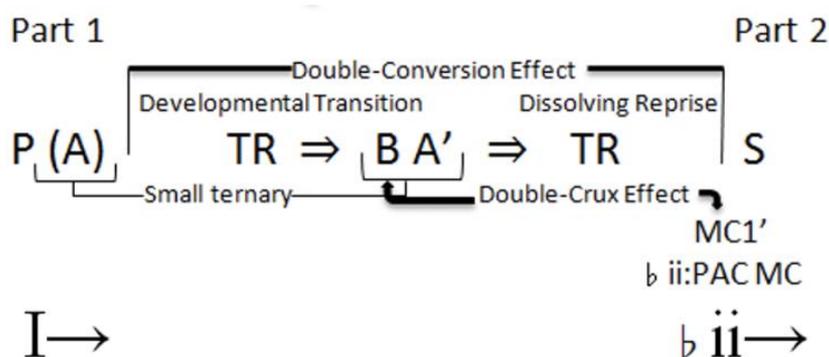

Figure 6: Schubert, Piano Sonata in B-flat, D. 960/I (Recapitulation, first part).

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[26] On the concept of crux see Hepokoski and Darcy (2006, p. 240).

[27] On crux and precrux alterations see Hepokoski and Darcy (2006, p. 239–42).

Closing Thoughts

This short study on formal reinterpretation has had a twofold intention. On one hand, by bringing together into a single analytical approach seminal aspects of work by Schmalfeldt, Caplin, and Hepokoski & Darcy, I have attempted to stress the convergence of these authors in the idea of form as a process. On the other hand, my goal has been to show the analytical potential when formal reinterpretation is fully recognized as an integral part of Schubert's compositional style. Needless to say, Schubert's music, like that of any great composer, is capable of limitless interpretations. Consequently, each of the analyses I present is only one of many that are possible. Together they constitute only a limited contribution to the larger goal of a fuller understanding of Schubert's music, a goal that, for those who love his music, itself might seem to be an endless process of becoming.

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