

Schönberg's *Fundamentals of Musical Composition*

A Source Study

The history of Schönberg's *Fundamentals of Musical Composition* is a long and complicated one. Published posthumously in 1967, Schönberg began the book three decades earlier – in 1937. The project was conceived, however, at least twenty years earlier: following the completion of the *Harmonielehre* in 1911, Schönberg proposed to Universal Edition a series of textbooks, including several on musical form,¹ while in 1917, as part of his notebooks on coherence [Zusammenhang], he made an outline for one such book – “Zur Formenlehre.”² That plan, expressed in German, was realized in English as *Fundamentals of Musical Composition* (edited by Gerald Strang and Leonard Stein), a book that returned to its German origins, courtesy of Rudolf Kolisch, with the publication in 1979 of *Die Grundlagen der musikalischen Komposition* (edited by Rudolf Stephan).³ The story of *Fundamentals of Musical Composition*, neatly dovetailing as it does with his relinquishing work on the *Gedanke* manuscript, poses questions about the continuity of Schönberg's musical thought and the relationship between his writings in the two languages.

This paper investigates the sources for *Fundamentals* (hereafter *FMC*) to chart the chronology from inception and realization to publication (summarized in Table 1). In this reconstruction, I have relied on sources in the Arnold Schönberg Center (in Schönberg's estate as well as the Satellite Collections of Gertrud Schoenberg, Gerald Strang, Leonard Stein, and Josef Rufer), the

1 Arnold Schönberg to Emil Hertzka, July 23, 1911 (Arnold Schönberg Center, Wien [Universal Edition Collection] | ASCC ID 6698); extracts published and translated in Bryan R. Simms: Review of Theory of Harmony (trans. Roy E. Carter), in *Music Theory Spectrum* 4 (1982), 155–162, 156–157.

2 See Arnold Schönberg: “Zur Formenlehre” in Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre (1917) (ASSV 2.3.3); published in Arnold Schoenberg: *Coherence, Counterpoint, Instrumentation, Instruction in Form* | Zusammenhang, Kontrapunkt, Instrumentation, Formenlehre. Edited by Severine Neff, translated by Charlotte M. Cross and Severine Neff (Lincoln/Nebraska, London 1994), 102–107.

3 Arnold Schoenberg: *Fundamentals of Musical Composition*. Edited by Gerald Strang with the collaboration of Leonard Stein (London 1967); idem: *Die Grundlagen der musikalischen Komposition*. Translated by Rudolf Kolisch, edited by Rudolf Stephan (Wien 1979).

1911	Proposal: series of textbooks	German
1917	Outline: “Zur Formenlehre”	German
1937	Begins writing: <i>Fundamentals of Musical Composition</i>	English
1967	Publication: <i>Fundamentals of Musical Composition</i> (Faber and Faber)	English
1979	Publication: <i>Die Grundlagen der musikalischen Komposition</i> (Universal Edition)	German

Table 1: Chronological summary of *Fundamentals of Musical Composition*

Library of Congress, the Faber & Faber Archive, the Houghton Library at Harvard University, the Oral History of American Music at Yale University, and to a lesser extent, the Österreichische Nationalbibliothek, the British Library, the Staatsbibliothek zu Berlin, and the Paul Sacher Stiftung. The sources are diverse, comprising manuscripts, drafts, letters, oral histories, the contents of Schönberg’s library, and such personal items as calendars, diaries, and financial documents.

The book’s long gestation is chronicled by a rich material history: extant are several thousand pages of typescripts, handwritten documents, and musical examples, many replete with multiple annotations. The bulk of the *FMC* materials are to be found in the Arnold Schönberg Center (TBK [= Textbook] 1), a collection that is described in Rufer’s catalog of 1959,⁴ and more recently in the Arnold Schönberg Schriftenverzeichnis (ASSV).⁵ Both descriptions indicate the dates of 1937–1948, obviously taking their cue from Strang, who in his preface to the book wrote that “*Work [...] continued intermittently from 1937 until 1948.*”⁶ The catalogs provide little information about the different versions of the text, in part because only a handful of the pages are dated. Since the publication of the ASSV, TBK1 has been augmented: I was able to identify material pertaining to *FMC* in so-called “miscellaneous teaching” and “unidentified”

4 Josef Rufer: *Das Werk Arnold Schönbergs* (Kassel etc. 1959), 122–123; idem: *The Works of Arnold Schoenberg: A Catalogue of his Compositions, Writings and Paintings* (London 1962), 134–135.

5 See ASSV 2.2.1. The following describe the published text but not the sources: Robert Pascall: *Models for Beginners in Composition – Structural Functions of Harmony – Preliminary Exercises*

in *Counterpoint – Fundamentals of Musical Composition*, in *Arnold Schönberg. Interpretationen seiner Werke*. Vol. 2. Edited by Gerold W. Gruber (Laaber 2002), 446–459; and Andreas Jacob: *Arnold Schönberg: Fundamentals*, in *Lexikon Schriften über Musik: Musiktheorie von der Antike bis zur Gegenwart*. Vol. 1. Edited by Ullrich Scheideler and Felix Wörner (Kassel, Stuttgart 2017), 461–463.

6 Gerald Strang: Editor’s Preface, in *Fundamentals of Musical Composition*, see fn. 3, xiii.

Draft	Date	Personnel
1	1937–38	Schönberg, Strang
2	1939	Schönberg, Strang, Taylor
3	1941	Schönberg, Strang
4	1946–48	Schönberg, Strang
5	1951–54, 1961	Strang
6	1964–65	Stein

Table 2: *FMC* drafts: chronology and personnel

folders, and following discussions with archivists Therese Muxeneder and Eike Feß, that material was catalogued and integrated into TBK1 as folders 16 through 22. Whether in its original or newly enlarged state, the contents of TBK1 have received no attention until now, a surprising fact given the enduring interest in *FMC*, a book that has remained in print since publication. The interrelationship of the various American textbooks is such that the sources for *FMC* are not confined to TBK1. In what follows, therefore, I also refer to TBK4 and TBK7 (*Structural Functions of Harmony*), TBK5 (*Models for Beginners in Composition*), and TBK8 (miscellaneous). Together, these sources illuminate the evolution of *FMC*, revealing a book far more ambitious in size and scope than the published text.

Although the preparatory materials contain very few dates (there is, for example, just one in the 1930s),⁷ it is possible through careful examination of the contents of TBK1 and the Satellite Collections of Strang and Stein (in conjunction with letters, calendars and other sources) to identify six drafts – four during Schönberg’s lifetime and two thereafter. Shown in Table 2 are the dates and personnel associated with each: draft 1 was written in 1937–38, draft 2 in 1939, draft 3 in 1941, and draft 4 in 1946–48. Strang alone prepared draft 5 in 1951–54, revising it in 1961, and Stein made a final redaction – what I call draft 6 – in 1964–65. Because of the large number of sources, I will offer some broad observations on the drafts, how they relate to one another, what they suggest about the writing process, and how the texts published as *FMC* and *Grundlagen* reached their final form.

According to Strang, writing commenced in 1937. Although there is no source to confirm this date, his claim is plausible. The correspondences with Schönberg’s teaching at University of California at Los Angeles during the Fall

7 A handwritten annotation in 1939: “VI.3/39.” (TBK1.1).

semester of 1937 suggest that the earliest sources for *FMC* may indeed be contemporaneous. As Strang's classroom notes attest, Schönberg began teaching Form and Analysis (104A) and Composition (105A) courses in September 1937. Strang served as his teaching assistant, and the focus in both courses was on Beethoven's piano sonatas, as it is in *FMC*. (The fact that Schönberg made a large payment to Strang in October 1937 corroborates the suggestion that they were engaged in intensive work on *FMC* around that time.⁸) In an interview with Vivian Perlis in 1975, Strang described the collaborative writing process:

In fact, [...] almost all of the material for the Counterpoint[,] Structural Functions and Fundamentals of Musical Composition was worked out with me sitting at the typewriter and him alongside, and sort of working it out sentence by sentence and phrase by phrase. And sometimes we would spend the whole morning arguing over a term, you know. We would study dictionaries [...]. And in the Fundamentals of Composition sometimes we would analyze a hundred or two hundred cases from the classical literature, of a particular process, before we would try to formulate, you see, what principles were involved in it.⁹

The sources bear out this description and enable us to reconstruct how the book was assembled. When a section was complete, Schönberg and Strang would read through the result together, annotating the top and carbon copies respectively. The pages were punched and placed in ring binders. Working in this way meant that pages could be moved or replaced easily, renumbering indicating the expansion or reorganization of a chapter within a particular draft or incorporation into a subsequent one.¹⁰ This can be seen in the multiply amended page numbers for the Scherzo (Plate 1): originally page 22 in draft 1, it was renumbered 24 to accommodate the expansion of the previous passage, before being altered to 46 to take account of a major reworking of an earlier section. The reference to 167, however, is not to its location in draft 1 but to that in draft 2.

As well as the collaborative work with Strang, Schönberg carried out much of the work on his own. There are many examples of his distinctive typing style.¹¹ For instance, in one of the earliest drafts for the "Melody and Theme" chapter, he starts typing in German – "*Die Begriffe Mel[odie]*" (The Concepts of Melody [...]) – before crossing it out and continuing in English: "*The concepts*

8 Payment dated October 18, 1937 (ASCI D7018).

9 Gerald Strang: Interview with Vivian Perlis (March 1975); Oral History of American Music, Yale University; quoted from copy of transcription, p. 22 (Arnold Schönberg Center, Wien [Yale University Collection]).

10 The description in Rufer's catalog of "many cuts, corrections, and changes" is therefore apposite; see Josef Rufer: *The Works of Arnold Schoenberg*, see fn. 4, 134.

11 See Julia Bungardt: Arnold Schönberg an der Schreibmaschine. Fabrikate – Schreibprozesse – Konsequenzen für eine Edition seiner Schriften, in *Arnold Schönberg in seinen Schriften: Verzeichnis – Fragen – Editorisches*. Edited by Hartmut Krones (Wien 2011), 261–279 (Schriften des Wissenschaftszentrums Arnold Schönberg 3).

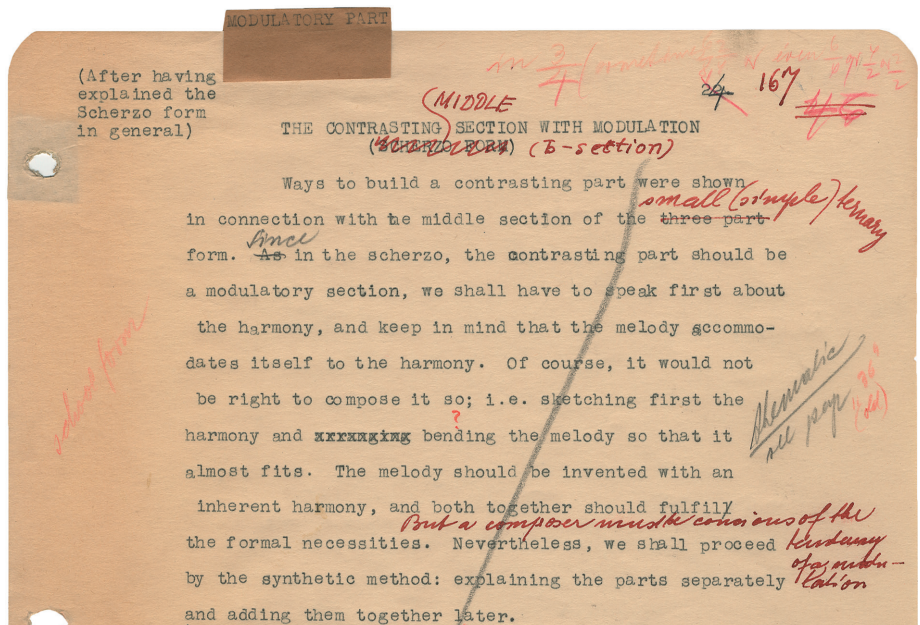


Plate 1: FMC draft 1, Scherzo chapter (Arnold Schönberg Center, Wien [TBK1.1])

melody and theme are very vague. Until their [sic] does not exist a definition which considers them in their constructive meaning[.] This will be attempted here.”¹²

Schönberg alone also prepared what is the earliest surviving typescript for the opening of the “Construction of Simple Themes” chapter. And while it was Strang who typed the first pages of draft 1, “Use of the Motive” beginning on page 1, Schönberg himself was responsible for the prefatory page (labeled “B”) in which he attempted for the first time to define the motive in English:

Motive is a combination of tones, rhythms and (mostly) harmonies which appears in a definite and basic formulation in general at the beginning of a piece. The motive serves to unify all the ideas represented in every piece of music in [...] their totality and in every detail. So far, a piece of music appears almost as produced by a motive and therefore it is often called the germ of a piece.

The motive is mostly found at the beginning of a piece. The manner in which it is presented is very different and changes from the most characteristic, definite and significant to the least important and expressionless forms. All depends on the method in which it will be used. Accordingly[,] it could be called sometimes the “smallest common multiple,” because in it are included the elements at least of every later appearing musical

¹² Draft 1, page 8g (TBK1.13).

figure. And sometimes it seems to be the greatest common factor because in every later appearing figure its elements (or at least some of them) are included.

However, a motive¹³

The pages that follow, “How to build a Motive” (pages IV and V), are heavily annotated by Schönberg with indications of how to proceed with the next draft: “mention that a unit may be split into independent features,” “rewrite and reorganize according to examples and try to find rhythmical and harmonical bases.”¹⁴

fest¹ (²) [ahd.: fast] a. ~~Ⓢ~~(De) 1 (an-
flüssig) Leß Land dry land, mainland.
continent, (It.) terra firma; *phys.* Leß
Körper solid (substance); 2 werden to
harden, to solidify; das Wasser wird
beim Frieren zu einem Leß Körper ...
becomes solid (or congealed, hard) in
freezing. — 2. (ant. weich, locker) Leß
(Grund und) Boden firm ground or
soil, solid earth; *fig.* Leß (festeren)
Boden gewinnen (auch: Leß Fuß fassen)
to gain a (firm) footing, to take
(solid or deep) root; Leß Fußes with a
firm step; Leß (schwerer) Kuchen
heavy cake; Leß Knoten tight knot;
Leß Nahrung solid (or substantial)
food; Leß Schritte einhergehen to
walk along with a firm step, to have

tight (tit), a. ; TIGHT'ER (-ër) ; TIGHT'EST. [M.E. *tight*,
thiht ; prob. of Scand. origin ; cf. Icel. *þéttir*, Dan. *tæt*, Sw.
tät ; akin to D. & G. *dicht* thick, tight, and prob. to E.
thick, perh. also to E. *thrive* to thrive.] 1. Firmly held to-
gether ; compact ; close ; firm ; as, *tight* cloth ; a *tight* knot.
2. So close as not to admit the passage of a liquid or other
fluid ; not leaky ; as, a *tight* ship, cask, room ; water-tight.
3. Strong through compactness ; stanch ; compact ; snug ;
as, a *tight* vessel. Specif. : *Forestry*. Sound in every way
and free from ring shakes and checks ; as, *tight* hearts.

Plate 2: Schönberg's dictionary annotations. Entries for
“fest” (Muret-Sanders, p. 365) and “tight” (Webster's, p. 2157)
(see fn. 15)

Strang calls attention to the frequent use of dictionaries,
and Schönberg's preference for the Muret-Sanders (Teil II:
Deutsch-Englisch) and Webster's New International Dictionary of
the English Language is evidenced by the state of the binding
in both cases.¹⁵ His handwritten note on stable and loose
formation reads “feste Formung – tight, compact formation |
lose Formung – loose formation.”¹⁶ The choice of descriptors
indicates that he turned first to the Muret-Sanders, where he
underlines “firm” and “tight,” before consulting the Webster's
for a definition of “tight,” underlining “compact” (Plate 2).

This way of arriving at a translation tells us more
about his conception of a particular term than does
a single German equivalent (*fest*: “tight, compact,”
and, elsewhere, “stable”). This is but one instance
of the lexical sifting necessitated by the writing of
FMC.

The earliest musical examples for *FMC*, which are
amongst those recently added to TBK1 (folder 16),
were prepared by Schönberg alone. Here (Plate 3)

the writing of the text is contingent upon the examples – hence the decision
to use manuscript paper. As the layout suggests, Schönberg began by notating
the examples, after which he typed in comments, taking care to ensure that
the text would flow around the music. At this stage, there is no independent
text. The book, in so far as it existed then, comprises examples accompanied
by commentary. Clearly this *modus operandi* proved impractical as the

13 The text breaks off; the transcription
omits text that has been crossed out.
Draft 1, page B (ibidem).

14 Draft 1, pages IV and V (ibidem).

15 H. Baumann and E. Klatt: *Muret-Sanders
Enzyklopädisches englisch-deutsches und
deutsch-englisches Wörterbuch, mit Angabe
der Aussprache nach dem phonetischen
System der Methode Toussaint-Langenscheidt*
(Berlin-Schöneberg 1910; 16th edition with
supplement 1931) (Arnold Schönberg
Center, Wien [Book M56]); Webster's New

*International Dictionary of the English Lan-
guage*. Edited by W.T. Harris and F. Sturges
Allen (Springfield/Mass. 1909, reprint 1911)
(Arnold Schönberg Center, Wien [Book
W5]).

16 Draft 1, page M (TBK1.2).

its melody can be reduced to

understand: this is not a theme and needs not sound like it, but only an extract, a scheme, to be used for further embellishment, i.e. variation. Perhaps it is even a little too regular and an advanced composer would have to provide some irregularity, so as Brahms did in the second Var. of his Handel Var.

its harmony can be reduced to

The figure which played around these main notes of the melody could now be embellished by many other figures used as a permanently appearing motive without more change than to allow the main notes to appear in a significant manner. Mostly the main notes in simple forms will appear regularly at the same beat in every figure (EX a), but in more complicated forms the place might change in a free manner (EX b)

in a 1/2/3/4 the circumscribing tones are used constantly in a monotonous manner in the same direction either always up, or always down. This is too mechanical, makes the melody stiff and will at some points where the melody uses larger intervals.

be almost impossible in a/ff the direction of the appoggiatura is changed, which gives the whole procedure more flexibility. the fourth measure and the 8th ask for some little changes according to the advice given about changes toward endings and half-endings.

ALL THESE EXAMPLES ARE BASED ON THE REDUCED HARMONY AND DO NOT FIT TO THE ORIGINAL

IN b 1/2 the main notes do not appear always at the same point. Such a change assures variety, without endangering comprehensibility.

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partly varied which can lead to a treatment of the motive almost similar to that in every ordinary binary theme.

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Plate 3: FMC draft 1, combined music and text example (Arnold Schönberg Center, Wien [TBK1.16])

observations became more extensive, whereas other examples (in what was subsequently gathered into a group of some 50 pages) directly reference the typescript for draft 1. Although most of these examples do not survive into the published text, that for the Scherzo does,¹⁷ and it is accorded a special significance and described in detail in his correspondence with Douglas Moore, editorial representative for Prentice-Hall, in April of 1938.

*When the scherzo is discussed the student is asked either to compose by himself (according to advice) a theme, or to use a motive from a composition by a master. The example now brings a scherzo theme built with the use of a motive from an adagio by Beethoven. This is one point. And now, to build the second part – the elaboration – there follow examples of “how to draw from one’s theme.” There are given twenty different patterns (four measures each) to show: how the basic motives can be transformed; on which degree one can start and end; how the pattern can provide for the following sequence; how the harmony can behave (the sequence is added in different ways). And now follow twelve examples showing different ways of continuation after the sequence, including the liquidation of the elaborated motives and the retransition to the recapitulation.*¹⁸

This example, based on the opening of op. 2/3-ii, is one of a number built on a Beethovenian motive, a feature of draft 1, existing alongside the analytical commentary on the piano sonatas. The focus on this repertoire in *FMC* was pragmatic rather than ideological, because as Strang recalled, Schönberg considered it reasonable to ask students to purchase these scores.¹⁹ Of the various editions that Schönberg owned, the two exhibiting greatest signs of use are the Universal and Peters editions.²⁰ Both are annotated and have tabs attached to facilitate easy access to each sonata. While most annotations are merely measure numbers, others are more interesting and specify examples identified only by page number in the text of draft 1. For instance, the reference to “p18c/9” in the Peters edition of op. 2/3-ii (Plate 4) illustrates the accompaniment chapter, page 18c, point 9:

*Very often a piece is accompanied by chords used in the manner of a chorale; i.e., the change of the harmonies either follows every tone of the melody (p. 50) (116) (Trio: p. 21 where the bass is carried out in a melodic form paralleling the melody) (p. 22, m. 3); or many tones, including dissonances, refer to a slow-moving harmony (33: m. 1 and 2; whereas in 3 and 4, 7, the harmony follows every tone)[.]*²¹

17 See Ex. 122 in *Fundamentals of Musical Composition*, see fn. 3, 159–166.

18 Arnold Schönberg to Douglas Moore, April 16, 1938 (Columbia University, New York [Rare Book and Manuscript Library, Butler Library] | ASCC ID 3043); quoted from Appendix in *Fundamentals of Musical Composition*, see fn. 3, 214–215.

19 Gerald Strang: Interview with Vivian Perlis, see fn. 9, p. 29.

20 Ludwig van Beethoven: *Sonaten* | *Sonatas*. *Volksausgabe*. Edited by Anton Door (Wien: Universal Edition, no date) (Arnold Schönberg Center, Wien [SCO B47]) and idem: *Sonaten für Pianoforte solo*. Edited by Louis Köhler and Richard Schmidt

(Leipzig: C.F. Peters. New, revised edition, no date) (Arnold Schönberg Center, Wien [SCO B48]).

21 Draft 1, page 18c (TBK1.13).



Plate 4: Schönberg's annotation in score of Beethoven: *Piano Sonata*, op. 2/3-ii (Edition by C.F. Peters, see fn. 20)

When this text was typed by Strang, Schönberg obviously had to hand the Universal Edition score, because the typescript incorporates accurate page references to that edition. The reference to page 33, for instance, is to op. 2/3-ii in the Universal Edition score, but Schönberg then annotated the Peters edition, as shown, by citing the page and paragraph of the typescript (page 18c/9). This is one of several references in that edition to this chapter (pages 18a through 18d), the other references in this paragraph being to op. 7-ii (page 50, Universal Edition), op. 14/2-ii (page 116), the Trio of op. 2/2-iii (page 21), and op. 2/2-iv (page 22). Moving between the different scores of the Beethoven sonatas was made easier by the typed concordance showing page numbers in the various editions – Wood, Schirmer, Augener, Peters, Schnabel, and Universal – for each movement in each sonata up to and including op. 31/2.

The completion (or near completion) of draft 1 is suggested by the letter to Moore, in which Schönberg describes in detail specific examples (e. g. the Scherzo) as well as the scope and contents of the book. That letter is one of many from April 1938 when Schönberg writes to family, friends, colleagues, and publishers about a textbook on musical composition (*“Ich schreibe ein Lehrbuch der Komposition”*).²² The number of letters is tantamount to a public announcement, indicative of his confidence in what had already been accomplished and excitement about what was envisioned. Work continued through June and July: he notes (as he would do when intensively engaged on drafts 2 and 3) that he is not composing, but by August his attention had turned to other projects (*Kol Nidre* was written in August and September). Schönberg approached Schirmer in December, proposing an advance on royalties for

22 See, for example, Arnold Schönberg to Josef Polnauer, April 22, 1938 (carbon copy; The Library of Congress, Washington

D.C., Music Division [Arnold Schoenberg Collection] | ASCC ID 3046).

the book to enable him to employ a substitute for Strang who had taken up a full-time position at Long Beach Junior College.²³ On receiving a positive response,²⁴ he renewed contact with Noel Heath Taylor,²⁵ who had assisted him in October of the previous year with the preparation of “A Four Point Program for Jewry”:

*I want to ask you today, whether you want to come now and take the dictation of my textbook on musical composition. What you will have to do, besides typing, will consist in correcting me, if I use un-English constructions and help me to find the correct wordings. I want to work four times every week for – I guess – probably at least 8–10 weeks. The days will be – in general: Tuesday, Wednesday, Thursday and Saturday, every time from 9.30 to 12.30. But I hope, if sometimes we have to change the day, you will not mind it. I can offer you for this work ten dollars weekly. If you agree, we could start Tuesday at 9.30. I hope we will work together as nicely as we did with this unfortunate article of mine.*²⁶

The calendar entries and payments confirm that they met as planned but for 15 rather than the proposed 8–10 weeks.²⁷ The upshot is that it was not Strang but Taylor who worked with Schönberg on almost all of draft 2. Strang did start it, and he and Schönberg prepared chapters 1–3, but with Taylor’s assistance, Schönberg reached the Scherzo (chapter 16 in the published text), without however completing it. Schönberg’s work with Taylor came to an end in May 1939. During those five months, Taylor typed almost 150 pages of draft 2, copied some examples, possibly prepared the concordance of the Beethoven editions (the title on the cover, “*Editions of Beethoven Piano Sonatas Vol. I,*” is in Taylor’s hand), and typed a series of personal letters in April 1939, Schönberg having fallen behind with correspondence while they worked expeditiously on draft 2.²⁸

Strang and Taylor were active participants in the writing process (unlike those taking dictation of the *Harmonielehre* in 1910), but they fulfilled different roles.²⁹ Strang helped Schönberg express his ideas for the intended audience – the college student – whereas Taylor, being neither a student nor a teaching associate, was more invested in the clarity of expression than in the substance.

23 Arnold Schönberg to Carl Engel, December 12, 1938 (carbon copy; *ibidem* | ASCC ID 3113).

24 Carl Engel to Arnold Schönberg, January 11, 1939 (Arnold Schönberg Center, Wien [Gertrud Schoenberg Collection, 26.06] | ASCC ID 19546).

25 Noel Heath Taylor (1913–1972) published several musicological articles: The Schoenberg Concept, in *Music & Letters* 20/2 (April 1939), 183–188; Arnold Schoenberg: Music in Motion, in *Etc.: A Review of General*

Semantics 2/1 (Autumn 1944), 1–9; and Semantic in Musicology, in *Bulletin of the American Musicological Society* 9/10 (June 1947), 29–30.

26 Arnold Schönberg to Noel Heath Taylor, January 15, 1939 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 3137).

27 See also Arnold Schönberg to Karl Hoilt (State Relief Administration), July 1, 1939 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 2985).

28 One of these letters is dated April 13 and signed “nht: AS.” The remainder are dated April 22 or April 24 and marked “AS: nt.” See, for example, Arnold Schönberg to Fritz Stiedry, April 24, 1939 (Arnold Schönberg Center, Wien [Erika Stiedry-Wagner Collection] | ASCC ID 2948), which begins: “*Kindly excuse my delay in answering your letter of April 3. I am kept very busy with my teaching and writing.*”

29 See Julia Bungardt: Arnold Schönberg an der Schreibmaschine, see fn. 11, 269–270.

Where Strang would have intervened on behalf of the composition student, Taylor would have made no such suggestions. His editorial contributions were confined to linguistic issues, a factor that appears to have freed Schönberg to pursue some topics in greater detail (as seen in the “Construction of Simple Themes” chapter which expanded from 10 pages in draft 1 to 50 pages in draft 2). With Strang the writing was necessarily an extension of teaching, but with Taylor it had a theoretical rather than pedagogical bent. It is as if Schönberg were liberated. He seems to revel in the subject matter, and the text comes closer to his German writings, as though he had refreshed his memory by consulting earlier texts such as the *Gedanke* manuscript of 1925,³⁰ something especially apparent in “Construction of Simple Themes.” The book therefore benefitted enormously from the change of personnel, Taylor enabling Schönberg to build on what had already been achieved in draft 1.

Of all the drafts, only two have indices – drafts 1 and 2.³¹ (These are not mentioned in Rufer’s catalog.) That for draft 1 is handwritten and prepared by Schönberg himself. It references only the opening pages, up to page 13, but as this is not a straightforward sequence of 1 through 13, comprising instead a preface (I–V) and a number of insertions (substitute 2, 2a, 8a–c, 9a–d) as a result of changes made to the original order, the index enables us to group pages that could not otherwise be organized with certainty. Keywords are underlined in the typescript, and each page that is indexed is marked with “r” (presumably shorthand for “registriert”) in the lower right-hand corner (Plate 5). The index for draft 2, typewritten with handwritten annotations, references up to and including page 138 of the 170-page typescript. The handwritten page numbers and emendations are in Taylor’s hand and the expression suggests that the typewritten entries were also prepared by him (“*causality effective between r[epetition] and intelligibility*” in the entry for “*Repetition(s)*”). The index contains entries for “*Motivic(al)*” and “*Motival*,” reflecting the different adjectival forms of the word motive. On page 8 of draft 2 (which would have been typed by Strang), the typescript refers to “*motivic implications*,” “*motivic*” subsequently altered to “*motival*” by hand.³² It seems that it was this that prompted Schönberg to seek advice from Encyclopædia Britannica about “*the most desirable form from the linguistic standpoint*.”³³ This letter, in January 1939, was typed by Strang (“AS/gs”), whereas the letter acknowledging Encyclopædia Britannica’s reply (they recommended “motif” as adjective as well as noun) was

30 See *Der musikalische Gedanke, seine Darstellung und Durchführung* (1925) (ASSV 2.3.5.d).

31 TBK1.14-1 and 14-2.

32 TBK1.13.

33 Arnold Schönberg to the editors of Encyclopædia Britannica, January 22, 1939 (carbon copy; The Library of Congress,

see fn.22 | ASCC ID 3143); reproduced as image 1150 in *Arnold Schönberg 1874–1951: Lebensgeschichte in Begegnungen*. Edited by Nuria Schoenberg Nono (Klagenfurt, Wien 1998), 356.

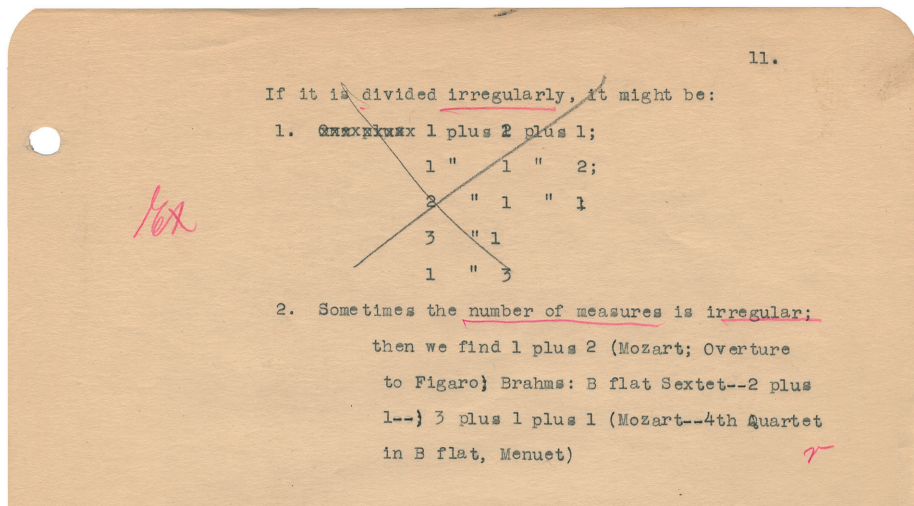


Plate 5: FMC draft 1, “r” indicating page has been indexed (Arnold Schönberg Center, Wien [TBK1.13])

typed by Taylor (“AS:nt”).³⁴ That recommendation notwithstanding, Schönberg continued to use different adjectival forms: the typescript of page 30 of draft 2 contains “motivical,” before being corrected to “motivic” and finally “motival.”³⁵

As shown in Table 3, draft 2 contains two chapters omitted from the published text: “Dance Forms,” which was also included in draft 1, and “Two-Part Song Form (Binary).” The typescript for the chapter “Melody and Theme, Melodious and Unmelodious,” pages 91–98g of draft 2, was the sample of the book Schönberg sent to Prentice Hall in 1940: the indication “3 bond” at the top of this page is an instruction probably to a professional typing bureau to prepare three fair copies of Schönberg’s heavily annotated chapter (Plate 6a).³⁶ One copy, shown in Plate 6b³⁷ was sent to Prentice Hall in May 1940 (“*The chapter which I send you today I have chosen because it is one of the many which deals with subjects scarcely treated in any previous book of musical theory*”) and returned three months later, the publisher requiring the finished manuscript before making a decision.³⁸

34 See A.C. Buchanan (Director of Research, Encyclopædia Britannica) to Arnold Schönberg, February 2, 1939 (The Library of Congress, see fn. 22 | ASCC ID 12494) and Arnold Schönberg to A.C. Buchanan, March 1, 1939 (carbon copy, ibidem | ASCC ID 3170).

35 TBK1.13.

36 Draft 2, page 91 (TBK1.4).

37 Typescript (TBK1.6b).

38 Arnold Schönberg to M.N. McInerney (Prentice Hall), May 2, 1940 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 3438); M.N. McInerney to Arnold Schönberg, August 6, 1940 (ibidem | ASCC ID 15099). Moore had asked for completed chapters in 1938; see Moore to Schönberg, May 20, 1938 (ibidem | ASCC ID 1221).

	Published book	Draft			
		1	2	3	4
I	The Concept of Form	✓	✓	✓	✓
II	The Phrase	✓	✓	✓	✓
III	The Motive	✓	✓	✓	✓
IV	Connecting Motive-Forms	✓	✓	✓	✓
V	Construction of Simple Themes (1) 1. Beginning the Sentence	✓	✓	✓	✓
VI	Construction of Simple Themes (2) 2. Antecedent of The Period	✓	✓	✓	✓
VII	Construction of Simple Themes (3) 3. Consequent of The Period	✓	✓	✓	✓
VIII	Construction of Simple Themes (4) 4. Completion of The Sentence	✓	✓	✓	✓
IX	The Accompaniment	✓	✓	✓	✓
X	Character and Mood	✓	✓	✓	✓
XI	Melody and Theme	✓	✓	✓	✓
XII	Advice for Self-Criticism	✓	✓		✓
XIII	The Small Ternary Form	✓	✓		✓
	<i>[Two-Part Song Form (Binary)]</i>		✓		
XIV	Uneven, Irregular and Asymmetrical Construction	✓	✓		✓
	<i>[Dance Forms]</i>	✓	✓		
XV	The Minuet	✓	✓		✓
XVI	The Scherzo	✓	✓		✓
XVII	Theme and Variations	✓			✓
XVIII	The Parts of Larger Forms (Subsidiary Formulations)	✓			✓
XIX	The Rondo Forms	✓			✓
XX	The Sonata-Allegro (First Movement Form)	✓			

Table 3: Contents of published *FMC* and drafts 1–4

3rd band

91

M E L O D Y A N D T H E M E, MELODIOUS AND UNMELODIOUS.

In his previous studies the student has worked with voices and has been taught how to treat them. He should ^{during his study of harmony,} have acquired some ability in part-leading, ^{in there to lead there} where he was asked to produce more than a ^{the voices movement was} satisfactory ^{and smooth} movement of the voices. He will have increased this ability during his study of counterpoint, where the demand was to produce voices of ^{a greater amount of} independence. ^{the voices may have} They even used partly motives; ^{which were} they were supposed to be melodious (or not unmelodious). ^{Not, of course,} but, of course, they were not melodies, they were not themes, ^{None} e.g. but neither of such voices was to be built ^{for itself} in such a manner that, ^{detached from the other parts,} independently, it could produce the impression of a complete unit of ^{any} considerable length. ^{Such a voice would not possess} It had neither the organization, nor the formal limitations; nor ^{the} (the ~~minimum~~ basic condition) ^{these} certain concentration of the main idea into one single line, with the including ~~of~~ the motive and its development. ~~and~~ as well as the main background of the harmony.

^{these} In ~~the~~ present studies, of composing the student is asked to compose themes and melodies. Advice ~~to this purpose~~ has been given on structural requirements -- utilization of the motive, phrasing, limitations, contrasting -- and on harmony. But as far as the creation of a melody or a theme was concerned, and especially in regard to the melodious contour ^{the} of them, he was dependent on advice given in ~~the~~ elementary studies. And this advice was more ~~in the~~ negative than ~~in the~~ positive. Yet melody and ~~a~~ theme offer problems which cannot be resolved with only this advice ~~alone~~.

*A chapter from
Fundamentals of
Musical Composition
by Arnold Schoenberg*

ARNOLD SCHOENBERG
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BRENTWOOD PARK
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TELEPHONE W.L.A. 35077

MELODY AND THEME : MELODIOUS AND UNMELODIOUS

In his ^{preparatory} previous studies the student has worked with voices and has been taught how to treat them. He should have acquired during his study of harmony some ability in part-leading, but there the voice movement was satisfactory if it obeyed smoothly the harmonic necessities. He will have increased this ability during his study of counterpoint, where the demand was to produce voices of greater independence. The voices may even have used motives; they were supposed to be melodious or at least not unmelodious. Nevertheless, they were not melodies, they were not themes. None of such voices was to be built so that, for itself, independently, it could produce the impression of a complete unit of any considerable length. Such a voice would not possess the organization, nor the formal limitations; nor (the basic condition) the concentration of the main idea into one single line, including the motive and its development.

In these present studies, the student is asked to compose themes and melodies. Advice has been given on structural requirements—utilization of the motive, phrasing, limitations, contrast—and on harmony. But as far as the creation of a melody or a theme was concerned, and especially in regard to their melodious contour, he was dependent on the advice given in elementary studies. And this advice was more negative than positive. Yet melody and theme offer problems which cannot be resolved with this advice alone.

Plate 6b: "Melody and Theme" chapter, copy sent to publisher (1940) (Arnold Schönberg Center, Wien [TBK1.6b])

Of the remaining two, one is in TBK1 (folder 6a) alongside that returned by the publisher, while the other was sent to Rufer who prepared a translation into German: “*Melodie und Thema: Melodisch und Unmelodisch.*”³⁹ The chapter also formed the basis of a lecture that Schönberg delivered twice in November 1940: to the Greater New York Chapter of the American Musicological Society on November 23 (Schirmer Hall) and at Michigan State College in East Lansing on November 25.⁴⁰

Schönberg’s letter to Webern in July 1939 describes draft 2 in the same way as the letter to Moore (see fn. 18) did draft 1. When juxtaposed, the letters document the shift of emphasis from use of a motive by a master to one based on a broken chord. In writing to Moore, he notes that the student is asked “*to use a motive from a composition by a master,*” whereas to Webern, he highlights the broken chord:

*The examples conceived by myself have in part almost the value of compositions (if this is possible without thematic originality) and are principally based on the idea to show how many solutions or respective continuations can result from one specific case. Thus one motive, produced from a broken chord, goes through the whole book. From this motive I derive hundreds of phrases, antecedents, consequents, periods and sentences of various characters and with different types of piano setting.*⁴¹

The broken chord examples exist in two keys, F and B $\flat$ major. In “Construction of Simple Themes” from draft 2, Schönberg carries out almost completely the plan outlined to Webern, only parts of which survive in the published version. But of his aspiration to extend the principle to the later stages of the book, there is no evidence (although draft 1 does contain unrelated “home-made” examples for the Theme and Variations and Rondo chapters, in addition to the Scherzo familiar from the final version).⁴² After varying and embellishing the broken chord shapes in both keys, Schönberg settles on a two-measure version of each to be used as the building block for “*phrases, antecedents, consequents, periods and sentences.*” The following examples from the F major set show (1)

39 The English text and Rufer’s translation are to be found in the Arnold Schönberg Center, Wien (Josef Rufer Collection).

40 The other presenters during the 1940–41 season were Karl Geiringer, Ernst Krenek, Suzanne Bloch, Arthur Mendel, Helen Hewitt, William Raymond Kendall, and Edward E. Lowinsky. For Schönberg’s lecture, “Mr. Felix Greissle [Schönberg’s son-in law and an employee of Schirmer] played the musical illustrations at the piano.” See *American Musicological Society Greater New York Chapter, A Programmatic History, 1935–1965*. Edited by Barry S. Brook (New

York [1965?]). Dika Newlin describes the lecture in East Lansing, citing reports from her father, Claude Newlin; see *Schoenberg Remembered: Diaries and Recollections (1938–76)* (New York 1980), 280–282.

41 “Die von mir angefertigten Beispiele, die zum Teil fast einen Wert als Kompositionen haben (soweit das ohne thematische Originalität möglich ist) beruhen hauptsächlich auf dem Gedanken, zu zeigen, wie viele Lösungen, respektive Fortsetzungen aus einen bestimmten Fall folgen können. So geht durch das ganze Buch ein Motiv, erzeugt aus einem gebrochenen Akkord. Aus diesem Motiv sind

100te von Phrasen, Vorder- und Nachsätzen, Perioden und Sätze verschiedenen Charakters mit verschiedenartigem Klaviersatz hergestellt.” Arnold Schönberg to Anton Webern, July 8, 1939 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 3197); published in *Arnold Schönberg. Gedenkausstellung 1974*. Edited by Ernst Hilmar (Wien 1974), 65–67, 65; translated in Sabine Feisst: *Schoenberg’s New World. The American Years* (Oxford etc. 2011), 226 (translation slightly modified).

42 Schönberg uses this expression in the early drafts.

Draft 1	Draft 2
The Concept of Form	The Concept of Form
[THE MOTIVE] How to Build a Motive Use of the Motive How to Join Motives	THE PHRASE
THE PHRASE	THE MOTIVE What Constitutes a Motive Treatment and Utilization of the Motive Joining Motive-Forms
Construction of Simple Themes	Construction of Simple Themes

Table 4: Order of opening chapters in drafts 1 and 2

the construction of the first half of the sentence, in each case endowed with a specific character – Gavotte, Song, Minuet, Rondo, Scherzo, Barcarolle, Minore, Invention, Mazurka, Polonaise and Waltz; (2) the antecedent of a period, to which the consequent is later appended (the example shows the Gavotte); and (3) the completion of the sentences from (1), again showing the example for the Gavotte (Plate 7). *FMC* in its published form includes traces of both master-motive and broken chord, though neither strategy is thorough-going (both the F major and B $\flat$ major broken chord threads are frustratingly incomplete).

Concomitant with the shift from master-motive to broken chord is a change in the order of chapters in *FMC*: in draft 1 Motive precedes Phrase, whereas in draft 2 the order is inverted (Table 4). This decisive and important shift, which is retained in all subsequent versions of the book, is an anomaly within the overall design which otherwise proceeds from the smallest to the largest forms. However, the reordering calls attention to the phrase as the smallest structural unit, the motive being an element thereof: “*The smallest part of every musical composition element of musical construction is the motive, but the smallest musical unit is called the phrase.*”⁴³ (The expression here in draft 2 remains unchanged in drafts 3 and 4: Schönberg merely replaces “musical” with “structural” – “*the smallest structural unit is the phrase.*”⁴⁴) The precise nature of that relationship is unfortunately lost in the published text:

43 TBK1.13.

44 See TBK1.3 for draft 3.

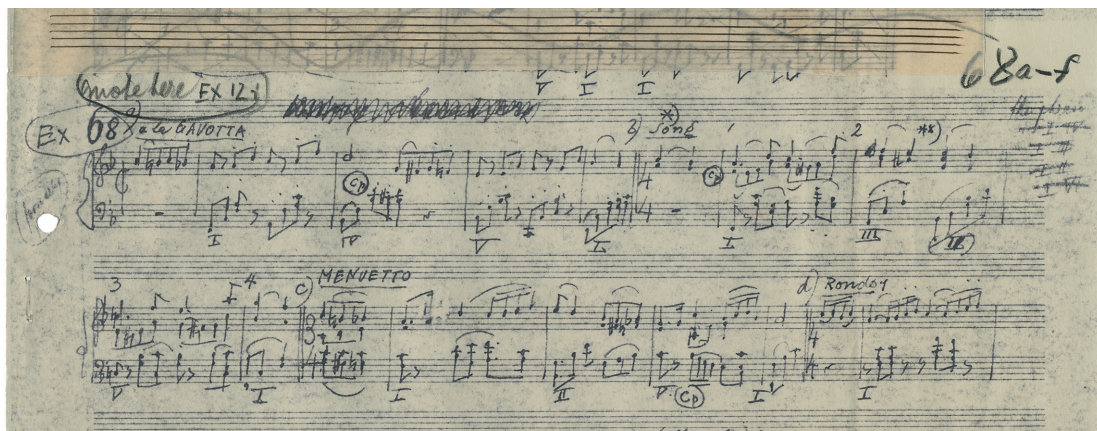


Plate 7: F major broken chord (two-measure phrase) used to build the first halves of a sentence, a complete period, and a complete sentence (Arnold Schönberg Center, Wien [TBK1.15, TBK1.20])



Example 1: Alban Berg composition lesson (1907/08) (Österreichische Nationalbibliothek, Wien [F21.Berg])

*The smallest structural unit is the phrase, a kind of musical molecule consisting of a number of integrated musical events, possessing a certain completeness, and well adapted to combination with other similar units.*⁴⁵

The absence of corroborating annotations in Schönberg's draft 4, the last during his lifetime, suggests that responsibility for this change rests with Strang when preparing draft 5 in the early 1950s.⁴⁶

We can observe the same emphasis on the phrase in Schönberg's teaching in Europe. Found in the Berg estate is a page in Schönberg's hand dating from 1907/08 (a transcription of the upper staves is provided in Example 1).⁴⁷ Beginning with a two-measure unit implying two harmonies, Schönberg varies the content (he alters the interval size or direction, and initially preserves and then embellishes the rhythm) before stringing together the results to build a half-sentence. No information is given here about what Schönberg called that two-measure unit, though Josef Rufer speaks of the *Einfall*, that flash

45 Arnold Schönberg: *Fundamentals of Musical Composition*, see fn. 3, 3. The translation reads: "Die kleinste strukturelle Einheit ist die Phrase, eine Art musikalisches Molekül, aus einer Anzahl von integrierten musikalischen Ereignissen bestehend, in sich bis zu einem gewissen Grad vollständig und sehr geeignet zur Verbindung mit ähnlichen Einheiten." See Arnold Schönberg: *Die Grundlagen der musikalischen Komposition*, see fn. 3, 13.

46 Compare Schönberg's draft 4 (TBK1.5; carbon copy in folder 7) with Strang's draft 5 (Arnold Schönberg Center, Wien [Gerald Strang Collection, 11; Leonard Stein Collection, 24]).

47 Österreichische Nationalbibliothek, Wien (F21.Berg 55/I, f. 2v); even though Schönberg is inconsistent, each two-measure unit is marked in the transcription by double bar lines. The page is reproduced

in facsimile in Ulrich Krämer: *Alban Berg als Schüler Arnold Schönbergs. Quellenstudien und Analysen zum Frühwerk* (Wien 1996), 43 (Alban Berg Studien 4); and Gordon Root: Commentary, in *Schoenberg's Models for Beginners in Composition* (New York 2016), 7 (Schoenberg in Words 2).

of inspiration or “its ‘first creative thought’ (to use Schoenberg’s words).” The *Einfall* was not the motive but the two-measure unit, which Rufer, according to his “very full notes of [Schönberg’s] teaching between 1919 and 1922,” calls the “*Grundgestalt* or phrase” (“the firm connection of one or more motifs and their more or less varied repetitions”).⁴⁸ Webern and Ratz, meanwhile, referred to this unit as the *Zweitakter*.⁴⁹ Irrespective of name, the consistent focus in Schönberg’s teaching on the two-measure unit is clear. In Los Angeles, the *Einfall* was replaced by the phrase: founded on a broken chord, it was an artificial construct that enabled the student to practice form-building using the principles enunciated in *FMC*.

A similar continuity is apparent in Schönberg’s theoretical writings. In correspondence during the 1930s, he refers specifically to his “Kompositionslehre”:

*For nearly twenty years I have been collecting material, ideas and sketches, for an all-inclusive textbook of composition [zu einer alle Teilgegenstände umfassenden Kompositionslehre]. When I shall finish it, I do not know.*⁵⁰

*This summer I would like to write one of the theoretical works on which I have been working for twenty years. First, preferably, the so-called “key book”: The musical idea and its presentation. This book is to establish theoretically the fundamental principles of the entire theory of composition [zur ganzen Kompositionslehre].*⁵¹

*I am writing [...] a “practical” theory of composition [Jetzt arbeite ich [...] an einer “praktischen” Kompositionslehre]. I wanted to write a theory for more than 20 years, but now I have to tap the results of my work and all my knowledge and skills in a practical textbook. But: it will be something extraordinary.*⁵²

While *FMC* is clearly a “practical” *Kompositionslehre*, the description of “an all-inclusive [umfassende] *Kompositionslehre*” is particularly appropriate for draft 3. Begun on March 31, 1941 (the typescript is, unusually, dated), this draft is unique not just within *FMC* but in all of Schönberg’s writings in its integration

48 “So finden sich in meinen sehr genauen Notizen aus der Zeit von 1919 bis 22 folgende Definitionen: ein Motiv ist die kleinste musikalische Form, besteht aus mindestens einem Intervall und einem Rhythmus. Die nächst größere Form ist die Grundgestalt oder Phrase, ‘in der Regel 2 bis 3 Takte’ (die Zahl hängt ja u. a. vom Tempo ab), und besteht aus der ‘festen Zusammenfassung von ein oder mehreren Motiven und ihren mehr oder weniger variierten Wiederholungen.” Josef Rufer to Humphrey Searle, January 22, 1954 (The British Library [Humphrey Searle Collection, Add MS 71839, folio 204]; carbon copy in Staatsbibliothek zu Berlin [Josef Rufer Collection, Beil. zu N. Mus.

Nachl. 58, 299]); translations in Humphrey Searle: Translator’s Preface, in Josef Rufer: *Composition with Twelve Notes Related Only to One Another* (New York 1954), vi–vii.

49 See, for example, Erwin Ratz: *Einführung in die musikalische Formenlehre* (Wien 1973), 21; and Anton Webern: *Über musikalische Formen. Aus den Vortragsmitschriften von Ludwig Zenk, Siegfried Oehlgieser, Rudolf Schopf und Erna Apostel*. Edited by Neil Boynton (Mainz 2002), 161.

50 Arnold Schönberg to Edgar Prinzhorn, April 17, 1932 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 2165); translated in Josef Rufer: *The Works of Arnold Schoenberg*, see fn. 4, 140–41, 140.

51 Arnold Schönberg to Carl Engel, June 6, 1934 (carbon copy; ibidem | ASCC ID 2703); translated in Alexander Goehr: *Schoenberg’s Gedanke* Manuscript, in *Journal of the Arnold Schoenberg Institute* 2/1 (October 1977), 4–25, 20.

52 Arnold Schönberg to Jakob Klatzkin, July 19, 1938 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 2995).

of the harmonic with the thematic. Incorporated into the text are seven numbered sections entitled “Structural Functions of the Harmony” (Plate 8).⁵³ These sections are not in the published text because they were removed between drafts 3 and 4 as first *Models for Beginners in Composition* and later *Structural Functions of Harmony* seceded from what was intended as Schönberg’s American *Kompositionslehre*.

The invitation to teach a six-week summer course in 1942 prompted Schönberg to prepare the syllabus that became *Models*. The planning began in February and March of that year when he convened a meeting with Strang and Stein,⁵⁴ the outcome of which was the document “Illustrative material for Elementary Composition / Excerpts from Fundamentals of Composition” (Plate 9).⁵⁵ It exists in two forms – handwritten (by Stein) and typed (presumably also by Stein) – and references topics and examples drawn from draft 3 of *FMC*. The title of the document is explained by the fact that *Models* was then called “Elementary Composition.” It was subsequently retitled “Models and Assignments for Beginners in Composition” and designated “a supplement to textbook: Fundamentals of Musical Composition” (Plate 10).⁵⁶

The secession of *Structural Functions of Harmony* from *FMC* also occurred between drafts 3 and 4. Upon resuming work on the book in January 1946 following the end of World War 2, Schönberg writes to Greissle:

*I had an idea recently, which I even have not yet discussed with Mr. Strang: to take out all of Structural Functions of the Harmony, and make a special volume of it which should be sold together with the textbook and the book of examples.*⁵⁷

That letter is likely contemporaneous with a loose page inserted into draft 3 which proposes *Structural Functions* as an “independent and separate book” and the bookmarking of the Structural Functions sections, subsequently transcribed by Stein in a document entitled “from composition book (MS)” (Plate 11).⁵⁸ (A close reading suggests that Schönberg read these sections aloud while Stein took dictation.) Draft 3, therefore, arguably represents the high-water mark in Schönberg’s attempts to realize the ambitious *umfassende Kompositionslehre* described to Prinzhorn in 1932, but it was reduced to a torso following the excision of material for *Models* in 1942 and *Structural Functions* in 1946.

53 Draft 3, pages 14, 19, 21, 24, 33, 38 and 42 (TBK1.3).

54 See Gerald Strang to Arnold Schönberg, February 19 and March 2, 1942 (The Library of Congress, see fn. 22 | ASCC ID 17257 and 17256).

55 TBK4, envelope.

56 Arnold Schönberg Center, Wien (Leonard Stein Collection, 26). See also Arnold Schönberg to William Schuman, December 5, 1945 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 4070): “I published through Schirmer a condensed version of a part of [FMC] under the title *Models for Beginners in Composition*.”

57 Arnold Schönberg to Felix Greissle, January 14, 1946 (carbon copy; ibidem | ASCC ID 4089).

58 Arnold Schönberg Center, Wien (Leonard Stein Collection [II], 167).

CONNECTING MOTIVE-FORMS

The connection of motive-forms depends primarily on factors which can only be discussed at a later stage. Therefore ^{Connections of motive-forms can} advice will only be given for mechanical practice, for the time ^{only be given} being disregarding the stiffness of some of the results.

~~Since~~ Only such motive-forms ~~will be~~ should be connected as derive from the same basic motive. This common content ^{of} guarantees a relationship, first step toward logic. ~~As~~ ~~harmony~~ Coherent harmony and rhythmic similarity, at least as to some features, work as connectives. Incoherent harmony destroys the logic of the union.

Here, therefore, is the place for an introductory discussion of

Structural functions of the harmony ^{(I) are obeyed}

One can compare a piece of music to a cadence. A cadence affirms the presence of a key. Every major or minor appears in triad ~~might be~~ several keys. Therefore, one triad alone cannot incontrovertibly express the key. Standing alone, the meaning of a triad is indefinite, and only the continuation determines its meaning. A major triad on C, for instance, ~~might be~~ might be:

In <u>C</u> major	I	
In <u>G</u> major	IV	
In <u>F</u> major	V	
In <u>a</u> minor	III	
In <u>e</u> minor	VI	et cetera.

But Ex. 35 proves that combinations of two, or even more, harmonies do not always define a tonality. In Ex. 35 A, the three examples ~~might be~~ all begin with the ~~the~~ same two harmonies, which are treated as (a) I-V of C; (b) IV-I of G; (c) VI-III of e. A similar treatment is shown with other successions in Ex. 35 B and C.

Illustrative Material
 Title: ~~Illustrative Material~~
~~Examples for Elementary Composition,~~
~~Excerpts from "Fundamentals of Composition"~~

Title/	ILLUSTRATIVE MATERIAL FOR ELEMENTARY COMPOSITION Excerpts from FUNDAMENTALS OF COMPOSITION
Heading/	I. COORDINATION OF MELODY AND HARMONY Melodic Units Built from MM Broken Chords (Phrases and Motive Forms)
EX.1(3&4)	The Tones of a Broken Chord, in Various Orders .
EX.2(5&6)	Adding Upbeats.
EX.3(7)	Varying a-h from EX.1, by Adding Passing Notes and Repetitions of Chord Tones.
EX.4(8)	Varying i-p from EX.1, Similarly.
EX.5(9)	Varying EX.2.
EX.6(10)	Using Embellishing Notes to Vary EX.3, a-h.
EX.7(11)	Embellishing EX.4.

Plate 9: Outline for Models drawn from FMC draft 3 (Arnold Schönberg Center, Wien [TBK 4])

MODELS AND ASSIGNMENTS FOR
 BEGINNERS IN COMPOSITION.
 BY ARNOLD SCHOENBERG,
 Professor of Music, U.C.L.A.

A supplement to textbook:
 FUNDAMENTALS OF MUSICAL COMPOSITION.

Plate 10: Models designated a "supplement" to FMC (Arnold Schönberg Center, Wien [Leonard Stein Collection, 26])

In the 1950s and 1960s, the book was compromised further by a series of editorial interventions, some of which arose because of the vicissitudes of its publication history. Strang prepared the text for publication at Gertrud Schönberg's request in 1951–54 (the preface is dated August 1954).⁵⁹ While the attempt to secure a contract to publish *FMC* with Norton in 1955 was not successful, that for a German translation was. This book was contracted with Schott, together with a variety of projects, in 1955 (the agreement is dated October 14, 1955),⁶⁰ following which Rudolf Kolisch began the process of translating the text, delivering the manuscript in March 1959.⁶¹ By 1959, however, the paragraph in the contract entitled “Composition method and counterpoint method” is crossed out (dated 4 October 1959). Around the same time (August 1959), the question of publishing *FMC* was broached with Faber and Faber and the manuscript (Strang's 1954 text) delivered in December of that year.⁶² When Strang returned to the text in 1961, it was at the publisher's behest, as was Stein's revision in 1964–65 (Stein had prepared *Preliminary Exercises in Counterpoint* for Faber). A contract was secured finally in 1965 and the book published in 1967.

The text that Kolisch translated, then, is not the published *FMC* but rather Strang's 1954 revision (draft 5).⁶³ It therefore includes the changes Strang made to the text in the early 1950s, including the revision to the beginning of the phrase chapter (noted above) and Strang's statement that “A complete musical idea or theme is ordinarily articulated as a period or a sentence.”⁶⁴ Kolisch's translation could not have included those changes made by Strang in 1961 or Stein's subsequent decision to arrange the chapters into three parts – Part I: Construction of Themes, Part II: Small Forms, and Part III: Large Forms. While the latter change was intended (if questionable), others were not, the most egregious of which is an omission in the typing up of the manuscript in 1965. Whereas the three kinds of repetition – exact, modified, and developed – are described correctly in draft 5 (1954 and 1961), the newly typed manuscript for draft 6 describes only two – exact and modified – providing the definition for

59 Draft 5, page iii (Arnold Schönberg Center, Wien [Leonard Stein Collection, 24]).

60 See correspondence between Gertrud Schönberg and B. Schott's Söhne (Arnold Schönberg Center, Wien [Gertrud Schoenberg Collection, 27]).

61 See Rudolf Kolisch to Arno Volk (B. Schott's Söhne), March 21, 1959 (Houghton Library, Harvard University [Rudolf Kolisch Collection]).

62 See correspondence between Gertrud Schönberg and Faber and Faber (Arnold Schönberg Center, Wien [Gertrud Schoenberg Collection, 14.19]).

63 Rudolf Stephan does mention a typescript in his preface to *Die Grundlagen der musikalischen Komposition*, see fn. 3, 5. However, the copyright statement inaccurately refers to the 1967 publication.

64 See *Fundamentals of Musical Composition*, see fn. 3, 20; *Die Grundlagen der musikalischen Komposition*, see fn. 3, 21. For further information, see Áine Heneghan: Schoenberg's Sentence, in *Music Theory Spectrum* 40/2 (2018), forthcoming.

① from Composition Book: (ms)

p. 14:

Cadence:
+ Multiple
Meaning of the
Harmony:

"Cadence affirms the presence of a key. Every major or minor triad appears in several keys. Therefore, one triad alone cannot incontestably express its key. Standing alone the meaning of a triad is indefinite, and only the continuation determines its meaning. A major triad on C, for instance, might be: (various keys: I, II, III, IV etc). — nor combinations of 2 or 3 harmonies (Ex. 35) will define tonality —

p. 15

"To express a tonality, the harmonies must succeed each other in an order, which distinguishes it from ~~the other~~ those tonalities which are most similar. For a major key — fifth above & below (in minor partly from rel major & parallel tonic) major. (see Ex. 36a) — 6 tones in common bet C — G = F — only one tone distinguishes from C. — 4 common chords — 2 degrees of ascent in all, (I + VII)

"In diatonic harmony, the 4th tone of a major scale (F in C major) excludes the key of the upper 5th; while the 7th tone (B in C major) excludes the key of the lower 5th. Thus II, IV (and VII) contradict the dominant region; while III, I (and VI) contradict the subdom region" (VII little used as sub for I).

"In the authentic cadence, the harmony descends first into subdom region (IV or II), then ascends to dom region, after which the reappearing I acquires the meaning of a tonic. Thus the usual order is: tonic, subdom (which also includes II), dominant & tonic, I-IV(II)-V-I."

"~~Each~~ Each piece based on a more or less elaborate cadence. ~~Each piece~~ ends of various subdivisions of a piece carried out with cadences.

"A region is carried out like a key when in place of diatonic chords of original, cadence elements of substitute key are used"

Roots
progressions
from cadence

→ "The 'authenticity' of the authentic cadence is the result of strong root progressions: — strong progressions will never lack structural effectiveness"

4th up — Root of first chord becomes 5th of second (I-I, etc), up 4th "reduced to less important role (Ex. 37a — all possibilities + inversions).
— 3rd down: former root becomes a 3rd —
Strong, ascendant, ~~progressions~~ or progressive,

Plate 11: Outline for Structural Functions drawn from FMC draft 3 (Arnold Schönberg Center, Wien [Leonard Stein Collection [III], 167])

developed repetitions under modified.⁶⁵ Because Kolisch used the earlier typescript as the basis of his translation, this passage is correct in *Grundlagen*, the three kinds of repetition rendered as “genaue,” “modifizierte,” and “entwickelnde Wiederholungen.”⁶⁶ Kolisch’s translation lay dormant for 18 years until 1977 when he sent it to Rudolf Stephan and it was delivered to Universal Edition in January 1978.⁶⁷

It is ironic to note that Schönberg had offered the German edition of *FMC* to UE as early as April 1938, but it could not be pursued then because of the political situation, the “Anschluss” having just taken place.⁶⁸ And although the manuscript was still not complete, Schönberg again proposed the idea to UE in March 1946, recommending that Erwin Stein undertake the translation.⁶⁹ The eventual but short-lived contract with Schott explains why Rufer in his 1959 catalog refers to *FMC* as “nicht erschienen” (“not published”) but to *Grundlagen* as “übersetzt von [translated by] Rudolf Kolisch | B. Schotts Söhne Mainz,” something corrected in the 1962 English translation of the catalog, where both English and German texts are listed as “not published.”⁷⁰ Had the contract with Schott not fallen through, the book would have appeared first in German translation, and the revisions of 1961 and 1964–65 might not have happened. It is also curious that *Structural Functions of Harmony* endured no such difficulties, appearing in English and in German translation during the 1950s.⁷¹

Examining the rich panoply of sources enables us to appreciate *FMC* not just as a document of Schönberg’s teaching in the US but also as his attempt to realize a project, the roots of which reach back to the early 1900s, and in so doing, to recognize the continuity and consistency underpinning his writing and teaching. It also encourages us to rethink the book as we know it, whether

65 Draft 5, pages 9–10 (Arnold Schönberg Center, Wien [Leonard Stein Collection, 24]); draft 6, page 8 (Arnold Schönberg Center, Wien [Leonard Stein Collection, 23]). This is discussed in detail in Áine Heneghan: Rethinking Repetition: Interrogating Schoenberg’s Writings, in *Perspectives of New Music* 56/2 (2018), forthcoming.

66 *Die Grundlagen der musikalischen Komposition*, see fn. 3, 16. The drafts reveal that Kolisch initially translated “modified” as “abgeänderte,” before changing it to “veränderte,” and finally settling on “modifizierte” (Houghton Library, Harvard University [Rudolf Kolisch Collection]; copies in the Arnold Schönberg Center, Wien [Harvard University Collection]).

67 This information is gleaned from the correspondence between Rudolf Stephan and Rudolf Kolisch (Houghton Library, Harvard University). According to Regina Busch (personal communication), the idea to publish *Grundlagen* with UE may have been born during the summer courses in Mödling which Kolisch and Stephan taught together in 1974–78.

68 See Arnold Schönberg to Universal Edition, April 21, 1938 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 3045); and Universal Edition to Arnold Schönberg, May 10, 1938 (Arnold Schönberg Center, Wien [Gertrud Schoenberg Collection, 30.1] | ASCC ID 20725); published in Hartmut Krones: “Ich möchte gerne einige Philharmonia Partituren [...] kaufen”: Arnold Schönbergs “Bibliotheken” 1934–1939 (bzw. 1941), in *Geächet*,

verboten, vertrieben: Österreichische Musiker 1934 – 1938 – 1945. Edited by Hartmut Krones (Wien 2013), 335–356, 336 and 350 (Schriften des Wissenschaftszentrums Arnold Schönberg 1). I thank Julia Bungardt for bringing this correspondence to my attention.

69 Arnold Schönberg to Alfred Schlee, March 4, 1946 (carbon copy; The Library of Congress, see fn. 22 | ASCC ID 4304).

70 Josef Rufer: *Das Werk Arnold Schönbergs*, see fn. 4, 122; Josef Rufer: *The Works of Arnold Schoenberg*, see fn. 4, 134.

71 Arnold Schoenberg: *Structural Functions of Harmony*. Edited by Humphrey Searle (London 1954); idem: *Die formbildenden Tendenzen der Harmonie*. Translated by Erwin Stein (Mainz 1957).

in English or in German. The published text could be likened to an iceberg: what we see above the water are but isolated aspects of what were important strands in earlier drafts, overarching ideas never brought to fruition, now relegated below the water line – the Scherzo examples using the master-motive, the B $\flat$ broken chord examples, and the Sonata-Allegro chapter (never revised by Schönberg, existing only in draft 1). While a definitive text of *FMC* would be an illusory quest, any sense of regret we might have should perhaps be tempered by an acknowledgement of the quality of what, for one reason or another, fell by the wayside. Only when *FMC* is reimagined as a nexus of sources can we explore the questions it raises about translation, transmission, and the authorial voice.