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# Schubert's Incorporation and Transcendence of Recitative in German Lieder

A supporting document submitted in partial satisfaction of the

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by

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ABSTRACT

Schubert's Incorporation and Transcendence of Recitative in German Lieder

by

Keith Allen Colclough

This work traces Schubert's use of recitative in *Lieder* from its inception in his first song D5 *Hagars Klage*, through his eventual incorporation and transcendence of recitative. It discusses the implications of this evolution both in performance and the development of the German *Lied*.

This requires that Schubert's *Liedrezitativ* first be defined as an interpretive tool, including its dramatic and structural applications as well as its technical construction. In the opening chapter, specific Schubert *Lied* passages are compared with his compositional models and influences from opera, song, and the secular cantata.

The second chapter explores Schubert's development and transcendence of *Liedrezitativ*, beginning with a brief explanation of Joakim Kramarz's work, *Das Rezitativ im Liedschaffen des Schuberts.* Kramarz uses an exhaustive analysis of Schubert's recitative cadential figures to demonstrate Schubert's evolution away from the techniques of Salieri and Gluck, but Kramarz's work remains largely musicological. The work at hand aims to expand Kramarz's findings, through analysis of Schubert's revisions to his own works and the

construction of his late *Liedrezitativ*, and to discuss the implications of Schubert's evolution of style for modern performers.

The third chapter explores the most effective and appropriate performance of Schubert's *Lieder* in consultation with treatises from the turn of the nineteenth century, first-hand accounts, Schubert's own words, the legacy of performance tradition embodied in today's leading Schubert performers, and the compositions themselves.

This study finds that early songs with recitative can and should be performed observing the rhythm of speech over written note values when the accompaniment allows. However, increasingly after 1820, Schubert's *Lieder* became rhythmically more exact, requiring disciplined rhythmic execution with sparing rubato. This evolution is an example of Schubert's expansion and eventual distillation of *Lieder* into a dynamic but precise expressive medium, which established the *Lied* as a genre of worth for "serious" composers.

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# INTRODUCTION

Schubert is broadly hailed as the father of the Modern German *Lied* or *Kunstlied,* and his use of recitative in *Lieder* is frequently cited as an example of his expansion of the genre. The *Rezitativlieder,* songs containing recitative, comprise a relatively small but significant percentage of Schubert's musical output (about seventy pieces) and provide a thread through the first ten years of his compositional life tied to the broader fabric of music history. They are a clear example of Schubert's cross pollination between the traditional *Volkslieder* and more technically developed vocal genres: opera and the cantata.

There is little research devoted to Schubert's use and development of recitative. This is unfortunate, as Schubert's *Rezitativlieder* are relatively anomalous in the history of the *Lied* and show a clear evolution of compositional style around the turn of the nineteenth century. Joachim Kramarz's 1959 Dissertation, *Das Rezitativ im Liedsachaffen Franz Schuberts,* is the only in depth analysis of Schubert's recitative and is crucial for our discussion. Kramarz comprehensively catalogues Schubert's *Rezitativlieder* as well as the technical evolution of Schubert's cadential figures within *Liedrezitative*. However, Kramarz's exploration of the topic is primarily musicological with little written on the implications for performance.

The goal of the work at hand is to be a resource for the Schubert singer: to place Kramarz's findings in a broader context and discuss the most effective and appropriate execution of Schubert's *Liedrezitativ*. To better understand the conceptual and technical evolution of *Lieder*, they must be contextualized as the intersection of German romantic poetry, traditional folk *Lieder*, and neighboring vocal genres: opera and cantata. The expansion of *Lieder* near the beginning of the nineteenth century can be seen as a response to

the poetry of Klopstock, Goethe, and Schiller: Klopstock liberated German poetry from the formal restrictions of the Alexandrine, thereby laying the foundations for freer and more expressive romantic poetry evident in the *Sturm und Drang* poetry of Goethe and Schiller.[1]

The symbiotic relationship between poetry and song is relevant not just to Schubert, but also to his immediate predecessors in *Lieder*. When Schubert began writing *Lieder* in 1811, Johann Friedrich Reichardt, Carl Zelter, and Rudolf Zumsteeg had already begun to stretch the definition of the *Lied*. The romantic emphasis on dramatic self-awareness and expression in German romantic poetry could not be satisfactorily contained in simple strophic songs.[2] Schubert arrived on the scene just as the tinder of expressive potential had caught fire.

This expansion of the genre was not widely accepted, at least not initially. As Marjorie Hirsch notes in her book, *Schubert's Dramatic Lieder*, critics and scholars have long struggled to find the proper label to encompass these "songs," often falling between the *Lied* as it was defined in the early 1800s and then contemporary musico-dramatic genres such as the concert aria, solo cantata, or melodrama. *Lied* at this time had a much narrower and more limited definition than it does today, and during his life, Schubert often received criticism for his relatively volatile composition style and defiance of genre norms.[3] While the *Ballade* and *Romanze* provided some variety outside of the simple *Lied*, Schubert's songs frequently fell into grey areas between genres that were not readily accepted in the early

[1] German baroque poetry was composed almost entirely in Alexandrines consisting of 12 beats per line. Klopstck utilized a wider range of poetic forms, enabling freer expression.

[2] Muxfeldt, Kristina, "Schubert's songs: the transformation of a genre," Gibbs, Christopher Howard (ed.), *The Cambridge Companion to Schubert* (Cambridge [England]: Cambridge University Press, 1997), 122.

[3] Marjorie Wing Hirsch, *Schubert's Dramatic Lieder* (Cambridge; New York: Cambridge University Press, 1993.), 1-11.

eighteenth century. One critic at the *Allgemeine Musicalische Zeitung* in 1824 implied Schubert's songs were "bizarre and grotesque," attempting to compensate for a lack of unity of conception with "wild goings-on."

As a young man, Schubert seemed undaunted by such critiques and remained equally unconcerned with genre labels. Schubert's dramatic *Lieder*, in particular those with recitative, surpassed limits of the conservative and *Volkstumliche Lied* in form, harmony, and theatrical style; enabling the scope of a genre which would entice generations of composers to come - including most of his major successors.[4] It is important to note, however, that beginning around 1820, Schubert's songs developed a new efficiency and specificity as his style matured and solidified. A key indication of this is his evolution away from *Liedrezitativ*. When taken as a whole, the chronology of the *Rezitativlieder* shows a clear stylistic evolution. Of Franz Schubert's approximately 600 *Lieder*, the roughly seventy containing the marking recitative are concentrated almost exclusively in the first nine years of his compositional life.[5] None of his song cycles contain the marking recitative nor do any of his German *Lieder* after 1822. His use of recitative is key in this expansion and subsequent focusing of the genre. Schubert incorporated, evolved, and eventually transcended recitative in *Lieder*, solidifying the *Lied* as a serious genre of its own.

Within two decades of German song bursting free from the limits of strophic *Lieder* (engendering rhapsodic expansive works with recitative, sometimes stretching to fifteen minutes long), Schubert distilled this newly expanded musical medium once more into a

[4]Ibid.

[5]Joachim Kramarz, *Das Rezitativ im Liedschaffen Franz Schuberts* (PhD diss., Freien Universität Berlin, 1959), 15.

unified and precise genre that retained the expressive potential of his early works. The implications for performance in his late songs are clear: gone are the impetuous, even bombastic compositions of Schubert's youth, giving way to finely tuned pieces with the same intensity of emotion, tempered by the clockwork-like precision of an experienced master.

How then do we perform early Schubert *Liedrezitativ*? Though Schubert left little instruction in the form of theoretical writings, German language treatises on singing from the eighteenth and early nineteenth century discuss in depth the performance of recitative. They frequently note that style varies by genre, but none discuss performance of recitative in *Lieder* as it remained quite uncommon. Moreover, *Lieder* were widely held as the providence of amateurs, precluding the necessity of extensive vocal instruction. Fortunately for modern Schubert singers, Schubert's use of recitative is clearly traceable to operatic roots, a genre that several treatises discuss.

It has been well chronicled that Schubert had great aspirations as an opera composer.[6] He was clearly well versed in operatic composition as well as a number of other musico-dramatic mediums in Vienna.[7] Not surprisingly, recitative in his *Lieder*, particularly his early works, in many ways resemble his operatic models: Salieri, Gluck and Mozart, and it can largely be approached in similar fashion by performers.

[6]Elizabeth Norman McKay, "Schubert as a composer of Operas," in Eva Badura-Skoda and Peter Branscombe (eds.), *Schubert Studies: Problems of Style and Chronology* (Cambridge: Cambridge University Press, 1982); Elizabeth Norman McKay, *Schubert's Music for the Theater* (Tutzing: Hans Schneider, 1991); Peter Branscombe, "Music in the Viennese Popular Theater of the Eighteenth and Nineteenth Centuries," *Proceedings of the Royal Musical Association*, 98 (1971-72); Mary Wischusen, "Franz Schubert and Viennese popular comedy" in Barbara M. Reul and Lorraine Byrne Bodley (eds.) *The Unknown Schubert (Aldershot, Hants, England: Ashgate 2008)*.

[7]Mary Wischusen, "Franz Schubert and Viennese popular comedy."

This is a valuable insight regarding performance. In the words of Patricia Howard,[8] "recitative is the most fugitive aspect of opera, changing in style and function with almost every composer, and reflecting the entire history of opera in the course of its various mutations." By defining Schubert's recitative we not only learn more about his own compositions and his place in music history, but also how they should be performed.

This can only be realized in full with a multi-faceted approach, considering models in opera, song and cantata; Schubert's compositions as a whole; and accounts of performance practice either directly from Schubert's peers or in the form of vocal treatises contemporary to his life. Ultimately, each of Schubert's recitatives is a unique response to a specific poem and must be approached as such. They do not constitute a formulaic construction as found in cantata, opera, or oratorio. As a result, they require individual analysis of how Schubert joins text and music, in the context listed above.

Discussions of performance practice easily become didactic and irrelevant unless there is a dialogue between performer and musicologist. The goal of studying performance practice should be a deeper understanding of the experience of performance, the communicative intentions of the composer, and a work's place in history. In this sense, individual interpretive choices bring the performer, composer/author, the music's history, and the very breadth of the human experience together in an artistic exposition. This paper will attempt to reach this understanding through a more focused case study that addresses recitative in Franz Schubert's *Lieder* and relates interpretation in performance to Schubert's place in music history.

[8]Patricia Howard, *Gluck and the Birth of Modern Opera* (London: Barrie and Rockliff, 1963), 54.

## I. Models and Characteristics

A comprehensive understanding of Schubert's *Liedrezitativ* as an interpretive device, including its most effective execution in performance, requires the contextualization of recitative in Schubert's Vienna. Just as the city was an intersection of diverse political, cultural, and artistic movements (heightened by the diplomatic carousel of the Congress of Vienna from September 1814 to June 1815), recitative in its own small right had become a multi-faceted intersection of musical techniques with a variety of conventions and counter conventions that explored the relationship between singing and speech. While recitative was clearly born in opera, by the turn of the nineteenth century it had found its way into cantata and *Lieder*, and Schubert's employment of the technique in *Lieder* was visibly influenced by prominent composers of all three genres.

From its inception, recitative has essentially been a compromise born of the necessity for clear and rapid delivery of text in entirely sung musico-dramatic mediums. It was often classified as sung speech, or spoken singing.[9]

By the mid-eighteenth century, recitative in opera was one of a few key elements in the middle of a debate between critics and composers of Italian *opera seria* and predominantly German reformers such as Johann Adolf Scheibe, Johann Christoph Gottsched, and Christoph Willibald Gluck. While Gluck was the first reform composer with real success in opera, he was not the first person to reject the formulaic conventions in Italian opera. Indeed, J. A. Scheibe, was mentored by the author Gottsched in his outspoken

[9]Friedrich-Heinrich Neumann, *Die Theorie des Rezitativs im 17. und 18. Jahrhundert unter besonderer Berüchsichtigung des deutschen Musikschrifttums des 18. Jahrhunderts,* (Ph.D. Diss., Georg-August-Universität Goettingen, 1955), 2-4.

contempt for the excesses of "Italian" music,[10] and while it remains speculation, some have postulated that Scheibe in turn had a direct influence on Gluck. Some of the first signs of Gluck's reforms appear in *Telemacco*, written directly after a stay in Copenhagen where Scheibe was a highly influential figure. Although Italian opera was favored in Copenhagen to the exclusion of German opera, Scheibe was as much known for his music as his publication, *Der Critische Musicus* (which he published in Hamburg from 1737-1740 and a second edition in 1745 while in Copenhagen), and his participation in the "*Musikalske Societet*."

Scheibe and Gluck both believed that *opera seria* had strayed too far from opera's original conception and become overly formulaic with excessive emphasis on meaningless instrumental interludes and gratuitous ornamentation by the singers. Gluck strove for what he considered a more natural dramatic art form where the text unfolded "naturally," and the music matched the texts exactly, recalling the ideals of composers in the early seventeenth century at the birth of opera. Gluck eliminated the strict formal division between *secco* recitative and aria, sometimes with an intermediate accompanied recitative, standard in Italian *opera seria* and *opera buffa*.

> To this end he freed the harmony [in recitative] from its baroque enslavement to the diminished seventh, and created a much more melodic vocal line, the accompaniment accordingly grew in importance, till it was the rule to find it scored for full orchestra and constructed to hold the whole passage together in a texture full of individual character, and owing nothing to the limited patterns bequeathed by his predecessors. The emergence of the arioso was to be foreseen from each of these developments. Its appearance in Gluck's long recitative scenes provided a point of melodic expansion without slackening the pace of the drama.[11]

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[10]John W. Eaton, *The German Influence in Danish Literature in the Eighteenth Century: The German Circle in Copenhagen, 1750-1770* (University Press: Cambridge, 1929), 171-172.

[11]Patricia Howard, *Gluck and the Birth of Modern Opera* (London: Barrie and Rockliff, 1963), 71.

The context of eighteenth-century opera, and its accompanying debates, is crucial for understanding the theoretical conception of recitative's place in vocal music. This expansion of recitative in opera was mirrored in the German secular cantata, a genre in which Scheibe had more success than opera, and eventually recitative was introduced into German *Lieder* around the turn of the nineteenth century. While German *Lieder* were traditionally strophic, singable by amateur and professional alike, and employing "appropriately simple means"[12] to express the sentiments of the text, the emergence of highly dramatic romantic poetry by Goethe and Schiller called for musical clothing to match.[13]

Traces of Schubert's prominent predecessors in *Lieder*, opera, and cantata are visible in the style and application of Schubert's early *Liederezitative*. Most noteworthy are the songs of Rudolf Zumsteeg, Johann Friedrich Reichardt, and Carl Zelter; the operas of Salieri, Gluck, and Mozart; and a myriad of works under the blanket of German secular cantata.

### A. Models in Opera

Schubert's *Liedrezitative* were born out of a strong operatic experience and compositional training, as is apparent in the technical construction of early examples. They are almost entirely in the conventional 4/4 time and usually employ a relatively limited vocal range. Mostly they are syllabic, avoiding fioratura and intervals greater than a fifth. Stressed syllables are given strong beats and occasionally agogic stress. The piano accompaniments for early recitatives are usually very sparse, with limited rhythmic activity,

[12]Hirsch, *Schubert's Dramatic Lieder*, 7.

[13] Richard D. Green, *Anthology of Goethe Songs* (Madison [Wis.]: A-R Editions, 1994), 10. Hugo Riemanns notes in the Musikalisches Lexicon that the traditional definition of the *Lied* began to change with the pairing of Goethe and Schubert.

providing merely the harmonic underpinning for the vocal line, reminiscent of secco recitative in the Italian operas of Mozart and Salieri.

This is to be expected, as Schubert owes much of his technical foundation to his teacher, Antonio Salieri, a man well versed in the various musical currents in Vienna. Salieri first moved to Vienna to work with Florian Leopold Gassman, a student of the Neapolitan school.[14] There he also studied with both Gluck and Metastasio under whose tutelage he learned stagecraft and text setting. Years later, in this same tradition, Salieri gave Schubert several Metastasio texts to set as a part of his studies. Some of these exercises with recitative, including Salieri's corrections, such as D510 *Didone Abbandonato*, have survived.

Schubert's Italian settings are distinct from his German *Lieder* in several ways. Many feature text repetition to an extent uncommon in *Lieder*. The vocal lines are fashioned for exhibitions of the extravagant vocalism which was scorned not only by the First Berlin *Lieder* School but also generally avoided in mature Schubert *Lieder.*

For Example, D902 no. 2 *Il traditor deluso*, published in the last year of Schubert's life, is much nearer a piano transcription of an Italian Mozart concert aria than a German *Lied.* The song is second in a set of three, often referred to as the "Metastasio *Lieder*," though only two of the texts are actually by Metastasio.[15] These songs may have been early composition exercises, later revised and reworked by Schubert to entice the reigning operatic bass, Luigi LaBlache, to perform his music after visiting Vienna in 1827.[16]

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[14]Jane Schatkin Hettrick and John A. Rice, "Salieri, Antonio," *Grove Music Online*, *Oxford Music Online* (Oxford University Press) http://www.oxfordmusiconline.com/subscriber/article/grove/music/24378 (accessed February 23, 2015).

[15]Walter Dürr and Franz Schubert, *Ausgabe sämtlicher Werke.* Serie IV, *Lieder* (Kassel: Bärenreiter, 1964).

[16]Clarissa Lablache Cheer, *The Great Lablache: Nineteenth Century Operatic Superstar: His Life and His Times* ([United States]: Xlibris, 2009), 59-65; Allgemeine Musikalische Zeitung, March 19, 1828 in Deutsch *Memoirs*, pp. 749-750

Ever an aspiring opera composer, Schubert was well aware of the need for champions of his music. Schubert had successfully courted the famous operatic baritone Michael Vogl with the help of mutual friends years earlier, and the musical relationship was crucial to Schubert's public success.[17] Marjorie Hirsch purports that at his first meeting with Michael Vogl, Schubert tailored his repertoire selections to match the esteemed operatic baritone's affinity for classical themes common in opera.

In the Metastasio *Lieder*, Schubert again shaped his compositions to match a singer's interests, and demonstrated his proficiency in Italian opera, albeit with traces of his German *Lied* style. Luigi LaBlache, largely famous for his Rossini interpretations,[18] would have found the three Italian songs, D902, familiar territory. Whether or not these songs enticed LaBlache to begin a working relationship with Schubert is unknown, as Schubert did not live long enough to see if one would blossom.

In song two, *Il traditor deluso*, the opening recitative is clearly indicated in the structure of the poem as was often the case with Metastasian texts. Schubert's setting of this rage aria is highly reminiscent of Mozart, (as noted in the *Allgemeine Musickalische Zeitung* January 30, 1828)[19] in particular the similarly constructed *Cosí dunque tradisci* in impression and dramatic impetus. Similarly, both arias contain large disjunct vocal intervals to show off the vocal prowess of the singer (in Mozart's case probably Ludwig Fischer, the reigning

[17]Marjorie Hirsch, "Mayrhofer, Schubert, and the myth of 'Vocal Memnon,'" in Barbara M. Reul and Lorraine Byrne Bodley (ed.), *Unknown Schubert* (Aldershot, Hants, England: Ashgate, 2008), 12-15; Walther Dürr, "Schubert and Johann Michael Vogl: A Reappraisal," *19th-Century Music*, Vol. 3, No. 2, Nov., 1979, (University of California Press), 126-140, http://www.jstor.org/stable/746284 (accessed July 6, 2014).

[18]Cheer, *The Great Lablache*.

[19]Otto Erich Deutsch, *The Schubert Reader, A Life of Franz Schubert in Letters and Documents,* trans. Eric Blom (New York: W.W. Norton, 1947), 749-750.

German Bass of his day).[20] More importantly, Schubert's recitative recalls the accompanied recitative of *Cosi dunque tradisci* with its dotted eighth note punctuations, a device dating back to Gluck and earlier.

Some of Schubert's German *Lieder,* such as *Geistes-Gruss*, appear almost to be in recitative aria form. Yet this is more aptly described as a brief through-composed form in spite of its apparent AB Structure. Dramatically, the transition from recitative to sung melody indicates a change from narration to the voice of the *Geist*, not the exploration of a given thought or feeling as is typical in a Metastasian recitative-aria. The B section also does not lend itself to displays of vocalism and remains fairly declamatory.

More commonly, the structure of Schubert's *Rezitativlieder* resembles the reform operas of Gluck, though for piano and voice. Both Salieri and Schubert were heavily influenced by Gluck: Salieri as a direct protégé of Gluck, and Schubert through his teacher and his own extensive score study. Josef von Spaun recounts how attending a performance of *Iphigenie en Tauride* "shook [Schubert] to the depths of his being. The impression made by that evening was for him a never-to-be-forgotten one; its outcome was the keenest study of all Gluck's scores which, for years, quite enraptured Schubert."[21] Schubert apparently considered Mozart and Gluck the "golden age of opera" and aspired to their example.[22] Joseph von Spaun recounts that "again and again he used to ask sadly whether the happy time of such delights had vanished from us forever."[23]

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[20]Cliff Eisen and Simon P. Keefe, "Fischer, (Johann Ignaz) Ludwig," in *The Cambridge Mozart Encyclopedia* (Cambridge [England]: Cambridge University Press, 2006), 176.

[21]Deutsch, Otto Erich Deutsch, *Schubert; Memoirs by His Friends*, trans. Rosamond Ley and John Nowell (London: A. & C. Black, 1958), 21.

[22]Marjorie Hirsch, *Mayrhoffer, Schubert, and the Myth of the Vocal Memnon*, 14.

[23]Deutsch, *Memoirs*, 21.

Patricia Howard describes Gluck's development of recitative as "a continual expansion of the language," blurring the line between aria and recitative by utilizing expanded orchestral textures with accompanied recitative and arioso. [24]

One of the many parts of *Iphigenie en Tauride* that exhibits these expanded orchestral textures is Oreste's recit in Act 2 scene iii before his aria. A brief orchestral introduction fades seamlessly into sustained winds and tremolo strings with Oreste's entrance, "*Dieux! Protecteurs de ces affreux rivages*…" after a series of vocal interjections and orchestral punctuations, the winds tacet as the accompaniment diminishes to sustained strings, which set the tone for the aria. This orchestral recitative possesses a variety of dramatic textures in a style that is visible in several Mozart arias, such as *Alcandro lo confesso* or Count Almaviva's Act III aria from *Le nozze di Figaro*. Schubert commonly emulated similar levels of melodic and rhythmic activity in the accompaniment of *Liedrezitativ.*

The German operas of Mozart provide Schubert an operatic model in his own language, albeit similarly influenced by Gluck. While Schubert's D97 *Trost an Elisa* is generally classified as a *Lied*, it closely resembles the accompanied recitative between Tamino and Der Sprecher in the Act I finale of *Die Zauberflöte*. Schubert was certainly familiar with *Die Zauberflöte* by the time he composed *Trost an Elisa* in 1814, having attended a performance as early as 1812. In *Trost an Elisa*, the "in tempo" passages are so brief and intertwined with the recitative that they constitute little more than in-tempo recitative. Here we see signs of Schubert's transcendence of recitative into something more specific, more delicate and nuanced than *secco* recitative and requiring an intimate ensemble just as Mozart did with the Act I Finale of *Die Zauberflöte.*

[24]Patricia Howard, *Gluck and the Birth of Modern Opera*, 71

This sort of accompanied recitative was rare in German musical theater at the time. It was widely believed that the German language's cold and precise nature did not lend itself to recitative as easily as the easily impassioned legato of Italian. This is evident in theoretical writings from the eighteenth-century such as the passage below by J. F. Reichardt:

> For the Italians, whose language is so full of impassioned accents, that their speech with passion could often be recorded, for them it was from the normal theater declamation, that already heightened natural accents, a very small transition to recitative; and a nation, that lives so totally in music, for them the harmonic accompaniment of recitative is hardly objectionable. Our language however, much more a language of understanding and all higher noble powers than a language of passion, goes into the borrowed musical cloth damagingly untruly and poorly.[25]

As a result, German opera usually employed dialogue with underscoring for only the final lines of text before an aria or ensemble to blend the transition from spoken word to song. Recitative was reserved for instances when dialogue was not sufficient to capture the emotion of the text, usually among the principal characters, most often the lovers.

German musical theater at this point was itself an amalgamation of various genres, styles, and devices - sung or unsung: a smattering of "*Charakter*" pieces mirroring the status and moral standing of any particular character.[26] Schubert implied *Charakter* in the same fashion. The proclamatory nature of recitative, tempered by the harmonic underpinning and prolonged pronunciation permitted in singing, allows a delivery of text that is powerful, impassioned, and authoritative.

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[25]Johann Friedrich Reichardt, "Über die Deutsche comische Oper" *Musikalisches Kunstmagazin*, Band 1 (1782), 161, http://www.archive.org/details/MusikalischesKunstmagazinBd.11782 (accessed February 28, 2015).

[26]Stephen C. Meyer, *Carl Maria Von Weber and the Search for a German Opera* (Bloomington: Indiana University Press, 2003); Elizabeth Norman McKay, "Schubert as a Composer of Operas" in Eva Badura-skoda and Peter Branscombe (eds.), *Schubert Studies: Problems of Style and Chronology (*Cambridge: Cambridge University Press, 1982).

Mozart was one of the first composers to capitalize on this, and he surely influenced Schubert. In *Die Zauberflöte* and *Entführung*, recitative, in particular accompanied recitative, is used not only to express heightened emotion, but also lofty ideals and noble characters (much as accompanied recitative is reserved for nobility in *Le Nozze di Figaro*). In *Die Zauberflöte* this includes Tamino, Sarastro, and the speaker. In *Die Entführung*, the nobleman Belmonte and his betrothed, Konstanze, have accompanied recitative. Neither the comic pair of Predrillo and Blonde nor Osmin are given such passages. In Mozart's *Singspiele,* recitative is a sign of refinement, bridging the gap between dialogue and song. Similarly, Schubert uses recitative for many of his noble characters, be it the king in *Der Taucher* or the classic mythological Prometheus.

### B. Models in Cantata

Apart from opera, the foundations for Schubert's use of recitative in *Lieder* developed in the German secular cantata. While Gluck defied the structural conventions of opera in the mid-eighteenth century, the solo cantata mirrored this liberation, becoming increasingly fluid through free oscillation between aria, arioso and recitative.

> By the late eighteenth century, the traditional Neapolitan compositional model for two contrasting arias, introduced and separated by accompanied recitative, had given way to more flexible musical structures, freely arranged according to dramatic dictates of the text. The large secular solo cantatas of Johann Gottlieb Naumann, Johan Christoph Friedrich Bach, and Johann Friedrich Reichardt, among others comprise a fluid mixture of closed aria-like sections, extended arioso and accompagnato passages, and orchestral interludes. Frequent changes of key, tempo, texture, and meter, as well as colorful orchestration, permit moment-to-moment musical representation of the action and sentiments expressed in the poetry.[27]

[27]Hirsch, *Schubert's Dramatic Lieder*, 21.

Of the myriad of examples available, the cantatas of J. A. Scheibe best highlight the development of recitative, also because his opinions are well documented as a champion of German Classical style. He was a key member of the First Berlin *Lieder* School, emphasizing nature and moderation in all genres, particularly in contrast to Italian music. Scheibe even criticized J. S. Bach's music for being too "Italian" (overly ornate and complicated), though he recognized Bach's genius and skill as a musician.[28] Scheibe's outspoken nature afforded him little opportunity in opera while in Copenhagen, but he found an outlet for his compositional predilections in cantata.

Scheibe's settings of Heinrich Wilhelm von Gerstenberg's *Ariadne auf Naxos* and Johann Elias Schlegel's *Prokris und Cephalus* are valuable in regard to the development of recitative in *Lieder* because they are both scored specifically for voice and piano.[29] The two works, published in 1765 as two *Tragische Kantaten für eine oder zwo Singestimmen und das Clavier,*[30] are accompanied by an epistle addressed to Gerstenberg, Scheibe's former housemate and "*Werthester Freund.*" It repeats many of Scheibe's well-known opinions about the excesses of Italian music, but more importantly, it outlines the nature of recitative in the two cantatas, particularly the distinction between *Recitation* and *Deklamation.*

Scheibe states in his introduction that as a general rule, long passages of recitative can and should be dressed with a variety of accompaniments and styles, including occasional

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[28]George J. Buelow, "In Defence of J. A. Scheibe against J. S. Bach," *Proceedings of the Royal Musical Association,* Vol. 101 (1974 - 1975) (Oxfordshire: Taylor & Francis, Ltd.), 85-100, http://www.jstor.org/stable/766038 (accessed February 20, 2015).

[29]Gerstenberg was an active participant in discussions on the relation between text and music with prominent composers such as CPE Bach, and J. A. Scheibe in Copenhagen and Berlin.

[30]Both cantatas are ostensibly duets, with two characters labeled in the score. However, the title states they are for one or two voices, implying that one person can sing both characters. The vocal ranges in both pieces vary little if at all between characters.

ariosi, even without the poet's instruction.[31] This can allow a closer relation between recitative and aria, ease the voice with variety, and above all serve the *ausdruck* (impression) of the text. However, Scheibe stresses that this should be done only with great care and moderation.[32]

He asserts this as a direct contrast to Italian opera, which he believes all too often dissolves into sloppy trills and coloratura *ad absurdum* from "opera-goddesses" and "half men" (assumedly castrati).[33] Scheibe's cantatas clearly parallel Gluck's efforts to achieve a more natural musical expression subservient to the text in opera.[34]

In his efforts to effectively serve the text, Scheibe completely reworked an earlier version of the Schlegel *Procris* and explained "...the recitatives have been fully reworked, due to my broadened understanding, while I have in this time further studied the compositional technique."[35] One of the fruits of this study appears to be the distinction between two types of recitative, declaimed and recited, both with different implications for performance.

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[31]Eaton, *German Influence in Danish Literature*. Scheibe and Gerstenberg lived together for a time in Copenhagen, and it is likely Gerstenberg would have corroborated, if not instructed Scheibe's assignment of recitative and aria.

[32]Johann Adolph Scheibe, foreword to *Tragische Kantaten für eine oder zwo Singestimmen und das Clavier* (Copenhagen and Leipzig: Mumischen Buchhandlung, 1765), http://burrito.whatbox.ca:15263/imglnks/usimg/4/4d/IMSLP90850-PMLP186643-1_pdfsam_scheibe-tragi_kant.pdf (accessed March 3, 2015).

[33]Ibid.

[34]Scheibe himself wrote but two operas, *Artaban* and *Thusnelda.* Artaban was written for the opera in Hamburg which closed before the opera premiered. Thusnelda was reportedly performed at the Döbbelin in Berlin in 1749 to great success. George J. Buelow, "Scheibe, Johann Adolph," (Grove Music Online. Oxford Music Online. Oxford University Press), http://www.oxfordmusiconline.com/subscriber/article/grove/music/24777 (accessed March 4, 2015); George Grove, J. A. Fuller-Maitland, Waldo Selden Pratt, and Charles N. Boyd, *Grove's Dictionary of Music and Musicians*, (New York: The Macmillan Company, 1911), 517, http://imslp.org/wiki/Dictionary_of_Music_and_Musicians_(Grove,_George) (accessed March 6, 2015).

[35]Scheibe, foreword to *Tragische Kantaten*.

> Simple recitative is now that which I call recitation, and it will most often be found in such cantatas or vocal works which are of an epic nature and in which the poet often speaks themselves, with other characters' speech interjected. In the first case recitation is satisfactory, the later declamation. In conclusion, all cases, wherein the poet explains something, without taking a personal stake in the action, are simply recited, even when emotional expressions appear therein....One can further take as a principal, that everything, which does not meet the interest of the speaker, belongs to recitation, and opposite this, that which strikes the interest of the speaker, demands declamation....So I want to simply note, that a singer should recite all simple recited passages...quicker, in closer succession and freer; however, all the declaimed passages should be slower, more fervent, more emotional and expressive and also with more weight given to the beat and more measured, and indeed measured with the greatest precision. [36]

Scheibe's consideration and care in the matter is readily apparent. He seeks to establish a spectrum of musical expression that matches the emotional requirements of the text ranging from the least expressive (simple recitative), to the most expressive (aria), with declaimed recitative and arioso falling in between, most likely in that order. This may also correspond to accompanied and *secco* recitative when an orchestral accompaniment is used. With piano accompaniment, the distinction is less clear, though Scheibe notes that good singers observe these rules out of instinct. Nonetheless, these instructions are very helpful in understanding not only Scheibe's intentions in his later vocal works for piano and voice but also potentially for J. F. Reichardt's cantatas and *Lieder*, which had a direct influence on young Schubert. It is highly possible that Reichardt was familiar with Scheibe's *Ariadne* and its accompanying epistle, as Reichardt's 1780 setting of *Ariadne* features almost exactly the same structural delineations and many of the same tempo markings.

In Reichardt's *Lieder*, he also used the markings "*deklamirt*" and "recit." for textual inflections which match Scheibe's guidelines. Several songs, such as *Einschränkung* and *Monolog Thekla, aus Wallenstein's Tod*, use the marking "*frei declamirt*" and "*lebhaft declamirt*" respectively for emotional exclamations that directly affect the speaker. The

[36]Scheibe, foreword to *Tragische Kantaten*.

marking is matched with simple but rhythmic accompaniments that imply some degree of strict time. *Monologue der Johanna*, on the other hand, uses the marking "recit" for the protagonist's narration of surrounding events. Here the accompaniment consists of little more than the rolled chords of *secco* recitative, accommodating a higher degree of rhythmic freedom.

### C. Models in *Lieder*

Schubert's use of recitative in song was not revolutionary. In addition to Reichardt, Rudolf Zumsteeg began using the marking around the beginning of the nineteenth century. This resulted from their use of increasingly dramatic song texts which required musical techniques such as narration in the simple recitation described by J. A. Scheibe, as well as declamatory singing and through-composed musical forms. When Schubert began writing *Lieder* in 1811, he was provided, within the songs of these two composers alone, a variety of techniques to match the smorgasbord of poetry available to him. With their direct influence, Schubert did not so much innovate in his use of recitative as he cultivated and developed the technique in *Lieder*.

These new highly dramatic *Lieder* were a strict departure from the songs of the "First Berlin School" in the early eighteenth century. The simple songs of the First Berlin School (most notably C.P.E. Bach) and their counterparts in Hamburg, (J.A. Scheibe, G.P. Telemann, and J.V. Görner to name a few) were largely born out of the same ideals that engendered reforms in opera and cantata around the same time: truth to nature and the text, a clear and appropriately impassioned musical embodiment of poetic expression.[37] In opera,

[37]James Parson, *The Cambridge Companion to the Lied* (Cambridge: Cambridge University Press, 2004), 39-40.

the desire for natural expression caused the dissolution of formulaic structural boundaries between aria and recitative so that the drama of a large-scale story could be expressed "naturally." However in *Lieder*, the generally limited dramatic scope and *volkstümliche* (folky) quality of the German lyric poetry available to the First Berlin School, as well as lyric poetry's almost uniformly strophic nature, initially kept *Lieder* confined to strophic songs with simple accompaniments and singable vocal melodies with limited range. It is no coincidence that as Reichardt and Zumsteeg began setting new *Sturm und Drang* texts (including excerpts from stage-works) by Goethe and Schiller, and German romantic poetry developed into a freer form with heightened emotional gestures, these composers sought broader techniques to match the text - namely from opera and cantata. The formal distinctions between *Lied*, ballad, and aria began to blur (despite the efforts of many composers and critics). No longer was the folk character and strophic meter of the poetry on equal footing with the expression of meaning and emotion in either poetry or song. Composers such as Reichardt, Zumsteeg, and later Schubert reflected this development in their use of recitative.

### 1. Johann Friedrich Reichardt and Carl Zelter

The later songs of Carl Zelter and Johann Friedrich Reichardt help illustrate the increasing innovation in *Lieder* in response to the poetry of Goethe and Schiller. Johann Friedrich Reichardt increasingly ventured away from the traditional strophic *Lieder* of the First Berlin School, composing songs with both "*deklamirt*" passages and recitative.[38] *An Lina* from Reichardt's "*Goethe's Lieder, Oden, Balladen, und Romanzen mit Musik"* first published in 1809, is a short piece marked *Frei deklamirt.*

[38] Hirsch, *Schubert's Dramatic Lieder*, 23-25.

This piece is not recitative, lacking a syllabic vocal line and 4/4 time. Still, it shows a clear exposition into more dramatic writing and an attempt to capitalize on some characteristics of recitative. The marking *frei deklamirt* implies qualities of oration with some metric freedom, but it is tempered by the piano accompaniment, which often doubles the voice. Other works with the marking "*Kräftig declamirt*" or "*lebhaft declamirt*" infer qualities of oration in strict time, as Scheibe outlined in his epistle to Gerstenberg.

**Figure 1. Johann Friedrich Reichardt, *An Lina***

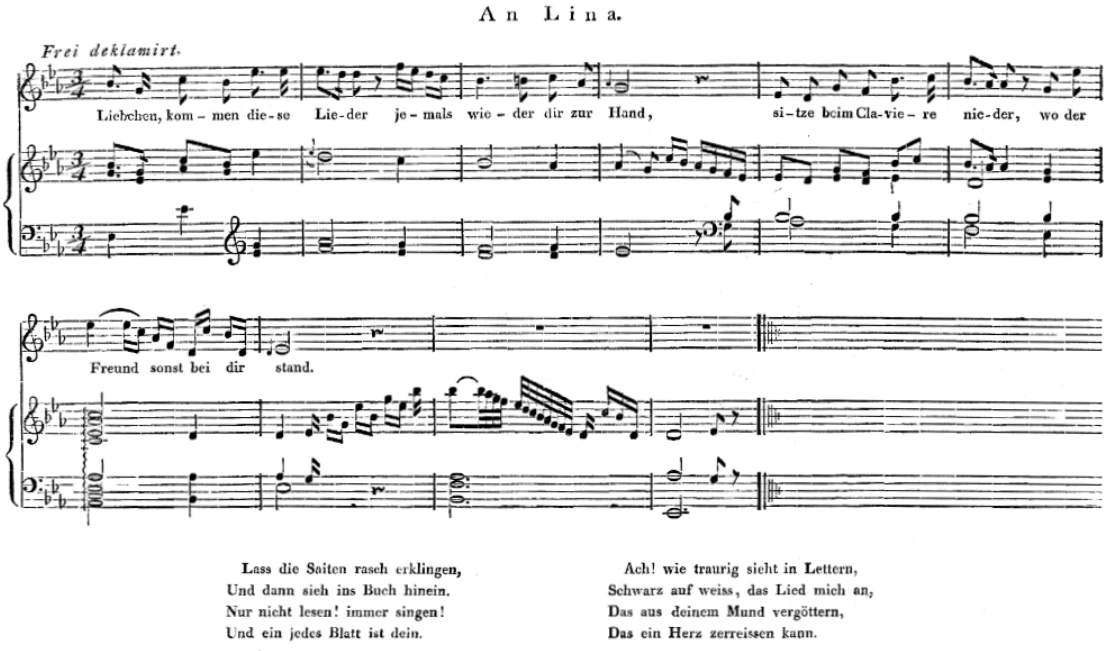
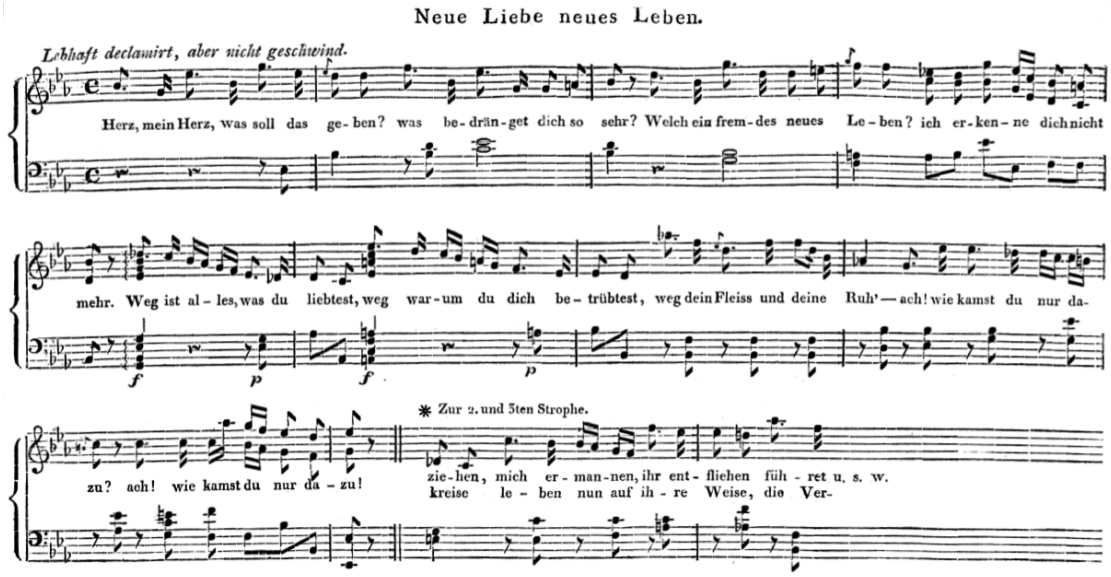


**Figure 2. Johann Friedrich Reichardt, *Neue Liebe neues Leben***




Reichardts *1810* collection of *"Schillers Lyrische Gedichte"* also contains several texts drawn from Schiller's stage works and the songs are accordingly dramatic.[39] *Erste Monologue der Johanna* oscillates between arioso and recitative in the style of a cantata. Two monologues for the character Thekla out of Schiller's Wallenstein trilogy each show the influence of cantata, containing sections that clearly resemble recitative and arioso. *Aeneas zu Dido* does not contain the marking recitative but resembles a concert aria. An opening recitative develops into a labeled arioso.

Even Reichardt's friend, the traditionally conservative Carl Zelter, ventured into dramatic writing resembling recitative in "*Kolma: ein altschottisches Fragment aus der Liedern der Selma des Ossian*."[40] Ossian texts like this were popular for German Ballads and their dramatic nature inspired dramatic vocal techniques in several Schubert settings as well. For example, Schubert's Ossian song D534 *Die Nacht* is perhaps Schubert's most rhapsodic

[39]Hirsch, *Schubert's Dramatic Lieder*, 23-25; Henry W. Nevinson, *Life of Schiller* (London: W. Scott), https://books.google.ie/books/about/Life_of_Friedrich_Schiller.html?id=g8A9AAAAYAAJ&hl=en (accessed January 15, 2015), xvii.

[40]Ibid., 25.

*Lied,* oscillating freely between recitative and arioso with a different texture for nearly every verse of text. Zelter's *Colma* is similarly at the boundaries of his personal style, and it even contains stage instructions "*rufend"* (calling) and the action *"setzt sich"* (sits). This song from the fourth volume of Zelter's *Lieder, Balladen, und Romanzen*, published from 1810 to 1813, clearly exceeds the traditional boundaries of all three of these genres as they were defined in the mid-eighteenth century.

## 2. Rudolf Zumsteeg

Rudolph Zumsteeg's use of recitative in *Lieder* was broader in scope than any of his contemporaries, and his profound influence on Schubert is evident beginning with Schubert's first song, written in March 1811, D5 *Hagars Klage.* Zumsteeg's use of recitative was based on a technical foundation in opera, just like Schubert. He was both a conductor and composer of significance in Stuttgart, becoming the director of German music in the Music Theater in Stuttgart and later the court *Konzertmeister*. As would be expected of the position, he was well versed in the prevailing Italian operatic style, but he also championed German opera (particularly that of W. A. Mozart) and wrote several operas himself.[41] His *Lieder* show the influence of this strong operatic background, and the *Kleine Lieder und Balladen* of Rudolf Zumsteeg provided the clearest and most direct model for Schubert in both style and the application of recitative in *Lieder*.[42]

[41]Gunter Maier, "Zumsteeg, Johann Rudolf," in *Grove Music Online*, *Oxford Music Online* (Oxford University Press), http://www.oxfordmusiconline.com/subscriber/article/grove/music/31067 (accessed January 22, 2015)

[42]Gunter Maier, *Die Lieder Johann Rudolf Zumsteegs und ihr Verhältnis zu Schubert*. Göppingen: A. Kümmerle, 1971.

Schubert directly modeled D5 *Hagars Klage* on the Zumsteeg setting, apparently having placed Zumsteeg's score before himself to work line by line. The initial accompaniment, structural divisions, and keys correlate almost exactly to Zumsteeg's setting, though Schubert becomes "bolder"[43] and more individualistic as the song progresses. One of the ways in which Schubert branches out is by including a small recitative passage. Although Zumsteeg's setting contains no recitative, many of his other songs in the *Kleine Lieder und Balladen* do, including several that Schubert knew and clearly copied. Both men's setting of *Hagars Klage* are entirely through-composed, bending to the dramatic requirements of the text.[44]

Based on a passage from Genesis in the Old Testament, Hagar and her son Ishmael were cast out into the desert after Abraham's wife Sarah finally gave birth to a child of her own.[45] In this poem, Hagar is lamenting her fate, calling on God for deliverance. It is an intense poem: at times fierce, pleading, and bitter. Its mercurial nature requires a musical setting that is equally dynamic. Schubert uses recitative aptly for a rhetorical question of great vulnerability, "is he not from Abraham's seed?" Following a brief instrumental interlude, the recounting narration, "he cried tears of joy" is set in simple eighth notes before returning to tempo to ensure agogic stress on "as I bore this child for *him*,*"* emphasizing the mother and child's relation to Abraham.

Although Zumsteeg composed both strophic and through-composed songs, it is telling that Schubert was first inspired to copy a through-composed song very dramatic in

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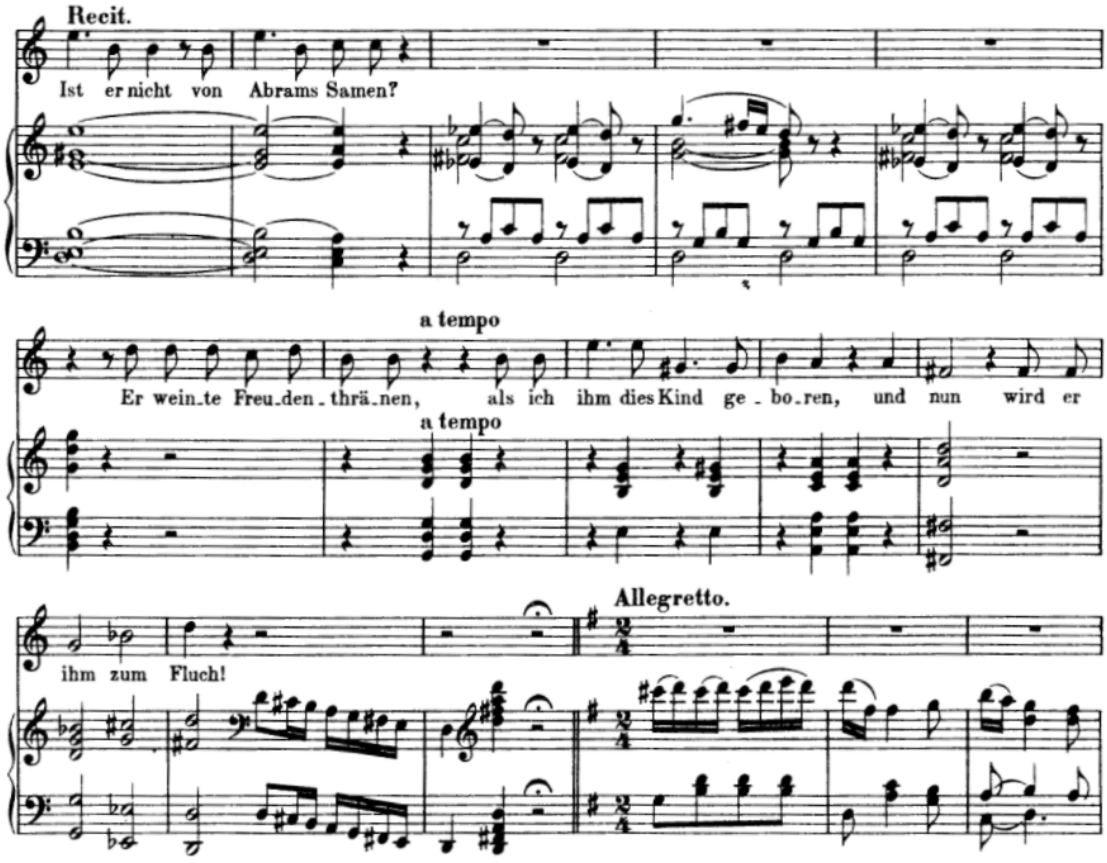
[44]Deutsch, Memoirs, 127; Graham Johnson, "Hagars Klage, D5," *Notes*, *Hyperion Schubert Edition: Complete Work*s (Hyperion Records, 1988), http://www.hyperion-records.co.uk/dw.asp?dc=W1827_GBAJY3303102 (accessed January 18, 2015).

[45]Johnson, "Hagars Klage" in *Notes*.

nature. Young Schubert seems to flaunt the passions of adolescence, drawn to grandeur of legends and antiquities of epic proportions. This mirrored romantic poetry's change toward emphasis on emotional expression over the rationality of the enlightenment dominant just a few decades earlier.

**Figure 3. Franz Schubert, D5 *Hagars Klage* mm. 255-270**




An example of a Zumsteeg song containing recitative that directly inspired Schubert is Zumsteeg's setting of Schiller's *Erwartung*. The similarities are so great, including the application of recitative, that Walther Dürr includes Zumsteeg's version in the *Neue Schubert Ausgabe* for comparison. Schubert's divisions of the text into recitative and quasi-arioso match Zumsteeg exactly, and the selection of form in both settings reflects the structure of

the poem. Schiller's *Die Erwartung*, subtitle *An Laura*, alternates between four and eight line verses. The four line verses are narration in real-time as the poet thinks he hears his lover arriving, only to realize it is a bird, tree, or other such ambient sound outside his window. The eight line verses are romantic pleas and exultations of his love, yearning for her arrival. Zumsteeg, and in turn Schubert, set the four line verses as recitative, matching the narrative real-time quality. The eight line verses are set "in tempo" and match the emotional affect of the text. This song illustrates both how freer, more dramatic poetic forms inspired the use of recitative in *Lieder*, but also the theoretical concept of increasingly melodic and metered music as the emotion of the text increases.

Schubert's ballad *Ritter Toggenburg*, D397 from March of 1816, similarly copies Zumsteeg, but Schubert modifies the application of recitative slightly by using it to create a miniature *scena*, rather than to highlight a dramatic revelation as Zumsteeg does. Schubert's knowledge of the Zumsteeg setting is supported both by an account from Josef von Spaun and the fact that the verses match perfectly in their structural divisions.[46] In both settings the first five verses are through-composed, with a recitative passage in the fifth, while the final five stanzas are set strophically. Schubert's strophic melody is also remarkably similar to Zumsteeg's in contour.

This curious pairing of through-composition and strophic melody is fairly unique, but the choice is an effective dressing for the poem. It is the tale of a knight, Toggenburg, who leaves his young love for the crusades. After a single year, he returns home in hope of finding solace in the arms of the young maiden, only to find she died the previous morning. In both Zumsteeg's and Schubert's setting, the narration of the knight's crusading gives way to a real time dramatic realization of the knight's return home. Here, both

[46]Deutsch, *Memoirs*, 127.

composers utilize recitative to heighten the dramatic tension and allow a natural dramatic pacing. Upon the revelation that the knight's love died the morning before, both composers change to 3/4 time for a piano interlude before the song shifts to strophic melody for the final five verses.

The knight abandons his father's home for a cave overlooking his dead love's castle. As an ascetic sentinel, the knight spends the rest of his days watching for a single glimpse of the departed. Here, the strophic repetitions embody the endless cycle of watching and waiting.

The differences between Schubert and Zumsteeg's recitative are slight but substantial. Zumsteeg set lines 2-4 of the fifth stanza as recitative, introducing a drastic contrast with the poem's first exclamation of woe. Schubert, however, shifts the location of his recitative slightly earlier and creates a dramatic shift in the temporal unfolding of the song. By beginning the recitative one line earlier and only setting two lines as recitative, he highlights both poetic structure and dramatic tension, in essence creating a miniature *scena*.

Schubert reserves recitative for the action:

*Und an ihres Schlosses Pforte Klopft der Pilger an,*
*Ach! und mit dem Donnerworte Wird sie aufgetan:*
(And on her castle's gate knocked the pilgrim.
Ah! And with the sound of thunder it opened)

He ends the stanza and balances the poetic structure with dialogue marked *Massig*:

*Die Ihr suchet, trägt den Schleier, Ist des Himmels Braut,*

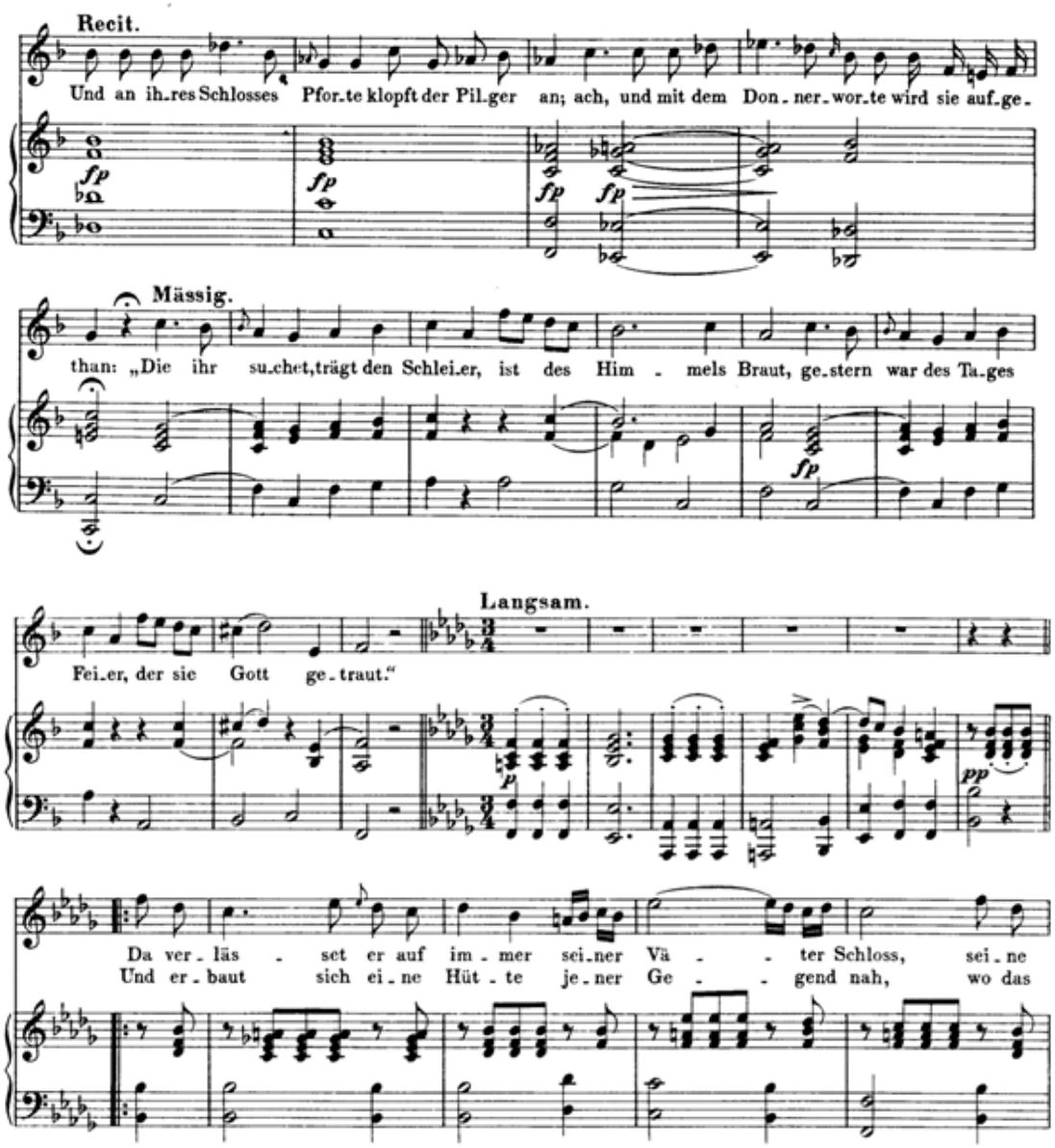
*Gestern war des Tages Feier,  Der sie Gott getraut.*

(She whom you seek, wears a veil as heavens bride.

Yesterday was the day she became married to God)

When Schubert began writing *Lieder* in 1811, recitative was one of his key interpretive devices.  His first four songs starting with, D5 Hagars Klage, all contain recitative.  By the end of 1816 he had composed over fifty *Rezitativlieder*.  It is remarkable that by 1823 he abandoned the technique completely.  Yet before we examine Schubert's development and transcendence of recitative in *Lieder*, his employment of recitative as an interpretive device merits further discussion.

**Figure 4. Franz Schubert, D397 *Ritter Toggenburg* mm. 83-105**



### D. Recitative as an interpretive device

Schubert's early songs in many ways resemble musical experiments. Armed with inspiring texts, an intuitive mind, and the example of his predecessors, Schubert seemed intent on developing a concise and effective compositional vocabulary unbound by the traditional conventions of genre; in similar fashion to Klopstock, Goethe, and Schiller's liberation of German poetry from the structurally restricting Alexandrine. Schubert utilized recitative as one of a myriad of interpretive devices in his early years, capitalizing on recitative's unique texture and rhythm to highlight a wide variety of textual changes. These include passages of dialogue, miniature scenes, dramatic revelations, changes to past or present tense, and narration.

While Schubert's *Liedrezitative* have no strict parameters for when they are employed, especially in later compositions, there are general trends. Schubert continually sought new applications, as if trying different tools for dramatic and textual requirements. Whatever the application, Schubert's *Liedrezitative* always serve the text. As a result, recitative often appears in typically through-composed song genres such as ballads, monodies, and scenes due to their dramatic nature. As well as being a useful interpretive tool, recitative allows variety and structural delineation in texts of great length, common to ballads.

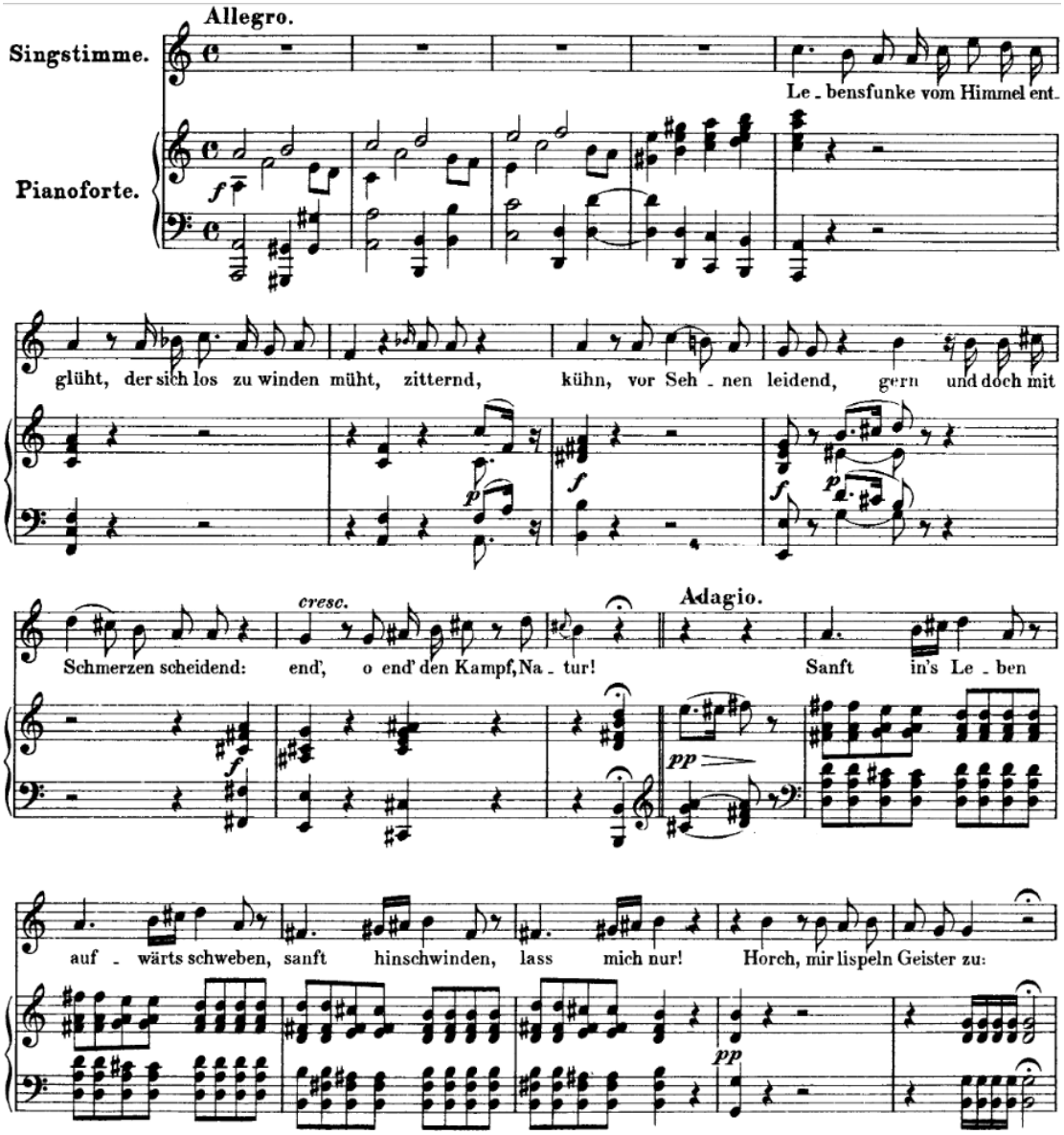
Young Schubert used recitative frequently for dialogue or a change in voice to set the text apart and capitalize on the conversational or proclamatory qualities of the technique. In D77 *Der Taucher* when the character of the king speaks early in the song, the dialogue is set exclusively as recitative with stark chordal accompaniment. In contrast, the narration remains in tempo with metrically active piano accompaniment. This is a different application

of recitative than D159 *Die Erwartung*, in which the narration is set as recitative to show an unfolding of real-time events rather than a change in characters. *Der Taucher* is a ballad in which the narrator assumes different characters in the tale, or at least their voice, and the use of recitative sets these changes apart.

Similarly, in order to highlight textual shifts, recitative often accompanies a change in tone or subject. D59 *Verklärung* uses recitative when describing the pains and trials of worldly life, contrasted with soaring legato lyricism to describe the respite and relief of heaven. Here Schubert has chosen a through-composed form to match the protagonist's changing emotions: musing on heaven and angels is set melodically, labeled adagio with metrically active accompaniment; describing the present worldly existence is set as recitative with sparse chordal accompaniment and occasional piano interjection between vocal lines.

Another example of Schubert's use of recitative for contrast is D98 *Erinnerung*. Schubert sets all of Matthison's seven verses except four and five (which are a mixture of recitative and arioso) strophically. Stanzas one through three describe a moonlit landscape and a stream of emotions for the protagonist's beloved. The fourth stanza recalls a specific event, crowning his beloved with a straw wreath. Here, recitative marks a shift into real time as ensemble and audience alike relive this deeply meaningful event for the protagonist. By relinquishing musical time to dramatic time, we are transported into a miniature *scena* in the protagonist's memory. Schubert displays a deep awareness of his own psychology in these instances, invoking how people remember events by reliving them internally.

**Figure 5. France Schubert, D59 *Verklärung***




The fifth stanza contains elements of the original melody but ends in rising exclamations of "*Wie schoen, wie schoen, wie schoen*!" (how beautiful!) before transitioning back to the introspective strophic melody for stanzas six and seven. This illustrates a unique tendency in Schubert's strophic songs to use his recitative as a contrasting B-section, before returning to the melody.

D108 *Der Abend* illustrates the use of recitative for a dramatic revelation, similar to Zumsteeg's recitative in *Ritter Toggenburg*. In *Der Abend*, the otherwise strophic Matthison setting dissolves into recitative in the fourth stanza, highlighting the revelation that the protagonist came to an early grave: "*Tönst du einst im Abenhauche, Grillchen, auf mein frühes Grab*" (Do you sound in evening mists, crickets, on my early grave). Schubert most famously used this same technique for the revelation at the end of Opus 1, D328 *Erlkönig*. The relentless rhythm in the right hand of the piano only recedes with the final revelation: "*in seinem armen das Kind war tod*" (in his arms the child was dead).

While Zumsteeg and Reichardt provide a clear precedent for the use of recitative in *Lieder*, the practice never became widespread and was generally criticized as a lack of refinement in Schubert's own *Lieder*. In the face of this criticism, Marjorie Hirsch poses two possible reasons for Schubert's incorporation of operatic elements in song: to show his potential as an operatic composer and heir to Mozart and Gluck, or to elevate *Lieder* as a genre. Both grounds have merit. Operas were lengthy and expensive, and production opportunities were limited in Rossini crazed Vienna, but *Lieder* were compact, highly portable, and were perfectly suited to the Salon's of Biedermeier Vienna. *Lieder* provided a much readier proving ground for a young Schubert, though his interest in the genre went beyond a mere stepping stone to opera. Spaun recorded that "Schubert wanted to modernize Zumsteeg's song form."[47]

In this pursuit, Schubert experimented with nearly every musical-dramatic tool established by the tradition of his predecessors, and his work in the genre was embraced far more than his attempts in opera. Despite their substantial number and scope, *Rezitativlieder* remained a hallmark of Schubert's early years. He seemed to grow dissatisfied with his

[47]Deutsch, *Memoirs*, 127.

*Liedrezitativ*, revising several early examples and avoiding the marking almost entirely the final eight years of his life. However, remnants of recitative persist into Schubert's later works. As Schubert developed and expanded the idiom, he strayed further and further from operatic convention. In some of his final songs with recitative, such as *Prometheus*, recitative is nearly indistinguishable from surrounding passages and soon the label becomes irrelevant. Schubert does not abandon recitative, he incorporates and transcends it.

## II. Chronology

While recitative was a common component of Schubert's early songs, his use of the marking decreased greatly around 1819 and soon stopped altogether. Analysis of Schubert's later *Rezitativlieder* reveals a clear evolution away from rhythmically free recitative preceding his abandonment the label.

**Figure 6. Distribution of Schubert's *Rezitativlieder* by year**

| Year | 1811 | 1812 | 1813 | 1814 | 1815 | 1816 | 1817 | 1818 | 1819 |
|---|---|---|---|---|---|---|---|---|---|
| number | 4 | 0 | 4 | 10 | 23 | 10 | 7 | 5 | 2 |
| Percentage of song output | 100% | 0% | 66% | 38% | 16% | 9% | 15% | 35% | 8% |

1820 and 1821 each saw one more song, 1822 two, and one final song in 1827.[48]

In his 1959 Dissertation, "*Das Rezitativ im liedschaffen Franz Schuberts,*" Joachim Kramarz, traced Schubert's evolution of recitative in *Lieder* through a meticulous study of which cadential figures Schubert used for specific textual inflections in recitative.[49] His work is narrowly focused and detailed, but broadly applied, spanning Schubert's

[48]Kramarz, *Rezitativ im Liedschaffen Schuberts*,15.

[49]Ibid. Kramarz developed a taxonomical system of cadences based on several criteria: the distance/quality of the cadential interval, its direction ascending or descending, underlying harmonic movement, and its preparation. Kramarz coupled this with textual inflections (questions, exclamations of joy or pain, etc.) to quantify Schubert's use of specific cadences for specific inflections.

*Rezitativlieder* and the operas of Salieri and Gluck.[50] The conclusion is substantial: as expected, Schubert's early recitatives greatly resembled the writings of his teacher, Salieri, in each criteria considered. However, as Schubert approached 1820, his recitatives became increasingly unique.[51]

> The form selection indeed changed to varying degrees, nonetheless the dependency on opera-recitative was clear until the last *Rezitativlieder*. Still, signs of the development are clear: Schubert sought to free himself from the bonds of conventional recitative. Already the first recitatives contain deviations of form. All of the variations lead either to heightened expression -- this includes the wide vocal range, the application of unusual intervals, and jarring chromaticism -- or a stronger melodic continuity [literally rounding]. Beyond this, Schubert strove to expand melodic uniformity beyond what was normative in opera… [52]

In the minutia of Kramarz's analysis, he did not fully develop two broader issues which would further reinforce his argument that Schubert's style evolved: the style and generic classification of Schubert's final *Rezitativlieder* and Schubert's revisions to his own songs. A deeper exploration of these topics corroborates the claim that Schubert's style evolved gradually away from pure recitative until he "smelted" the technique into metrically unified *Lieder.* [53] Schubert's final *Rezitativlieder*, beginning in 1819, are uniformly set with rhythmically entwined accompaniments similar to revisions in which Schubert removes earlier recitative passages. These two trends will be discussed in the following sections.

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[50]Ibid. Kramarz focused particularly on the recitative in Gluck's *Iphigenie en Tauride* and Salieri's operas. The work is truly meticulous, but the significance of the data is easily lost in the minutia. However, the introduction and conclusion gather the facts in a successful *Zusamenfassung.*

[51]Kramarz found that Schubert's cadential intervals began to stray from Salieri, showing an increased propensity for leaps of a fourth over a dominant-tonic cadence for questions; Salieri only used this interval sparingly for questions of great intensity. Other innovations included the use of descending fourths to tie together separate sections, such as recitative and arioso; and frequent upward seconds for cadences, each unusual in Salieri recitatives.

[52]Ibid., 159.

[53]Ibid., 160.

### A. The Final *Rezitativlieder*

The significance of the chronology of Schubert's *Rezitativlieder* is magnified when one considers that, of the five songs written with recitative after 1819, three were written impersonating Italian opera and do not reflect Schubert's evolving *Lied* style. Two of these three songs have Italian texts, D688 no. 1 *non t'acostar* (1820) and D902 no.2 *il traditor deluso (1827)*. While they are classified by Walter Dürr in Schubert's *Sämmtliche Werke* as *Lieder*, they clearly constitute writing in a different genre and assumed the conventions of Italian opera: D688 uses recitative as a B section before a recapitulation of the opening aria with written-out ornaments; D902*,* as discussed in the previous chapter, is essentially a concert aria with recitative inherent in the Metastasio text.

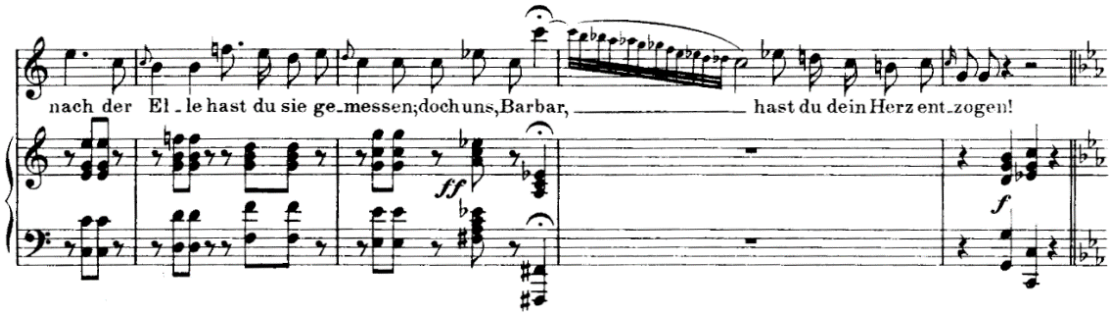
D749 *Epistel "An Herrn Josef von Spaun, Assesor in Linz,"* from 1821, is also essentially in the style of an Italian aria in spite of its German text and is more of a musical joke than a serious composition, making it similarly irrelevant in tracing Schubert's stylistic development. However, the story behind this enigmatic piece reveals a great deal about Schubert's personal and professional life and possibly provides insight into one of his motivations for eliminating *Liedrezitativ*. The text of D749 *Epistel* is by Matthäus Kaismir von Collin, one of Schubert's friends and librettists. It was an admonishing joke to their mutual friend, Joseph von Spaun, for not staying in touch after accepting a position in Linz.[54] Schubert set the text in mockingly dramatic fashion and both the musical style and the high C on the word "*Barbar" (*barbarian*)*, poked fun at the state of opera in Vienna. The word

[54]Graham Johnson, "Epistel 'An Herrn Josef von Spaun, Assessor in Linz' 'Musikalischer Schwank', D749," *Notes*, *Hyperion Schubert Edition: Complete Work*s *Edition* (Hyperion Records, 1988), http://www.hyperion-records.co.uk/dw.asp?dc=W2316_GBAJY8900415 (accessed January 18, 2015); Emil Vogel, and Rudolf Schwartz, *Jahrbuch Der Musikbibliothek Peters* (Vaduz: Kraus, 1965), 97-100, https://books.google.com/books/reader?id=LswPAAAAYAAJ&printsec=frontcover&output=reader (accessed June 7, 2015).

"*Barbar*" has been cited by many as a pun on the name of the impressario Domenico Barbaja who had recently taken over the *Kaertnerthor Theater*, one of the two main musical Theaters in Vienna.[55] Barbaja was a well-known proponent of Italian opera, and German opera struggled to gain performance in Vienna under his management.

Barbaja was a forceful, driven character, and his rags to riches biography implies a larger than life personality.[56] Schubert's D749 is equally larger than life. The opening recitative is half scolding half lamenting, ending with an octave leap in the vocal line to a high C on the word *Barbar* (barbarian). The voice descends chromatically followed by the text, "have you removed your heart!" The similarity to Barbaja's name was surely intentional.

**Figure 7. Franz Schubert, D749 *Epistel "An Herrn Josef von Spaun, Assesor in Linz"* mm. 40-41**




[55]Ibid.

[56]Rising from rags to riches; Barbaja purportedly invented a chocolate coffee whipped cream creation similar to cappucino, to this day called a barbagliata; managed the casinos that once pervaded opera house lobbies; dealt arms during the Napoleonic wars; probably introduced Rossini to his future wife Isabella Colbran, Barbaja's mistress at the time; and most notably ran three of the largest theaters in Europe helping launch the meteoric careers of Rossini and Bellini. Philip Eisenbeiss, *Bel Canto Bully: The Life and Times of the Legendary Opera Impresario Domenico Barbaja*, 2013; John Rosselli, *The Opera Industry in Italy from Cimarosa to Verdi: The Role of the Impresario* (Cambridge [Cambridgeshire]: Cambridge University Press, 1984), 30-34; Clarissa Lablache Cheer, *The Great Lablache: Nineteenth Century Operatic Superstar : His Life and His Times*, ([United States]: Xlibris, 2009).

The aria that follows contains screechingly high passages with leaps and flourishes above the staff even less forgiving than some of Schubert's earliest songs, such as *Hagars Klage* and *Des Mädchens Klage*. These passages were surely written as melodramatic teasing directed at Spaun and a mocking parody of the reigning Italian opera style. Schubert's use of recitative here may also have been a conscious allusion to his early style, invoking times when Josef von Spaun was more directly involved with Schubert's composition and performance of *Lieder*. Regardless, the technique is employed in mock adolescent fashion, capturing the feigned offense only appropriate in jest among close adult friends.

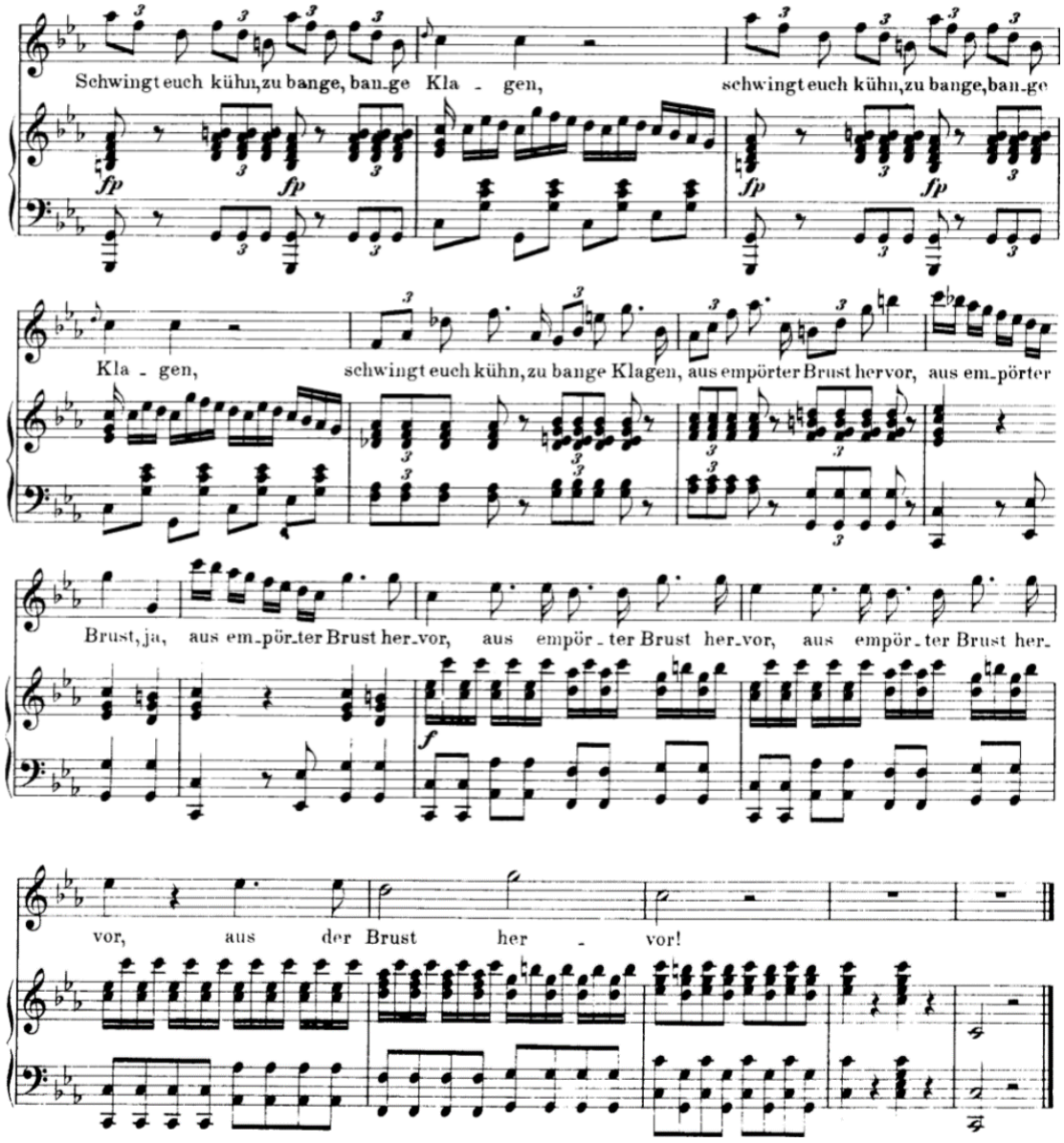
*Epistle "An Herrn Josef von Spaun, Assessor in Linz"* is a delightful joke, but it also foreshadowed the coming years that would be filled with stark disappointment for young Schubert. There was initial optimism about the prospect of German opera under Barbaja's management due in large part to the success of Weber's *Der Freischutz* in Berlin in June 1821. In a letter to Josepf von Spaun on November 2, 1821, Schubert wrote of his optimism regarding Barbaja and his own operatic undertaking with Schober as his libretist: "Schober's opera [*Alfonso und Estrella*] has already progressed as far as the third act, and I do wish you could be present at its production. We have great hopes of it. –The Kaertnertor and Wieden Theatres are actually leased to Barbaja, and he takes them over in December."[57]

The following two years, Schubert would have both his operas, *Alfonso und Estrella* and *Fierabras,* rejected by Barbarja, and Michael Vogl would retire from the opera, possibly

[57]Deutsch, *Schubert Reader*, 194.

under pressure from the new management. Clouds of the Rossini craze that would sweep the city were gathering in full force, and soon there would be no place for German opera in Vienna.[58]

**Figure 8. Franz Schubert, D 749 *Epistel "An Herrn Josef von Spaun, Assesor in Linz"* mm. 94-96**




[58]Ibid. There are overtones of tension with management and Vogl's vocal abilities reportedly were in decline.

As Schubert's prospects as an opera composer faded between 1822 and 1824, so did his use of recitative in *Lieder*. However, it would be a mistake to name this as the only cause. The style of Schubert's last German *Rezitativlieder* and his revisions to early songs show that this evolution began well before Schubert's disillusionment with opera.

### 1. Characteristics

While the early *Rezitativlieder* were highly variable, the late *Rezitativlieder* became visibly uniform, characterized by increased metric complexity. This is first and most clearly visible in D674 *Prometheus*. After the opening recitative which features tremolo bass and interspersed right hand punctuations, the recitative passages are nearly indistinguishable from "in tempo" passages. Here the tempo markings *etwas langsamer* and *geschwinder* seem more to adjust the pacing of the music than to mark contrasting sections as they did in earlier Schubert *Lieder*. Not until the final march like section marked *Kräftig* (the same marking as the opening of the piece) does the music stray far from a metered recitative, even then maintaining a declamatory quality. Figure 9 shows a highly varied and rhythmically intertwined recitative from the middle of the song.

Schubert's next two *Rezitativlieder,* D713 *Der Unglükliche* composed in 1821, and D737 *An die Leier* composed between 1822 and 1823, retain this rhythmic quality and bid farewell to the marking recitative in Schubert German *Lieder*. *Der Unglückliche* features tremolo in the left hand coupled with rhythmic punctuations in the right, either interspersed between vocal declamations or underpinning the vocal part as in figure 10. The result: increased metric complexity and hence implied inflexibility. It is a stark contrast to the often sparse, continuo-invoking recitative of earlier years. In a sense, Schubert's recitative

becomes more orchestral, enabling greater textural possibilities at the expense of rhythmic freedom, mirroring *accompagnato* recitative in opera and cantata.

**Figure 9. Franz Schubert, D674 *Prometheus* mm. 52-65**

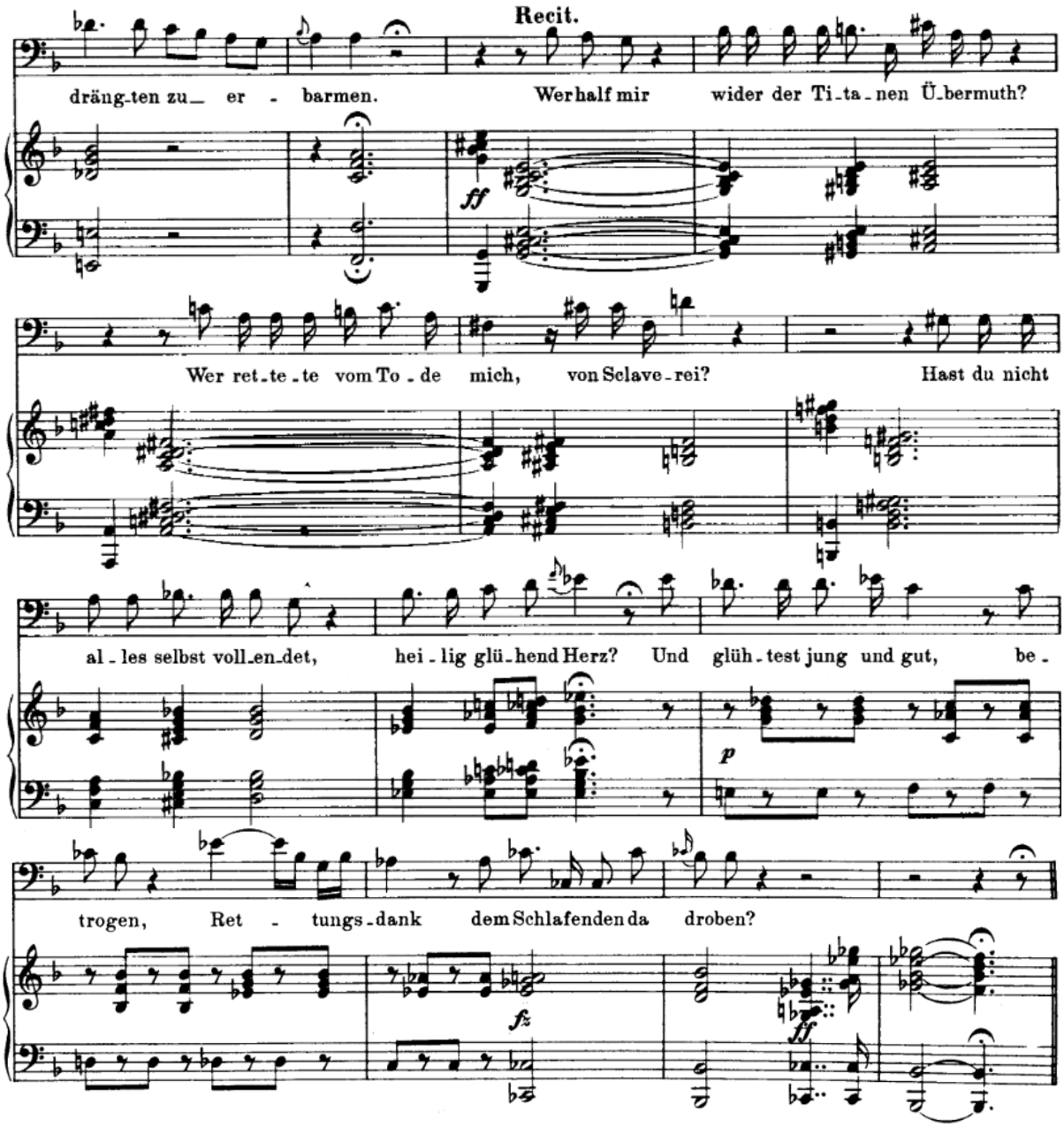
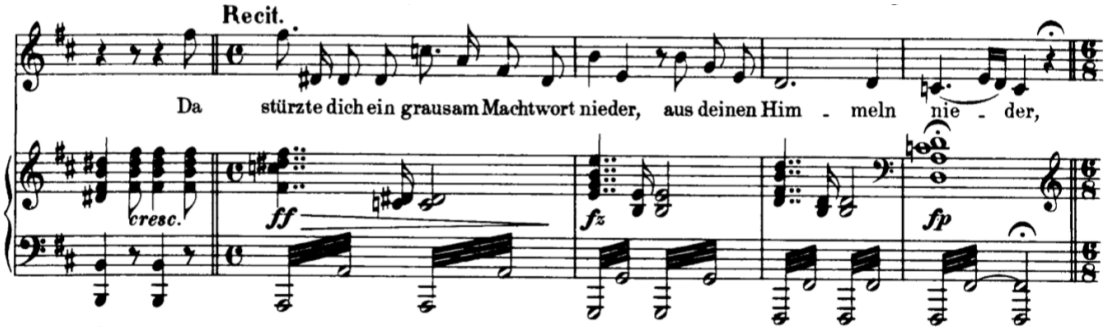
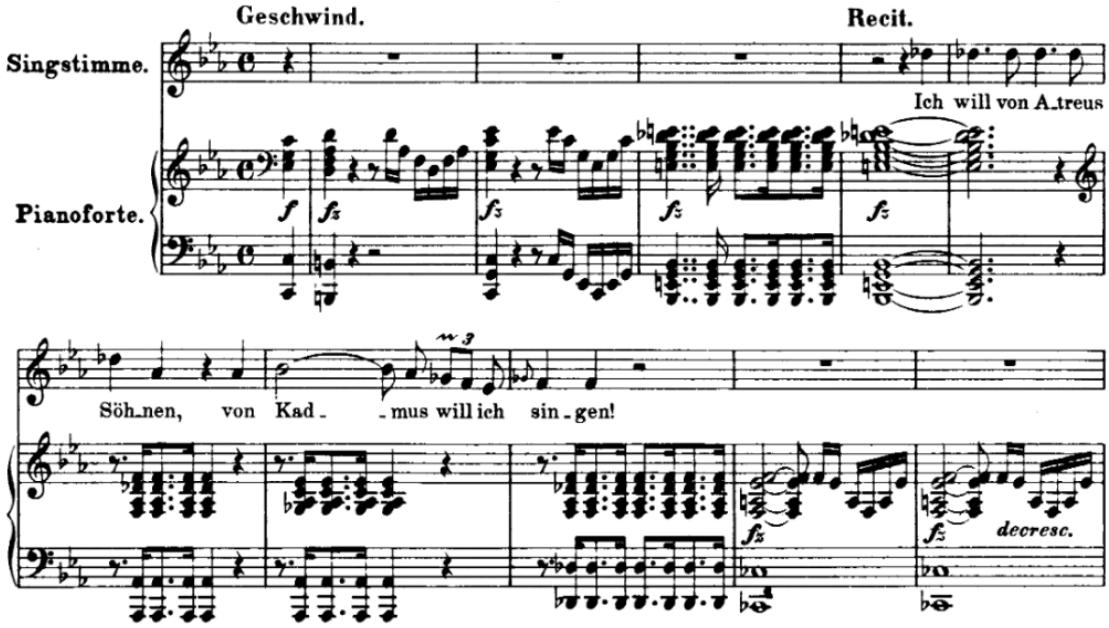


**Figure 10. Franz Schubert, *D713 Der Unglückliche* mm. 113-117**




*An die Leier* has the label recitative only once, at the beginning of the song, though the beginning of the second verse (marked Tempo I., shown in figure 12) is almost identical, implying a return of recitative.[59] The opening recitative, in the fashion of *Prometheus* and *Der Unglückliche*, is remarkably melodic with long note values and florid ornaments in the vocal line supported by dotted eighth note punctuations in the accompaniment.

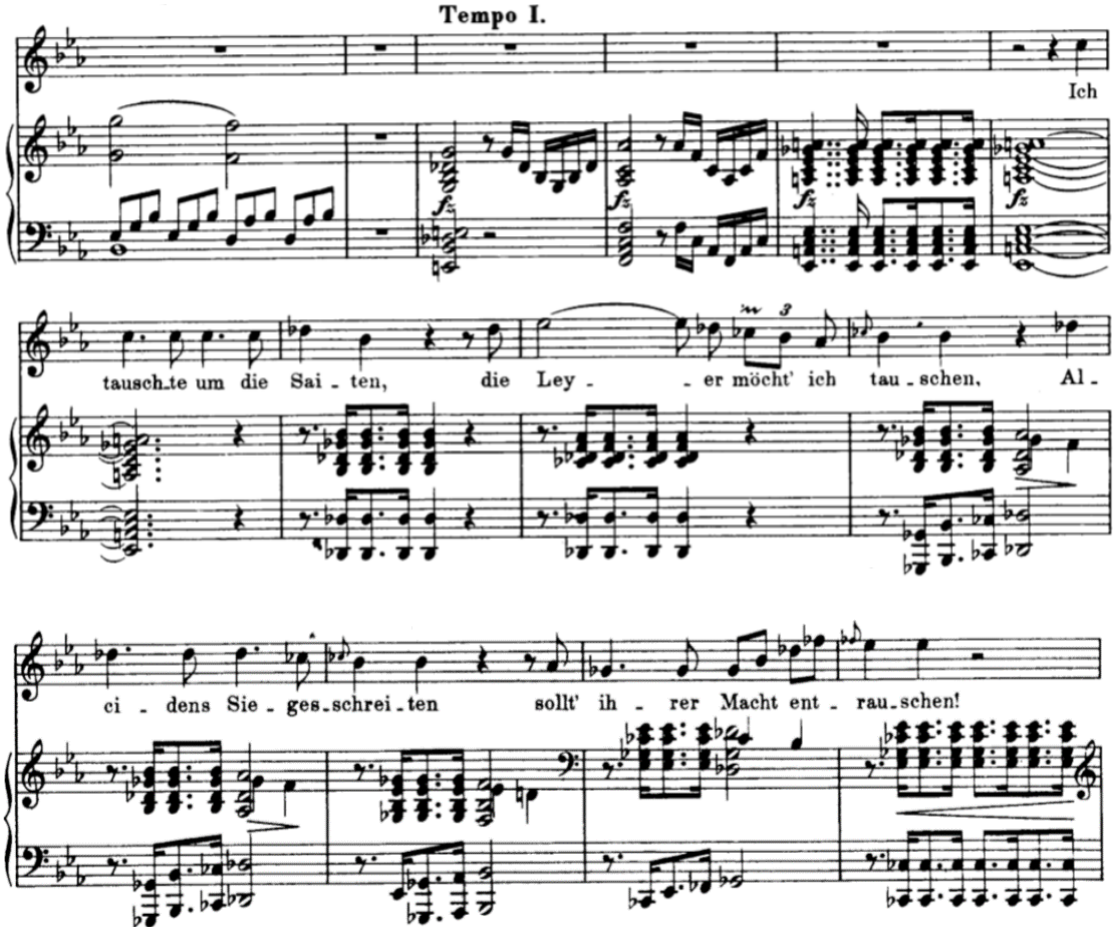
**Figure 11. Franz Schubert, D737 *An die Leier***




[59]There are several instances in Schubert songs where recitative appears to return but are not labeled as such.

With the second strophe of the second verse, the declamatory vocal line becomes even more entwined with a rhythmic piano accompaniment. A monody in modified strophic form, this song bids farewell to the tempestuous operatic songs of Schubert's youth and exhibits his readiness for the tempered song cycles to come.[60]

**Figure 12. Franz Schubert, D 737 *An die Leier* mm. 27-40**




[60]Graham Johnson, "An Die Leier, D737," *Notes*, *Hyperion Schubert Edition: Complete Work*s (Hyperion Records, 1988), http://www.hyperion-records.co.uk/tw.asp?w=W1660 (accessed January 18, 2015).

Were it not for the traceable evolution of style and number of revisions away from recitative, it could be deduced that the end of the *Rezitativlieder* was merely the result of changing textual selections or even personality. The early 1820s were transformative years for Schubert, unfortunately mostly in negative terms. He became seriously ill, resulting in several weeks in the hospital and the loss of his hair.[61] Similarly, as previously mentioned, his first two attempts at German grand opera,[62] *Alfonso und Estrella* and *Fierrabras,* were both rejected or canceled before they were performed, leaving him quite disenchanted with the state of opera in Vienna.[63] The former was submitted to the Kärtnertor under Barbaja's management but rejected as unsuitable (even Vogl appears to have thought the work of poor quality causing a brief falling out between the two men)[64] and *Fierrabras* was never given a performance after Weber's *Euryanthe* was quite poorly received. The hopes of German national opera, with recitative instead of dialogue as was standard in *Singspiel*, seemed to have withered just after the success of *Der Freischutz* had peaked the flame.

That these events corresponded with Schubert's final German R*ezitativlieder* is noteworthy. These few years aged the young man considerably leaving him changed physically and psychologically.[65] In a letter to Leopold Kupelwieser on March 31, 1824, Schubert wrote, " In a word, I feel myself to be the most unhappy wretched creature in the world. Imagine a man whose health will never be right again, and who in sheer despair over

[61]Deutsch, *Schubert Reader*, 314.

[62]A Number of authors and composers, including Goethe, called for a German equivalent of Italian opera seria or French grand opera with recitative instead of dialogue as was normative in *Singspiel*. *Alfonso und Estrella* has no dialogue though *Fierabras* does. Neumann, *Theorie des Rezitativs*, 64-66.

[63]Deutsch, *Schubert Reader*, 301.

[64]Ibid., 230.

[65]Ibid., 314.

this ever makes things worse and worse, instead of better; imagine a man, I say, whose most brilliant hopes have perished, to whom the felicity of love and friendship have nothing to offer but pain, at best, whom enthusiasm (at least of the stimulating kind) for all things beautiful threatens to forsake, and I ask you, is he not a miserable and unhappy being?"[66] In July of the same year, Schubert wrote his brother Ferdinand, "Not to let these lines mislead you into believing that I am not well or cheerful, I hasten to assure you to the contrary. True, it is no longer that happy time during which each object seems to us to be surrounded by a youthful gloriole but a period of fateful recognition of a miserable reality, which I endeavour to beautify as far as possible by my imagination."[67]

At this turning point in his personal and professional life, there were three potential contributors to Schubert's evolution away from recitative in *Lieder:* his disillusionment with opera, changing poetic selections, and increased compositional specificity. The last of these is the most compelling. It is easy to speculate that Schubert avoided recitative due to its distinctly operatic nature after his jarring disappointment as an opera composer, yet there is little hard evidence to support the claim. Indeed, Schubert would once again set his pen to opera in 1826, working on *Der Graf von Gleichen* over the last years of his life, though never completing it. Regarding poetic selections, Schubert continued to set dramatic texts throughout his final years. Texts like Craigher's *Die junge Nonne* set in 1825, Heine's *Der Doppelgänger* and *Der Atlas* both set in 1828, or any number of songs from *Winterreise*, all share dramatic characteristics with early Schubert *Rezitativlieder* and provided ample opportunity for recitative.

[66]Ibid., 339.

[67]Ibid., 363.

Schubert crafted each of these later dramatic songs into a more unified, individual, and specific whole than recitative allows. *Die junge Nonne* is almost entirely syllabic with tremolo accompaniment and interspersed rhythmic punctuations. Songs like this, or D911 no. 7 *Auf dem Flusse,* are not simple V*olkslieder* or Ballades, but similarly defy operatic labels of recitative, arioso, or aria. In addition to composing new works in this style, Schubert felt compelled to revisit several early *Rezitativlieder,* recomposing them without recitative starting as early as 1815.

## B. Revisions

Of the songs with multiple versions in the Schubert *Sämmtliche Ausgabe*, Schubert removed recitative from at least five songs originally composed with the technique starting in 1815. It is significant that only once, in 1814, did he add recitative to an earlier setting: D116 *Geistertanz*, a revision of D15 of the same name from 1812. Schubert was only 17 at this point and had not yet fully begun to move away from recitative. The first revision that removed recitative would come the following year on May 15 with D191 *Das Mädchens Klage*.

Schubert recomposed some of his early *Rezitativlieder* entirely, retaining little but the text. His first version of *Des Mädchens Klage ,*D6, is impetuous and vocally unforgiving in range, similar to his first song *Hagars Klage.*[68] Schubert had not yet mastered vocal writing in D6 and composed a sustained high B in the middle of a recitative passage.[69]

[68]Deutsch assigns a catalogue number next to *Hagars Klage* though the songs may have been composed the following year in 1812. The two songs do have similar qualities.

[69]Recitative conventionally only employed around an octave in the upper middle voice. The clear delivery of text on a high B is nearly impossible.

**Figure 13. Schubert's revisions to *Rezitativlieder* which remove recitative**

| Revision | | | | Original | | |
|---|---|---|---|---|---|---|
| Year | Month | Title | Catallogue | Year | Month | Catalogue |
| 1815 | May | *Das Mädchens Klage* | D191 | 1811 or 1812 | | D6 |
| 1816 | | *Sehnsucht* (Goethe) | D310 | 1815 | October | D310 |
| 1817 | Nov. | *Thekla* | D595 | 1813 | Aug | D73 |
| 1821? | | *Sensucht* (Schiller) | D636 | 1813 | April | D52 |
| 1828? | | *Geistes-Gruss* | D142 | 1816 | March | D142 |

Schubert gave the curious marking "recit. in tempo" for the recitative passage and doubled some of the vocal line in the accompaniment. Schubert generally used the markings "in tempo," "*wie oben*," or a new tempo marking to indicate the end of a recitative passage, making this instance slightly enigmatic. This notation tells us several things. First, recitative is normally not in tempo. Second, if recitative CAN be in tempo, then its unique characteristics must extend beyond freedom of tempo (this will be discussed in greater detail in the chapter on performance implications). Moreover, the marking "recit. in tempo" in D5 *Hagars Klage* implies that already in 1811, Schubert was not satisfied with the segmentation, resulting from the oscillation between rhythmic freedom and strict tempo, inherent in recitative, arioso, and aria.

Schubert was compelled to try another version of *Hagars Klage* and the later settings, D191 and D389, are almost entirely different other than the text. In contrast to the through-composed D6 marked *Allegro Agitato,* the latter settings are both strophic and marked *Langsam.*[70]

Revisions to D361 *Am Bach im Frühling* capture another attempt at blending recitative and "in tempo" writing, though both existing versions have a recitative B section before a *da capo* repeat of the A section. However, the latter version from 1817 has the marking "a tempo" halfway through the B section. In this version, the piano arpeggiates the chords in the right hand, much like the A section, thereby introducing a stronger sense of metric motion to transition into the recapitulation.

Schubert wrote two versions of D310, Goethe's *Nur wer die* S*ehnsucht kennt* from '*Wilhelm Meister*,' on October 18, 1815. One of the two, D310b, contains recitative. Schubert revisited this Mignon text another three times: twice in 1816—D359 and D481; and again in January of 1826 as the last of four songs in D887, published as *Vier Gesänge aus 'Wilhelm Meister,'* Op. 62.

In D310b, recitative over tremolo accompaniment appears with the text *"Es schwindelt mir, es brennt mein Eingeweide"* (I reel, my entrails are burning). The influence of recitative is visible at this same point in the text in all four other versions of the song (D310a, D359, D481, D877), but they each contain metrically stricter accompaniments and not the marking recitative. This is particularly clear in D887 no. 4.

[70]The distinction between separate versions and revisions is sometimes nebulous, but Dürr does his best to classify them with the terms *Fassung* (version/setting) and *Bearbeitung* (editing/development).

**Figure 14. Franz Schubert, D361 *Am Bach im Frühling* (first version) mm. 22-33**

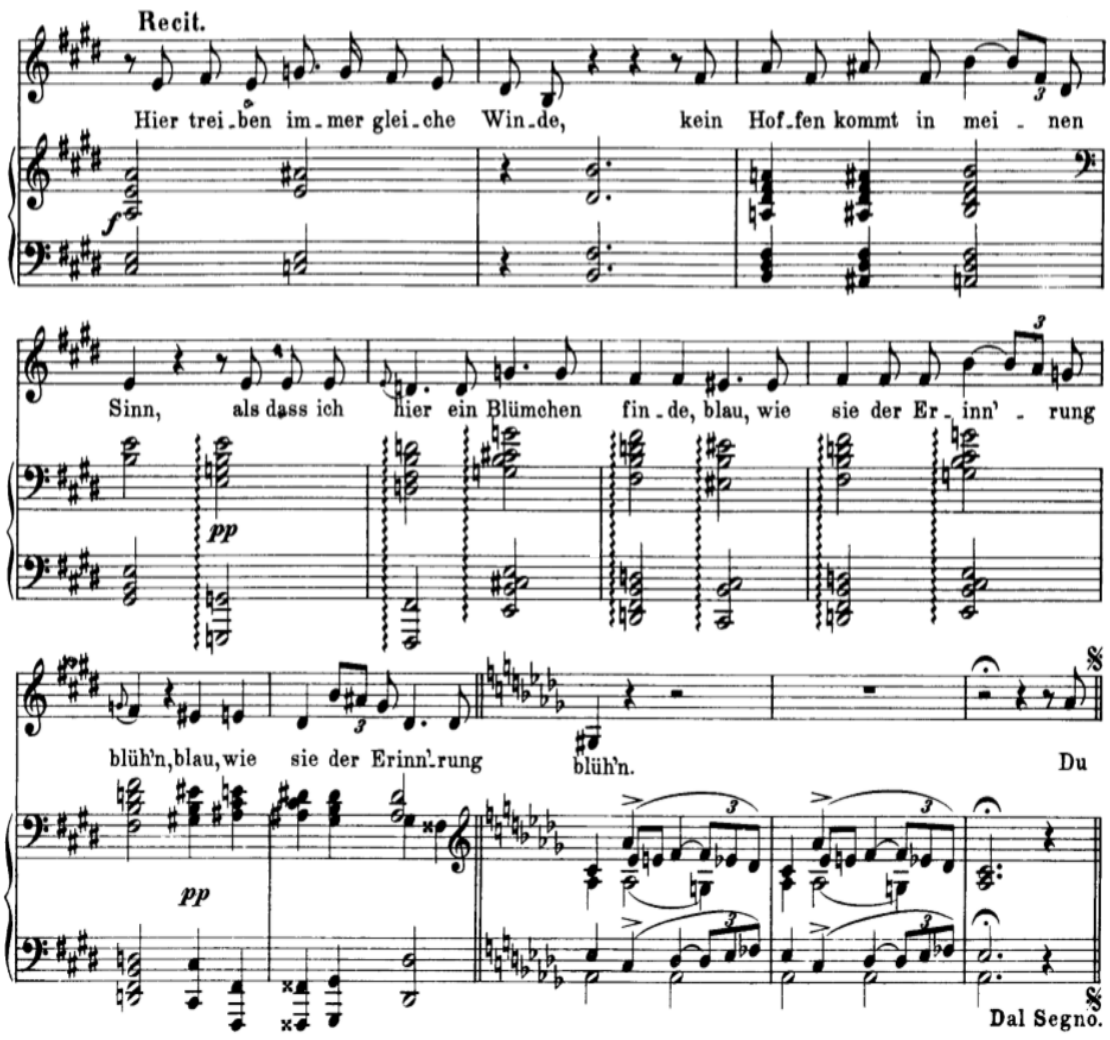
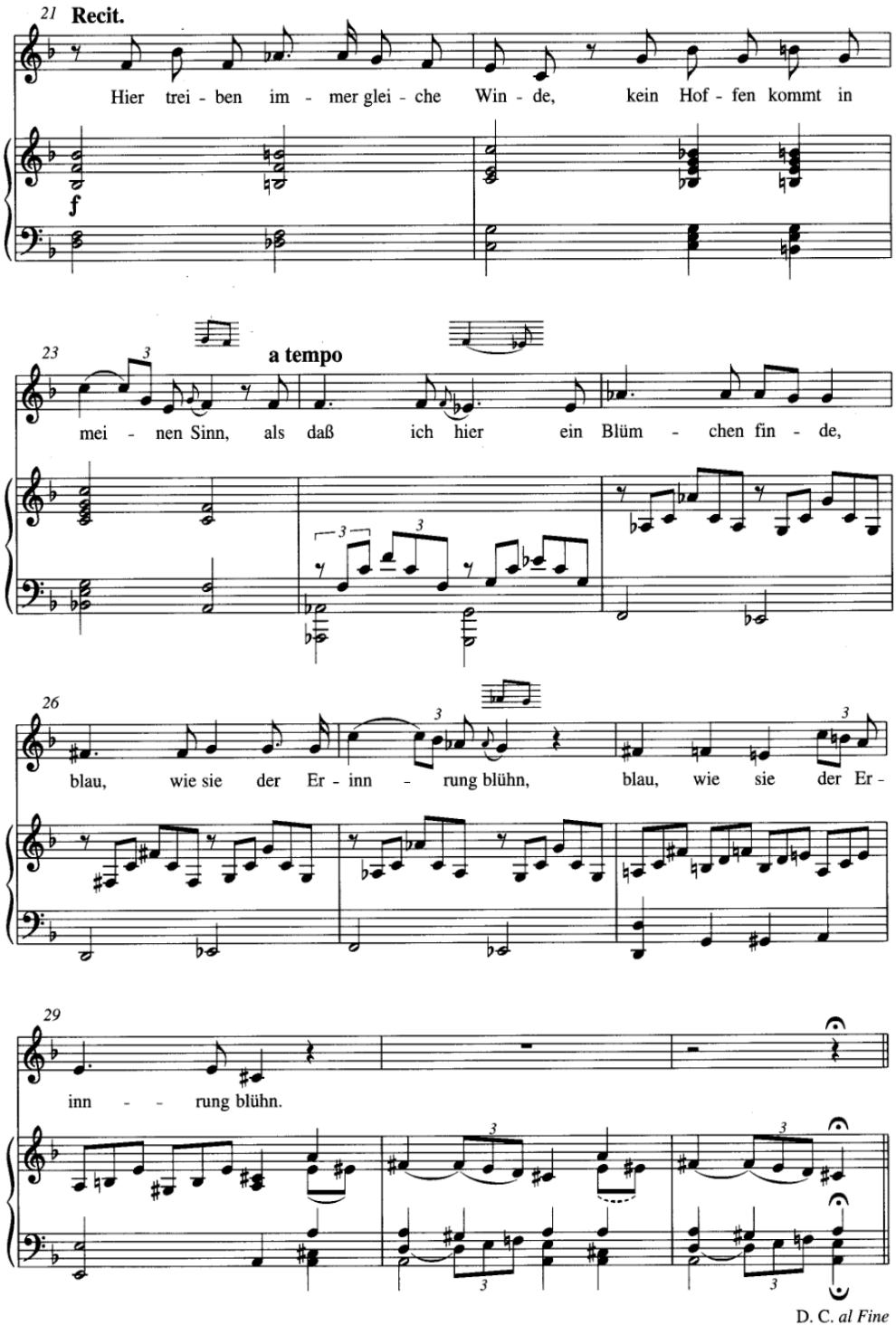
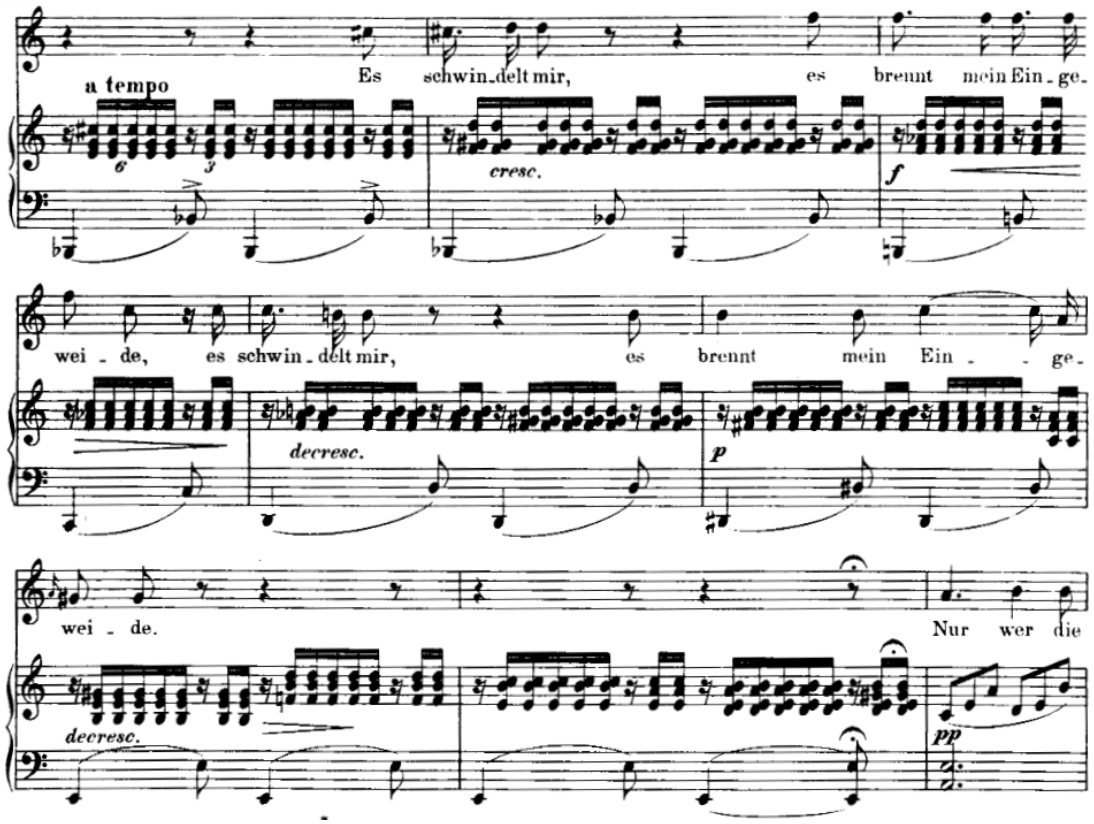


**Figure 15. Franz Schubert, D361 *Am Bach im Frühling* (second version) mm. 22-33**



The vocal line is syllabic and confined to the upper middle range of the voice, resembling breathless declamation, but the entire song is in compound duple meter. The accompaniment for "*Es schwindelt mir...*" is undeniably rhythmic requiring strict adherence to the beat for successful performance.

**Figure 16. Franz Schubert, D877 No. 4, *Lied der Mignon* (1826) mm. 27-35**




Schubert's ghostly 1813 setting of *Thekla 'Eine Geisterstimme'* (D73) also has recitative, but a new sketch in November 1817 and its revisions in December 1827, D595, are purely strophic with no recitative at all. Rather, D595 is set over a ground bass and achieves a remarkable economy of means, never extending the vocal line beyond an augmented fourth. As Graham Johnson notes in the digital booklet to the *Hyperion Schubert Complete Works* recording:

> In both versions we sense an attempt to depict the timelessness appropriate to the utterance of a spirit. In 1813 he had achieved this by making the voice part timeless in the sense that it is to be more or less freely sung. In the second version it is the use of a ground bass and unashamed repetition (as in *Der Doppelgänger*, another song about a ghostly presence) which evokes the spirit's litany.[71]

Johnson's insight on *Thekla* portrays a trend common in Schubert's revisions to songs formerly with recitative. Schubert evolved or abandoned recitative altogether in favor of more varied and specific interpretive devices that maintain continuity with the rest of the piece.

Another song that was transformed considerably but still resembles Schubert's first setting is D52, the Schiller *Sehnsucht,* from 1813. D52 is through-composed and recitative first appears with a shift in poetic tone, as was common in early Schubert, as the abstract musings of the poet are interrupted by real-time observation of distant mountains "*Dort erblick' ich schöne Hügel, Ewig jung und ewig grün*!" (There I see beautiful hills, ever young and ever green). Shortly thereafter, as in *Hagars Klage*, Schubert used the marking "recit. in tempo." This first version of *Sehnsucht* contains a considerable amount of recitative, but the second version in 1821, D636a, and a revised version in 1826 published as Opus 39, do not. Rather, the later D636, though similarly through-composed and retaining some of the same thematic material, is seamlessly woven together without the demarcations of recitative present in the earlier D52.[72]

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[71]Graham Johnson, "Thekla 'Eine Geisterstimme', D595," *Notes Hyperion Schubert Edition: Complete Work*s (Hyperion Records, 1988), http://www.hyperion-records.co.uk/dw.asp?dc=W2403_GBAJY8800102 (accessed January 18, 2015).

[72]Graham Johnson, "Sehnsucht, D52," *Notes*, *Hyperion Schubert Edition: Complete Work*s (Hyperion Records, 1988), http://www.hyperion-records.co.uk/dw.asp?dc=W2132_GBAJY9301614 (accessed January 18, 2015).

**Figure 17. Franz Schubert, D52 *Sehnsucht* (1813) mm. 19-43**

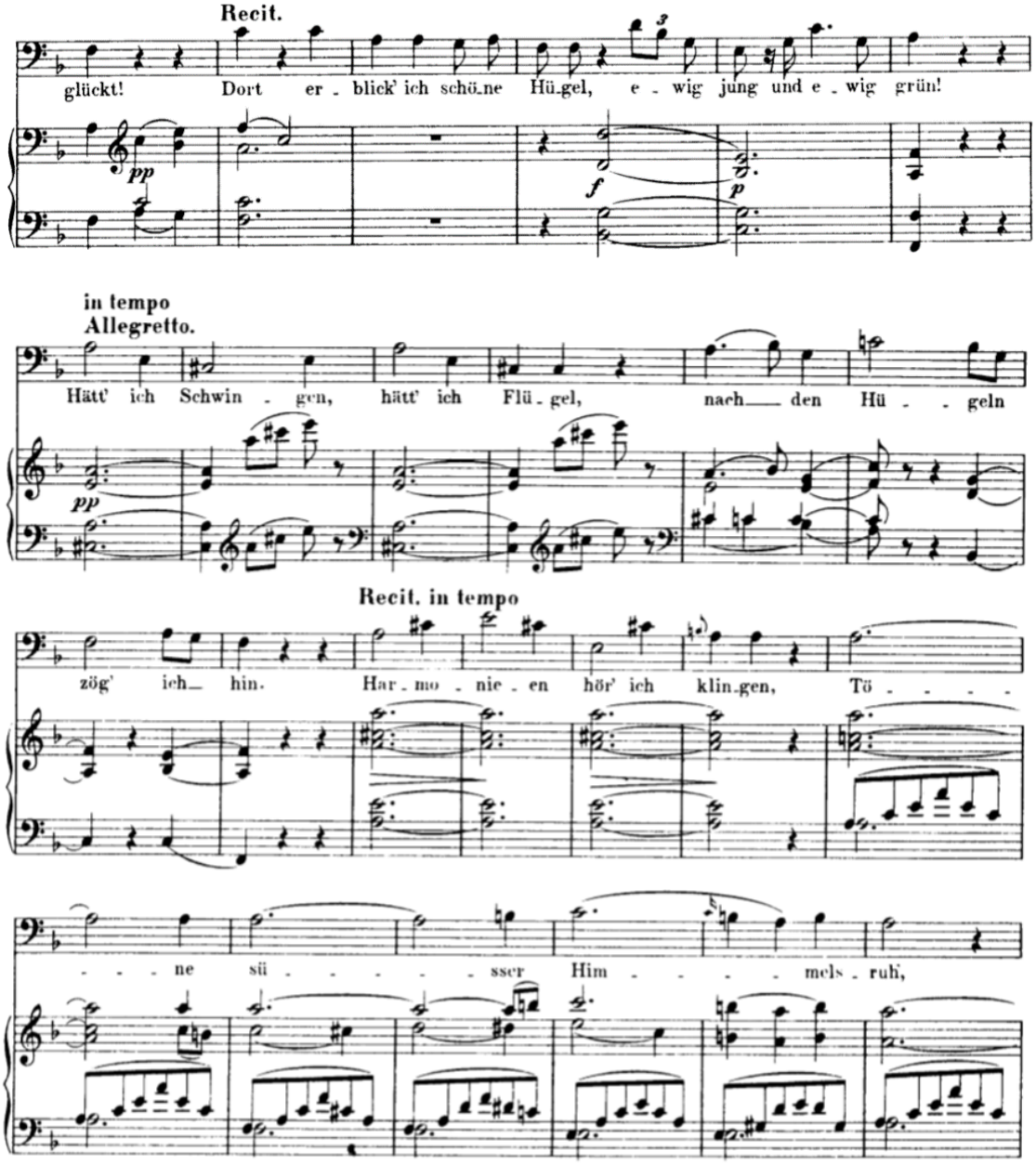
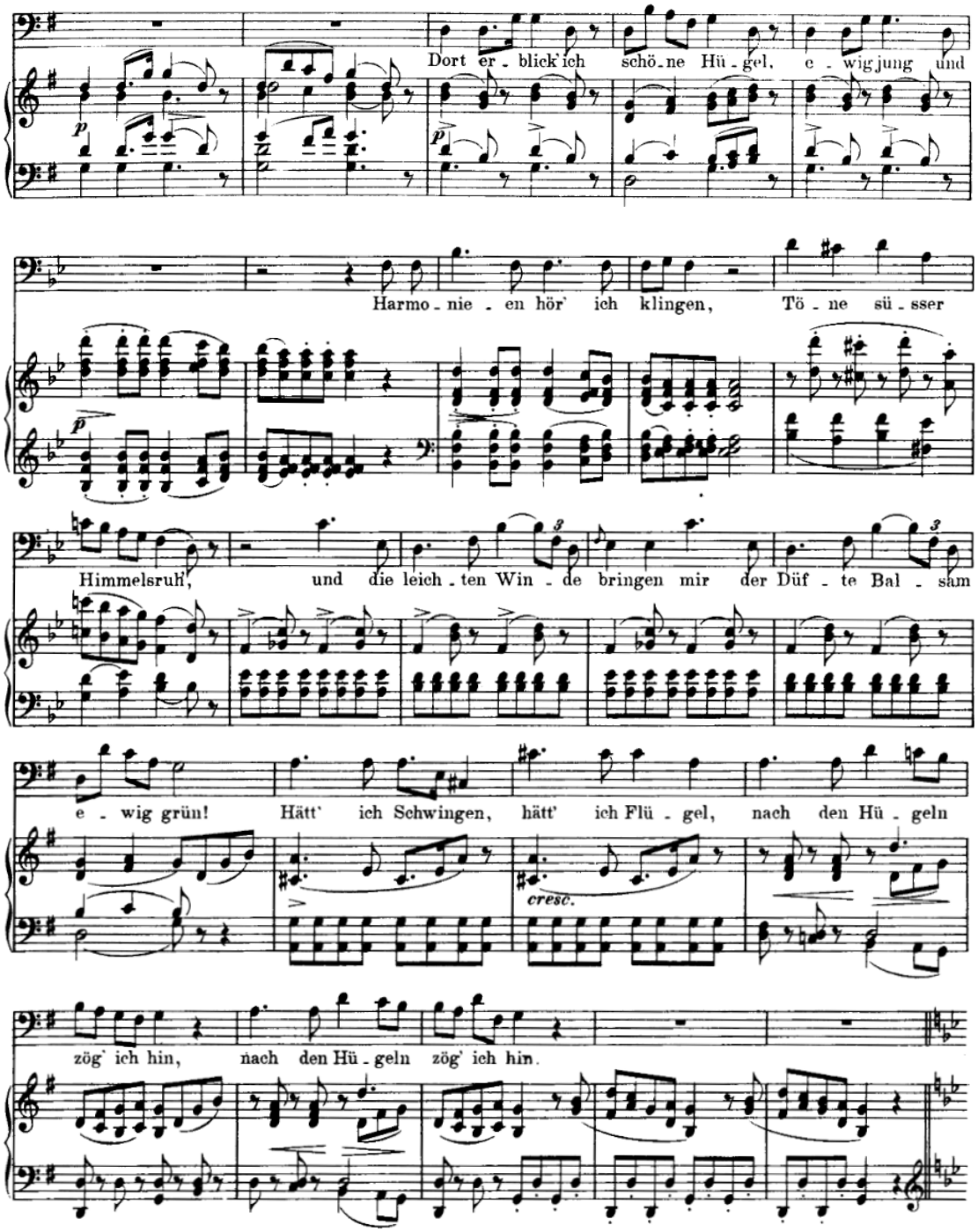
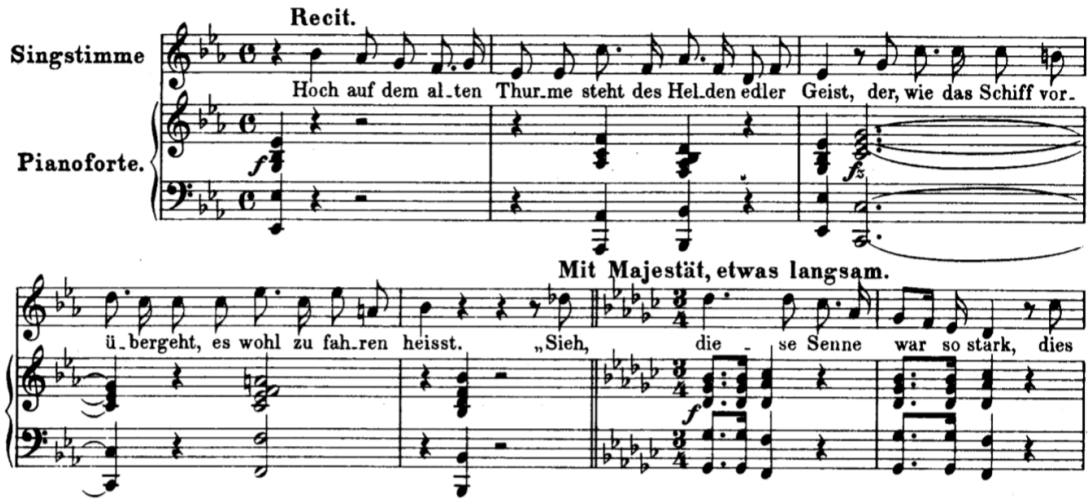


**Figure 18. Schubert D636 *Sehnsucht* (1821) mm. 19-42**



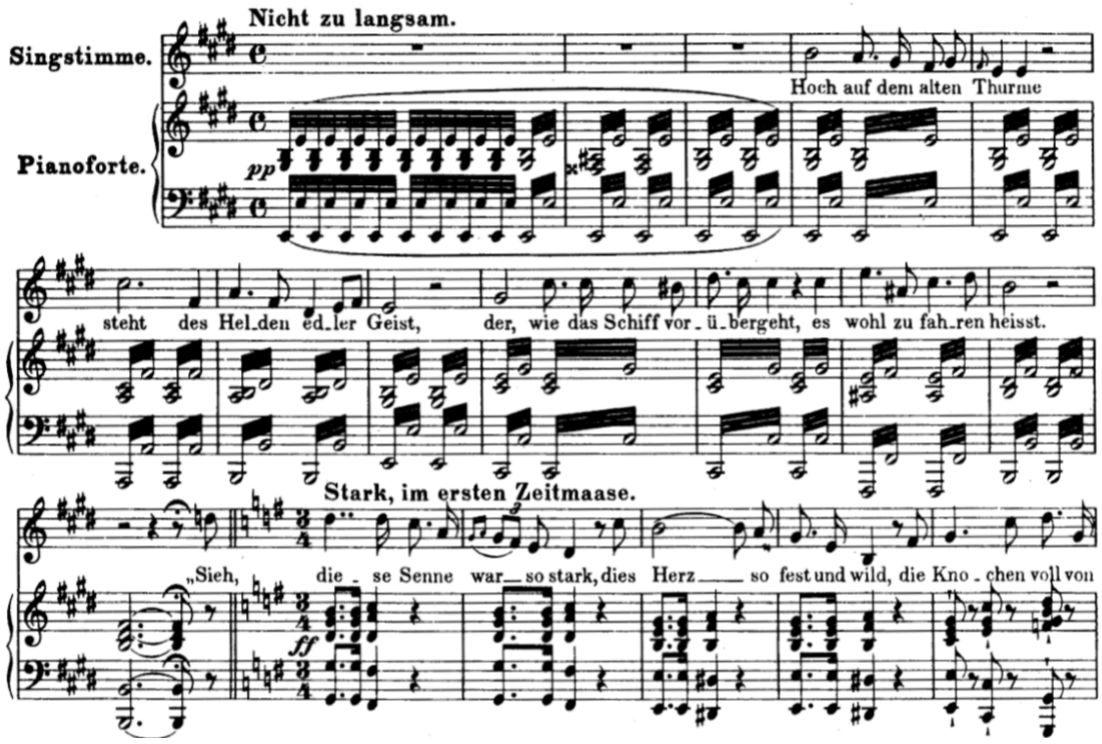
Schubert's evolution toward metrically active accompaniment and away from secco recitative passages is most clearly visible in his revisions to D142 *Geistes-Gruss*. This is because the only substantial change Schubert made was to compose out the recitative in tempo with longer note values over tremolo accompaniment. The first version, written in 1816, features chordal accompaniment, sparingly sustained.

**Figure 19. Franz Schubert, D142 *Geistes-Gruss* (first version, 1813)**




Revisions between 1820 and 1823 change only slightly, featuring more sustained chords and a modulatory V7 chord at the end of the recitative section. However the opening of the final setting in 1828, Opus 92 no. 3, transformed substantially. It retains the "melody" of the opening recitative which, no longer labeled as recitative, unfolds in temporally suspended fashion. The broadened tempo and low rumbling accompaniment give the narration a deliberate nobility befitting the epic nature of the poem. This passage recalls two previous Goethe settings that use similar effects, D674 *Prometheus* with its tremolo accompaniment, and the broad yet declamatory vocal line in D716 *Grenzen der Menschheit*.

**Figure 20. Franz Schubert, D154 *Geistes-Gruss* (sixth version, 1828)**




Musically the evolution of *Geistes-Gruss* serves two purposes. By not relegating musical time to dramatic time, deliberate passages become more deliberate, sparse passages sparser, and emotional climaxes grander. Similarly, the evolution enables greater continuity –a steady progression of emotion and thought, without the jarring segmentation of recitative. It seems Schubert was attracted to the dramatic potential of recitative but not the musical sacrifices inherent in a dissolution of one of music's structural pillars: rhythm. The fact that Schubert's song cycles and all of his later masterpieces are entirely devoid of the marking recitative, and that several of his revisions to early songs exclude recitative, implies a serious shift in style greater than a change in poetic selections, notation, or a sudden abandonment of operatic techniques.

## III. Performance Implications

Schubert's Lieder are a staple in classical vocal repertoire, but there remains significant debate on some key performance practices. Absent theoretical writings in Schubert's own hand, modern interpreters should rely not only on recent recordings available to them, but also on first-hand accounts of Schubert's own performances, singing treatises contemporary to his life, and careful investigation of his music in order to determine the truest execution of Schubert's musical interpretations of poetry. Today, Schubert's music is most frequently performed conservatively with little intentional variation from the written score, but there is legitimate evidence that this was not always the *modus operandi* during and immediately after Schubert's life. Proponents of Italian opera seria, with its free improvisational ornamentation, battled in Europe for dominance over "serious" Germanic composers, and this played out in Vienna during Schubert's life perhaps as much as anywhere else.

While Schubert wrote predominantly in German, his primary teacher, Antonio Salieri, was well schooled in a variety of vocal and operatic styles - each with their own conventions and performance practices. Some confusion about Schubert's stylistic allegiance and his teacher's preferences could be eliminated by Antonio Salieri's two treatises: *Scuolo di canto, in versi e i versi in musica* from 1860, and *Libro di partimenti di varia specie per profitto della gioventli tedesca,* but both sadly have been lost. Further complicating the matter, Schubert's German *Lieder* became increasingly distinct from any models in opera or song as his style developed and therefore must be considered as their own genre unique from opera. Unfortunately, few if any treatises on singing contemporary to Schubert refer specifically to *Lieder* style in Vienna or Europe at large.

This stylistic ambiguity is even more convoluted by apparent discrepancies about appropriate performance practice in Schubert songs in the years immediately following his death, even among Schubert's closest friends. This is clear in the legacy of Michael Vogl's late interpretations (captured by his own written out ornamentation) and Leopold Sonnleithner's accounts of Vogl's and other mid-nineteenth century singers' apparent disservices to Schubert's music. Sonnleithner's objections to the trends he heard in performances included excessive ornamentation, unmarked changes in tempo, and dramatic vocal effects such as extreme dynamic changes, spoken passages, or falsetto.

> As regards the manner in which Schubert's songs should be performed, there are very many strange opinions today among the great majority of people…I heard him [i.e., Schubert] accompany and rehearse his songs more than a hundred times. Above all, he always kept the most strict and even time, except in the few cases where he had expressly indicated a ritardando, morendo, accelerando, etc. Furthermore, he never allowed violent expression in performance…Michael Vogl, it is true, overstepped the permissible limits more and more as he lost his voice, but nevertheless he always sang strictly in time; and where his voice and strength did not suffice, he merely helped himself out as well as he could in the manner of an experienced opera singer. Schubert would certainly not have approved his manner of performance as it developed in his last years.[73]

While Sonnleithner's accounts provide us with some potential answers, they represent only one perspective, which is clearly opposed to the practices of Michael Vogl, Schubert's leading performer and collaborator. Schubert himself famously wrote that "the manner in which Vogl sings and I accompany, how we appear in a given moment to be united into one, is something quite new and unheard-of for these people,"[74] On the other hand, Sonnleithner's case is strengthened by Bauernfeld's commentary in his memoir of Michael Vogl, saying, "small alterations and embellishments, which the skillful singer, a past master of effect,

[73]Deutsch, *Memoirs,* 116-117.

[74]Ibid., 314.

allowed himself, received the composer's consent to some extent, but not infrequently they also gave rise to friendly controversy."[75] Here we arrive once again at the misfortune of Schubert's relative silence on the topic (at the very least muted with the passing of time). The question of whether Schubert actively participated and encouraged Vogl's more liberal musical practices, or whether he merely acquiesced to the older and more established interpreter, is perhaps as futile as it is old without new discovery of primary sources. Schubert seemingly did not object entirely to Vogl's alterations, but what specific ornaments and what extent of their employment met his approval is a lingering question.

Late eighteenth and mid nineteenth century German language singing treatises provide some help determining generally appropriate style, though many of them note that style changed frequently and varied by composer, and as previously stated, do not deal directly with the genre of *Lieder*. Similarly, most treatises recognize that tempo, ornamentation, and the use of rubato should be governed by "good taste," but taste is a subjective criteria that varies by genre and has likely evolved over the past two hundred years.

Fortunately, in regard to recitative performance, there is greater consensus in the pedagogical sources roughly contemporary to Schubert, and expectations are more clearly and narrowly defined. Because Schubert's early *Liedrezitativ* is firmly rooted in operatic technique, these treatises are more relevant to his songs with recitative.

Nearly every German language treatise available to us today greatly limits the permissible ornaments in recitative. Rhythmic freedom is inherent in most *secco* recitative but diminishes, if not disappears, with accompanied recitative. In regard to Michael Vogl's extraordinary vocal inflections, even in the years immediately following Schubert's death it

[75]Ibid., 226.

was generally believed that the histrionics increasingly employed in the aging baritone's performances were an unfortunate compensation for his declining vocal abilities. A number of treatises insist that German recitatives never dissolve into such histrionics or actual speech (as Michael Vogl and a number of Italian buffos did) but rather "merely appear to be spoken."[76]

In order to determine appropriate and effective performance of Schubert *Liedrezitativ* based on his contemporary treatises, individual passages of recitative must be as thoroughly defined as possible. Pedagogical sources of the time commonly identify a number of classifications of recitative that each affect performance. Most treatises begin with the distinction between church, chamber, and theater recitative. Schubert's *Liedrezitative* are clearly not church recitative due to their secular nature. His songs, particularly early works, frequently fall between chamber and theater recitative, often intended for privately funded, intimate settings in Biedermeier Vienna; but they are also clearly dramatic at times and require a more theatrical approach.

The distinction between accompanied and *secco* recitative is also critical in determining performance implications, especially in regard to rhythm. While Schubert's *Lieder* are scored solely for piano, the texture of the accompaniment (the number of voices and rhythmic complexity) affects performance in parallel fashion to orchestrated works, often invoking simple rolled chords contrasted by metrically active, multi-voiced accompaniments. J. A. Scheibe's division of recitative in the *Tragische Kantaten* for voice and piano, as simple unemotional recitation or impassioned declamation, closely mirrors *secco* and accompanied recitative: *secco* recitative the former and accompanied the latter (however, this does not

[76]August Ferdinand Häser, *Versuch einer systematischen Übersicht der Gesangslehre* (Leipzig: Breitkopf u. Härtel, 1822), 84, https://play.google.com/store/books/details?id=CVFDAAAAcAAJ (accessed April 12, 2015).

hold true in all cases). Along these same lines, primary sources distinguish between emotionally serious and light recitative. Generally, serious recitatives are broader, accompanied, and declaimed in Scheibe's definition of the term. Light recitatives tend to be quicker, *secco*, and simply recited, though varying combinations of these classifications are possible.

In what follows I will begin with a discussion of three aspects of performance in Schubert's *Rezitativlieder*: rhythm, ornamentation, and inflection (i.e. special vocal considerations and histrionics). The latter half of the chapter will discuss performance implications for Schubert's later *Lieder*, after he has evolved away from recitative.

The list of vocal treatises considered, included below, are drawn largely from David Montgomery's work on Schubert performance practice.[77] Those that I have included are pertinent to recitative in Vienna in the hundred or so years around Schubert's life. Of particular value is Joseph Preindl's 1811 *Gesang-lehre* published in Vienna, which discusses examples of recitative by Schubert's teacher, Salieri. Julius Stockhausen's work is an outlier chronologically, published in 1884 (almost fifty years after Schubert's death), but the baritone was noted by Sonnleithner as one of the best Schubert interpreters of his day. He also gives perspective on how performance trends developed beyond Schubert's life. Paolo Tosi's early eighteenth century work is included because his treatise had a great deal of influence on future writings, in particular through Agricola's German-language translation and notes: *Anleitung zur Singkunst*.

[77] David Montgomery, *Franz Schubert's Music in Performance: Compositional Ideals, Notational Intent, Historical Realities, Pedagogical Foundations* (Hillsdale, NY: Pendragon Press, 2003), 278-306.

**Figure 21. Pedagogical sources considered**

| | |
|---|---|
| Ca. 1723 | Pier Francesco Tosi, *Opinoni de' cantori antichi e moderni*, Bologna |
| 1757 | Johann Friedrich Agricola, *Anleitung zur Singkunst*, Berlin |
| 1774 | Johann Adam Hiller, *Anweisung zum musikalisch-rightigen Gesange*, Leipzig |
| 1780 | Johann Adam Hiller, *Anweisung zum musikalisch-zierlichen Gesange*, Leipzig |
| 1800? | Johann Friedrich Schubert, *Neue Singe-Schule*, Leipzig |
| 1798 | Johann Baptist Lasser, *Vollständigen Anleitung zur Singkunst*, Munich |
| 1811 | Joseph Preindl, *Gesang-Lehre*, Vienna |
| 1820 | Peter Winter, *Vollständige Singschule*, Mainz |
| 1822 | August Ferdinand Häser, *Versuch einer systematischen Übersicht der Gesanglehre*, Leipzig |
| 1826 | Adolph Bernard Marx, *Die Kunst des Gesanges*, Berlin |
| 1884 | Julius Stockhausen, *Gesangstechnik und Stimmbildung*, Leipzig |

## A. Rhythm

The rhythmic execution of recitative is theoretically simple but presents a number of practical challenges. Johann Gottfried Walther's definition of recitative in the *Musicalisches Lexikon*, one of the first musical dictionaries, published in Leipzig in 1732, provides a concise and broadly applicable starting point for performers. It implies that recitative is primarily a rhythmic effect. "Recitative is a singing style which has equally as much from declamation as from singing, same as if someone declaimed singing, or sang declamation: therein one more follows the expression of affect, than the previously written beats. Though

unobserved, one nonetheless writes this singing style in correct beats; at the same time one has the freedom to change the value of the notes, and make them longer or short themselves; also it is noteworthy, that when the recited voice is written over G. B. [figured bass], the accompanist can yield to the reciter." Walther's definition remains relevant from his time, eighty years before Schubert began composing, through today: in a well written recitative, the composer should approximate the rhythms of speech, while the performer must deliver the text in a manner which draws even closer to the rhythm of speech than musical notation can.[78] With that as a basis for the theoretical performance of recitative in Schubert's music, in particular in regard to freedom of tempo, it is useful to consult pedagogical works of the eighteenth and nineteenth century for more specific guidelines.

Perhaps the most influential treatise on singing through the eighteenth century was Pier Francesco Tosi's *Opinioni de' cantori antichi e moderni*, published in 1723. In the eighteenth century, Italians were generally regarded as the finest singers of their day, though many German authors and composers objected to their vocal indulgence. Tosi's work was translated into several languages in an effort to spread Italian vocal technique, and it influenced pedagogical writing on the subject for decades to come. The singer and composer Johann Friedrich Agricola translated it into German and added his own clarifications and commentary as the *Anleitung zur Singkunst*, published in Berlin in 1757. Agricola's translation and commentary heavily influenced the composer Johann Adam Hiller's *Anweisung zum musikalisch-zierlichen Gesange,* from 1780 in Leipzig, Hiller's second and more advanced treatise on singing. Hiller's work in many ways supplanted both of its

[78]Walther also defines arioso as "such a phrase as is in the style of recitative, which should be performed in time [lit. expressed after the beat], as if it were an aria. Johann Gottfried Walther, *Musicalisches Lexikon*, (Leipzig: Wolffgang Deer, 1732) IMSLP Petrucci Music Library, http://imslp.org/wiki/Musicalisches_Lexicon_%28Walther,_Johann_Gottfried%29 (accessed Dec 20, 2014).

predecessors and is valuable for our discussions of Schubert's *Lieder,* as Hiller was not only a composer of *Singspiele,* but also *Lieder,* and he strove in his treatise to capitalize on the benefits of Italian vocal practices while developing a distinctly German style.[79] Hiller also includes an entire chapter on proper declamation in German music.

### 1. Declamation

Declamation is a commonly used term in German singing treatises, particularly in regard to recitative.[80] Hiller's definition of declamation is one of the most direct and comprehensive, describing it as

> …the art of reading with understanding and emphasis, or simply the art of declamation…the singer is urged to read a text through before singing it, in fact so thoroughly that he catches sight of everything that a good speaker would observe in reading the text aloud….Musical notation cannot represent all the fine points of expression which the affect demands; the art of declamation must make up for this deficiency...The easiest rule [of good declamation] is probably that of *punctuation,* for without it a text cannot have proper sense and meaning, not to mention stress and impact…. The speaker's voice usually drops as it approaches a period, and a cadence in music indicates the presence of a period. A question mark causes the speaker to raise his voice; likewise in music, it causes the singer's voice to rise. The exclamation mark demands a raised and at the same time strengthened tone from the speaker as well as from the singer.[81]

For a more thorough explanation of how to emphasize important words or syllables in declamation, in both music and speech, Hiller draws on two noted theorists, Rousseau and Sulzer. Hiller's explanation is helpful in determining rhythm and potential ornamentation in

[79]Pier Francesco Tosi, and Johann Friedrich Agricola, *Introduction to the Art of Singing,* trans. Julianne Baird (Cambridge [England]: Cambridge University Press, 1995), 35.

[80]This should not be confused with JA Scheibe's declaimed recitative.

[81]Johann Adam Hiller, *Treatise on Vocal Performance and Ornamentation*, trans. Suzanne J. Beicken (Cambridge: Cambridge University Press, 2001), 66-67, http://hdl.handle.net/2027/heb.07564 (accessed January 20, 2015).

recitative (which will be discussed further in the following section). He lists three types of accent: the grammatical, oratorical and pathetic:

> The **Grammatical accent**, which differentiates between long and short syllables, lingers somewhat on the long syllable, or, in musical terms, is satisfied by a note which takes up the long (strong) part of the beat or falls on the downbeat. **The Oratorical** or, as Rousseau calls it, the **Logical accent** is concerned with the meaning of speech and attempts to stress the impact of certain terms. Thus, it comes close to the **Pathetic** accent, which, by the various fluctuations of tone, the raising or lowering of pitch, and the change in tempo (of speaking), expresses those emotions which animate the speaker who then communicates them to his audience. Accordingly, emotion is the source for this accent (Pathetic) whereas the Logical or Oratorical accents are involved with the intellect. In spite of the fact that this accent is primarily the responsibility of the composer, the singer must also have an understanding of it, not only in order to grasp the intention of the composer but also to make up for any imperfections by emphatic swellings and mutings of his voice, which the composer could not indicate.[82]

Hiller's description of accent in speech and music clearly lays out three mediums available for accent: duration, pitch, and volume. This definition provides us with clear and simple guidelines for acceptable techniques for emphasis in declaimed music, i.e. recitative. The exact implementation relies on the performer's abilities as an artist.

Composer and pedagogue Johann Friedrich Schubert notes that beyond the observance of punctuation and stress, good declamation is hard to describe in books. He suggests two exercises to develop it: 1) observe great actors, 2) read great poets, digest their work and then practice reciting it aloud. [83]

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[82]Hiller, *Treatise on Singing*, 68.

[83]Johann Friedrich Schubert, *Neue Sing-Schule oder gründliche und vollständige Anweisung zu Singkunst: in drey Abtheilungen mit hinlänglichen Uibungsstücken* (Leipzig: Breiutkopf & Härtel, 1804), 124-125, https://play.google.com/store/books/details?id=_BxDAAAAcAAJ&rdid=book-_BxDAAAAcAAJ&rdot=1 (accessed March 10, 2015).

## 2. Pace

Treatises agree that the pace or tempo of recitative should be determined by the emotion of the text when a tempo is not indicated - speeding up and slowing down at will with short and long pauses as the text requires. The insertion of pauses and speed of the text should be governed by good declamation as described above.[84] Multiple treatises note that recitatives in different vocal genres require different styles of execution.

> In the theater, recitative is sung most rapidly because there it replaces common speech. When chamber cantatas were in style, chamber recitative, on the other hand, received a special art of execution. It was not through extravagant ornaments and embellishments that the singer ornamented (*Verschönern*)* the chamber recitative, but by exercising the most intense participation in words which generally expressed the emotions of the heart most strongly, that a manner of performance was created in which the singer seemed to feel all that he said. Even now, church recitative maintains this quality. It requires noble sincerity throughout and, in addition to a generally slow tempo, calls, at times, for a longer sustaining of certain notes as well as powerful appoggiaturas in other cases.

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*In speaking about essential ornaments here, Hiller uses the word *Verschönerungen*, meaning beautifications, which has a meaning similar to *Auszierung, Verzierung, Zierath*, and *Manieren*. He uses both the noun *Verschönerung* as well as the verb *verschönern* to express the aesthetic effect of ornamentation.[85]

Schubert's *Liedrezitative* are best classified as chamber recitative and should be performed as such, though many of his songs venture into very dramatic techniques. When recitative is used for narration, as in *D98 Erinnerungen,* or for dialogue, as in *Der Taucher*, it should be delivered in theatrical style: rapid and free.

[84]J. F. Schubert, *Neue Sing-Schule*, 142.

[85]Hiller, *Treatise on Vocal Performance,* 114-116.

### 3. *Secco* Vs. *Accompagnato* Recitative

As the accompaniment for recitative becomes more metrically active or employs a larger ensemble, the singer must accommodate the composed rhythms, largely out of practicality. For instance, it was common practice to use orchestral or piano interjections between lines of recitative for emphasis. "To be sure, the short phrases that the instruments play between [the sung phrases of] the accompanied recitatives must be performed in strict time. However, the singer is not bound to this, but he must wait out the short phrases if he is not supposed to enter as they are playing, just as the instrumentalists, on the other hand, must always wait for him."[86]

If the metrically active or orchestral accompaniment underlays the vocal line, recitatives must conform to the written tempo. Several authors note that "When, however, as often happens, ariosos or other phrases that can and should be performed in strict time, and that the composer generally indicates with the words *a tempo* or in measured rhythm, occur in the recitative, the singer is obliged to follow direction..."[87]

Joseph Preindl's 1811 Gesanglehre, Op. 33 (2nd ed. 1833) published in Vienna, confirms that ritornellos or instrumental interjections in recitative should be performed in tempo, and that sometimes the entire recitative is in tempo. This is valuable in relation to Schubert, as Preindl's treatise was published in the same city at the time Schubert began to write songs. It contains examples from Schubert's teacher, Salieri, that provide a clear guide for Viennese style and the conventions with which Schubert was trained.

Preindl distinguishes that "with recitative the beat is strictly followed, when the music without singing makes a type of *ritornello*, or it proceeds alone without singing voices, which

[86]Tosi and Agricola, *Introduction to Singing*, 173-174.

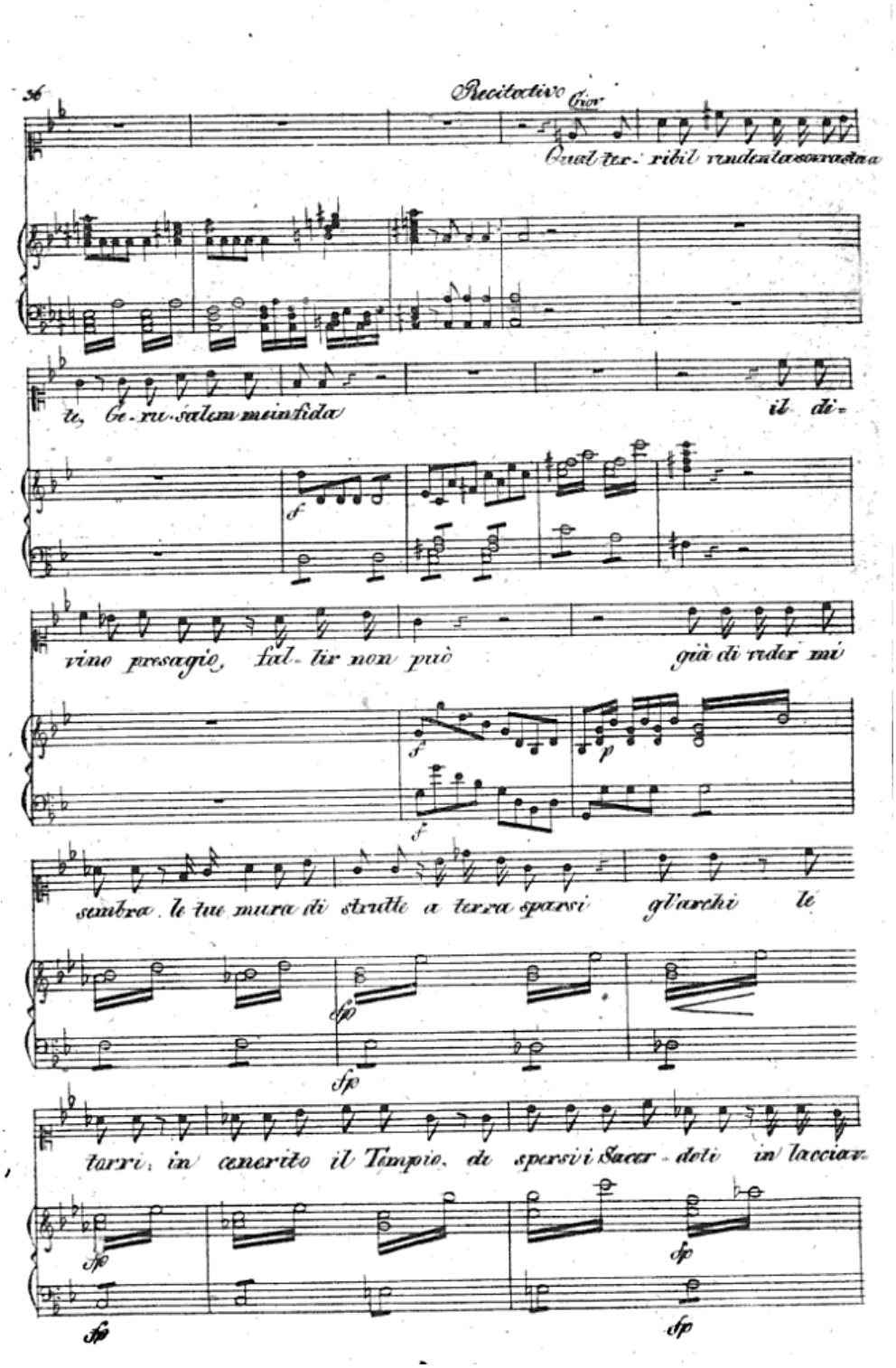
[87]Ibid.

is always marked with a word *Adagio* or [*Allegro*?][88]….The recitatives are commonly composed completely in time, indeed one finds not uncommonly other tempos [lit. pulses or beats] in them….when between a recitative in the singing voice an *Adagio*, *Andante*, *Cantabile* or *A Tempo* appears, there it would be sung in time."[89] Preindl then provides an extended example of Salieri recitative that clearly resembles Schubert's early *Rezitativlieder* both in the variety of textures employed, and in its alternation between simple chordal accompaniments and instrumental interjections, tremolo underpinning, and other more metrically active accompaniments.

[88]This word is unclear in the Googlebook but begins with "All..." and is a logical counterpart to Adagio."*bey dem recitativ wird der Tackt wie gewoehnlich nur dann strenge gehalten, wen die Musick ohne Gesang eine Gattung Ritornello macht, oder für sich allein ohne Singestimmen geht, welches aber immer mit einem Wort Adagio oder [Allegro??] Angezeiget wird*."

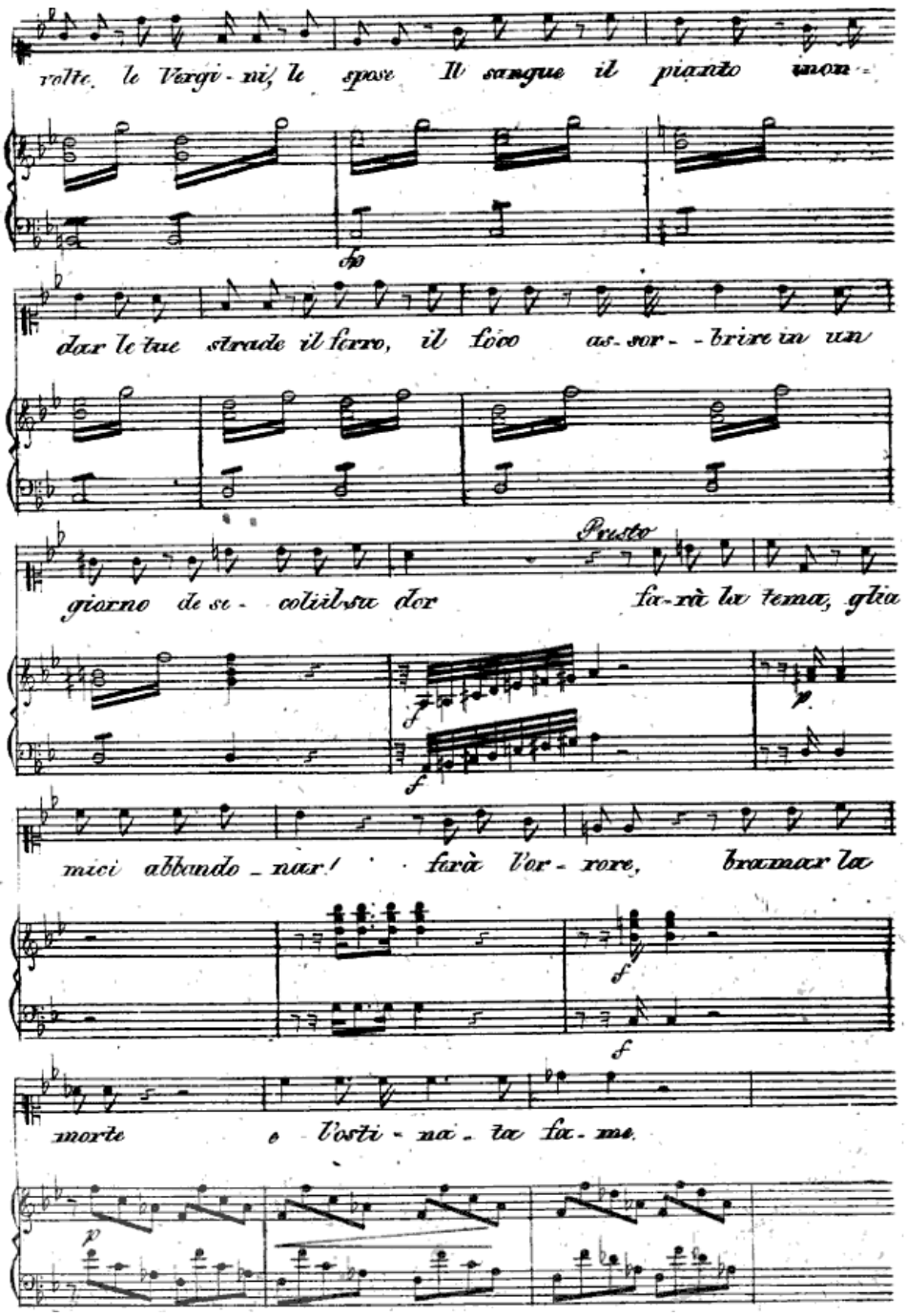
[89]Joseph Preindl, *Gesang-Lehre. 33. Werk* (Wien: S.A. Steiner, n.d.), 33-38, https://books.google.com/books/about/Gesang_Lehre.html?id=7hMXmwEACAAJ (accessed March 10, 2015).

**Figure 22. Salieri figured recitative from Preindl's *Gesang-Lehre* (work untitled)**




*Note the interjections between vocal lines and tremolo accompaniment in the fourth and fifth stanzas.

**Figure 23. Salieri figured recitative from Preindl's *Gesang-Lehre* pg. 2**




*With the marking "*Presto*" the accompaniment becomes more closely entwined with the vocal line, transitioning into rhythmically arpeggiated chords in the fifth system. These two pages show a clear influence from Gluck's free oscillation of recitative, arioso, and aria and serve as a model for Schubert's employment of recitative in Lieder. When the vocal line alternates with piano interjections, the interjections should be strictly in tempo but the vocal line is freely paced. With the marking "*presto*" the recitative should be sung in tempo with rubato to hide reflect the rhythm of the text.

J.F. Schubert similarly prescribes something reminiscent of rubato, without using the term, to accomplish unity throughout aria and recitative, saying that in accompanied recitatives, "Single divisions of the beat may find a deviation through hurrying or delaying, so that unity and connection of the whole are achieved."[90]

In summary, where the accompaniment is simple and the text is not intensely emotional, recitatives can and should be performed according to the rhythm of the words, which the composer has already approximated. However, where the accompaniment is more complicated or emotions are heightened, then the beat should be more closely followed, using only rubato to minimize the regularity of the beat and match declamatory principles. When approaching Schubert's later *Rezitativlieder* that have very metrically active accompaniments or *Lieder* with clearly declamatory passages, the latter of these approaches is appropriate.

### B. Ornamentation

It is broadly accepted that improvisational ornaments are inappropriate in Schubert *Lieder*. Baroque ornaments had been commonly divided into two categories: essential and voluntary. Essential were those written by the composer. Voluntary ornaments were improvisational ornaments that were commonly inserted by the performers, but by Schubert's time they had fallen out of style. David Montgomery writes in *Schubert's Music in Performance*: "…Improvisation and voluntary ornamentations are not appropriate for Schubert's music. In general, by Schubert's time 1) serious composers had long since begun to indicate their desired ornamentations by sign; 2) notated it more fully; or 3) incorporated it

[90]J. F. Schubert, *Neue Sing-Schule*, 142.

in other ways into the fabric of their music…We can confirm these statements not only through writings of the time, but by careful stylistic analysis as well."[91]

Pedagogues ranging from Agricola to Stockhausen indeed confirm this trend toward compositional specificity, increasingly noting through the eighteenth and early nineteenth century, that many composers had begun writing out the ornaments they wish performed. Most of the treatises consulted for this document contain a chapter on the proper execution of essential ornaments while advising that more adventurous improvisational ornaments should be applied only with the greatest care. Hiller advises, "whether or not they are written out or left to the discretion of the singer, there must be rules which are based upon musical and declamatory principles in accordance with good taste at all times."[92] Recalling Hiller's discussion of accents included in declamation (on page 65), there is no mention of extraordinary vocal techniques or melismatic ornamentation. If, as J.F. Schubert says, "nature and art must go hand in hand," there would be little room for ornamentation in a vocal style which is an intersection of speech and song.[93] This is not to say that Hiller did not support the use of ornamentation when properly applied, as he includes an entire chapter on the matter. Rather, German theorist and composers as early as JA Scheibe believe the vocal fireworks of Italian music are counter to the sincere expression of both sentiment and logic.

Essential ornaments, including appoggiaturas, escape tones, trills, mordents, and a handful of variations, persisted well into the nineteenth century, though almost always indicated by the composer. The simplest and most broadly employed of these ornaments,

[91]David Montgomery, *Franz Schubert's Music in Performance,* 189.

[92]Hiller, *Treatise on Singing*, 73.

[93]J. F. Schubert, *Neue Sing-Schule*, 122.

either written or implied, was the appoggiatura. In a passage quoted later by Hiller, Agricola lists four grounds for the insertion of appoggiaturas: "(1) to give the melody greater connection; (2) to fill in apparent gaps in the movement of the melodic line; (3) to make the harmony richer and more diverse; and finally, (4) to add vividness and brilliance to the melody."[94] Despite the ubiquity of appoggiaturas, there is surprising debate about their execution and insertion into Schubert's *Lieder*.

### 1. The Controversial Appoggiatura

Two classifications of appoggiatura are consistently described in the treatises considered: long or changeable (*veränderlich*) and short or unchangeable (*unveränderlich*). Short appoggiaturas are executed on the beat and take only a very small amount of the duration of the note they precede. Long appoggiaturas generally take half of the value of the note they embellish or 2/3 of the following note if in compound time or a dotted rhythm.[95] Both types should be tied to the note they embellish, though only long appoggiaturas are accented. A small note, half the value of the note they proceeded, generally indicated long appoggiaturas. Short appoggiaturas were notated in the same way but often had an additional slash through their stem; however, there was a lack of uniformity in notation among composers causing some confusion for performers.

A third type of appoggiatura is commonly encouraged in recitative: the full-replacing appoggiatura. J.F. Schubert provides two examples in the illustration below.[96]

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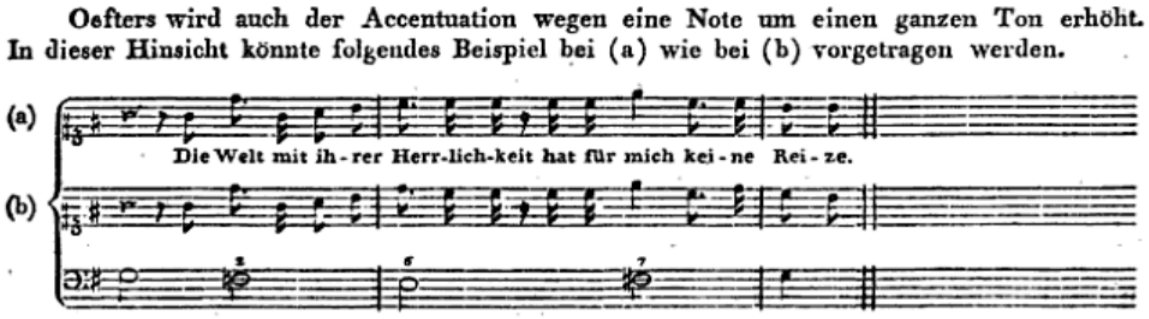
[94]Hiller, *Treatise on Singing*, 72.

[95]A few outliers advocate one third of the note value in this case.

[96]J. F. Schubert, *Neue Sing-Schule,*142.

**Figure 24. J. F. Schubert examples of full-replacing appoggiaturas (the lower line are Schubert's edits).**




J.F. Schubert specifies that full-replacing appoggiaturas occur more often [*öfters*] than melismatic appoggiaturas (*veränderlich und unveränderlich*). In modern scholarship, Will Crutchfield classifies these appoggiaturas as "prosodic appoggiatura" and argues that they were expected not only in Mozart's vocal music, but even through the nineteenth century. The treatises contemporary to Schubert most strongly support the use of prosodic appoggiatura specifically in recitative.[97] Crutchfield states that the ubiquitous prosodic appoggiatura was not "dismantled" from performance until the early twentieth century.[98]

Julius Stockhausen clearly confirms the continued use of the prosodic appoggiatura through the mid-nineteenth century in his 1884 Gesangstechnik, saying that long (changeable) and short (unchangeable) appoggiaturas should not be confused with the "universally accepted accent respective appoggiaturas [*allgemeine üblichen Accente respective Vorschläge*] that should ornament the recitative in our oratorios and operas." Stockhausen states that it would be "inconceivable to the old masters, without exception, to

[97]Crutchfield does not limit the prosodic full-replacing appoggiatura to recitative but encourages its use in Mozart arias as well.

[98]Will Crutchfield, "The Prosodic Appoggiatura in the Music of Mozart and His Contemporaries," *Journal of the American Musicological Society* 42, no. 2: 229-274 (University of California Press, 1989), 230 http://www.jstor.org/stable/831657 (accessed January 17, 2015)

sing their recitative without appoggiaturas," clearly in reference to full-replacing appoggiaturas. Stockhausen provides examples from J.S. Bach, Telemann, and also Mendelssohn's Elijah (1846), pointing out that Mendelssohn wrote out his appoggiaturas, as was becoming increasingly common. While the Mendelssohn example supports a trend toward increased specificity by composers, it also illustrates that full-replacing prosodic appoggiaturas in recitative were still in style even in the years after Schubert's death. Stockhausen qualifies that this applies to epic-lyric recitatives, and that once the text becomes dramatic (theatrical), over accentuation with appoggiaturas would disturb the fast pace of the text.[99]

Agricola, Hiller, J.F. Schubert, Häser and Stockhausen all advocate the use of full-replacing appoggiaturas at "feminine" line endings in recitative when two notes are repeated on the final two syllables, though they do not always name it as an appoggiatura.[100] Feminine line endings are those in which word stress falls on the penultimate syllable. In masculine line endings word stress falls on the final syllable. At feminine line endings, when the stressed syllable is placed on a strong beat and preceded by a fourth or fifth (figure 27 on page 82), the appoggiatura would generally repeat the fourth or fifth. When preceded by a third (figure 28 on page 82), second, or the same note, the appoggiatura would be a step higher or lower, though appoggiaturas from below should only be used sparingly for particularly strong emphasis. Agricola and Hiller both note that there is some flexibility in the selection of long or full-replacing appoggiaturas. Hiller advocates variety to avoid

[99]Julius Stockhausen, *Julius Stockhausen's Gesangstechnik und Stimmbildung* (Leipzig: Peters, 1886), 36-37.

[100]Several treatises refer to this practice merely as the raising of a note by a step.

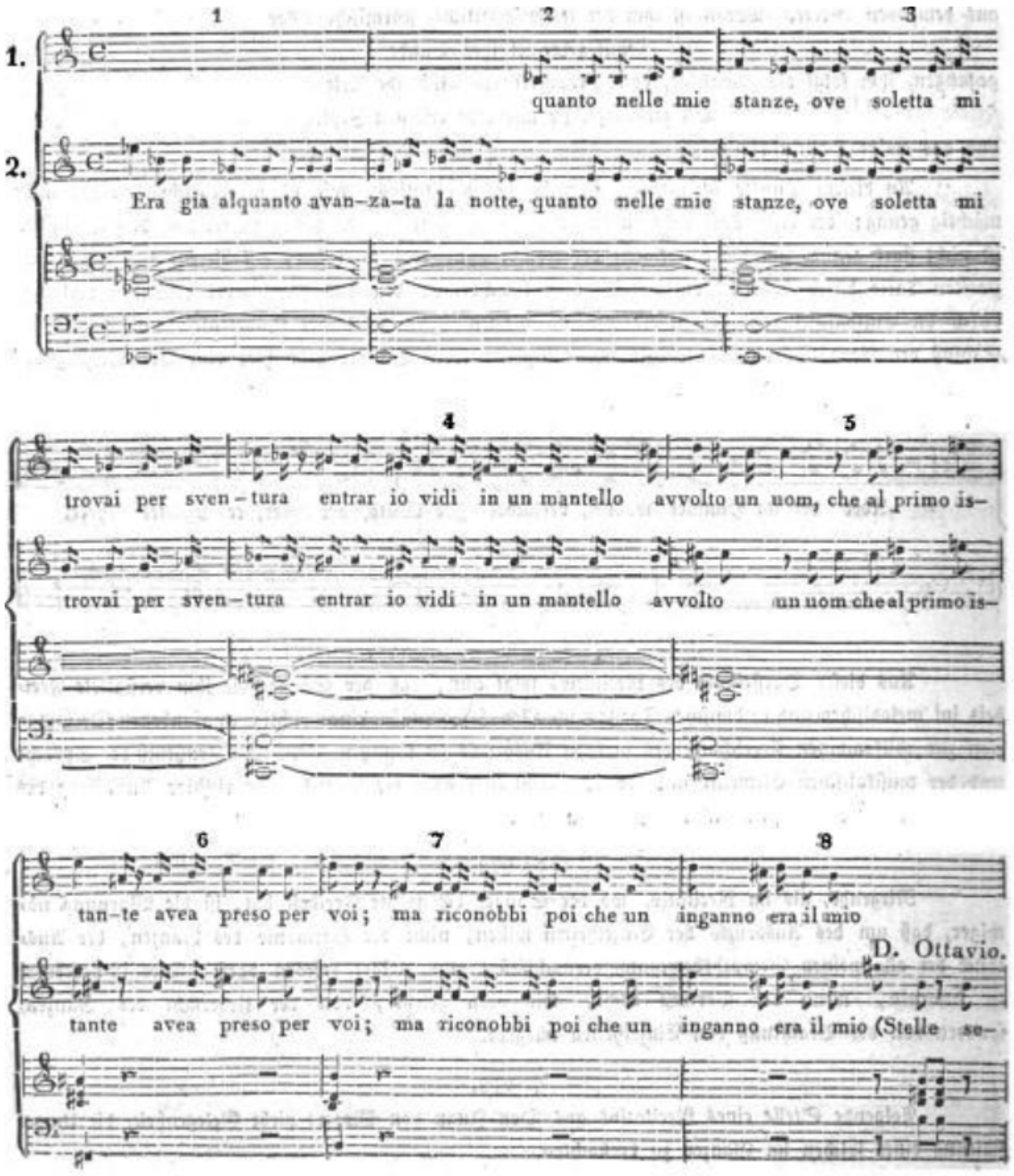
predictable repetition, and Agricola prescribes replacing appoggiaturas to fill in descending thirds specifically when the lower note is repeated and the text is not highly emotional.

Adolph Bernard Marx, in *Die Kunst des Gesanges* published in 1826 in Berlin, takes this practice even further. He advocates not only full-replacing appoggiaturas, but also re-composition of recitatives altogether, so long as the changes adhere to the harmony given by the composer.[101] His revisions are extreme by modern standards and probably too liberal to be accepted in performance today. Modern music critics cry foul at the slightest variation from Mozart's written notes, and Marx goes so far as to completely rework a recitative from Mozart's *Don Giovanni* in one of his examples. In spite of this, his consistent use of full-replacing appoggiaturas to fill in descending thirds on strong beats for prosodic emphasis provides further evidence for the argument that they were common practice in Schubert's time. The use of full-replacing appoggiaturas instead of melismatic appoggiaturas in recitative has the added benefit of keeping the vocal line entirely syllabic: giving emphasis while remaining subservient to declamatory principles.

August Ferdinand Häser, in *Versuch einer systematischen Übersicht der Gesanglehre* published in Leipzig in 1822, comes close to Marx in his acknowledgement that singers can and should modify the written notes of recitative supplied by the composer, though he does not imply the same extent of modifications. "The recitatives were from all of the old composers, and are from the majority of new composers, written so that the individual notes, at least when on the strong beats, lie in the harmony. However to perform such a recitative

[101]Adolf Bernhard Marx, *Die Kunst des Gesanges* (Berlin: Schlesinger, 1826), http://books.google.com/books/about/Die_Kunst_des_Gesanges_theoretisch_prakt.html?id=fRdDAAAAcAAJ (accessed March 19, 2015).

**Figure 25. Mozart, *Don Giovanni,* Scene XIII from Bernard Marx, *Kunst des Gesanges* (the upper line is Marx's suggested revisions)**



exactly, how it now stands, would seem stiff and clumsy. One has then the well known old rules for the changing of many notes in recitative: for example when notes that are repeated several times in a row; on long syllables; as well as passing notes, through which more flow in the melody is achieved." Häser clarifies that modifying the composer's written notes is so fundamental to recitative that the new trend of writing them out exactly as they are performed is, in his opinion, actually a disservice to the composer as a good singer would be well versed in harmony and declamation. Häser also specifies that recitative should usually remain syllabic, especially when explanatory or narrative [*erzählende*].[102] Based on this statement, Häser would seemingly permit syllabic full-replacing appoggiaturas even in the dramatic type of recitative, which Stockhausen says prohibits appoggiaturas. He would, however, not allow melismatic halving appoggiaturas.

In the *Neue Schubert Ausgabe*, Walther Dürr suggests using full-replacing appoggiaturas for any marked appoggiaturas occurring on feminine line endings and for almost all feminine line endings in recitative (whether or not Schubert wrote an appoggiatura). Dürr observes the rules for halving/long appoggiaturas for masculine cadences when Schubert indicated an appoggiatura. Clive Brown supports Dürr's editorial suggestions with examples from *Fierabras* where Schubert wrote appoggiaturas in the vocal line that were doubled in one or more of the orchestral instruments.[103]

This practice is confirmed by the fact that Schubert wrote out full-replacing appoggiaturas in recitative when they fall within the harmony of the beat on which they occur. Schubert consistently wrote out consonant full-replacing appoggiaturas of a fourth,

[102]Häser, *Gesangslehre*, 86-87.

[103]Clive Brown, *Classical and Romantic Performing Practice 1750-1900 (*Oxford: Oxford University Press, 1999), 466, http://public.eblib.com/choice/publicfullrecord.aspx?p=679391 (Accessed May 3, 2015).

**Figure 26. Franz Schubert, *Fierrabras* no. 10 (example of a full-replacing appoggiatura at a feminine line ending from Clive Brown's *Performing Practice*)**

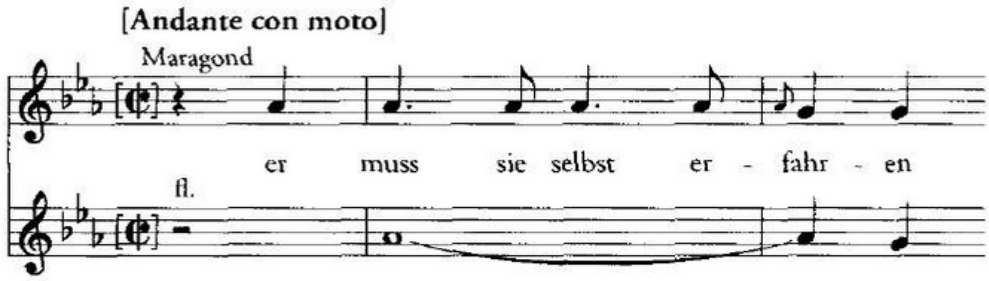
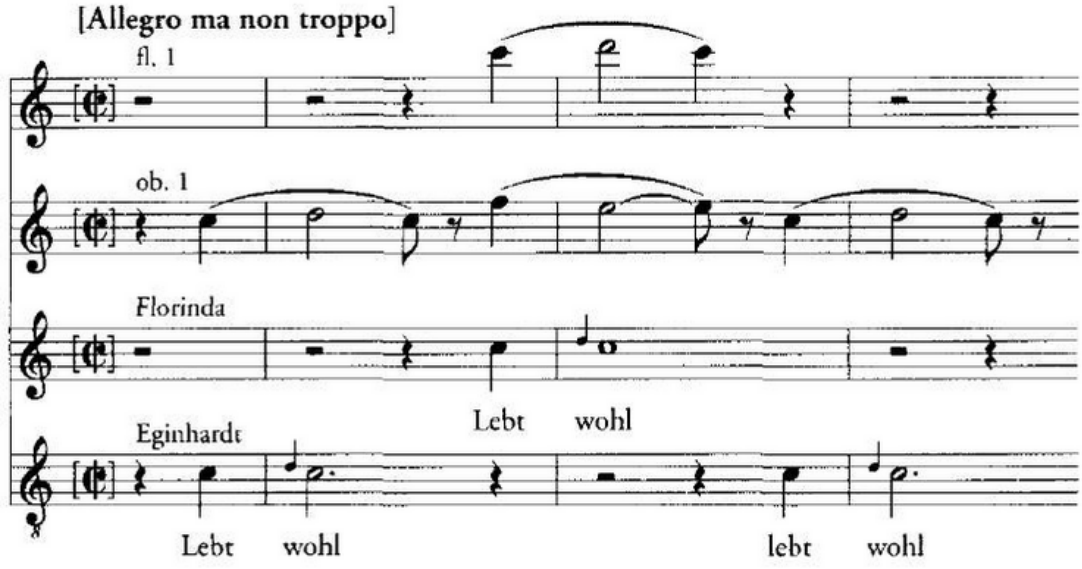



**Figure 27. Franz Schubert, Fierabras No. 17 (example of halving appoggiatura at a masculine line ending from Clive Brown's *Performing Practice*)[104]**




but he usually avoided dissonant appoggiaturas of a second throughout *Liedrezitative*.[105] Schubert rarely ever wrote out appoggiaturas filling in a descending third cadence (as in figure 28) most likely because the dissonant second obscures the harmony for the

[104]Clive Brown, *Performing Practice,* 244.

[105]Shubert does frequently write appoggiaturas of a second when the preceding note is a step below.

accompanist, which Crutchfield notes was a convention born of practicality.[106] Schubert did, however, consistently write out appoggiaturas of not only a fourth, but also fifths or sixths when they repeat the preceding note (as in figure 29) because they are usually part of the harmony of the beat on which they fall and are thus permissible. Salieri's operatic recitatives followed the same pattern as is visible in the example given in the previous section (figures 22 and 23 on pages 69 and 70).

**Figure 28. Franz Schubert, D534 *Die Nacht* mm. 42-45**

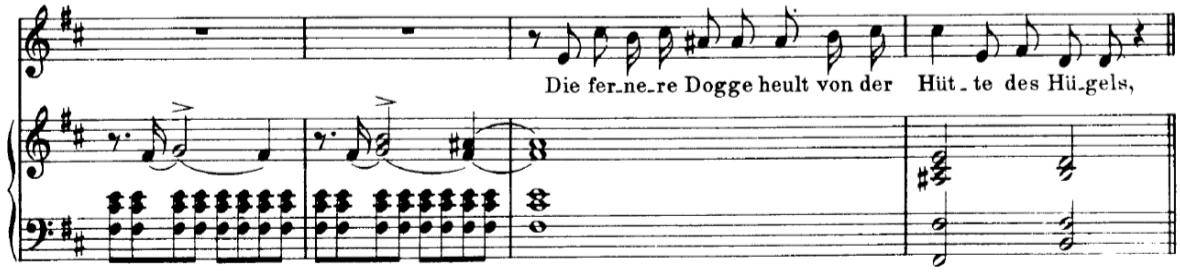
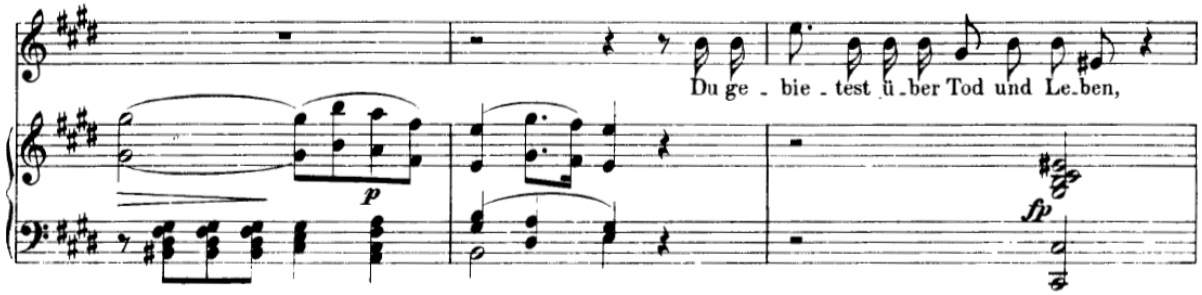



**Figure 29. Franz Schubert, D388 *Laura am Klavier* (first version) mm. 13-15**




[106]Crutchfield, *Prosodic Appoggiatura*, 257.

However, David Montgomery takes a strong stance against the full-replacing appoggiatura on several grounds, principally: 1) none of the contemporary Viennese Treatises mention full-replacing appoggiaturas, 2) full replacing appoggiaturas without "prescriptive small notes" fall into the category of voluntary ornaments, which do not apply to Schubert, 3) the full-replacing appoggiatura eliminates the ornamental impact of the appoggiatura. Montgomery goes on to poke holes in the theories of Clive Brown, William Crutchfield, and Walther Dürr, who all advocate the use of full-replacing appoggiaturas. While a complete analysis of this debate is beyond the scope of this paper, Montgomery's three main premises do merit some response, in particular in regard to Schubert's vocal music and recitative. Montgomery's discussion of Schubert's music does not consistently recognize the possibility of genre specific variations and, though valid in Schubert's instrumental music, does not take into account well established conventions in vocal music.[107]

Montgomery's argument that no contemporary Viennese treatises mention the full-replacing appoggiatura is valid (Hiller, Schubert, Marx, Stockhausen, and Agricola all published from Berlin or Leipzig), but somewhat limited in perspective. It relies on the assumption of a relatively homogeneous, distinct, and insular Viennese style. Moreover, Montgomery quotes primarily instrumental treatises. Of the vocal treatises published in Vienna, neither Joseph Preindl's *Gesanglehre* nor the section on singing in Friedrich Starke's *Wiener Piano-forte Schule* can be described as comprehensive. Preindl's work is quite short and devotes only a few sentences to appoggiaturas. In the brief section on recitative Preindl describes only implications regarding rhythm, not ornamentation. Starke's work is primarily a piano treatise and, by his own admission, includes a section on singing merely to give piano

[107]David Montgomery not once mentions recitative in an approximately three hundred page book, *Franz Schubert's Music in Performance.*

students a cursory knowledge of singing. Starke recommends a number of earlier works on singing for greater detail. These include J. A. Hiller and J. F. Schubert's treatises, both of which advocate the use of full-replacing appoggiaturas in recitative.[108] Starke also mentions the forthcoming treatise by Salieri, which has sadly been lost.

Montgomery's second argument that inserting unmarked appoggiaturas falls into voluntary ornamentation and therefore does not apply to Schubert, presumes both that all ornaments are equal and that all genres carry the same rules and conventions. There is legitimate evidence that the prosodic full-replacing appoggiatura was an expected (at the very least permissible) convention in operatic recitatives, for audience and composer alike, well into the nineteenth century. Although composers increasingly wrote out their ornaments (for example the Mendelssohn passages given by Stockhausen), it is more likely that Schubert conformed to the common practice of his predecessors by avoiding dissonances on strong beats, than that he shunned popular taste by prohibiting appoggiaturas at feminine line endings.

Montgomery's third argument that full-replacing appoggiaturas eliminate the ornamental quality of the marking is compelling. Moreover, within recitative, why does Schubert only occasionally write appoggiaturas when prosodic stress at line endings implies them, but not at others, if he expects full-replacing appoggiaturas in both cases? Is it possible that Schubert expected prosodic replacing appoggiaturas in his music but specified halving appoggiaturas? This theory would seem to contradict the example from *Fierabras* in which

[108]Friedrich Starke, *The Wiener Pianoforte-Schule of Friedrich Starke: A Translation and Commentary*, trans. Charles Jones (Ph. D. Thesis, University of Texas at Austin, 1990), 277 [compact disc].

the instrumental part clearly doubles the vocal line and implies a full-replacing appoggiatura.[109]

Walther Dürr provided a worthy answer in the *Schubert Handbuch*, noting that the interpretation and execution of ornamentation is the providence of the singer, and while there are rules and conventions, they can always be broken.[110] Given the factors considered, it seems most likely that Schubert specified where an appoggiatura is required or strongly suggested in recitative (as opposed to being permissible at the discretion of the singer, as is the case in other instances according to convention), but the exact execution of that ornament is left to the singer. If Schubert were insistent on a specific execution of his appoggiaturas, why would he not then write them all out in regular notes?

Though the debate continues, there is a clear precedent for full-replacing appoggiaturas in recitative well beyond Schubert's compositional life. If Schubert truly incorporates and transcends recitative, it is possible that fully replacing appoggiaturas are a part of this incorporation. Specifically, in syllabic declamatory music, an appoggiatura can add emphasis through dissonance and/or volume even without the melismatic effect of a halving appoggiatura.

[109]Montgomery argues that Schubert would permit the resulting "layers of rhythmic and melodic complexity" but in the *Fierabras* example the instrumental line is clearly intended to double the voice, not to add rhythmic complexity.

[110]Walther Dürr and Andreas Krause, *Schubert Handbuch* (Kassel: Bärenreiter, 1997), 104. Dürr notes that appoggiaturas in Vocal music differ from those in instrumental music.

### C. Inflection

While Recitative is a pairing of speech and song, joining of the two should never drastically change vocal production, but merely the pace and emphasis of words. Recitative should be well sung - with the same vocal technique as one would sing an aria - even if lacking a distinct melody. However, describing the qualities of well-sung recitative appears difficult, since it is simpler to define common errors, as Tosi does at length:

> Some sing the recitative on the stage in the same manner as in the church or in the chamber: with a constantly droning sound that could make a person sick. Some howl it out* because they are too greatly preoccupied with Affect [passion]. Some utter it almost confidentially; others, as if confused. Some stretch out or force out the last syllables, while others make them inaudible. Some sing it as if they had not heart for it; others, as if they were deep in thought. Some do not understand it; others do not let it be understood. Some act as if they were begging; others, as if they were only glancing at the listener over their shoulders. Some drag it out; others rattle it off. Some sing through their teeth; others, with open-mouthed exaggeration [lit., affectation]. Some do not pronounce it correctly; others miss the appropriate expression. Some laugh it; others weep it. Some speak; others hiss it. Some shriek; others howl; and some sing out of tune. And among the errors of those who have become so removed from nature, the greatest is that they do not reflect upon their obligation to do better.

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* Agricola's term *bellen* onomatopoeically suggests the howling of a dog.[111]

Häser takes a similar approach, warning that "the most common mistakes in the performance of recitative are: dragging, richly ornamented singing, or also the opposite practice, to bluster out the words and really speak more than sing, as one hears more commonly in the comic opera, and more in Italy than Germany; in impassioned passages assuming a voice, in the French fashion affected whining speech; marking, emphasizing, or

[111]Tosi and Agricola, Introduction to Singing, 177.

choking the last syllable; appoggiaturas on single syllable words at a break or also at masculine endings, for example [the text] "*reich mir deine Hand, das ist gerecht*." The worst errors are however, not to understand what one sings and to speak unclearly." [112]

Sonnleithner's admonishment of Vogl's later performances are perfectly in line with the opinions of Tosi, Agricola, and Häser: "Schubert was frequently forced to accommodate himself to [Vogl] and the complaint that many Schubert songs do not really completely suit any range of voice has its cause and excuse primarily in Vogl's influence. Vogl often produced a passing effect by a tonelessly spoken word, by a sudden outburst, or by a falsetto note, but this could not be justified artistically and could not be copied by anyone else."[113]

Rather than resort to histrionics or extreme vocal effects, Hiller gives "two main points a singer must be aware of: he has to understand the character of the role he plays and secondly, he must see what he can contribute to a lively performance in connection with the other characters. The chamber singer can actually benefit from this knowledge even if he does not make so much use of it.[114]

Schubert's *Lieder*, with or without recitative, require extremely skilled performers for their maximum effectiveness. They must be well sung at all times, accurately rendered, and subtly expressed with proper inflection and emotion. It is no surprise they are a mainstay in conservatories as they elucidate both the good and bad in a young singer's development.

[112]Häser, *Gesangslehre*, 88.

[113]Deutsch, *Memoirs,* 112.

[114]Hiller, *Treatise on Singing*, 68.

### D. Performing Schubert's Later *Lieder*

Today's generally conservative performances of Schubert *Lieder* are not merely the result of tradition, but in line with Schubert's stylistic evolution and the theoretical ideas of his time. If ornamentation is to be added, it is more permissible in early works, as later works achieve new specificity, which is evident in Schubert's incorporation and transcendence of recitative. Schubert's later songs unfold moment by moment, following the poetry with specificity closer to Wolf *Lieder* than to eighteenth century *volkstummliche Lieder* or even Schubert's own early dramatic/operatic *Lieder*. Schubert was limited by the lingering rationality of the classical era, and he was frequently criticized in his own lifetime for drastic tonal shifts and dramatic chromaticism. However, it was the dynamic flexibility of his *Lieder* that elevated the genre to one of significant worth. His conception of *Lieder* as an interpretive pairing of music and poetry was the foundation for the song composers who followed. They in turn continued to expand the medium as the bounds of permissible tonality equally developed.

Although we have no theoretical accounts in Schubert's own hand, Schubert's late songs are clearly written exactly how he intended them to be performed. The execution of a piece such as *Letzte Hoffnung* from D911 *Winterreise* precludes any ornamentation. Moreover, passages of Schubert *Lieder* which resemble recitative, particularly after 1823, but which are not labeled as such, should be performed strictly in tempo and true to the score. *Der Doppelgänger* from D957 *Schwanengesang* would suffer severely if it were embellished with trills and turns. Here I propose yet another level of specificity. Even in pieces with sparse accompaniment such as *Der Doppelgaenger* or *Der Leiermann*, the beat should be precisely observed. Although sparing and intentionally applied rubato can certainly have a

positive effect, the dramatic impact of either of these songs is changed drastically when performed without strict observance of rhythm. Surprisingly, recordings by many acclaimed singers stray shockingly from what Schubert provided.

*Der Doppelganger* is marked "*Sehr langsam*." Though the accompaniment is chordal and sparse, this is clearly not the *secco* recitative invoking accompaniment of Schubert's early recitatives. The piano oozes slowly and deliberately forward with an eerie repetitive intensity. Rather than an invitation for metric freedom, here there is an unsettled psychological tension in a slow strict tempo with sharp dotted quarters and sixteenth notes. The character of the piece changes greatly if too much rubato is employed, weakening the metric tension. I encourage the Schubert singer to approach a piece like this with the same attention to rhythm as one would a *Lied* with metrically active accompaniment, such as *Letzte Hoffnung* or D764 *Der Musensohn*.

The same holds true for *Der Leiermann*, the final song in *Winterreise*. The accompaniment consists of nothing but open fifths under the majority of the vocal lines, with sparse repetitive piano interludes between stanzas. Once again, this piece has a very different quality if the singer takes the liberty of adjusting the rhythm closer to speech as one would in recitative.

*Der Leiermann,* most accurately translated as the "organ grinder," is often translated as the "hurdy-gurdy man." This translation is misleading. A hurdy-gurdy is cranked, in similar fashion to a barrel organ, but the melody is controlled by the player - allowing variety and musical expression. Organ grinders, however, were not musicians. Early nineteenth century barrel organs, although cleverly crafted, were usually crude mechanical instruments incapable of musical inflection outside of variation in tempo. Simple barrel organs were only

capable of one melody and were frequently used by peddlers. In this fashion, Schubert's *Leiermann* presents the same tune over and over again as the protagonist of the cycle drifts into repetitive oblivion. The mechanical nature of the barrel organ invites two attempts at word painting. Either the rhythm ebbs and flows to match an irregular turning of the organ crank, or the piece proceeds with soulless regularity. In either case, the rhythm of the text is not governed by declamatory principals as it would be in recitative.

In this song, the protagonist is at the end of his strength. He attempts in the final verse to escape the repetition of the organ grinder but is silenced almost as soon as he begins. It is a fitting ending to the seventy-five minute cycle that so repeatedly indulges in lamentation and self-pity. Schubert has clearly chosen to end on a defeated note, rather than a heroic climax. To over inflect this song with dynamic contrasts or rhythmic fluctuations leads to an ill-fated attempt at an interpretation contrary to Schubert's intentions.

In short, performers should observe exactly what Schubert has marked. When Schubert has marked a recitative, sing it as such; with the rhythm of the text superseding the written notes, and adding full-replacing appoggiaturas as convention allowed. In all other cases, in particular in Schubert's last eight to ten years, heed Sonnleithner's advice and do not attempt to out-compose Schubert.

As a young man, Schubert seemed to test the boundaries of his time with his harmonic and structural dynamism, but his later songs are still tempered by Classical tastes and do not permit vocal indulgence or excessive rubato. Schubert's interpretation of poetry is perfectly captured in his musical compositions, and we as performers must merely breathe life into these finely nuanced creations and send them forth as they are. While Michael Vogl clearly modified Schubert's songs at will, his revisions are passed to us as just that: Vogl's

modifications of Schubert's songs. To recompose Schubert's works in performance today, whether rhythmically or melodically, would present not a performance of Schubert's *Lieder* as they were intended by the composer, but rather the performer's own composition, based on Schubert's music.

Leopold Sonnleithner captures this sentiment aptly and succinctly, and his words, though nearly two hundred years old, are an appropriate closing: "This does not mean in the very least that Schubert wanted to hear his songs ground out merely mechanically. An accurate, purely*, musical* performance in no way excludes feeling and sensitivity; but the singer should on no account give himself airs, should not try to be more poetic and inventive than the composer, who has clearly indicated, by means of note and signs, just exactly what he wants and how he wishes it to be sung – and whose work is savaged and destroyed in its very essence by every arbitrariness."[115]

[115]Deutsch, *Memoirs*, 338.

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