

On this side of the composing hut. Narrativity and compositional process in the fifth movement of Mahler's Tenth Symphony

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Abstract

In che modo la musica di Mahler, nel suo processo compositivo, può essere considerata alla stregua di un romanzo dai punti di vista strutturale ed ermeneutico? Sin da quando Theodor W. Adorno pubblicò *Eine Musikalische Physiognomik* ('*Mahler. Una fisiognomica musicale*', 1960), è diventato luogo comune discutere la musica di Gustav Mahler in termini narratologici: cioè, cercare nella sua musica delle analogie strutturali con la narrativa tramite l'approccio della 'narratologia musicale'. Tuttavia, gli scritti in questo campo non prestano sufficiente attenzione alla dimensione autoriale di come il compositore costruisce il suo 'romanzo' in musica durante il processo compositivo, dato che essi sono perlopiù focalizzati solo sulla versione finale dell'opera musicale.

Nel percorso analitico presentato in quest'articolo, io suggerisco che negli schizzi e la bozza rimastici del quinto movimento dell'incompiuta Decima Sinfonia di Mahler si possano trovare tracce di una strategia narrativa che io definisco 'narrativizzazione' e che esse costituiscano elementi essenziali dell'ermeneutica di questo movimento. Inoltre, dall'esito finale della mia analisi sembra che il compositore, per il tramite di questo processo compositivo narrativizzante, abbia voluto rappresentare nel movimento un processo di scrittura, in un gioco meta-referenziale tra un 'interno' e un 'esterno' di quella che io definisco 'la sua casetta mentale di composizione'.

Parole chiave: Mahler, narratività, processo compositivo.



Abstract

In what way Mahler's music, in its compositional process, can be regarded as a novel, both from a structural and hermeneutic point of view? Ever since Theodor W. Adorno published *Mahler. Eine Musikalische Physiognomik* ('Mahler. A Musical Physiognomy' 1960), it has been commonplace to discuss the music of Gustav Mahler in narratological terms: that is, to search his music for structural analogies with narrative using the approaches of 'musical narratology'. However, writings of this field do not give enough attention on the authorial dimension of how composer constructs his musical 'novel' through the compositional process given that they are focused only on the work's final version.

In the analytic pathway displayed in this article, I suggest that in the extant sketches and draft of the fifth movement of the unfinished Mahler's Tenth Symphony are detectable markers of a narrative strategy I call 'narrativisation' and that they become essential attributes of the hermeneutics of the movement. As a result, my analytic pathway suggests that the composer by his narrativising compositional process wanted to represent in the movement a process of writing, in a meta-referential play between an 'inside' and an 'outside' of what I define 'his mental composing hut'.¹

Keywords: Mahler, narrativity, compositional process

Introduction

In what way Mahler's music, in its compositional process, can be regarded as a novel, both from a structural and hermeneutic point of view? Ever since Theodor W. Adorno published the essay '*Roman*' ('Novel') within the book *Mahler: Eine Musikalische Physiognomik* (1960), it has been commonplace to discuss the music of Gustav Mahler in narratological terms: that is, to search his music for structural analogies with narrative us-

¹ This article is an extract from a larger piece of a Ph.D. dissertation on Mahler's *Tenth Symphony* I have submitted at the time of writing this article. The introduction and sections 1 and 2 rework (also by borrowing text) pp. 1-7 of my previous article (Pinto, 2017). I wish to thank Robert Samuels, Ben Winters for their valuable suggestions, Frans Bouwman and Jörg Rothkamm, and the Musiksammlung of the Austrian National Library for their kind permission to use in my articles materials whose they hold the copyright.

ing the approaches of ‘musical narratology’. However, writings of this field do not give enough attention on the authorial dimension of how composer constructs his musical ‘novel’ through the compositional process given that they are focused only on the work’s final version.

Nevertheless, literature about Mahler’s compositional process suggests us that Mahler’s music can be considered a work in progress, in the authorial sense suggested by many literary studies: in the same that the modernist writers they consider often continued to revise their works extensively, Mahler’s compositional process was also an iterative one. So James Zychowicz (1988, p. 12) observes that Mahler was used to adding ‘*Retuschen*’ (‘retouches’) to the final versions of his works, even after publication. Most of these *Retuschen* seem to come from the exigencies of performance, but sometimes they can be linked to some ‘narrative’ or programmatic intent, as happens in the second movement of the Second Symphony, according to Hefling (1988). In another and more significant sense, the well-known modernist internal fragmentation and apparent inconsistency of Mahler’s symphonies, make us suspect that they can have an intrinsically unfinished in-progress nature, and their hermeneutics cannot be limited to the works final version but should include also preparatory sketches and draft. Consequently, this kind of approach, never yet attempted in Mahler scholarship, seems to me to be one of the most useful ways to understand the hermeneutic of Mahler’s music narrativity. Without this view, then, I can say by using an imaginative language, we can see only the tip of an iceberg of the phenomenon and not the submerged part that could explain much of enigmas of modernism of Mahler’s music.

In the analytic pathway displayed in what follows, I suggest that in the extant sketches and draft of the fifth movement of Mahler’s Tenth Symphony are detectable markers of a narrative strategy I call ‘narrativisation’ and that they become essential attributes of the hermeneutics of the movement. In the first part of this article, in section 1 I will define the terms, respectively, of ‘voice’ and ‘time’ and in section 2 those of ‘narrativity’ and ‘narrativisation’, in section 3 I present the heuristic apparatus of my analysis which is presented in the second part of the article, in sections 3, 4, 5 and 6. As a result, my analytic pathway suggests in the conclusions (section 7) that the composer by his narrativising compositional process wanted to repre-

sent in the movement a process of writing, in a meta-referential play between an ‘inside’ and an ‘outside’ of what I define ‘his mental composing hut’.

First Part: Theoretical Terms

1. Time’ and ‘Voice’ in Mahler's Musical Narrativity

Two of the terms, borrowed from narratology, recurring most frequently in relation to Mahler's music, are ‘time’ and ‘voice’. These mean, respectively, the persona (an external or internal narrator) who is speaking in a given narrative, and all temporal relations between the ‘story’, or ‘what is told’ in terms of the chronological order of a narrative’s events, and ‘discourse’, or ‘how it is told’ in terms of the actual unfolding of the events in the text, which may not conform to chronological order.

The starting point of reflection on the dimension of ‘time’ in Mahler’s music is Adorno (1960/1992, pp. 60–81) in his masterful monograph *Mahler. Eine Musikalische Physiognomik* (*Mahler. A Musical Physiology*). In this book, Adorno considers Mahler’s searching for an alternative temporal order—the novelistic—to that of classical sonata form (1960/1992, p. 63). The reception of Adorno’s ground-breaking comparison of Mahler’s music with the novel has continued upon other conceptual grounds—mainly semiotics and narratology—which are obviously distinct from Adorno’s philosophical apparatus. From this perspective, the second point of comparison in music is the distinction in literary narratology between the ‘story’ and the ‘discourse’.

In line with this distinction, Vera Micznik’ (2001) proposes what can be considered one the most convincing model of musical narrativity in terms of theoretical credibility and analytical validation. She asks: ‘What are the conditions under which we need to invoke narrativity in our analyses, or under which our “narrative impulse” is stronger?’ (2001, p. 198). Her answer is that this listener's ‘narrative impulse’ is triggered not only, as Jean Jacques Nattiez (1990, pp. 240–257) thinks, by extra-textual factors (e.g. titles, programmes, composer's inspiration) but also by special textual narrative-like qualities of the music itself. If, due to its denotative weakness, mu-

sic cannot be narrative in the most complete and intelligible way of an actual novel or tale, it can still possess musical features which place it somewhere on a spectrum of greater or lesser musical ‘degree of narrativity’.² To identify these special narrative-like features she transposes some narrative concepts, taken or adapted from narratology, into the realm of music by grouping them into the two above narratological categories of ‘story’ and ‘discourse’. Under the heading ‘story’ she abstracts, on a paradigmatic plane, the musical unities which are comparable to narrative events and analyses their meanings ‘from the simplest to the more complex—from explicit to implicit—semiotic levels (morphological, syntactic and semantic) as a demonstration of what makes them [comparable to] “events”’ (Micznik, 2001, p. 199).

Micznik does not really propose or borrow an explicit definition of musical ‘events’, but rather, implicitly refers to a very common definition of them in terms of narrative’s fundamental unities articulated by a ‘change of state’, whose marker is a verb tense (see, for example, Michael Scheffel, 2001). From Micznik’s theorising, I argue that another semiotic function compensates in music, at least partially, for the lack of a verb tense. In fact, a comparison to ‘events’ of musical units (cells motives, themes, and so forth) is possible when they have autonomous connotative semantic content, determined primarily by self-referential and intertextual meanings. More than by the primary parameters that refer to a self-referential semiotic system determined by tonal conventions, the semantic content, in a piece with a high degree of narrativity, is conveyed by less conventionalised secondary parameters.³ These refer to the more basic, general patterns of ‘processes of accumulation, velocity, dissolution, [and] disorientation’ (Micznik 2001, p. 226). In my terms, the secondary parameters refer, more directly, to an extra-musical world and thus are more comparable than the primary parame-

² Micznik’s scalar conception of narrativity could be traced back to White (1980, p. 5–27, see section 2 of this chapter for further references to this theory), and Prince (1982)

³ Micznik’s distinction between primary and secondary parameters is based on Subotnik (1981, pp. 84–85) and Leonard Meyer (1989). By following Meyer (1989, pp. 14–16) Micznik considers primary parameters ‘syntactic’ ‘because they depend on syntactic constraints (melody, rhythm, harmony)’ (Micznik 2001, p. 200), and secondary parameters, ‘statistical’ ‘because they can have only a “statistical” characterization (dynamic level, tempo, texture, timbre, rate of activity, register, etc.’ (Micznik 2001, p. 200).

ters, but without their denotative precision, to the referentiality of the events of verbal narrativity.

The articulation of these semantically autonomous units ('events') in their syntagmatic discursive sequence during the piece is the dominion of Micznik's dimension of 'discourse'. In this category, she examines 'the particular mode of unfolding (the presentation) of these events within the "musical formal discourse" of the respective movements and the capabilities of the "discourse" itself to produce meanings through 'gestural connotations' and through "temporal manipulations"' (Micznik 2001, p. 199) and through 'discursive syntax and functions. These are analogous to roles and a hierarchy of events narrated in a plot theorised by Roland Barthes as 'narrative functions' (Barthes 1977, pp. 93–97). The 'gestural connotations' are described in terms of 'musical gestures which are homologous to structures or processes from other [extra-musical] domains of reality, often realized musically through secondary parameters [...] thus replacing the tonal goal-orientated plots' (Micznik, 2001, p. 226). Moreover, gestural connotations overshadow the tonal plot, accounting for Rose Subotnik's 'series of analogous structures, what seem to be other autonomous layers of meaning' (Micznik 2001, pp. 226–227). I add that in the management of discursive teleology, in a piece having a high degree of narrativity, often these structures assume a leading role which is comparable to that of tonal goal-orientated plots. They do this by determining an overall 'gestural plot', to which the other discursive narrative-like features described in this section contribute.

'Temporal discursive processes' are equivalent to Gérard Genette's narratological dimensions (Genette 1972/1980, pp. 33–160) and they produce narrative meanings by 'duration', 'frequency', 'speed' and 'order'. Within this dimension Micznik takes account of the discrepancy in Mahler's music 'between the discourse as presented in the musical text and an "ideal" temporal discursive scheme (which could consist of older formal models, generic schemes or an expected expressive pattern)' (Micznik, 2001, p. 236) and/or the temporal scheme established at the beginning of the piece. So, for 'duration', in Mahler's Ninth Symphony she notes 'a gradual increase in the time-span between the two themes during the [first] movement' (Micznik, 2001, p. 236). In regard to 'frequency' and 'speed' she remarks that

‘Mahler’s use of variable tempos, and thus the great number of pauses, accelerations and decelerations, constantly affects the unfolding of events in the freedom of their “speed”, which renders the discourse more gestural, connotative of non-musical, more universal concepts’ (Micznik, 2001, p. 236). In regard to ‘order’ she remarks upon ‘the tension between the potential traditional ordering expected from the functioning of events in a first movement sonata form and the rules established by the specific events’ (Micznik, 2001, p. 236).

In musicology, the term ‘voice’ has been advanced some distance since Adorno in his book on Mahler, where he was the first to pinpoint an *extra-textual* level of the act of making music—considered as potentially comparable to a narrative—in a communicative context. ‘Even where the musical process seems to say I, its correlative, analogous to the latent objective first person of the literary narrative, is divided by the gulf of the aesthetic from the person who wrote the phrase’ (Adorno, 1960/1992, p. 24). The reception of Adorno’s ground-breaking theorisation remains essential for continuing a vigorous discussion of a possible narrative agency in music though upon other conceptual grounds—mainly semiotics and narratology—which are obviously distinct from Adorno’s philosophical apparatus. In this discussion, some authors seem to credit the idea that morphological discontinuities and a high gestural physiognomy of musical ideas can play a key role in their personification by the listener. Indeed, in this process a further step seems necessary, that of attributing this voice (otherwise impersonal) to someone (for example a narrator) who performs the action of telling. This doubtlessly may be problematic, given the weakness of referential–denotative meaning in music.

In this trend of musicology, the narrative theory is often an essential comparative term so it is worth considering Genette’s theory (1972/1980, pp. 212–262). Here the voice (or narrator) is defined by its narrative level and by the relationship with the story it is telling. In relation to the narrative level, the voice can be ‘extradiegetic’ or ‘intradiegetic’ if it is respectively external or internal to the story it is telling. In relation to the relationship with the story, it is telling the voice can be ‘hetero-’ or ‘homodiegetic’ if it is, respectively absent or present in the story itself as a character of the story it is telling.

An echo of this theory is maybe present in Edward T. Cone's 'The Composer's Voice' (1974). In this essay he asks 'If music is a language, then who is speaking?' (1974, p. 1). He goes on to consider the multidimensional perspective of the different possible narrative or dramatic voices (also termed 'personae' and 'agents' by him) and he argues that in music it is the composer who speaks, but he must always be distinguished from the actual composer, like a literary alter-ego (Cone, 1974, p. 84). Again, the composer does not speak directly, but via the proxy of different roles, who are the implied personae involved (like characters in a narrative). These 'personae' can be easily identified in opera or vocal music thanks to the verbal text: respectively they are the opera characters, and the vocal parts and/or those suggested by the poetic text (in Cone's example of Schubert's *Erlkönig*, within the text there are the narrator, the father, the son and the Elf-King).

This personification is, however, more difficult in purely instrumental music. In the case study of Berlioz's *Symphonie fantastique* (1974, pp. 81–114), Cone considers symphonic music the realm of the 'experiencing subject'. Here, with the lack of a verbal aid, such as a text to be sung, 'the complete musical persona' can be 'unitary' (in the case of a solo instrument) or represented by 'virtual agents': that is, groups of instruments that, provided that the related musical ideas are highly characterised, assume roles analogous to those of literary characters. Cone's search for signs in the musical text of the central role of the composer ('the composer's voice'), to which the other agents can be traced back, relies upon undeniable features of the text which refer to a historical-poetical/aesthetic context provided by Cone in his essay. In the case of this symphony, that is the composer's *Traité d'instrumentation et orchestration*, his notes to this symphony's first edition, and Berlioz's letters—all documents considered by the musicologist for the sake of the composer's *intention* and *plan*. However, this aspect of Cone's work is not fully developed, requiring a more complete reconstruction of the communicative process he clearly and properly invokes. In this perspective, in fact, an implication of Cone's theory needs to consider the entire compositional process as a part of this communicative act in that performative dimension persuasively outlined by him. As it happens for other pioneering works, Cone's essay has in one sense been masterful in identifying a new perspective, one which has been highly responsive to significant

research developments; on the other hand, however, sometimes he seems to generalise too much in his otherwise brilliant intuitions. For example, the identity of Cone's 'virtual agents' depends almost entirely on the instrumental characters in themselves (for example, the emergence of instruments from the orchestra), which appears too general and trans-historic to be considered narrative- or dramatic-like features, which might be related to the composer's poetics or the aesthetics of his time. These references seem still more necessary for the medium of music, whose semantic content leverages primarily through connotation. The suspicion in such cases is that a narrative (or dramatic) nature of music tends to be regarded by scholars as a trans-historic, totalising *normative system*, as in verbal narrative; instead, however, the realm of music narrativity is, according to Lawrence Kramer (1991, p. 189), a non-normativity (see section 3 of this chapter about deepening this epistemological issue). Another contentious aspect of Cone's essay is its monologic conception that brings the multiple voices conveyed by musical gestures back to a single agency: that of the composer. This is probably adequate for late eighteenth- to early nineteenth-century novels, to which *Symphonie fantastique* is surely comparable. But according to Federico Celestini (2014) and Julian Johnson (2009, pp. 47, 130, 132, 134), Mahler's music seems more akin to Mikhail Bakhtin's 'polyphony' of the late nineteenth-century novel. So 'the deployment of voices in a Mahler song, let alone a symphony, erodes the sense of an implied authorial persona behind the personae of voice and accompaniment' (Johnson 2009, p. 5).

Particularly interesting in my perspective are the notions of voice and agency, developed by Byron Almén (2008). This author demonstrates a theoretical completeness in an organic 'theory of music narrative'—perhaps one of the most complete panorama in this field. In fact, his model combines Eero Tarasti's (1979), Micznik's (2001) and James Liszka's (1989) theories and, from the latter, he borrows two narrative analysis levels, involved with the voice dimension, which he calls 'agential' and 'actantial'. The 'agential' level, adapted from Liszka (1989, p. 120), refers 'to the level of narrative analysis within which musical agents such as theme- or motive-actors are articulated and defined and their morphological, syntactic, and semantic features described' (Almén 2008, p. 229). This corresponds completely to Micznik's 'story' (Almén 2008, p. 224). Almén's actantial level is

the stage of narrative analysis within which musical agents interact—that is, ‘the level at which these units acquire their narrative roles or functions’ (Almén 2008, p. 229), and this level corresponds to Micznik’s ‘discourse’ (Almén 2008, p. 224).

Like other of Micznik’s ‘events’, agents occur when there is articulation of individualisable semantic contents. But Almén is more specific than Micznik in distinguishing events that can be bearers of ‘actoriality’, ‘a discursive category involving semantic units that have acquired the status of anthropomorphised subjects to participate in a narrative trajectory’ (Almén 2008, p. 229). To understand when these units can acquire actoriality, the author quotes Tarasti’s (1994, pp. 161–165) analysis of Chopin’s G-minor *Ballade*. Almén points out that ‘in the actorial analysis [...] Tarasti tracks two parallel trends, the *gradual* supplanting of the waltz theme by the quasi parlando material as the main actor and the *gradual* emergence of hidden connections between the two themes and recitative-like introduction’ (Almén 2009, p. 59; emphasis mine).

In my perspective, what identifies an agent as ‘actor’, other than its disruptive gesturality, is its diachronic, teleological evolution during the piece (as indicated by the italicised word ‘gradual’ in Tarasti’s quote). Another, stronger, marker of an idea’s actoriality may be its participation in a narrative-like gestural plot (see above). A typical marker of this diachronic dimension is also the recurrence of a given ‘actorial’ idea in new forms during the piece. This aspect finds its theoretical codification in Adorno’s definition of Mahler’s ‘variant’, exemplified in his beautiful metaphor about the second movement of the Fifth Symphony’s secondary idea, which is *transformed*, ‘as if, unexpectedly, a previous unregarded person now entered the scene to assist development, as in Balzac and Walter Scott’ (Adorno 1960/1992, p. 71).

I would add that Almén’s terms should be applied not only to the work’s final version, on which his theorising is based, but also to the compositional process, to discern whether there is intentionality by the composer in triggering a listener’s interpretive response, in terms of actoriality, to given musical ideas gesturally connoted. A related task is to understand, on the basis of preparatory materials, if there is an ‘actorial’ teleology across sketches and drafts of such musical ideas—in other words, if there is a

pathway of their ‘actorialisation’ across the compositional process. This task is particularly useful for Mahler’s music, considering that these kinds of ideas sometimes seem to have an ephemeral, sketchy character, coming from some ‘past’ of the writing (a previous stage of the compositional process), which needs to be more clearly identified and explained.

2. Definition of ‘Musical Narrativisation’ and ‘Musical Narrativity’

The following task of my heuristic procedure is to define the terms ‘musical narrativisation’ and ‘musical narrativity’. I will do this from the perspective of the composer’s ‘narrative impulse’, that is a possible narrative strategy across the compositional process whose the previous terms can be markers. But it is necessary previously to discuss the epistemological basis of these concepts. This task is essential to my research, given that the application of musical narratology theories can be contentious, considering the significant areas of disagreement within the scholarship about many issues in this field. In this perspective, in an epistemological falsificationist perspective, is worth considering the most radical objection, which comes from Nattiez, who employs an ontological argument to deny any possibility of music narrative, due to the low referentiality and grammaticality of this art form. Beyond the obviousness of the confutation in the first part of his aphorism (‘Music is not narrative’), of a thesis that is not maintained even by the most extreme music narratologists, the second part of the same statement (‘any description of its formal structures in terms of narrative is nothing but superfluous metaphor’) finds a denial from a possible ‘narrative composer’s impulse’, which becomes an essential element of a ‘historical hermeneutics’ that even this author admits too (Nattiez 2006, pp. 261–271).

If anything, a different epistemological problem ought to be raised. Accepting the relevance and the hermeneutical pertinence of the composer’s ‘narrative impulse’, the discourse on this dimension should be supported through solid validation criteria, which can consent comparing given musical work to narrative on the basis of precise references to its textual features. The heuristic pitfalls increase as one approaches those feature by applying deductively and wholesale a narratological theory conceived for literature—a medium which, compared to music, doubtless has major normativity, ref-

erential functionality and systematic consistency. In these cases, the risk is that the analyst can find narrative assumed like a piece's features, led more by a wholesale application of narratological literary theory to music than by the actual text's evidence, and so overestimate the likeness and underestimate the differences from the linguistic medium. But the realm of musical narrativity, just for leveraging connotative nonconventional devices of secondary parameters, is not normative but rather *disruptive* of codified norms (for example, classical tonal and formal nexuses) Another important aspect to take into account is that for an authorial discourse on 'narrative impulse' to be credible it needs to find in the text numerous agreeing clues of narrativity in different parameters, not isolated narrative-like features. This is to ensure that they belong to composer's planned narrative-like teleology and not to other inspirational aspects that are not ascribable to this purpose. In contrast, few and uncoordinated narrative-like aspects cannot demonstrate with reasonable certainty the 'composer's narrative impulse', but only at most a greater effect in music of 'a general category of the human mind, a competency that involves putting temporal events into a certain order, a syntagmatic continuum' (Tarasti 1994, p. 24) that operates in different human expressions and that finds in the verbal its more common and recognisable cultural practices of novel or tale.

To avoid the pitfalls of a 'totalising' discourse on music narratology, with the fatal aporetic and trans-historic outcomes, this study uses a more controllable heuristic apparatus. In fact, I do not want to consider my discourse on music narrativity in Mahler's Tenth as part of a general semiotic theory (borrowed from literature) of music narrative analytically focused on Mahler's music as a case study. Instead, I start inductively, from the undeniable truth that, given its denotative deficiency, music *cannot narrate* in the most obvious, complete sense of the term, in the way codified cultural practices like a novel or a tale do. From this perspective, however, I admit that musical works, within certain historic-cultural circumstances (Micznik 2001, p. 198) exhibit some degree of morphological, syntactic and semantic and discursive analogies—to be demonstrated, with verbal narrative, in terms not only of similarities but also of differences.

The following step of this legitimation is a logical continuation of the pathway tracked in Micznik's (2001) and Kramer's (1995) essays towards

an authorial dimension of musical narrativity. In particular, Micznik (2001, p. 225) reflects on the genesis and evolution during the compositional process of a motive of the Ninth's first movement. At another point, she speaks of a 'composer's strategy' which is 'highly conventionalised' and 'to a large degree predetermined' in relation to tonality in the classical period (Micznik 2001, p. 220); instead, for 'a late-Romantic composer like Mahler it [this "composer's strategy"] is more likely to present unusual, unexpected discursive "narrative" techniques' (Micznik 2001, p. 220). In Micznik's essay (2001), this aspect clearly relates (again proving Adorno's intuitions analytically) to Mahler's musical narrativity via a *performative, oral* and *improvisatory* musical structural dimension, which in Mahler's style coexists with (and transforms) the sonata form's conventional schemata. Moreover, in this conceptual view, these schemata assume Adorno's 'nominalistic' (Adorno 1960/1992, p. 73) role for sonata form, comparable to the epic's fixed formulas: just as these formulas acted as aids for the memory of oral storytellers, sonata form is an aid for the composer's compositional train of thought. So *improvisatory* and *performative* characteristics have to be added, as attributes of musical narrativity and of its 'composer's impulse', to the abovementioned disruptivity and non-normativity.

From this perspective, as a step further away from Micznik and Lawrence Kramer, I use the term 'narrativisation' to indicate a possible composer's narrative-like strategy— diachronically, the *process*—which may have left its traces across the entire compositional process from sketches and drafts (if they are available) to the final version. Then I use the term 'narrativity'—the *product*—in terms of synchronic traces of the narrativisation in the final text or in the last stage of the existing compositional materials and in sketches and drafts of preparatory materials. The heuristic choices above set my enterprise in a perspective 'narrative interpretation' (according to Micznik's definition, 2001, p. 202), of Mahler's music not as a systematic theory of music semiotics. Nonetheless my approach uses narratological and semiotic tools, but only to realise its hermeneutic scope by searching for cultural historical evidence in the piece's text enlarged to include sketches and drafts. Given that according to Lawrence Kramer musical narrativity is 'performative, in the sense of the term developed by speech-act theory' (Lawrence Kramer 1995, p. 100), my vantage point looks beyond the mere

text (final version and preparatory materials) to include the interactional historical-cultural context surrounding the work.

As with any interpretation, this one is subject to a control horizon, which needs to be based on a critical-historic perspective. To identify this, I use Umberto Eco's theory, from the book *I limiti dell'interpretazione* (Eco, 1990, pp. 34, 103–125). According to this theory, given the impossibility of recovering the immanency of the '*intentio auctoris*' ('author's intention'), situated in a past and lost dimension of the original creative act and its communicative context—an interpretation can be legitimised only as a guesswork of the intention of the 'implied author' the interpreter can infer from text features (Eco's '*intentio operis*'—'intention of the text'). Then a legitimating 'criterion of economy' (Eco 1990, pp. 103–125) in this searching for '*intentio auctoris*' ('author's intention') requires selecting only those text tracts that are linkable with an originating *context* of communication, the cultural environment, as historically reconstructed, in which an artwork originates. I add that this is an aspect of an artistic communicational context which, unlike everyday conversational communication, needs a more or less complex and long-lasting *creative process* which is a scenario of a dense network of relations between the composer and other social actors through more or less shared codes. In this process, it is clear that the preparatory materials also play a non-secondary role in the semiotic theoretical scenario outlined by this author

3. Towards a 'Genetic' Analysis of Mahler's Narrativity

Given the framework outlined in the two previous sections, I can formulate two hypotheses. The first one is that in Mahler's writing process there is a narrative impulse—*narrativisation*—which, as a teleological impetus, runs diachronically through the compositional process from the initial sketches to the final compositional stage of the work. Synchronically, *narrativisation* can leave in the final version (or the draft of the last compositional stage) traces of *narrativity* which, however, are often only the tip of an iceberg of this process. My second hypothesis is that behind this impulse there is a composer's communicative intention (Eco's intention of 'implied author') that can be more fully comprehensible only considering the submerged part of that iceberg, the traces that the *narrativisation* has left in the

sketches and drafts. In other words, if the composer tells us something by narrativisation and narrativity, this something can be inferable only if the preparatory materials are also considered.

To corroborate these hypotheses, I will employ a ‘genetic’ apparatus of narrativity analysis to detect these dimensions along the compositional process of each movement of Mahler’s Tenth. To achieve this goal, this study’s method uses as its main reference Micznik’s theory (2001; see section 1) and, through this, the narrative theory by Genette (1972/1980), in the service of a ‘genetic’ approach with roots in the literary theory of ‘genetic criticism’. Micznik’s approach is well-suited to my research because, in contrast to other theories (such as Nattiez 1990) of musical narratology, avoids the aporetic pitfalls (as I have identified in sections 1 and 3 of this chapter) of ‘totalising’ music narratology theories, which give undue consideration to the narrative nature of music as a normative system. But because Micznik’s approach focuses on the ‘time’ dimension, this theory will be enlarged to include analytic parameters referring to the ‘voice’ dimension. Then, I will then link the analytical outcomes obtained through this ‘genetic’ analysis, following Eco’s line of thought (1990, pp. 34, 103–125), to contextual contingencies concerning the Tenth’s genesis, informed by letters and testimonies and other contextual references.

Unlike Micznik’s method, my apparatus will be applied not only to the final version (or the draft of the last compositional stage) of each movement of the work—as Micznik (2001) does with the first movement of Mahler’s Ninth—but also to all existing preparatory materials. From a comparison between the markers of narrativity detected in the former and in the latter, I will infer a process of narrativisation—the composer’s narrative-like strategy. Then I will focus on a possible overall narrative interpretation of each movement and of the entire symphony by linking the outcomes of these previous levels in a larger context of cultural history this chapter invokes.

To describe more in details my apparatus which will be carried out in Chapters Three to Seven I add that it consists of three stages. In the first stage I will make an analysis of the narrativity of the last stage of the existing compositional materials, using my version of Micznik’s apparatus. This stage is articulated in two phases:

- Micznik's 'story' level (comprising the dimensions of morphology, syntax and semantics): the basic musical ideas of the piece are described in their morphology, syntax and semantics to understand the features that make them comparable to narrative events.

- Micznik's 'discourse' level (comprising the dimensions of Barthesian narrative functions, gestural connotations, and Genettian temporal discursive processes: duration, speed and order): how the unfolding of these events⁴ in musical 'discourse' 'produces additional layers of meaning' (Micznik, 2001, p. 224).

The second stage is the analysis of narrativity across the compositional process. At this stage, for each of the sections of the movement I will analyse sketches and drafts by using the enlarged Micznik apparatus of the first stage. In this phase of my analysis I aim to identify the narrativity of variants and a possible process of *narrativisation*—for example, when there is an increasing degree of narrativity across them.⁵

The third stage is an overall narrative interpretation of each movement and of the entire symphony. During this stage, I will recombine the results of the previous two analytical stages in a hermeneutic overview which aims to identify a possible overall implied composer's narrative intention. More specifically, I will accomplish a further step from the current narratology in Mahler's music. Existing writings in this trend focus almost entirely on the dimension of 'how' the composer 'makes music in the way others narrate' (to quote Adorno's famous aphorism; 1960/1992, p. 63), with insufficient attention to the dimension of 'what' he wanted (or attempted) to narrate with his music. Perhaps this happens because these studies share a theoretical premise that 'it is not that [Mahler's] music wants to narrate' (to quote again the first part of that same Adorno aphorism 1960/1992, p. 63) but that it simply imitates narrative.

⁴ For my definition of the term 'event', see section 1 of this chapter in the discussion of Micznik's theory.

⁵ Some musical units can be qualified as 'events' but remain unchanged across variants. In these cases, evidently, no diachronic process of *narrativisation* is detectable across the variants of these musical units, but, according to Micznik (2001) they are the same markers of narrativity given their morphological, syntactic and semantic autonomy which makes them just 'events', as explained in section 1.

To understand what the implied composer wanted (or attempted) to narrate I will try to identify in the Tenth Genette's 'narration', as 'the act of telling [...] the producing narrative action and, by extension, the whole of the real or fictional situation in which that action takes place' (Genette, 1972/1980, p. 28). Hence I will search in the text for a possible 'intra'-, 'extra'-, 'hetero'-, and homodiegetic narrator, (as defined in section 1) by his temporal relationship with the story being told, according to Genette's theory. My final aim is to try to identify what in semiotic terms I can define as the overall *signified* pursued by the composer of the *signifiers* determined by the narrativity of chronologically different variants and versions, through the process of narrativisation.

With this purpose, however, it would be disingenuous to suppose that Mahler, with a narrative-like strategy, would have wanted to tell an actual narrative, purposefully imitating the precision and normativity of the verbal medium. This is also testified by Mahler's dismissal of programme music, inferable by the cancelled subtitles of movements of the Second Third and Fourth Symphonies, and by the composer's poetic conception of 'inner program'.⁶ This theme of Mahler's scholarship is vast and controversial, deserving further research. Here, for the sake of my research aim, I can note only that my hypothesis to support in this third stage of analysis is that Mahler's narrativisation in the Tenth, if not explainable in terms of programme music, depicts something more concrete and teleologically articulate than a more general overall 'narrative' teleological plot archetype. Adorno observes that in Mahler's music 'the inwardness of music assimilates the outward, instead of representing, externalizing, the inward' (1960/1992, p. 70). Then, on the basis of the theoretical pathway of this chapter I suspect that in Mahler's Tenth the pieces of outwardness assimilated by the inwardness of his music are disseminated, in narrative-like traces, throughout the entire compositional process, from the initial sketches to the last compositional stage. So after having supported in the previous two stages of my apparatus the hypothesis that the composer really does attempt to narrate, the compositional process can be seen as the scenario of the author's act of narrating—the Genettian whole of the real or fictional

⁶ See Hefling 1988, Donald Mitchell 2002, pp. 187–216.

situation— takes place'. In this third stage, then, my task is to map these narrative-like traces onto an overall narrative interpretation set in relation to a larger cultural context that could have inspired his creative act, according to Eco's epistemological validating parameters (presented in section 2).

Second Part: 'Genetic' analysis of narrativity of the Tenth's Fifth Movement

In the following sections 4 and 5, at the first stage of my apparatus, I will analyse the draft of the last compositional stage, a short score in bifolios (ÖNB Mus. Hs. 41000/9 and ÖNB Mus. Hs. 41000/5).⁷ In section 6, at the second stage of my analytical apparatus, I will consider the only existing preparatory materials, the loose-sheet pages RF51, RF52 and RF53. So by comparing the narrativity of these early variants with the abovementioned draft, I will infer a diachronic process of narrativisation. In section 7, by considering the analytic outcomes of the previous stages I will attempt an overall narrative interpretation of movement to infer the composer's narrative strategy

4. 'Story' Analytic Level

At the paradigmatic level of 'story', there is a great gestural contrast between basic musical ideas which, for this reason, seem even more comparable with narrative events. Moreover, this movement shows a high degree of what I call 'motivic-thematic hybridity'. This means that the events of the movement are composed of semantically non-autonomous basic motivic units which recur autonomously in other events and doubtless this is a feature that enhances that individuality and autonomy of materials which are markers of a high degree of narrativity. As a consequence, the basic musical ideas which can be compared to narrative events have a significant number

⁷ The acronyms refer to the existing manuscript materials of this work: the Ricke facsimile (1967), the reproductions of manuscript pages included in the 'performing edition' by Deryck Cooke (1976) respectively indicated by 'RF' and 'CF'76', both followed by the relevant page number respectively in Arabic and roman numerals), the Austrian National Library's manuscript (having a signature beginning with 'ÖNB')

of common (morpho-syntactically and semantically not autonomous) basic motives. Moreover, due to this hybridity, the motivic-thematic identity of every ‘narrative event’ is conveyed by the prevalence of one of the motives that is also present in other ‘narrative events’. The peculiarity of this movement, however, is that these basic non-autonomous motives are entirely borrowed from other movements. These can be arranged, according to Jörg Rothkamm (2003, pp. 187–188)⁸ into nine motive groups labelled by him with ‘II’, ‘d’ ‘IV’ ‘AII’, ‘a’, ‘III’, ‘I’, ‘b’ ‘AI’ (see Ex. 1, which indicates the most important occurrences of these motive groups).⁹ The motive group IV, is borrowed from the third movement and according to Rothkamm (2003, pp. 145-146), derives from song ‘Erntelied’ by composer’s wife Alma’.¹⁰ In this movement this motive group assumes in its insistent recurrence in this movement a particular structural importance in the management of materials. For this reason, in what follows, I shall refer to them as ‘*Erntelied motive*’. Likewise, a strong structural importance assume also motives from groups I label with ‘j’ (first occurrence at bar 53,¹¹ Ex. 2) and ‘k’ (first occurrence at bars 98–103, Ex. 3).

The above mentioned morpho-syntactic contrast is particularly evident in the movement’s first part (bars 1–83), indicated by the composer by the word ‘*Einleitung*’ (‘introduction’). In fact, here there are two strongly different gesturally and semantically different musical ideas I call ‘*Event a*’ (first presented in bars 1–29, Ex. 4) and ‘*Event b*’ (first presented in bars 30–71, Ex. 5). *Event a* is nonthematic, seeming instead to be introductory (as is appropriate to an ‘*Einleitung*’) in its fragmentary, tentative musical gesture. Steven Coburn, for this reason, has called this section ‘cellular’ (Coburn 2002, p. 236). The backbone of this event is given by secondary

⁸ This author makes, for each movement, a distributional motivic inventory, based on a taxonomic affiliation of motives on the basis of their morphological similarity. This approach works well in my perspectives and corresponds quite with Micznik’s paradigmatic plane of the events (like it happens for this movement) or with their smaller constituent units (like it happens for second third fourth and fifth movements).

⁹ From here on I define them Rothkamm’s motive groups.

¹⁰ ‘Erntelied’ (‘Harvest Song’) from *Vier Lieder* was written by Alma on a text by Ludwig Heinrich Christoph Hölty (1748–1776). The poetry speaks of the awakening of the poet and of luxuriant and prosperous nature.

¹¹ From here on, the ar numbering refers to Mahler-Bouwman 1 (2017 pp. 131–271).

parameters of dynamics and timbre, by a sequence of *sf* drum strokes (bars 1, 9, 24) which are the continuation of the noise-music of the end of the fourth movement. The short motives from Rothkamm's groups II and *d* (Ex. 1) of third movement are also present in this event. In this environment within this section by contrast to its fragmentism, appear the more continuous *Erntelied motive* at bars 12–14¹², 22–24 and 28–29.

¹² From here on, the reader to follow the analysis presented in this chapter can benefit from the table 1.

Finale T. 2 II

Finale T. 8 d

Finale T. 12 IV

Finale T. 315 (erstmals T. 45) AII

Finale T. 87 a

Finale T. 95 III

Finale T. 128 I

Finale T. 269 b

Finale T. 285 AI

Purgatorio T. 11

4. Satz, T. 27

Purgatorio, T. 92

Adagio, T. 16

4. Satz, T. 232

Purgatorio, T. 72

Purgatorio, T. 92

4. Satz, T. 3

Adagio, T. 1

Ex. 1: Rothkamm's motive-groups (taken from Rothkamm, 2003, pp. 187)

ÖNB Mus. Hs.
41000/5 [4] 7
Pc2i

51 52 53 54 55 56 57

- 135 -

Ex. 2: motive group j (bar 53) (taken from Mahler-Bouwman, 1 2017, p.135)

ÖNB Mus. Hs.
41000/5 [5] 9
Pc3ii

97 98 99 100 101 102 103 104 105 106 107 108

sempre p

- 140 -

Ex. 3: motive group k, bars 98–103 (taken from Mahler-Bouwman, 1 2017, p.140)

ÖNB Mus. Hs. 41000/5 [2] 3 Pc1i

Einleitung

2. Hr. *schnel*

2. Hr. *schnel*

Lan

Ged. Trom

etc.

Ex. 4: Event a, bars 1–15 (taken from Mahler-Bouwman, 1 2017, p. 131)

ÖNB Mus. Hs. 41000/5 [2] 3 Pc1ii

Her

bleibe

Fl.

- 132 -

ÖNB Mus. Hs. 41000/5 [2] 3 Pc1iii

etc.

Ex. 5: Event b, bars 30–49 (taken from Mahler-Bouwman, 1 2017, pp.132–133)

In contrast to *Event a*, the construction of *Event b*, with the prevalent *Erntelied* motive material, is thematic and fluent; its backbone is given by the primary parameter of melody and its compositional materials display a higher degree of coordination between the parameters. The phrasing tends to be regular, rests are rare, and the melodic gesture is continuous. It seems, contrary to the uncertain gait of *Event a*, to go ahead by itself, pushed teleologically by the *Erntelied* motive in its continuous refrain.⁹⁰ In other words, this motive behaves morphologically as an ‘agent’, and this can be considered another important narrative aspect, according to Almén’s theory (2008, p. 229). These features of fluency and continuity are particularly present in the last and longest occurrence (bars 299–400) of this event, which is also its most extended statement (both in this movement and in the whole symphony).

Another basic musical gesturally autonomous idea is that I call ‘*Event c(a)*’ (first presented at bars 84–97, Ex. 6) that in the part of the manuscript marked ‘Allegro Moderato’, exists morphologically at a halfway point between *Event a* and *Event b*. The prevalence of motives from Rothkamm’s groups II and *d* seems to ascribe this idea to *Event a*; however, these cells are paired with the recurring longer motive. This *Event c(a)* is characterised by a rhythmically feverish continuous movement, borrowed by the third movement, entitled ‘Purgatorio’; for this reason, de La Grange (2008, p. 1523) defines this idea ‘a la Purgatorio’. Moreover, at every occurrence (104, 121, 127, 152), this event reveals its fragmentary life during the movement because it is continually interrupted by ever longer occurrences of *Event b*. It is just this iterative reciprocal contrast which will become the backbone of the gestural plot of the movement (see below).

The reference to other movements happens other than at the minute level of morphologically and semantically non-autonomous basic motives. It happens also at a level of entirely gesturally and semantically autonomous events imported from previous movements. In fact, part of the first movement’s climax (precisely the bars 203–212) is quoted in this movement at bars 275–283 (Ex. 7). I add that if that passage the first movement is a

⁹⁰ Coburn (2002, pp. 240–49), has accurately described the structural function of this continuous refrain of the occurrences during the movement.

shapeless sound mass, it is here more defined by adding the (still) fragmentary melodic attempt given by cells from Rothkamm's motive groups *d* and *II*. Another event borrowed from the first movement is its quasi-atonal intro-refrain I call '*Event x*', here presented in two occurrences framing the above climactic section: at bars 267–274 (Ex. 8) as a reference to bars 188–193 of the first movement, and at bars 284–298 (Ex. 9), borrowing from bars 1–15 of the first movement.

Also, in this movement as in others, smaller events play a special role in the unfolding of the movement, starting from the developmental '*Allegro moderato*'. Two distinct musical ideas that are morpho-syntactically and semantically autonomous occur within *Event b*: '*Event b1*' (bars 119–120, Ex. 10) and '*Event b2*' (bars 125–126, Ex. 11). With the occurrence of *Event c(a)* at bars 121–124, *Event b1* and *Event b2* are an almost integral quotation of bars 107–114 of the third movement. Both *Event b1* and *Event b2* present a unique *Erntelied motive*, emphasised by dynamics ('*fff subito*' and '*ff*', respectively). Other 'narrative events' are *Event d* (bars 175–190, Ex. 12), *Event e* (bars 245–250, Ex. 13), and *Event f* (bars 261–266, Ex. 14) which evidence a transitional syntactical function and are morphologically very hybridised, given the presence of motive groups prevalent in both *Event b* and *Event c(a)*. *Event d* is a build-up followed by a climax borrowed from the fourth movement (bars 432–436).

At the end of *Event d* (bars 175–190), there is a significant repetition of the interval of a seventh presented twice in bars 187–198 which precedes the new occurrence of *Event b* at bar 191. It is expedient to make the listeners wait for the following *Event b* occurrence since they have already heard this interval preceding the arrival of *Event b* at bars 29–30. *Event e*, in addition to being transitional, is interruptive, since it abruptly interrupts the melody of *Event b* at bar 245. It uses motives from four Rothkamm's groups (*k*, *II*, *b*, *d*). Again, in this section, there is the interval of a seventh (bars 148–149) as in *Event d*. Here, however, the return of *Event b* is elided, and what arrives instead is an occurrence of *Event c(a)* in bars 251–260. *Event f* is another build-up that leads to the climactic *Event x* and uses motives from Rothkamm's groups *d*, *II* and also from group *k*. This motif recurs in two places of the section, bars 261–264 and 265–66, in which the second one is interrupted by the coming climatic section.

Allegro moderato

ÖNB Mus. Hs. 41000/5 [5] 9 Pc3i

84 85 86 87 88 89 90 91 92 93 94 95 96

This image shows a musical score for a string quartet, specifically bars 84 to 96. The tempo is marked 'Allegro moderato'. The score is written for four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The notation includes various rhythmic values, accidentals, and dynamic markings. The bar numbers 84 through 96 are printed below the staves.

etc.

Ex. 6: *Event c(a)*, bars 84–96 (taken from Mahler-Bouwman, 1 2017, p. 139)

ÖNB Mus. Hs. 41000/5 [9] 17 Pc7iii

275 276 277 278 279 280 281 282 283 284 285 286

- 158 -

This image shows a musical score for a horn part, specifically bars 275 to 283. The score is written for a single staff. The notation includes various rhythmic values, accidentals, and dynamic markings. The bar numbers 275 through 286 are printed below the staff. A 'Tr.' (trill) marking is visible above bar 283, and an 'Hr.' (horn) marking is visible below bar 283. The page number '- 158 -' is printed at the bottom center.

Ex. 7: *Event c2* (bars 275–283) borrowed from the first movement (taken from Mahler-Bouwman, 1 2017, p. 158)

ÖNB Mus. Hs.
41000/5 [9] 17
Pc7ii

con 8

260 261 262 263 264 265 266 267 268 269 270 271 272 273 274

- 157 -

Ex. 8: *Event x* (bars 267–274) borrowed from the first movement (taken from Mahler-Bouwman, 1 2017, p. 157)

ÖNB Mus. Hs.
41000/5 [9] 17
Pc7iii

275 276 277 278 279 280 281 282 283 284 285 286

- 158 -

Ex. 9: *Event x* (bars 284–298) borrowed from the first movement (taken from Mahler-Bouwman, 1 2017, p. 157)

ÖNB Mus. Hs.
41000/5 [9] 17
Pc7iii

iv

Einlage

Pc7vi
weiter
Takt 31:

287 288 289 290 291 292 293 294 295 296 297 298

Ex. 10 (continued): *Event x* (bars 284–298) borrowed from the first movement (taken from Mahler-Bouwman, 1 2017, p. 157)

Zurückhaltend

fff sub.

ÖNB Mus. Hs.
41000/5 [5] 9
Pc3iv

119 120 1

Ex. 10: *Event b1*, bars 119–120 (taken from Mahler-Bouwman, 1 2017, p. 142)

ÖNB Mus. Hs.
41000/5 [5] 9
Pc3iv

Rit.

125 126

This image shows a close-up of a musical score for Mahler's Symphony No. 5, movement 3, measures 125 and 126. The score is for a four-part vocal ensemble (Soprano, Alto, Tenor, Bass). The key signature is one flat (B-flat major/D minor). The tempo marking is 'Rit.' (Ritardando). The dynamic marking is 'ff' (fortissimo). The score shows the vocal lines and a piano accompaniment. The piano part features a prominent bass line with a low octave G in measure 125 and a series of notes in measure 126.

Ex. 11: *Event b2*, bars 125–126 (taken from Mahler-Bouwman, 1 2017, p. 142)

ÖNB Mus. Hs.
41000/5 [6] 11
Pc4iv

170 171 172 173 174 175 176 177 178 179 180 181 182 183 184

- 146 -

This image shows a larger section of a musical score for Mahler's Symphony No. 5, movement 3, measures 170 through 184. The score is for a four-part vocal ensemble (Soprano, Alto, Tenor, Bass). The key signature is one flat. The score shows the vocal lines and a piano accompaniment. The piano part features a prominent bass line with a low octave G in measure 175 and a series of notes in measure 176. The score is marked with a red box around measures 175-184. The page number is - 146 -.

ÖNB Mus. Hs.
41000/5 [7] 13
Pc5i

185 186 187 188 189 190 191

This image shows a musical score for 'Event d' from Mahler's Sixth Symphony, measures 175-190. It features four staves: vocal line, two piano staves, and a bass line. The notation includes various rhythmic values, rests, and dynamic markings. The key signature has one flat, and the time signature is 4/4. The measures are numbered 185 through 191.

Ex. 12: *Event d*, bars 175–190 (taken from Mahler-Bouwman, 1 2017, pp. 146–147)

Ex. 12 (continued): *Event d*, bars 175–190 (taken from Mahler-Bouwman, 1 2017, pp. 146–147)

ÖNB Mus. Hs.
41000/5 [8] 15
Mahler: 6 spät
Pc6i

239 240 241 242 243 244 245 246 247 248

- 155 -

ÖNB Mus. Hs.
41000/5 [9] 17
Pc7i

249 250 251

This image shows a musical score for 'Event e' from Mahler's Sixth Symphony, measures 245-250. It features four staves: vocal line, two piano staves, and a bass line. The notation includes various rhythmic values, rests, and dynamic markings. The key signature has one flat, and the time signature is 4/4. The measures are numbered 239 through 248. A red box highlights measures 245-248. Below this, there is a continuation of the score for measures 249-250, with a page number '- 155 -' between them. The second part of the score is labeled 'Pc7i' and includes a 'p' dynamic marking.

Ex. 13: *Event e*, bars 245–250, (taken from Mahler-Bouwman, 1 2017, pp. 155–156)

ÖNB Mus. Hs.
41000/5 [9] 17
Pc7ii

con 8

260 261 262 263 264 265 266 2

Ex. 14: Event *f* (bars 261–266) (taken from Mahler-Bouwman, 1 2017, pp. 157)

Zurückhaltend Rit.

ÖNB Mus. Hs.
41000/5 [5] 9
Pc3iv

119 120 121 122 123 124 125 126 127 128 129 130 31

- 142 -

Ex. 15: bars 127–130 at the draft of the last compositional stage (taken from Mahler-Bouwman, 1 2017, pp. 142)

A further aspect of the morphological evolution of the basic motives deserves particular focus here to corroborate their narrative gestural autonomy. This aspect concerns the changes throughout the movement in the method of gesturally inserting semantically non-autonomous motives *j*, *k* and those belonging to Rothkamm's motive groups *b*, *d* II, III into each theme in which they are not prevalent. In other words, I wish to shed light, on the method of inserting into *Event b* of motives of Rothkamm's group *d* (and, to a lesser extent, of groups II, III and *b*), prevalent in *Event a* and *Event c(a)*, and that of inserting into *Event a* and *Event c(a)* of motives, prevalent in and structurally connected with *Event b*—the *Erntelied motive* and motives from groups *j* and *k*. In the expository section of the movement Rothkamm's *d* group cells appear most frequently integrated gesturally in their fragmentary 'natural environment'—the 'cellular' *Event a*—separated by rests or longer notes, emphasising their fragmentary status or in *Event b* at bars 53–54 and 67. In the developmental section (bars 84–266) other than in this 'natural environment' of *Event c(a)*, Rothkamm's *d* group cells are instead inserted into the *Event b* and more often conjoined with II and separated by rests, as a heterophonic disturbance out of context. 'Inserting' this disturbing motive to a pre-existent sketch in the added stave above the four-stave system of the short score (bar 201, fig. 1, in the circle) is a highly significant marker of the composer's strategy. Only in the recapitulatory section (bars 299–400), dominated by *Event b*, are the numerous occurrences of these cells from Rothkamm's *group d* (bars 303, 347, 371, 374, 375, 386 389) completely integrated morphologically into the fluency of *Event b*.

In the exposition section, *Erntelied motive* in the 'opposite' *Event a* is divided by rests integrated gesturally into its fragmentary gestures. When Rothkamm's *group d* cells occur in the development section, they appear gesturally fused (e.g. bars 96–97) (because not separated by rests) into this 'nervous' event. So in this part of the movement, the *Erntelied motive* does not disturb *Event c(a)* but rather irrupt outside of it, in the form of the ever more continuous occurrences of *Event b*. To sum up, motives from Rothkamm's *group d* integrates gesturally with the occurrences of *Event b* in the exposition and recapitulation sections only, but not in the development section. *Erntelied motive* by contrast, seems 'cohesive' and so are always (also in the developmental section) integrated gesturally into *Event a* and *Event*

c(a). Given the above-identified morpho-syntactic autonomous musical ideas, I will now show what makes them semantically autonomous so they can be considered definitely ‘narrative events’.

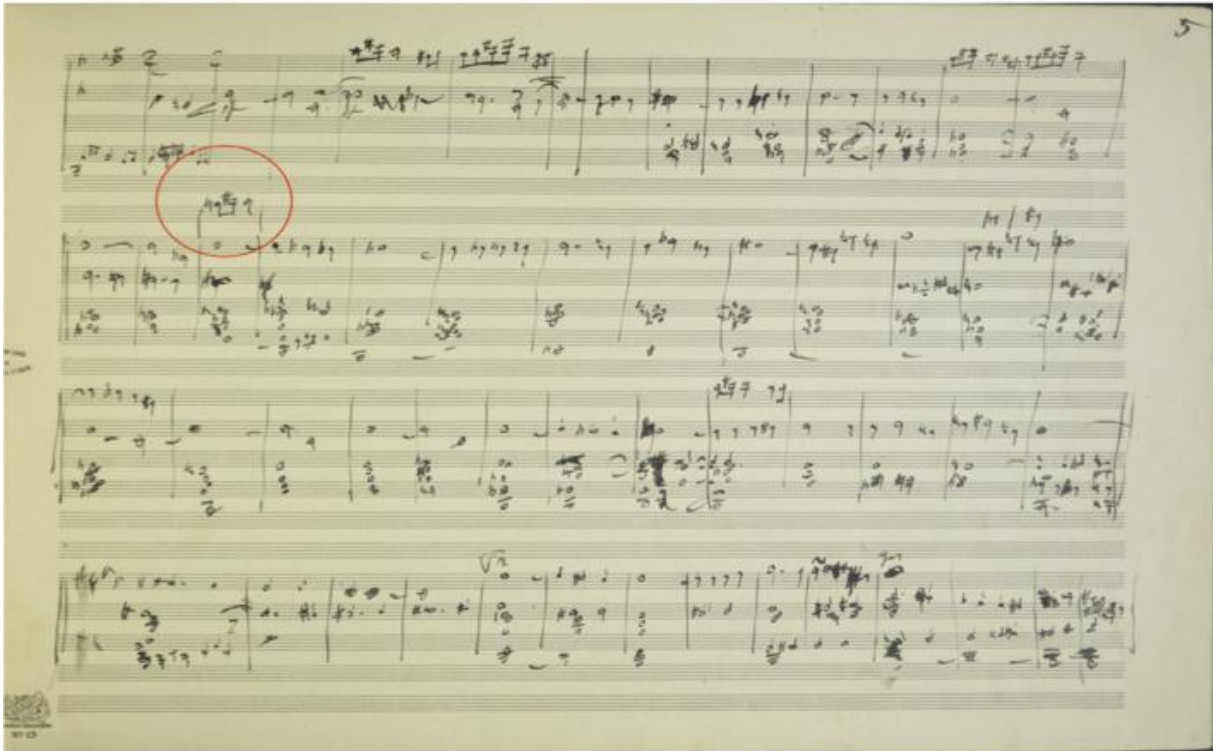


Fig. 1: ÖNB Mus.Hs. 41000/9[7], by kind permission of the owner, the Musiksammlung of the Austrian National Library, Vienna

In general, ‘transfiguration’ and ‘redemption’ are key terms, recurring in the literature on the Tenth Symphony, used to understand the semantics of the movement. According to Rothkamm (2003, p. 193), the initial and repeated drum stroke is a key semantic factor of *Event a*. This is, as above, intended to be the continuation of the fourth movement’s ‘vollständig gedämpfte’. It is a representation of the funeral, a musical gesture that can be linked with the biographic episode of the funeral march of a fireman that Alma and Gustav observed from a Hotel’s window in New York. In particular, according to Rothkamm (2003, p. 193), a musical representation of a funeral procession’s gait is detectable in the fragmented cell groups *d*. Indeed, this section is also ascribable to the conventional fragmentation of a symphony introduction (‘*Einleitung*’); however, there is another, more decisive, fictive-like continuation or *Erfüllung* of a the ‘novel’ of the symphony that was only sketched in the third movement. In it, in fact, Alma’s

‘Erntelied’ motives appear like transient fragments. Here, finally, with the increasing fluency of occurrences of *Event b*, the musical story of the writing of that Lied seems fully told and concluded by another hand—that of Gustav. The late regret to have forbidden Alma’s composing becomes an homage to her, to her Lied—or, to be more precise, to her writing that Lied.⁹¹

As in the second and fourth movement, the two main events, *Event a/c(a)* and *Event b* have motives in common for ‘hybridity’ which in this case makes the passage seem like a cinematic change of sequence. Within the same ideal set depicted by music, the composer goes from ‘outwardness’, out of the window, to ‘inwardness’,⁹² inside the window, to Alma’s image (to use the above biographical anecdote as a metaphor of music). This is the main semantic aspect of the movement (and perhaps of the symphony)—that is, the melodic construction of *Event b*, the revoking of the long-lasting lyrical and melodic memory.⁹³ The relationship between these two dimensions is particularly complex. The ‘subjective’, more abstract inwardness—the musical self and its ‘abstract’ constructive dynamics—fall ever more only on connotative–intertextual meanings: the reference to *Erntelied*’s motive, to a topic of endless melody of Isolde’s *Liebtestod* in the last occurrence of this theme (bars 299–400).⁹⁴ Instead, the ‘objective’ outwardness—the episode of the death of musical self—uses something other than the intertextual reference to funeral music: kinetic and iconic-musical meanings, the pace of the funeral procession, the last breaths of the dying musical self (*Erntelied motive*, bars 12–13, 22–23). The former is more than an assimilation, as I can read it by using Adorno’s terms (1960/1992, p. 50), it

⁹¹ During the composition of the Tenth, between June and September 1910, the composer’s family experienced a dramatic summer. In fact, in those days Mahler discovered the liaison between Alma and the architect Walter Gropius. Obviously, these events caused a severe personal crisis of the composer. So a guilty conscience towards Alma led him to re-evaluate his wife’s compositional talent (see Rothkamm 2003, pp. 30–59). In fact, according to AME (1940/1946 p. 176), on 9 August 1910, Mahler asked Alma for the first time to play for him her songs and he greatly appreciated them and proposed to his wife that they revise them together.

⁹² I have borrowed the concepts of ‘inwardness’ and ‘outwardness’ in Mahler’s music from Adorno as used in the phrase ‘the inwardness of [Mahler’s] music assimilates the outward, instead of representing, externalizing, the inward.’ (Adorno 1960/1992, p. 70).

⁹³ ‘Recovered melody’ is the definition of this theme by Johnson (2009, p. 88).

⁹⁴ This intertextual reading of this finale is ascribable to Floros (1998, p. 256).

teleologically overcomes the latter. From this viewpoint, the main feature of *Event b* in all its occurrences is just that ‘continuity’ of Alma’s Lied, which in Purgatorio and the fourth movement was impeded by the *Weltlauf* of their incessant rhythmic movement. Then the ‘lyrical melody’ (Rothkamm 2003, p. 194) can be a further specifying of the semantics of *Event b*.

The pathways of transfiguration from a suppressed to a revoked ‘subjectivity’⁹⁵ lead back to a well-known topic of constructing musical continuity from fragments, from Haydn’s *Creation* onwards. The sevenths of bar 29 bring the listener from the funereal darkness of *Event a* to the bright *Event b* at bar 30, and in their following occurrences they will keep this role of announcing this *Event b*. The occurrences of this event, on their own, however, have an increasing duration until the longest melodic continuity of the entire symphony, at the end of the movement (81 bars). Here this ‘endless melody’ finally acquires duration, but also completeness in directionality in a parabolic melodic pathway with a climax at bar 352 (*‘grosser Ton’* is the composer’s verbal indication at this bar in the manuscript). But where the completion of the symphony seems to have been achieved, the final gesture of the coda outlines an ideal continuation of the symphony after its final cadence. According to Johnson (2009, pp. 90–91), the empty fifths of bars 398–399 are comparable to the chiming of bells he considers ‘ubiquitous symbols, in Mahler’s music, of calling forth—of opening’ (Johnson 2009, p. 92). He adds, ‘this is a closing, but a closing by the voice, not—as in the *Sixth Symphony*—of the voice’ (Johnson 2009, p. 90). I add that that chiming of bells is preceded by the last occurrence of *Erntelied motive*, so as in the Ninth and *Das Lied von der Erde*, this closure really is a non-closure. It is an incessant, unfinished composer’s voice that ideally can stop after the work he is composing, with the end of its creator’s life.

Less complex than *Event a* and *Event b* are the semantics of the other events of the movement. De La Grange (2008, p. 1523) defines *Event c(a)* ‘a la Purgatorio’ to indicate its rhythmically incessant Purgatorio-like *Perpetuum mobile*. It is because of this event that I use Adornian term of ‘*Weltlauf*’, in its function as the antagonist of *Event b*. *Event b1* and *Event b2*

⁹⁵ ‘What is this incomparable flute melody if not a revocation of the negativity that had apparently all but silenced the lyrical voice and with it the subject?’ (Johnson 2009, p. 88).

keep the semantic content they had in the Purgatorio, in terms of intertextual reference to Alma's *Erntelied*. *Event d*, *Event e*, and *Event f* instead bear a generic character of 'waiting', due to their connective and recapitulatory syntactic function. Remarkable in this movement is the semantic transformation, which is a marker of high degree of narrativity according to Micznik's theory (2001) of each 'event' during the movement. Thus, for example, *Event b* at bars 145–152 and 163–174, manifests a harmonic stability that suggests a strength which could lead back, maybe, to Alma's assertive character, already honoured in a similar way in the first movement of the Sixth Symphony.

The importing of material from other movements (and especially from Purgatorio) may sometimes imply a modification of the previous semantic content as if it were an evolution of a character in the 'story' told along with the movements. So, for example, at bars 127–130 we note the trill accompaniment of 'Purgatorio's bars 89–91, but here there is a chromaticism that corrupts the childish innocence of that 'carousel' music (Ex. 15) of that movement. Another example of this is the *Event x* of the first movement, which is imported in two occurrences, at bars 267–274 and 284–298, before (as in that movement) and after the climax. In the first of these occurrences, *Event x* is 'temporalised' and gesturally included in the climax with a clear key of F sharp major instead of the quasi-atonality of the homologous bars 183–193 of the first movement, where *Event x* is gesturally outside the climax. Above all, here this idea is superimposed on the trumpet note A (the initial of Alma, according to Rothkamm, 2003, p. 108), presented in the first movement only the bars 203–206 of the climax. The listener already knows what happened after this section in the previous movement, so in this new occurrence, the note works as a presentiment of repetition of that catastrophe. The second occurrence of *Event x* is more textual and keeps the meta-referential function it had in that movement before the climax (bars 183–193). In fact, it here serves as the collection of all the basic cells of the symphony (see Chapter Three, section 1) before the liberating effort of the finale of the movement. Also, the climax of the first movement is significantly semantically modified. The above modifications, indicated by Rothkamm (2003, p. 196), compare this to the first movement, making the passage more gesturally concrete, in a vivid fragment of reality that had been in the

shadow of that sound mass of the first movement. But also in this way the passage is made more similar to the referentiality of the events of verbal narrativity as in music's lack of their denotative precision.

In the end, particular attention must be paid to the heterophonic coexistence within the same event of musical elements which, due to their gestural diversity, can lead back to different contents as examples of Bakhtinian novelistic polyphony. This happens at the occurrences of *Event d*, bars 185–186, and *Event b*, (bars 197–198 and 220). Here the content 'notes of derision', so defined by de La Grange (2008, p. 1527), is present with the main contents of these sections, I have labelled, respectively 'waiting' (*Event d*) and 'Erntelied melody' (*Event b*).

5. 'Discourse' Analytic Level

The unfolding of the events of the movement, maybe more than others of the Tenth, shows a narrative logic which is alternative to that traditional and conventional formal canons. Sonata form leaves 'archeological' traces in the last compositional stage that work, like 'ruins from which [Mahler's music] architecture is piled up, much as Norman master builders in southern Italy may have made use of Doric columns' to use the beautiful Adorno metaphorical expression (1960/1992, p. 67). It is, however, quite difficult to find these traces, as Coburn (2002, p. 274) points out, and thus there is debate in the literature on the form of the movement. The elements that favour ascribing the label sonata form are: thematic dualism of *Event a* and *Event b* (Rothkamm 2003, p. 192); the position of the climax, comparable to that of the first movement (Rothkamm 2003, p. 192); the formal resemblance to the first movement already ascribed to a sonata form (Coburn 2002, p. 274); and the developmental nature of the second part (bars 84–266) (Coburn 2002, p. 274). I add to these features, that the movement has a tripartite A-B-A form. The contrary elements: a developmental section (bars 184–285) that introduces new motives (Rothkamm 2003, p. 193); the repetition of only *Event b* in the recapitulatory section (bars 299–400, Rothkamm 2003, p. 193); the enigmatic labelling by the composer of the possible sonata form exposition (bars 1–83) as '*Einleitung*', 'introduction', (Rothkamm 2003, pp. 192–193).

My perspective, however, is different from that of these authors. As I discussed with the previous movements, I ask if the sonata form or other traditional schemata served as a starting or reference point during the compositional process. From my point of view, then, the elements in favour, listed above, can be assumed to be support for this formal reference function in the movement's compositional process. The contrary elements, on the other hand, can be assumed to be clues, to be supported further by this analysis, to a possible process of narrativisation during the compositional process. From this point of view, the huge departures from the sonata form scheme in the movement seem related to the strength of Subotnik's 'analogous structure' (1981, p. 85), a gestural plot that doubles or replaces the conventionalised tonal plot. The main traces of this plot are in the composer's placing of the indication '*Einleitung*' ('introduction') at the beginning of the movement and referring (probably) to the entire first part until bar 83. The literature on Mahler's Tenth has not yet found a convincing explanation for this title. The indication is enigmatic not so much because it includes the entire first-part expository section with both putative themes (*Event a* and *Event b*), instead of referring to a proper introductory movement (like an introductory Adagio of a symphony). Rather, this indication is enigmatic because although the supposed first theme, *Event a*, can be considered morpho-syntactically introductory, due to its cellular fragmentism, from the point of view of semantics, as above, *Event a* is anything but introductory; it is rather the continuation of the tragic epilogue of a 'story' (of the fireman), which has begun to be told in the previous movement. *Event b*, from bar 30, in spite of the fact that the '*Einleitung*' *Event a* also includes it, in its thematic fluency and its becoming a protagonist during the movement, cannot be morpho-syntactically introductory; rather, it is just the musical idea introduced by *Event a*. By using again the autobiographic episode of the fireman as a metaphor of this passage, I can say that the dramatic fragmentariness of *Event a* seems to be represented verbally by the vivid scene of the fireman's funeral observed by Alma and Gustav from the window of the hotel in New York. The meaning of this word '*Einleitung*', therefore, should be not read in the technical sense of a classical slow introductory section in a sonata form movement. Instead, this indication can be explained in terms of a fictive-like presentation of a 'prologue'—the presentation of

two ‘characters’ (*Event a* and *Event b*, ‘antagonist’)—of an intrigue which will be developed in the ‘Allegro moderato’, the putative developmental section (bars 84–266). Using Johnson’s terms (2009, p. 88), I can say that the intrigue of the movement and, on a larger, symphony-wide scale, is the revoking of the ‘subjecting voice’.

This ‘subjecting voice’—*Event b*—is introduced in the *Einleitung* by its antagonist—*Event a*—who seems to engage a severe challenge with it, under the guise of *Event c(a)*, in the central ‘Allegro moderato’. There follows the catastrophe of the climax and *Event x* of the first movement, which functions as a meta-referential recollection of ideas, before the liberating effort of the final part of the movement. Here we note the longer and more fluent occurrence of *Event b* and the disappearance of *Event a* and *Event c(a)*, whose main motive *d* is completely integrated into *Event b*, as above. *Event b* and *Event c(a)* therefore seem to represent two very different worlds: the good and the evil of the symphony. There is the increasing continuity of Alma’s voice stylised in the Lied, as recomposed by Gustav, as represented by the cohesive *Erntelied motive*; and there is the disturbing motive of *Event a*, Rothkamm’s motive groups *d* and II. From another perspective, however, the common motives between *Event b*, *Event a* and *Event c(a)* imply that the latter is not completely externalised outside of the musical self. Rather, in *Event a* that vivid image in the music of ‘musical self’/ fireman’s funeral serves to establish an ‘objective’ distance of telling,

In this narrative plot a particular role is played by epic-like fixed formulas,⁹⁶ by a massive use of refrains across the movement. As with the first movement of the Ninth, according to Micznik’s analysis, these refrains ‘gain a sense of invocation, [and work] together with the improvisatory, oral-tradition quality of theme and with the past-oriented connotations of the materials, suggesting the pastness of events’ (Micznik 2001, p. 224). This happens not only at a more global level of more or less strophic returning of events (see below), but also at the local level of the ubiquitous return of cells and Rothkamm’s motive groups *d* and II and, especially, of the *Erntelied motive*, whose structural importance has been thoroughly identified by Coburn (2002, pp. 243–256). In contrast to other movements, how-

⁹⁶ See Barbara Herrnstein Smith (1968, p. 99).

ever, the temporal, diegetic-like excursions are weaker (see, for example, in the first movement the ‘present’ of the quasi-atonal *Event x* versus the ‘past-oriented’ and nostalgic diatonic *Event a*). Rather, a likeness to a past-oriented narrative is indirectly provided by this refrain. It not only responds to structural need, as indicated by Coburn (2002, pp. 243–256), but as in the first movement also fulfils a paratactic (meta-referential) function of a stylised composer’s compositional difficulty in recollecting ideas to finish the movement and the symphony. This process culminates in the quotation at bars 284–298 of motive *Event x* of the first movement, containing all the basic cells and motives of the symphony. At a more global level, this paratactic function is provided by a strophic construction articulated by the more or less regular strophic returning of events (Table 1). The returns of basic musical ideas, however, is here more complex than in the previous movements and in the first movement of the Ninth, as analysed by Micznik (2001). In that movement there are three themes, but the third one inserts the strophes given by the return of the first two. Instead, *Event c(a)*, from the beginning of the ‘Allegro moderato’ onwards, replaces, in the recurring of strophes, *Event a* from which it morphologically originates.

Having identified the narrative plot of the movement, it is now necessary to find in its possible narrative features identified according to the discursive parameters considered by my apparatus: narrative functions, gestural connotations, temporal discursive parameters: duration, frequency, speed, and order. In relation to narrative functions, *Event a/Event c(a)* and *Event b* can be considered as Barthesian nuclei. This function is achieved by their strong gestural definition, their cyclic and quite regular return, and the fact that they have an agential role of a gestural plot in the ‘epic’ of Mahler’s symphonic gesture. Likewise, *Event c2* (climax), bars 275–283, keeps and even strengthens its function of a nucleus this section had already in the first movement. The first and the second occurrences (bars 267–284 and 284–298) of *Event x* certainly works as catalysers. More complex is the identification of the narrative function of motives *Event b1*, *Event b2* and *Event d*, *Event e* and *Event f*. All these occurrences have an incidental and connective function at a discursive level, which is different to the primary one of the iterative contrasts of *Event c(a)* and *Event b* in the development section. Doubtless, they are quantifiable as catalysers, but not in the same way.

Event b1 and *Event b2* are part of the Purgatorio's quotation of bars 107–112, including the section of bars 121–124 which is a further occurrence of the *Event c(a)*.

Bars nos.	1	30	72	84	98	104	119	121	125	127	145	
	quotation of Purgatorio bars 107–114											
Motives (in brackets motive groups)	<i>Event a</i> (II,d,I V)		<i>Event a</i> (II,d,IV, III,a,b)				<i>Event b1</i> (IV I)	III	<i>Event b2</i> (IV I)			
Themes (in brackets motive groups)		<i>Event b</i> (II, IV, IV j, AII, d)		<i>Event c/a</i> (II,d,IV III,a,b)	<i>Event b</i> (j, b)	<i>Event c(a)</i>		<i>Event c(a)</i>		<i>Event c(a)</i> (I*, IV, III, d, a) *Trill accompaniment from Purgatorio bars 89–91.	<i>Event b</i> (k, d,b)	
Narrative content ('story')	'Exequien-musik'	'Erntelied' 'lyrical'	'Exequien-musik'	'Weltlauf' 'a la Purgatorio'	'Erntelied' 'lyrical'	'Weltlauf', 'a la Purgatorio'	'Erntelied' quotation	'carousel music'	'Erntelied quotation'	'Weltlauf' 'a la Purgatorio' 'more paroximal dance corrupted childish innocence'	'Erntelied' continuity ('Alma's assertive character')	
Narrative function ('Discourse')*	N	N	N (with (with pointed Erntelied motive)	N	N	N	C	N	C	N	N	
Key	minor	D major (bars 30–43) B major (bars 44–58) D major (bars 59–65) B major (bars 66–71)	B major (bars 72–77) D minor (bars 78–84)	D minor					D major			
Sonata Form	Exposition			Development								
Strophe	I		II (no <i>Event b</i>)		III		IV (no <i>Event b</i>)				V	

Table 1: Mahler's Tenth Symphony, fifth movement, overall multi-levelled formal view (according to Micznik, 2001)

*Narrative functions: N= nucleus section, C= catalyser section, S= static section

Bars nos.	152	163	175	191	225
Motives (in brackets motive groups)			<i>Event d</i> Build-up and Climax from mvt. IV (IV, II, d, b IV)		
Themes (in brackets motive groups)	<i>Event c(a)</i> (d, IV)	<i>Event b</i> (k, b)		<i>Event b</i> (IV, II, d,III)	<i>Event b</i> (IV,j, d,b)
Narrative content ('story')	'Weltlauf' 'a la Purgatorio'	'Erntelied'	'waiting' 'occasional notes of derision' (bars 185–186)	longer Erntelied melody 'occasional notes of derision'	longer Erntelied melody
Narrative function ('Discourse')	N	N	C	N	N
Key	D major F major (from 185)			F major	B-major
Sonata form	Development (continued)				
Strophe	VI			VII (no <i>Event c(a)</i>)	VIII (no <i>Event c(a)</i>)

Table 1 (continued): Mahler's Tenth Symphony, fifth movement, overall multi-levelled formal view (according to Micznik, 2001)

Bars nos.	245	251	261	267	275	284	299	381 400
				Quotation I movement I, bars 188–193		Quotation of movement I bars 1–15		
Motives (in brackets motive groups)	<i>Event e</i> (IV, k' II,b,d,I)		<i>Event f</i> (k, d II)	<i>Event x</i> (from movt. 1) (IV, b)	<i>Event c(2)</i> (d)	<i>Event x</i> (AI)		
Themes (in brackets motive groups)		<i>Event c(a)</i> a,d II,III,IV					<i>Event b</i> (IV,j,b, AII, IV,d,)	<i>Event b</i> (a,d, IV)
Narrative content ('story')	'waiting'	'a la Purgatorio'	waiting (double false start)	'human voice searching for identity' 'premonition of catastrophe'	'catastrophe'+ 'exequien musik' Reference to I movement, bars 203–208	'human voice searching for identity'	continuous and complete 'telling' of Alma's theme	
Narrative function ('Discourse')	C	N	C	C	N	S	N	N
Key	D minor			F sharp major	F sharp major/B flat major/D major	Quasi atonal	B flat major F sharp major (bars 315–334) G major (bars 335–346). F sharp major (bars 347–380)	F sharp major
Sonata form	Development (continued)			Climactic section			Recapitulation	Coda
Strophe	VIII (continued)						IX (no <i>Event c(a)</i>)	X (no <i>Event c(a)</i>)

Table 1 (continued): Mahler's Tenth Symphony, fifth movement, overall multi-levelled formal view (according to Micznik, 2001)

Due to their brief duration, they do not have the capability (contrary to the longer, fluent occurrences of *Event b*) to ‘oppose’ *Event c(a)*. Rather, as in that movement, they lead the *Weltlauf* pathway of the occurrence of *Event c(a)* astray before and after them (bars 104–118 and 127–144). A different shade of the catalyser function is seen in *Event d*, *Event e*, and *Event f*, and, in them, a particular role is played by some motives in the *Erntelied motive* and motive group *k*. These sections occur after the iterative contrast of *Event c(a)* and *Event b* has just been established, accompanying them in their connective, discursive function the ‘oppositional’ plot between *Event a* and *Event c(a)*. These sections—*Event d*, *Event e*, and *Event f*—then, constitute an alternative discursive level and, given their hybridity, assume a recapitulatory and transitional function. In Barthesian terms they accelerate, delay, give fresh impetus to the discourse, summarise, anticipate.

Moreover, these three events contain motives characteristic of *Event a/Event c(a)* and *Event b*, and for this reason fill in the narrative space, otherwise wide, between the nuclei—*Event a* and *Event b*. It is significant that in these events motive *k* and the *Erntelied motive* assume an actantial role (according to Almén 2009) to address their discursive function that would otherwise be different. In other words, in these three events those motives (structurally connected with *Event b*) are presented on the one hand in incomplete forms, to cause in the listener the expectation of a more complete occurrence of *Event b*; however, it is just the addition of these anticipatory motives that makes catalysers of those events which otherwise would be mere occurrences of nuclei *Event a* or *Event c(a)*.

In relation to gestural connotations, it is evident that the composer employs a strategy of avoiding a conventional tonal plot and that its formal articulation is conveyed through gestural changes. The passage between the first occurrence of *Event a* and that of *Event b* apparently follows a conventional tonal plot from the starting key, D minor, to its relative major key, D major. But a careful observation of *Event b* tonal trajectory reveals that, really, it is not a same key to articulate this event. In fact, in *Event b* this key is soon left behind for a harmonic round: B major (bars 44–58), D major (bars 59–65), B major (bars 66–71) and occasional short passages in secon-

dary keys. The long duration of *Event b* corresponds to a tonal pathway without a ‘polar’ key return, with a ‘solar’ function of the key of D major.⁹⁷ A tonal ‘indifference’ happens, then, in the following articulation between *Event b* and *Event a* (bars 71–72), which happens without a key change. The progressive tonality of the movement (from D minor to F sharp major), which is based according to Coburn (2002, p. 268) on the relation of thirds and modal interplay, has a break in correspondence with the major gestural change of the movement—the climactic section (bars 267–298). Before this, the tonal train of keys was derailing, having the key of D minor (bars 245–266), which includes three events (*Event e*, *Event c(a)* and *Event f*) and an apparently definite prevailing of *Event c(a)* on *Event b* at bars 261–266. However, the ‘gestural shock’ of the quotations from the first movement—*Event x* at bars 267–274, *Event c2* (climax), at bar 275–283, and *Event x* at bars 284–298 (the composer's ‘grosse Appell’ to his ideas)—reveals as illusory the prevailing of *Event c(a)* (bars 251–260) which sounds as a ‘false’ and early conclusion, in D minor, of the movement. This gestural change can induce the composer to regain, in the extended *Event b* (bars 299–400) in the key of F sharp major, the lost lyrical dimension expressed by the first movement’s first theme (I called ‘*Event a*’), which is in that same key.⁹⁸ But it is just this *Event b* that was awaited by the listener in vain, due to the illusory prevailing of *Event c(a)* at bars 251–260 and the presence of fragments of *Erntelied motive* in *Event d* (bars 175–190.) *motive k* in the occurrence of the *Event e* at bars 245–250 and *motive k* in the occurrence of *Event f* at bars 261–266.

The movement’s design of duration of the events supports the above gestural plot of opposition between themes *Event B* and *Event c(a)*. After the long-lasting duration of *Event a* and *Event b* in the exposition in the development, there is a reduction of the duration of *Event b* that, challenged by *Event c(a)* is gradually restored through an increasing duration in each of its

⁹⁷ Kofi Agawu (1986, p. 225), in his analysis of the first movement of the Tenth, specifies that, by using Leonard Ratner's (1980, pp. 48–51) terminology, ‘solar’ refers to the [more improvisatory] circular arrangement of keys found chiefly in eighteenth-century concertos and fantasias, while “polar” denotes the [more conventionalized and codified] contrasting arrangement in which the dominant key is set in opposition to its major tonic, as in many sonata-allegro movements’.

⁹⁸ Maybe it is not the case that this first movement’s theme is quoted at bars 315–318.

occurrences. The long-lasting duration of *Event b* in the recapitulation (bars 299–300) seems the marker of its definite prevailing over *Event c(a)*. A peculiar management of the frequency of events also participates in the above plot. The falling of frequency of events after the climactic section seems a marker of the prevailing of *Event b* over theme *Event c(a)*. From this perspective assumes a particular importance, as a marker of a final prevailing of *Event b*, the omitted presentation of *Event c(a)* in strophes IX and X (see Table 1). In this recapitulation the absence of catalysers is also significant because seems a marker of the liquidation of narrative temporal stratification of narrative in the non-narrative conclusion of the movement (on this aspect, see section 4). Also, the speed of events contributes to render the musical ‘discourse’ more unpredictable. Although there are few verbal indications of tempo changes (at bars 84, 119, 125), the implicit temporal changes due to the changes of gesture are numerous.

The discursive order of the events can be read in the light of the above plot. As in the first movement of the Ninth (Micznik 2001, pp. 237–238), in the development (strophe VIII) there is an inversion of the order of the sequence of nuclei established at the beginning of the movement. Here, then, *Event c(a)*, via the catalyser *Event e*, follows *Event b* and not the contrary, just at the moment at which the listener, after the increasing duration of the previous *Event b* occurrences, awaits the final prevailing of *Event b*. This device is made more effective by the catalyser *Event e* and *Event f*, which increase the expectation of *Event b*. In the recapitulation, this long waiting is finally satisfied, not only by the long-lasting duration of *Event b* but also by the omitted presentations of *Event c(a)* and the restoring of the key of the entire symphony, F sharp major.

In the next section, I shall analyse the narrativity of each section of the draft of the last compositional stage by examining the preparatory pages before turning to the analysis of narrativity of the compositional process. This will be done always ‘story’ and ‘discourse’ levels in order to argue the diachronic process of narrativisation, across variants of the compositional process.

6. The Process of Narrativisation in Bars 238–400

According to the compositional page-by-page chronology of the manuscript, there are only two areas of the movement which have just three preparatory pages (RF 51, RF 52, RF 53). A first area includes the portion between the end of ÖNB Mus. Hs. 41000/5 [7] (numbered by the composer as ‘5’), bar 238, and page ÖNB Mus. Hs. 41000/5 [8] (numbered by the composer as ‘6’) whose last bar is 248. In this area we find three variants:

- 1st variant: RF52-ÖNB Mus. Hs. 41000/9[2] with cancelled and discarded bars (Ex. 16), its refinement ÖNB Mus. Hs. 41000/5[8] (Ex. 16) with the cancelled and discarded bars of RF52-ÖNB Mus. Hs. 41000/9[2];
- 2nd variant: RF51-ÖNB Mus. Hs. 41000/9[1] (numbered by the composer as ‘5 1/2’) (Ex. 17 and fig. 2), RF5-ÖNB Mus. Hs. 41000/9[2] (Ex. 16) with the cancelled and discarded bars, ÖNB Mus. Hs. 41000/5 [8] (Ex. 16) without the cancelled and discarded bars;
- 3rd variant (at the last compositional stage): ÖNB Mus. Hs. 41000/5[8] (Ex. 16) without the cancelled and discarded bars.

A second area, on page ÖNB Mus. Hs. 41000/5 [9] (numbered by the composer as ‘7’) to ÖNB Mus. Hs. 41000/5 [12], numbered by the composer as ‘10’ contains two variants.

- 1st variant: ÖNB Mus. Hs. 41000/5 [9], numbered by the composer as ‘7’; with cancelled bars, ÖNB Mus. Hs. 41000/9[4] numbered by the composer as ‘8’, ÖNB Mus. Hs. 41000/9[5];
- 2nd variant (at the last compositional stage): ÖNB Mus. Hs. 41000/5[9] numbered by the composer as ‘7’, RF 53, ÖNB Mus. Hs. 41000/5[10] numbered by the composer as ‘8’, ÖNB Mus. Hs. 41000/5[11] numbered by the composer as ‘9’, Mus. Hs. 41000/5[12] numbered by the composer as ‘10’.

In the next two sections I will present the pieces of evidence which suggest a process of narrativisation of each of these two areas.

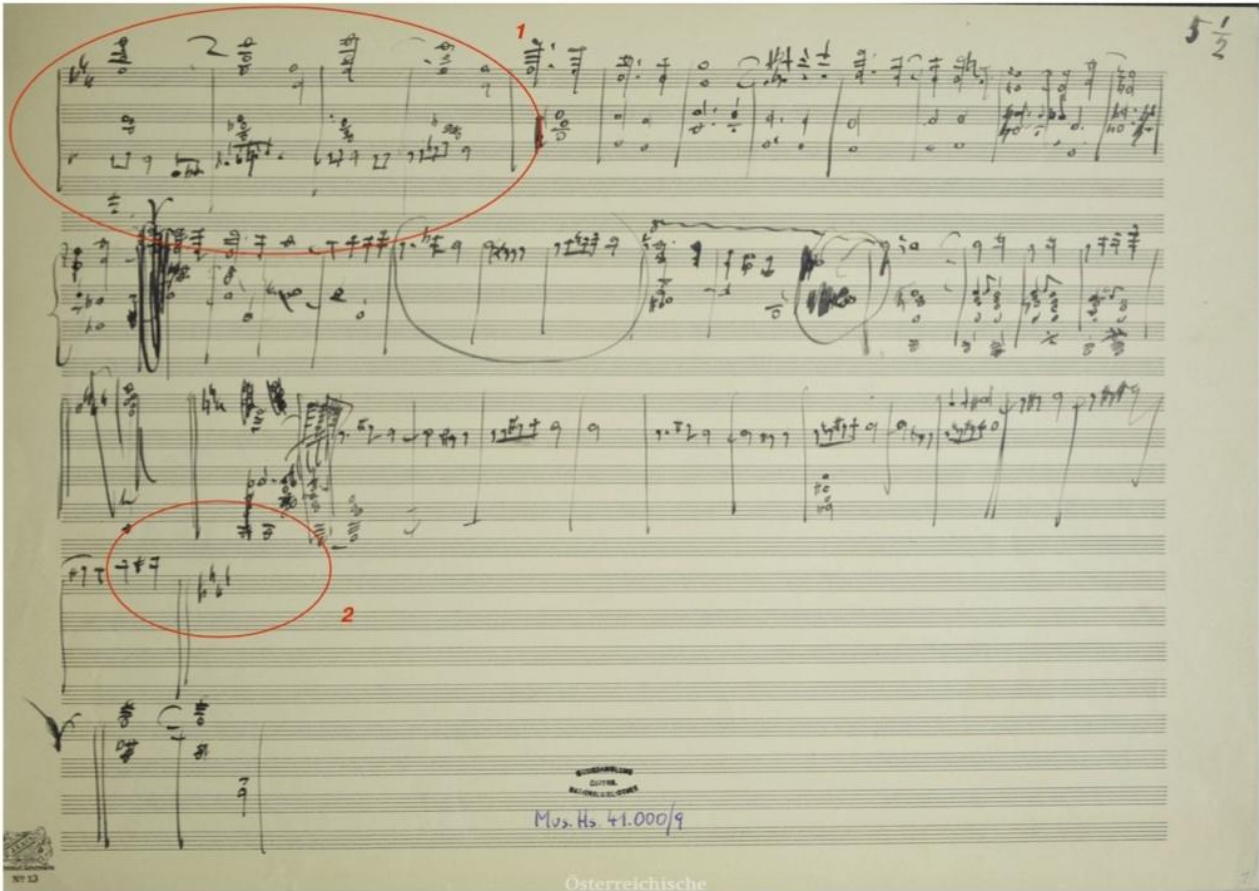


Fig. 2: RF51-ÖNB Mus.Hs. 41000/9[1], by kind permission of the owner, the *Musiksammlung* of the Austrian National Library, Vienna

The image displays a musical score for the Sixth Symphony by Gustav Mahler, comparing two manuscript versions: RF52i (early) and Pc6i (late). The score is presented in two systems, each with four staves (Violin I, Violin II, Viola, and Cello/Double Bass). The first system, labeled "[Einschub]", covers measures 239 to 242. The second system, labeled "[geht weiter ab T. 243]", covers measures 239 to 242. The early version (RF52i) includes a section marked "[Einschub]" (insertion) between measures 239 and 242. The late version (Pc6i) shows a different melodic line in the first staff for measures 239-242, with a bracket indicating it continues from measure 243. The score includes various musical notations such as notes, rests, and dynamic markings.

ÖNB Mus. Hs. 41000/9 [2] 3
Mahler: 6 früh
RF52i

ÖNB Mus. Hs. 41000/5 [8] 15
Mahler: 6 spät
Pc6i

[Einschub]

[geht weiter ab T. 243]

[geht weiter nächste Seite RF 52i]

238au vv ww xx 239 241 242ab 242cd 242ef

239 240 241 242 242a b c d e f

Ex. 16: RF52 -ÖNB Mus.Hs. 41000/9[2] and last compositional stage (taken from Mahler-Bouwman, 1 2017, p 152)

The image displays three systems of musical notation for Mahler's Symphony No. 6, first movement. Each system includes a vocal line (soprano, alto, and tenor parts) and piano accompaniment (right and left hand). The systems are labeled as follows:

- System 1:** ÖNB Mus. Hs. 41000/9 [2] 3, Mahler: 6 früh, RF52i. The vocal line begins with the syllable 'h' and continues through 'i', 'j', 'k', 'l', 'm', 'n', 'o', 'p', 'q', 'r', 's', 't'. A fermata is placed over the 'i' syllable, and a 'ii' marking is above the staff.
- System 2:** ÖNB Mus. Hs. 41000/9 [2] 3, Mahler: 6 früh, RF52iii. The vocal line continues with 'h', 'i', 'j', 'k', 'l', 'm', 'n', 'o', 'p', 'q', 'r', 's'. A fermata is placed over the 'i' syllable, and a 'iv' marking is above the staff.
- System 3:** ÖNB Mus. Hs. 41000/5 [8] 15, Pc6i spät. The vocal line continues with 'h', 'i', 'j', 'k', 'l', 'm', 'n', 'o', 'p', 'q', 'r', 's'. A fermata is placed over the 'i' syllable, and a 'ii' marking is above the staff.

The piano accompaniment consists of chords and moving lines in both hands, providing harmonic support for the vocal parts. The notation includes various musical symbols such as notes, rests, fermatas, and dynamic markings.

Ex. 16 (continued) RF52 -ÖNB Mus.Hs. 41000/9[2] and last compositional stage (taken from Mahler-Bouwman, 1 2017, p.153)

ÖNB Mus. Hs.
41000/5 [2] 3
Mahler: 6 früh
RF52iv

242i u v w x y z aa bb cc dd ee ff gg

ÖNB Mus. Hs.
41000/5 [8] 15
Pc6iii spät

242i u v w x y z aa bb cc dd ee ff

Ex. 16 (continued): RF52 -ÖNB Mus.Hs. 41000/9[2] and last compositional stage (taken from Mahler-Bouwman, 1 2017, p.154)

The image displays four systems of musical notation for Mahler's Sixth Symphony, arranged vertically. Each system includes a vocal line and piano accompaniment. The first system (top) is for RF52i, with measures 239 and 241. The second system is for RF52i, with measures 242xx and 244. The third system is for Pe6iv, with measures 242xx, 244, and 239, and includes the instruction "[weiter unten]". The fourth system is for Pe6i, with measures 239 through 248. The score includes various musical notations such as notes, rests, and dynamic markings.

ÖNB Mus. Hs. 41000/9 [2] 3
RF52i
Mahler: 6 früh

ÖNB Mus. Hs. 41000/9 [2] 3
Mahler: 6 früh
RF52i

ÖNB Mus. Hs. 41000/5 [8] 15
Mahler: 6 spät
Pe6iv

ÖNB Mus. Hs. 41000/5 [8] 15
Mahler: 6 spät
Pe6i

239 241

242xx 244

242xx 244 239

239 240 241 242 243 244 245 246 247 248

[weiter unten]

Pe6iv spät

Ex. 16 (continued): RF52-ÖNB Mus.Hs. 41000/9[2] and last compositional stage (taken from Mahler-Bouwman, 1 2017, p.155)

ÖNB Mus. Hs.
41000/9 [1] 1
Mahler: 5½
RF51i

238 a b c d e f g h i j k l m

[Einschub]

ÖNB Mus. Hs.
41000/9 [1] 1
Mahler: 5½
RF51ii

n o p q r s t u v w x y z aa bb cc dd ee

ÖNB Mus. Hs.
41000/9 [1] 1
Mahler: 5½
RF51iii

ff gg hh ii jj kk ll mm nn oo pp qq rr ss

ÖNB Mus. Hs.
41000/9 [1] 1
Mahler: 5½
RF51iv

Ex. 17: RF51-ÖNB Mus.Hs. 41000/9[1] (taken from Mahler-Bouwman, 1 2017, p.151)

6.1 The Process of Narrativisation in the First Area

At the analytic level of ‘story’, in relation to morphology and syntax, in the first variant the few changes between the bars of RF 52 and their very similar rewriting in ÖNB Mus. Hs. 41000/5 [8], seem to have no narratological significance. In the second variant, in RF 51, the bars (indicated with 238 e–tt in the Ex. 17) are discarded and so, in a later compositional stage, have no rewriting or refining which can be comparable to them. The bars 245–248 at the beginning of RF51 (fig. 2 in the oval no. 1)⁹⁹ rewritten in ÖNB Mus. Hs. 41000/5 [8] (Ex. 16), and the bars 239–242 in RF 52 (Ex. 16), refined at the beginning of ÖNB Mus. Hs. 41000/5 [8] (Ex. 16), do not exhibit significant morphological difference. However, some useful indications can be inferred from the chronology of the area in relation to semantics. Many bars of RF51 and RF 52 of both variants refer to *Event b*’s semantic world, given the significant recurrence in them of *Erntelied motive* and motives of groups *j* and *k*, connected structurally with that event *Event b*. In particular, in RF 51 (Ex. 17) bars 238 e–ff present the prevalent group *k* motives. In RF52-ÖNB Mus. Hs. 41000/9[2] (Ex. 16), the first four bars (numbered 238 uu–xx), clearly refer to motive group *j* then bars 239–241 have the prevalence of motives from group *j*, again bars 242a–t have motives from groups *k* and the discarded and cancelled bars 242 a–gg and 242 ee–ff–gg include melodic materials primarily from *Erntelied motive* and motive group *k*. The case of bars 238 gg–tt of RF51 is likewise semantically significant. These bars, with the prevalence of motives from Rothkamm’s groups *b* and II, refer to the topic ‘a la Purgatorio’ of *Event c(a)*, but also the climactic section (bars 267–298). The chords of the section suggest ascribing these bars to the semantics of this latter area. They are a little bit different motivically from that area of the movement, but the gesture of the sound mass given by slurred chords is the same.

More interesting pieces of evidence of narrativity across variants can be detected at ‘discourse’ level. The passage from the first two variants charac-

⁹⁹ Bouwman (1, 2017, 1 p. 151, see Example 17) numbers these bars ‘238 a–d’, considering them as discarded.

terises and refines the movement's plot of the last variant at the last compositional stage. Indeed, the first and second variants lack the narrative strength of the third one, as it is evident by comparing the overall respective gestural pathways of all three variants. In the third variant (see Table 1), after the occurrence of *Event b* in bars 225–244, there follows the catalyser *Event e* in bars 245–250 with the *Erntelied motive* at bars 243–244. *Event e*, on its own, determines the waiting for *Event b*, which is eluded by the nucleus *Event c(a)* (bars 251–260), itself followed by another catalyser (*Event f*, bars 261–266) and again by a climax. After this, the return of *Event b* can be 'liberating', arriving only with the long-lasting return of *Event b* in bars 299–380. In the first variant (Table 2), before this catalyser *Event e* (bars 245–248) in RF 52, then rewritten twice in ÖNB Mus. Hs. 41000/5 [8]) is an extension of *Event b*'s duration, which makes it seem in advance that *Event b* is the winner of the 'challenge' with *Event c(a)*. In the second variant (Table 3), after the early presentation of *Event e* (bars 245–248), at the beginning of RF 51, the return of *Event b* is immediate (bars 238 e–ff of RF 51), and only then does it present *Event c(a)* (RF 51, bars 238 gg–tt). Afterwards, in RF52 there is a return of *Event b* in its variant of motive group *j* of bars 238 uu–xx and bars 239, 241 and 243, rewritten in ÖNB Mus. Hs. 41000/5 [8], and this return of *Event b* is a more obvious marker of the less surprising early prevailing of *Event b*. Only then on this page do we see the catalyser *Event e*, bars 245–248.

Coburn (2002, p. 57) thinks that Mahler may have rethought this entire section, and RF51 may have been his initial attempt at a completely new version. The increasing narrativity during the compositional process, however, seems to put the bars in the loose sheet in a residual position of early discarded ideas, rather than a new starting point for improvement of the movement. This would fit with indications from other narrative discursive parameters. From the point of view of narrative functions (Tables 2 and 3), the discarded sections of pages RF51, RF52 and ÖNB Mus. Hs. 41000/5 [8] in the two variants are nuclei: *Event b* in RF 51 RF52 and ÖNB Mus. Hs. 41000/5 [8], and *Event c(a)* (bars 238 gg–tt of RF51). Moreover, in the second variant, this early presentation of *Event b* weakens the elusive effectiveness of the catalyser *Event e* in RF 51 (bars 238 a–d, Ex. 17), given their motives taken from *Event b* (see Table 3).

RF52 - ÖNB Mus. Hs. 4100 0/9[2]	Bars 238 uu- xx A flat ma- jor	bars 239- 241 A flat majo r	242a b-ef D flat ma- jor	242g -m of RF52 i D flat ma- ma- jor	242 n-t of RF52 i D flat ma- ma- jor	242 g-s of RF 52iii A flat ma- jor	242 t-gg of RF 52iv A flat ma- jor	-	-	-	-
ÖNB Mus. Hs. 4100 0/5 [8]		bars 239- 242 A flat majo r	242a -f D flat ma- jor?	-	-	242 g-s D flat ma- jor	242 t-ff D flat ma- jor	242g g-jj D flat ma- jor	bars 239- 242 A flat majo r	bars 243- 244 E majo r	Bars 245- 248 D mi- nor
E- vents	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>b</i>	<i>Event</i> <i>e</i>
Nar- rative fun- ction	N	N	N	N	N	N	N	N	N	N	C

Table 2: first variant, bars 238–248

RF51	bars 245– 248	bars 238 e–tt E Flat major	238 gg–tt A flat major				
RF52-ÖNB Mus.Hs. 41000/9[2]				Bars 238 uu– xx A flat major	bars 239– 241 A flat major	bars 243 E major	
ÖNB Mus.Hs. 41000/5 [8]					bars 239– 242 A flat major	bars 243–244 E major	Bars 245– 248 D minor
Events	<i>Event e</i>	<i>Event b</i>	<i>Event c(a)</i>	<i>Event b</i>	<i>Event b</i>	<i>Event b</i>	<i>Event e</i>
Narrative function	C	N	N	N	N	N	C

Table 3: second variant, bars 238–248

Another significant support for this narrative strategy comes from gestural connotations. So, in the last compositional stage it is evident the detachment between the sense of illusory closure given by the return of starting key of D minor, protracted for three events (bars 245–266), and the actual huge gestural variety between them in the passage. The preparatory material proposes another less effective detachment. So in the first variant to be ‘digressive’ is not the gestural plot, but the tonal pathway (see Tables 2 and 3) within one ‘event’ *Event b*. Here, then a formal predictability—of the early return of *Event b* in the second variant, in a pattern which is closer to traditional formal conception—corresponds with a tonal variability. In terms of temporal parameters, it is evident that in the passage from the first variant to the second variant there is a process of reducing the duration of *Event b*. Its elimination in the last compositional draft is an elusive expedient so that the listener can be surprised by prevailing of this *Event b* on *Event c(a)* with the long-lasting occurrence in the recapitulation (bars 299–400).

There is a significant changing of the order of events across the compositional process to improve a narrative effectiveness. So in RF51, at bars 245–248, the catalyser *Event e* (see Table 3) is anticipated at the same place of bars 239–242 which in the last compositional stage (in ÖNB Mus. Hs. 41000/5 [8]) correspond with the end the *Event b*’s occurrence bars 225–244. With this change, the composer better highlights the unexpected occurrence of *Event c(a)*, which inverts the topical pattern followed to that point and eludes the waiting for *Event b* engendered by the sevenths of *Event e*.

6.2 The Process of Narrativisation in the Second Area

The second variant (at the last compositional stage) of this area seems to tell a little bit less about a possible narrative strategy, given that it consists mainly of a transposition from B flat major to F sharp major. Having finished writing a first variant of the conclusion of the movement in B flat major (bars 298–400), the composer came back to page ÖNB Mus. Hs. 41000/5 [9] (Ex. 9), cancelled bars 315–322 and added an insertion sign and the word ‘*Einlage*’ at the end of bar 298 on that page (Ex. 9). From this point, it departs the variant of the last compositional stage. It consists of adding an ‘*Einlage*’ (bars 299–314) — lacking in ÖNB Mus. Hs. 41000/5



[9]—first in RF53 (see the transcription in Bowman 1, 2017, pp. 160–161), and then its definite refining in ÖNB Mus. Hs. 41000/5[10] (see the transcription in Bowman 1, 2017, pp. 160–161). But in this variant Mahler transposes in ÖNB Mus. Hs. 41000/5[10] ÖNB Mus. Hs. 41000/5 [11], ÖNB Mus. Hs. 41000/5[12], bars 315–400 previously written in in B flat major in RF 53, ÖNB Mus. Hs. 41000/5 [9], ÖNB Mus. Hs. 41000/9[4], ÖNB Mus. Hs. 41000/9[5], in the new key of F sharp major with few and insignificant morphologic changes.

Given this chronology, along with the compositional process, there are no added events or motives coming from different groups, so no ‘narrativisation’ of early sketches is evident. The ‘*Einlage*’ is then inserted inside a very long *Event b* occurrence bars 299–400 (the longest of the movement, without this insert) in the area of the lowest degree of narrativity of the movement, given the little morphological discontinuity. The causal link between the ‘gestural shock’ of the climax and the transposition I have already inferred in section 2 seems confirmed and detailed genetically. in page ÖNB Mus. Hs. 41000/5 [9] Mahler conceived the bars 275–283 (the climax) and also the bars 315–324 of the reprise in the early key of B flat major. Indeed, he probably decided to cancel bars 315–322 and add the word ‘*Einlage*’ ÖNB Mus. Hs. 41000/5 [9] after he realised the insufficient response to the destabilising strength of the climax of the tonal area (B flat major) of bars 315–400 that he had meanwhile written in that page and in RF 53, ÖNB Mus. Hs. 41000/5 [9], ÖNB Mus. Hs. 41000/9[4], and ÖNB Mus. Hs. 41000/9[5]. It is surprising, however, that in retrospect that ‘gestural shock’ seems the only way to overcome the impasse of the false conclusion of the symphony by the circular return of the starting key of D minor, rather distant in the fifths circle from F sharp major at the end of development (strophe VIII, see Table 1).

Another observation needs to be made to explain the key change across variant of bars 315–400. The transposition circularly connects this final part of the finale neither with the beginning of the movement in D minor (as it happens for the ‘illusory’ finishing of the strophe IX), nor with that of the first movement—the quasi-tonal introduction-refrain *Event x*, which is represented at the end of the climax (bars 284–298) in a meta-referential ‘outside’. Thus, the composer intended to connect the reprise (the conclusion of

the finale) not to the ‘once upon a time’ of the symphony (that is the refrain *Event x*), but to the ‘actual’ beginning of that time—the lyrical first movement of the symphony in the same key. The change of key, along with the compositional process, further improves this sense of *temp retrouve*, which would have been incomplete without the transposition. Precisely because of this nonnarrative absence of major morphological and gestural changes, both at the level of the discursive stream of the version of the last compositional draft and that of the compositional process, this is the marker of the completion of the symphony. Perhaps that romantically redemptive return to the home key of F sharp major makes the whole narrative of the symphony as (long-lasting) incidental, as a teleological necessity to overcome the continuous pitfalls of *Weltlauf*. Only in the framework of that key can the composer give a sense of that gesture of opening identified by Johnson (2009, p. 87): the empty fifths evoking the chiming bells by which Mahler’s subjective lyricism is finally liberated by its repression on which, from my perspective, the entire symphony is built.

7. Conclusions: Overall Narrative Interpretation of the Fifth Movement

At first sight, a narrative interpretation of the fifth movement is made difficult because of its series of apparently contrasting its overall aspects coming from my analysis of the sections 4–6. In one sense, it has the highest degree of narrativity of the symphony, given the high number of events, of small motives which become autonomous during the movement, and of refrains which work as if were epic ‘fixed formulas’, intended as aids for the memory of storyteller (according to Micznik 2001, p. 224). However, the movement also has the longest occurrence of a single ‘event’ in a section—the coda—which is free of other events, and so seems not to be narrative, given the lack in this section of those gestural and semantical contrasts which are markers of a high degree of narrativity. In spite of its incompleteness, then, the movement seems to have a very ‘finished’, consistent teleological plot in a ‘determined by programmatic factors’, according to Jongbloed (1991, p. 144), while at the same time, as claimed by Johnson

(2009, p. 89), the ‘chiming of bells’ of empty fifths makes us think of a continuation of the ‘story’ of the preceding movement.

To reunite these contradictions into a unified idea of the possible ‘implied author’'s overall narrative intention manifested during the compositional process, however, we have only the support of a small number of preliminary manuscript pages which, however, seem to provide clear indications of a narrative direction in the compositional process. This time, we can also count on precise references to it in the letters and poems written to Alma during the conception of the movement. The starting consideration of this enterprise is that this movement, intended as Adornian *Erfüllung* (‘fulfilment’), follows the cyclic symphonic model, traced back to Beethoven’s Ninth, of the last movement as a final teleological recapitulation of the entire piece. Significant for our purpose here is the presence, as in Beethoven’s movement (though with a completely different expressive intent), of musical ideas taken from the previous movements.

As I will suggest in what follows, that the *Erfüllung*, the fifth movement, appears as the final consequence of the numerous narrative premises disseminated in the symphony. To be more precise, this movement leads to the fulfilment (and conclusion) of the ‘novel’ depicted in the previous movements by ‘scriptorial’ narrative features, that is aimed to represent in music a process of writing. We can infer this aspect by observing *Event b* during the movement. The ever-longer occurrences of this theme seem to be intended as a completion of the ‘sketches’—the *Erntelied motive*—disseminated, in an isolated form, here and in the third movement. This is suggested by the fact that this motive assumes a bridging function to link other ideas in a homogenous and fluent melodic flow. *Event b*’s long-lasting continuity, especially notable in the occurrences at the end of the movement (bars 299–380, 381–400), seems an answer to all of the numerous blocks of melodic continuity, impeded by the *Weltlauf* during the entire symphony. This might imply that the listener, like a novel’s reader, can finally follow the continuation of the ‘story’ of that melodic unfolding blocked or delayed during the symphony. This is evident in the progressive continuity of this theme and the teleological prominence given it by the gestural plot and, especially, by the position of the climax (bars 275–283) just before the first long-lasting occurrence of *Event b* (bars 299–400) in the recapitulation. Thus, *Event b*

seems not only an homage to Alma but also to the teleological continuity of the draft versus the non-teleology of sketches, stylised in the isolated presentation of the *Erntelied* motive in the third movement and in this movement. The homage is definitely ‘scriptorial’ as a meta-referential retelling in music of the act of (re)writing that Lied.

Compared to the meta-referential passages of other movements, however, there are some slight but significant differences here. In fact, *Event b*, already at bars 30–71 in the *Einleitung* presents one of its longest occurrences of the movement. In the first and second movement, though, the continuity, respectively, of *Event a* and *Event b(x)* and of Rothkamm’s group III motives was gradual. More specifically, after this long first occurrence of that *Event b* (41 bars), the following occurrences are shorter, though they lengthen increasingly until the ‘liberating’ occurrences of the recapitulation (bars 299–400). In other words, a pathway of progressive extension of the duration of *Event b*’s occurrences starts not at its first occurrence in the *Einleitung*, but only at bar 83 with the ‘Allegro moderato’, which begins a plot of ‘fight’ between the two themes. The immediate continuity of *Event b* occurrences in the *Einleitung* can be explained by regarding this *Event a* as a ‘prologue’ that presents two ‘characters’: the fragmentary *Event a* (due to the short motives *II* and *d*), and *Event b*, just presented in its characterising feature shown by all its occurrences, continuity.

There is another detail to mention in relation to this area of the movement: there are no meta-referential markers as with the first movement’s motive *Event x* which in its quasi-atonalism seems to represent ‘a present tense’ which contrasts with the ‘past tense’ of the old-fashioned more diatonic first theme.¹ As a consequence, in the fifth movement nothing indicates different temporal levels of *Event a* and *Event b*, but there is a ‘spatial’ indicator, as suggested by the fireman anecdote, that if it is not the inspirational origin and so the ‘programme’ of the *Einleitung* it can at least be understood as a metaphorical explanation of the passage. As per section 4, then, the death march can be taken as ‘outside’ (out the window of hotel of

¹ About this this interpretation in terms of narrative-like temporal excursions in the first movement of Mahler’s Tenth see Pinto 2017, pp. 33-37.

New York) *Event b* (the homage to Alma, who was close to Gustav on this side of the window in the room of that hotel). But, as ever in Mahler, possible ‘programmes’ can be taken as effects rather than as causes of the inwardness of the music. I can explain my reading of *Event b* as an *inside*, in light of the meta-referential reading above. From this view, the resolution of the conflict between *Event a* and *Event b* in the *Einleitung* happens on a meta-referential scriptorial plane of *Erfüllung*, of morphological and ‘redemptive’² completion of the sketches of Alma’s *Erntelied* from the ‘Purgatorio’ third movement. This means that *on this side* of the window is the ‘scriptorial’ (and compositional) homage to Alma in the mental ‘composing hut’³ of the writing process, a dimension suggested by the composer’s activity of assembling the ‘cohesive’ *Erntelied motive* to make the continuous *Event b*. *Outside the window*, it cannot be that the intertextually different and dramatic world of the funeral of the musical self/fireman—*Event a*—is related to the *Weltlauf* of the following *Event c(a)*, which motorically comes from *Event a*. The linking of these two opposed worlds is given by the *Erntelied motive* occurrences (isolated by rests) of bars 12–14, 22–24. They seem to represent not only the last breaths of the dying fireman but also the border between the sketch-like fragmentary world of *Event a* and the world, announced by these motives and by sevenths, of the continuous, draft-like *Event b*. Moreover, in this outside–inside passage, these motives seem to be interjections that close the ‘theatrical piece’ of the fourth movement,⁴ whose ‘story’ finishes with the initial bars of the fifth movement to lead the listener to the ‘composing hut’.

The end of the developmental section raises another important meta-referential point, whose narrative intentionality can be corroborated by existing preliminary pages. After bar 238, I showed in section 6.1, pages RF51, RF 52 and the cancelled bars of ÖNB Mus. Hs. 41000/5 [8] make

² David Matthews (2007, p. 515), thinks that the bars 112-115 (occurrence of *Erntelied* Event) of the ‘Purgatorio’ contain the ‘seed of redemption’ which will represent in the fifth movement in the passage from *Event a* (bars 1-29) to *Event b* (bars 30-71).

³ The phrase ‘composing hut’ alludes to the hut in Toblach where Mahler composed the Tenth Symphony and other works during the last summer holidays of his life.

⁴ This reading of the fourth movement is contained in Chapter Six of my dissertation mentioned in footnote 1.

Event b prevail in that area of the movement. Instead the discarding of those bars, at the last compositional stage (at bars 261–266) determines the provisory and illusory prevailing of *Event c(a)* in that same area. Again, I pointed out that the ‘gestural shock’ of the following climax (bars 275–283), and the following motive *Event x* (bars 284–298), taken from the first movement, seems to be intended by the composer to resolve that impasse. Considering that the climax, like the remaining part of the movement, is also the transposition from the key of B flat major to F sharp major and according to Rothkamm (2003, p. 55) it was composed after the psychoanalytical session with Freud on 26 August 1910, I infer here that this impasse and its following resolution can be intended as a meta-narrative expedient. This seems to be supported by the placing of motive *Event x* after that impasse, the climax, and before the longest lasting occurrence of *Event b* (bars 299–400). In fact, *Event x* in just that position seems to maintain an introductory, meta-referential function from the first movement in terms of, metaphorically, the ‘quill’ in the composer’s hand, mentioned in the poem to Alma written on 17 August 1910 (GMAB 2004, no. 329), during the conception of the movement. Here this idea *Event x* has an even stronger function of a collection of ideas, of ‘grosse Appel’ to his own ideas just to overcome that impasse. Moreover, to further support the analogy with the first movement, it is significant that *Event x* again introduces a lyrical theme, similar to *Event a* at the beginning of that movement (which, actually, is quoted at bars 315–316 of this movement). The overcoming of that impasse is further explained by that same poem to Alma: ‘*Die Zeit is da, die Feder ist zur Hand/Doch die Gedanken wollen nicht verweilen*’ (‘The time has come, the quill is in my hand—Yet this idea continually eludes me’). These verses cannot, as per de La Grange-Weiss (GMAB 2004, p. 376), refer only to the moment of beginning to write the work, but more specifically to the bars (238–266) of this impasse which, according to Rothkamm’s chronology, the composer was conceiving when writing that poem. It is likely that the stylised compositional impasse is also an expression of the composer’s actual difficulty in finishing the movement, given the credible assumption that in those hard days of marital and personal crises, Mahler might have had difficulties concentrating and collecting his ideas.

In conclusion picking up the pieces of evidence from the previous levels of analysis it seems clear that the Genettian ‘whole of the real or fictional situation in which that action takes place’ (Genette 1972/1980 p. 28) needs to be identified in a dialectics that is more essential to the movement than those contradictions I mentioned earlier: between the dimensions of ‘outside’ and ‘inside’, which work as markers of the ‘narrating’ voice of the composer. This means that, given the abovementioned evidence, one cannot think that the entire ‘narrative’ of the movement comes from a single storyteller who is recounting his act of writing the story. This storyteller, who is *on this side* of the window of the ‘compositing hut’, is also *external* to the story he’s telling. He is ‘extradiegetic’ and ‘heterodiegetic’, in Genette’s terms, because he tells events that are outside (*Event a* and *Event c(a)*) and inside (*Event b*) the ideal threshold of the writing process. Once again, the meta-referential connotative and intertextual play fills in for the lack of referential–denotative resource of verb tenses in indicating the ‘who’ of the narrative act. The narrating voice seems to be alternating inside or outside of the window of the metaphorical ‘compositing hut’ from which the Genettian ‘intradiegetic narrator’ is writing.

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