

TONALITY AND CHROMATICISM IN HANS WERNER HENZE'S EARLY OPERAS

by

MUSTAK ZAFER ÖZGEN

A dissertation submitted to the Graduate Faculty in Music in partial fulfilment of the requirements for the degree of Doctor of Philosophy, The City University of New York.  
2009

© 2009

MUSTAK ZAFER ÖZGEN

All Rights Reserved

This manuscript has been read and accepted for the  
Graduate Faculty in Music in satisfaction of the  
dissertation requirement for the degree of Doctor of Philosophy.

Professor Richard Kramer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Chair of the Examining Committee

Professor David Olan

\_\_\_\_\_  
Date

\_\_\_\_\_  
Executive Officer

Professor Philip Rupprecht

Professor Joseph Straus

Professor Richard Kramer

Supervisory Committee

THE CITY UNIVERSITY OF NEW YORK

## Abstract

### TONALITY AND CHROMATICISM IN HANS WERNER HENZE'S EARLY OPERAS

by

Mustak Zafer Özgen

Adviser: Professor Philip Rupprecht

Regarded as one of the most prolific twentieth-century composers, Hans Werner Henze is particularly famous for his remarkable output for the stage. Yet, current music scholarship, particularly in English speaking countries, responds to Henze's operas only sporadically. Studies in German, understandably more in quantity, approach his operas from a limited analytical perspective resulting in an incomplete understanding of dramatic issues. Devoting more attention to librettos as the primary source of dramatic content, these studies remain at the descriptive level in their consideration of the music, and neglect a thorough analysis of the musical textures in their entirety.

Taking four operas composed in the ten-year period from 1955 to 1965 as its point of departure, the present study examines characteristic elements of Henze's musical language in order to clarify issues related to dramatic action. Henze recalls his growing frustration with the music aesthetic views cultivated during this period, which he considers as his break with the aesthetic aspirations of the so-called Darmstadt School. Coupled with his permanent move to Italy, the polarity he claims to have existed around mid-twentieth century marks a change in

Henze's aesthetic views. The operas considered in this study reflect a rejection of the modernist concerns. But Henze does not abandon serial techniques categorically; rather he refrains from a dogmatic approach to serial techniques and combines them with other styles. My analyses concentrate specifically on strategies of creating tonal allusions, closely related to his idiosyncratic twelve-tone technique, and the typically dissonant stratified textures that recur in the operas under investigation. Particularly in *Der Prinz von Homburg* and *The Bassarids* Henze tackles the task of uniting his twelve-tone method with tonal allusions to delineate dramatic action.

## **Acknowledgements:**

This project would have been impossible to complete without the patient guidance and encouragement of my dissertation advisor Professor Philip Rupprecht. I am grateful for the constructive criticisms he has given over a period of six years, providing very valuable feedback to ensure the soundness of the analytical approach proposed and to verify the coherent flow of the prose throughout. He was equally generous in his praise of successful work as he was in his critique of problematical issues. Likewise, Professor Joseph Straus and Professor Richard Kramer provided insight into different aspects of the study, asking for more accuracy and precision in my analyses and prose. They both contributed immensely to improving the quality of my dissertation; I learned a great deal about music and music scholarship from them during my studies at City University of New York. I would also like to thank Professor Christoph Neidhöfer at McGill University for accepting to serve as outside reader on my dissertation committee. Peg Rivers made it possible for my doctoral studies to run smoothly, since some of it had to be completed while living in Norway; I am very grateful for her help. Svanlaug Takle, librarian at the University of Stavanger Music Library, helped greatly by acquiring many of the secondary sources needed for this study. I would also like to thank the European American Music Distributors LLC for giving me permission to use several musical examples from their publications. Finally, I must thank my wife, Lise Özgen, for sacrificing summer holidays several years in a row, to allow me to complete my dissertation.

## Table of Contents:

Abstract.....	iv
Acknowledgements:.....	vi
Table of Contents:.....	vii
List of illustrations:.....	viii
Chapter 1. Introduction.....	1
1.1. The post-war avant-garde and Henze.....	6
1.2. Henze’s musical language.....	10
1.3. Henze scholarship – the operas .....	14
Chapter 2. Analyzing Henze’s Operatic Technique:Tonality and Chromaticism in .....	
<i>Il Re Cervo</i> .....	20
2.1. Tonal allusions and stratified textures in <i>Il Re Cervo</i> .....	23
2.2. Twelve-tone strategy in <i>Il Re Cervo</i> .....	29
2.3. Chromatic writing in Scollatella’s aria.....	37
2.4. Influences from Italy: vocal style and characterization in <i>Il Re Cervo</i> .....	46
2.5. Tonality and characterization in Leandro’s aria.....	62
2.6. Truth-untruth duality and double-vision on stage.....	67
Chapter 3. “Henze turns the clock back:” <i>Der junge Lord</i> .....	82
3.1. Defining harmonic contexts in <i>Der junge Lord</i> .....	84
3.2. Tonal opposition in the Orchestral Prelude.....	96
3.3. Tonal allusions and contrasting worlds in the “Love Duet.” .....	104
Chapter 4. Conflicting worlds and conflicting musical idioms in <i>Der Prinz von Homburg</i> ..	116
4.1. Thematic and harmonic definition in <i>Homburg</i> , Act I.....	126
4.2. Dramatic flow and row technique in Scene 1. ....	143
4.3. Tonal allusions in twelve-tone counterpoint: the “Dream-Invention.” .....	162
4.4. Row structure vs. musical expression: the “Battle-Invention.” .....	176
4.5. Twelve-tone counterpoint in Act II.....	182
Chapter 5. Sophistication of a style: <i>The Bassarids</i> .....	193
5.1. Twelve-tone thematic characterization and the sonata-form argument in .....	
the First Movement. ....	201
5.2. Tonal and twelve-tone stratification in <i>The Bassarids</i> .....	231
5.3. Stylistic contrast and quotation technique in <i>The Bassarids</i> .....	239
* Epilogue.....	254
Bibliography: .....	257
Musical Scores:.....	269
Recordings: .....	269

## List of illustrations:

### Chapter 2.

- Example 2-1.        *Il Re Cervo*, Act I, Scene 1, mm. 1-6.
- Example 2-2.        *Il Re Cervo*, Act I, Scene 1, mm. 37-40.
- Example 2-3.        *Il Re Cervo*, Act I, Scene 1, mm. 40-50.
- Example 2-4.        *Il Re Cervo*, Act I, Scene 2, mm. 181-185.
- Example 2-5.        *Il Re Cervo*, Act I, Scene 2, mm. 180-187.
- Example 2-6.        *Il Re Cervo*, Act I, Scene 2, mm. 68-71.
- Example 2-7.        *Il Re Cervo*, Act I, Scene 5, mm. 128-131.
- Example 2-8.        *Il Re Cervo*, Act I, Scene 5, mm. 129-130.
- Example 2-9.        *Il Re Cervo*, Act I, Scene 1, mm. 40-66.
- Example 2-10.       *Il Re Cervo*, Act I, Scene 1, mm. 93-111.
- Example 2-11.       *Il Re Cervo*, Act II, Scene 2.
- Example 2-12.       *Il Re Cervo*, Act II, Scene 2.
- Example 2-13.       *Il Re Cervo*, Act II, Prelude, mm. 1-7.
- Example 2-14.       *Il Re Cervo*, Act II, Prelude, mm. 8-15.
- Example 2-15.       *Il Re Cervo*, Act I, Scene 4, mm. 14-23.
- Example 2-16.       *Il Re Cervo*, Act I, Scene 4, mm. 14-23.
- Example 2-17.       *Il Re Cervo*, Act I, Scene 4, mm. 77-86.
- Example 2-18.       *Il Re Cervo*, Act I, Scene 4, mm. 87-96.
- Example 2-19.       *Il Re Cervo*, Act II, Scene 1, mm. 71-77.
- Example 2-20.       *Il Re Cervo*, Act II, Scene 1, mm. 124-127.
- Example 2-21.       *Il Re Cervo*, Act II, Scene 2, mm. 1-5.

- Example 2-22. *Il Re Cervo*, Act II, Scene 2, mm. 9-10.
- Example 2-23. *Il Re Cervo*, Act III, Scene 2, mm. 59-64.
- Example 2-24. *Il Re Cervo*, Act 3, Scene 2, mm. 89-90.
- Example 2-25. *Il Re Cervo*, Act III, Scene 2, mm. 96-97.
- Example 2-26. *Il Re Cervo*, Act III, Scene 4, mm. 1-7.

### Chapter 3.

- Example 3-1. *Der junge Lord*, Act I, Scene 1, mm. 157-165.
- Example 3-2. *Der junge Lord*, Act I, Scene 1, mm. 182-193.
- Example 3-3. *Der junge Lord*, Act I, Scene 2, mm. 1-4 and 9-16.
- Example 3-4. *Der junge Lord*, Act I, Scene 2, mm. 25-28.
- Example 3-5. *Der junge Lord*, Act 1, scene I, mm. 1-10.
- Example 3-6. *Der junge Lord*, Act I, scene 1, mm. 4-5.
- Example 3-7. *Der junge Lord*, Act I, Scene 1, mm. 23-30.
- Example 3-8. *Der junge Lord*, Act I, Scene 1, mm. 36-50.
- Example 3-9. *Der junge Lord* Act II, Scene 4, 131-133.
- Example 3-10. *Der junge Lord*, Act II, Scene 4, 121-124.
- Example 3-11. *Der junge Lord*, Act II, scene 4, 125-126.
- Example 3-12. *Der junge Lord*, Act II, scene 4, mm127-128.
- Example 3-13. *Der junge Lord*, Act II, Scene 4, mm. 144-154.
- Example 3-14. *Der junge Lord*, Act II, Scene 4, mm. 134-145.

Chapter 4.

- Example 4-1. *Der Prinz von Homburg*, Act I, Scene 1, mm.20-22 and 141-150.
- Example 4-2. *Der Prinz von Homburg*, Act I, Scene 1, mm.85-87.
- Example 4-3. *Der Prinz von Homburg*, Act I, Scene 1, mm. 141-150.
- Example 4-4. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 126-133.
- Example 4-5. *Der Prinz von Homburg*, Act I, Scene 1, 125-132.
- Example 4-6. *Der Prinz von Homburg*, Act I, Scene 2, 68-72.
- Example 4-7. *Der Prinz von Homburg*, “Dream-Row 1.”
- Example 4-8. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 1- 14.
- Example 4-9. *Der Prinz von Homburg*, Act I, Scene 1, mm. 40-63.
- Example 4-10a. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 39-42
- Example 4-10b. *Der Prinz von Homburg*, Act I, Scene 1, mm.43-45.
- Example 4-10c. *Der Prinz von Homburg*, Act 1, Scene 1, mm.55-57.
- Example 4-10d. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 58-60.
- Example 4-11. *Der Prinz von Homburg*, Act 1, Scene 1, mm.61-64.
- Example 4-12. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 78-101.
- Example 4-13. “Rows” in the “Dream-Invention” (after de la Motte, pp. 21-22).
- Example 4-14. “Dream-row 2.”
- Example 4-15. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 94-101.
- Example 4-16. *Der Prinz von Homburg*, Act 1, Scene 1, mm. 94-112.
- Example 4-17. Battle-Row.
- Example 4-18. *Der Prinz von Homburg*, Act 1, Scene 3, mm. 143-152.
- Example 4-19. *Der Prinz von Homburg*, Act II, Scene 4, mm. 1-14.

- Example 4-20a. *Der Prinz von Homburg*, Act II, Scene 5, mm. 13-20.
- Example 4-20b. *Der Prinz von Homburg*, Act II, Scene 5, mm. 21-26.
- Example 4-21. *Der Prinz von Homburg*, Act II, Scene 5, mm. 39-48.
- Example 4-22. *Der Prinz von Homburg*, Act II, Scene 5, 49-56.

## Chapter 5.

- Example 5-1. Wolfram Schottler's outline of sonata-form in *The Bassarids*, First Movement.
- Example 5-2. *The Bassarids*, First Movement, mm. 1-6.
- Example 5-3. *The Bassarids*, First Movement, mm.7-10.
- Example 5-4. *The Bassarids*, First Movement, mm.22-24.
- Example 5-5. Dionysus-row.
- Example 5-6. *The Bassarids*, First Movement, m.103.
- Example 5-7. *The Bassarids*, First Movement, mm.104-107.
- Example 5-8. *The Bassarids*, First Movement, mm.122-125.
- Example 5-9. *The Bassarids*, First Movement, mm.122-132.
- Example 5-10. *The Bassarids*, First Movement, mm.133- 138.
- Example 5-11. *The Bassarids*, First Movement, mm. 575-582.
- Example 5-12. *The Bassarids*, First Movement, mm. 193-198. Second theme (after Schottler).
- Example 5-13. *The Bassarids*, First movement, mm.479-484.
- Example 5-14. *The Bassarids*, First Movement, mm.509-514.
- Example 5-15. *The Bassarids*, First Movement, mm. 36-37.
- Example 5-16. *The Bassarids*, First Movement, mm.95-96.

- Example 5-17. *The Bassarids*. Second Movement, mm. 668-674.
- Example 5-18. *Bassarids*. Second Movement, mm. 675-681.
- Example 5-19. *The Bassarids*. Second Movement, mm. 818-820.
- Example 5-20. *The Bassarids*, Second Movement, mm. 1066-1083.
- Example 5-21. *The Bassarids*. Second Movement, mm. 1300-1303.
- Example 5-22. *The Bassarids*. Third Movement, mm. 1245-1248.
- Example 5-23. *The Bassarids*, Third Movement, mm. 831-839.
- Example 5-24. *The Bassarids*, Third movement, mm.869-871.

## Chapter 1. Introduction.

A considerable segment of this professional new-music world harbors a kind of grudge against Henze – if not openly, then covertly, or even subconsciously. For Henze has “short-circuited” them and come to power without their help or blessing. He has even gone further; he has risen to eminence while writing a kind of music that they, the self-appointed tribunal, have by implication impugned – a kind of music that has for over a decade been in contradiction to the various dogmas and systems that have succeeded one another as representing the true path to musical salvation. His transgression is the more heinous in that he started out, shortly after the war, as a thoroughgoing vanguardist and *enfant terrible*.<sup>1</sup>

Partly the result of a self-inflicted isolation, the general lack of scholarly interest in Hans Werner Henze’s music stands in strong contrast, at least quantitatively, to his gigantic compositional output. One topic where Henze does emerge as a household name is politics, an area less often encountered in music scholarship. Indeed, Henze has always been preoccupied with the social impact of his compositional endeavors. Yet, politics is not the exclusive realm of one composer. As recent research suggests, the post-war musical scene around mid-twentieth century, the time frame that concerns the present inquiry, was highly politicized. These studies attempt a closer investigation of the institutional role in cultural affairs, and emphasize that both in Germany and France the new musical language was formulated partly as a political reaction in the aftermath of the Second World War. In France, the left saw socialist realism as a viable approach to prevent music from becoming an increasingly autonomous art and losing its communicative link to the public.<sup>2</sup> The opposing side promoted the so-called reactionary music of Stravinsky as an answer

---

<sup>1</sup> Everett Helm, “Current Chronicle, Germany,” *The Musical Quarterly* 52 (January 1966): 101.

<sup>2</sup> See Mark Carroll, *Music and Ideology in Cold War Europe* (Cambridge: Cambridge University Press, 2004). In another study Mark Carroll examines the implications of the exchange between Jean-Paul Sartre and René Leibowitz regarding the social function of avant-garde music and its capacity to instigate change. He articulates a political interpretation of the expansion of the twelve-tone technique to parameters of music other than pitch in Boulez’s music: “In short, what Sartre predicted and what Boulez subsequently delivered was a music that, by being

against the avant-garde music in the post-war era. Pierre Boulez took pride in participating in protests against the concerts devised by the Congress for Cultural Freedom as anti-Soviet display. Likewise, he attacked ideas of social realism in music, which aimed to retain the traditional values invested in this art form for the sake of communication.<sup>3</sup> On the other hand, in 1947 the first Paris Festival, directed by René Leibowitz, promoted the Schoenberg School and presented an alternative to both camps.<sup>4</sup>

Though important in studying Henze's compositions in general, the political element in the discourse is directly relevant only to his later work. Indeed, from the mid-1960s onwards, he started reading left-wing literature seriously, and wrote overtly political works.<sup>5</sup> In his operas written between 1955 and 1965, the period chosen for the present study, political concerns surface in a limited sense – and then, only covertly, in the form of social criticism. During this time, Henze not only launched a polarizing rhetoric in writings and speeches to distance himself from the aesthetic aspirations of the so-called Darmstadt School, but moved permanently to Italy

---

impervious to meaning arising from external association, was resistant to ideological appropriation." Mark Carroll, "Commitment or Abrogation? Avant-garde Music and Jean-Paul Sartre's Idea of Committed Art," *Music and Letters* 83 (November 2002): 591. It is doubtful that the primary motivation behind Boulez's (and Stockhausen's) serialist agenda was political. See also Anne C. Sheffler, "Ideologies of Serialism: Stravinsky's *Threni* and the Congress for Cultural Freedom," *Music and the Aesthetics of Modernity: Essays*, ed. Karol Berger and Anthony Newcomb (Cambridge: Harvard University Press, 2005). A general outline of post-war European musical culture (particularly in Germany) is provided in M. J. Grant, *Serial Music, Serial Aesthetics: compositional Theory in Post-War Europe* (Cambridge: Cambridge University Press, 2001).

<sup>3</sup> "Very early on, differences began to appear among us [Boulez is referring to a group of students who worked under Olivier Messiaen and René Leibowitz], stemming from the fact that some refused, in the name of humanism and the need to communicate with others, to advance any further into territory where they risked not being understood – an ideology that filled me with horror, and that appeared to me above all to serve as a screen for conformity." Pierre Boulez, "From the Domaine Musical to IRCAM: Pierre Boulez in Conversation with Pierre-Michel Menger," interview by Pierre-Michel Menger, *Perspectives of New Music* 28 (1990): 7. Original text "Du Domaine musical à l'Ircam: Pierre Boulez, entretien avec Pierre-Michel Menger," *Le Débat* 50 (August 1988): 257-266.

<sup>4</sup> Successive Paris festivals projected more varied programming. See, for example, Colin Mason, "The Paris Festival," *Tempo* 24 (Summer 1952): 12.

<sup>5</sup> The political aspect of Henze's music is considered in three studies devoted exclusively to this topic: Ernst H. Flammer, *Politisch engagierte Musik als kompositorisches Problem – darstellt am Beispiel von Luigi Nono und Hans Werner Henze* (Baden-Baden: Koerner, 1981); Peter Petersen, *Hans Werner Henze: Ein Politischer Musiker – Zwölf Vorlesungen* (Hamburg: Argument-Verlag, 1988); Sabine Giesbrecht and Stefan Hanheide, eds., *Hans Werner Henze: Politisch-Humanitäres Engagement als künstlerische Perspektive* (Osnabrück: Universitätsverlag Rasch 1998). These studies do not consider the general cultural situation after the war and the different political stances that emerged as a result, but rather concentrate on Henze's case specifically.

as well.<sup>6</sup> From the point of view of musical language in the early operas, the differences between Henze and other Darmstadt composers remain an issue that is incompletely understood. Henze is surprisingly, though correctly, mentioned among those composers who defined the musical avant-garde around the middle of the twentieth century.<sup>7</sup>

On the other hand, Henze's desire to articulate his compositional view within a historical context differs strongly from the ideas of other Darmstadt composers who tried to avoid traditional aesthetic concerns entirely. In the 1996 lecture he mentions the Second Viennese School as an important influence in the development of his musical style.

The foundations of my music considered as a craft, its technical features, derive, obviously, from the Leipzig School: the school, that is, of J.S. Bach and his successors as Thomaskantors and composition teachers, up to Max Reger, Hermann Grabner, and Wolfgang Fortner. Among later developments, the Viennese Classical School and the Second Viennese School of the first half of the twentieth century have also had a major influence on me. To this day, the twin foundations of my musical thinking are Schoenbergian serial technique and the Beethovenian idea of the sonata.<sup>8</sup>

Important in formulating a viable approach to Henze's compositional style, such statements often have limited critical value; tailored to communicate with the general public, rather than the music specialist, they lack methodical precision. In a general sense, allusions to diverse styles play an important role in Henze's music; in the operas examined here, they help communicate

---

<sup>6</sup> The writings, speeches, and interviews appeared in *Melos*, in newspapers, and several collections that consisted of revised material: Hans Werner Henze, *Essays* (Mainz: Schott, 1964); *Musik und Politik. Schriften und Gespräche 1955-1975*, ed. Jens Brockmeier (München: DTV, 1975); *Schriften und Gespräche 1955-1975*, ed. Hans Peter Müller (East Berlin: Henschelverlag, 1981); *Music and Politics, Collected Writings 1953-1981*, trans. Peter Labanyi (London: Faber and Faber, 1981). The writings in all these collections overlap, and they are often reworked for each specific publication. Henze moved first to Forio d'Ischia in 1953 and then to Naples in 1955.

<sup>7</sup> "They showed so much promise, the "class of '45," a group consisting of Boulez, Pousseur, Stockhausen, Henze, Maderna, Nono, and Berio. During the 1950s, this youthful brigade congregated at Darmstadt and developed plans for integral serialism." David, Metzger, *Quotation and Cultural Meaning in Twentieth-Century Music* (Cambridge: Cambridge University Press), 108.

<sup>8</sup> Hans Werner Henze, "Language, Music, and Artistic Invention," *The Prince of Hesse Memorial Lecture 1966*, trans. Mary Whittall (Aldeburg: Britten Pears Library, 1996), 6-7.

conflicts present in the plot and develop the dramas. Among these styles twelve-tone writing has had an important place in Henze's compositional method. It is problematical, however, to associate even those works where twelve-tone procedures are rigorously followed, with the musical ideals and artistic aspirations of the Second Viennese School. Schoenberg's denunciation of blending past musical styles related to tonality with contemporary idioms contradicts the Henzean compositional technique of fusing and juxtaposing sharply contrasting styles.<sup>9</sup> His objections include the use of triads, conventional cadences, pedal points, and ostinatos, all of which abound in Henze's musical output.

Referring to the diversity of musical styles and expressive means used in his operas (including those studied here) Henze acknowledges that he, from the beginning, "wanted to set up alternative worlds, which questions all that [foundations of his musical craft] and rattle those certainties. Dialectics!"<sup>10</sup> On the one hand the duality that results from this standpoint fitted well with the inherent conflicts of the plots. On the other hand, starting with *Il Re Cervo* (1955), studied in Chapter 2, the compositional practice Henze embraced openly challenged the premises of the mainstream avant-garde. Henze characterizes the path he chose as eclecticism and provides an explanation that sounds apologetic:

It may be unfashionable to continue musical traditions in this way, but with Goethe under my pillow, I'm not going to lose any sleep about the possibility of being accused of eclecticism. Goethe's definition ran: 'An eclectic ... is anyone, who, from that which surrounds him, from that which occurs to him, takes what corresponds to his nature.' If you wanted to do so, you could count Bach, Mozart, Verdi, Wagner, Mahler, and Stravinsky as eclectics, and then I would be happy to be considered an eclectic, too."<sup>11</sup>

---

<sup>9</sup> Arnold Schoenberg, "Opinion or Insight?" in *Style and Idea*, ed. Leonard Stein (Berkeley: University of California Press, 1984), 258-264, first appeared in German as "Gesinnung oder Erkenntnis?" in *25 Jahre neue Musik. Jahrbuch 1926 der Universal Edition* (Wien: Universal Edition, 1926). Certainly Schoenberg did not pursue these ideas pedantically in all his twelve-tone compositions; particularly in his later works he allowed traditional tonal elements to coexist with twelve-tone materials.

<sup>10</sup> Henze, "Language, Music, and Artistic Creation," 7.

<sup>11</sup> Henze, *Music and Politics – Collected Writings 1953-1981*, trans. Peter Labanyi (London: Faber and Faber, 1982), 145-146. Henze quotes the remainder of the passage, too: "but Goethe goes on: 'Of a different order is that spiritlessness that, from lack of all inner determination, like a jackdaw, brings back to its nest anything that happens

The various musical influences in Henze's operas manifest themselves sometimes as allusions to a particular musical style, sometimes to a musical form, and sometimes a textural idea. Contemporary reviews of operas from the middle of the twentieth century suggest that critics detected such disparate influences in Henze's music as Wagner, Donizetti, Verdi, Berg, and others.<sup>12</sup> While recognizing the occasional inspiration received from many composers, Henze mentions Schoenberg and Stravinsky as the two major influences in the development of his compositional technique. That the aesthetic worlds of these two giants of contemporary music were diametrically opposed to each other, he evades by saying both have a place in his musical understanding, side by side with other influences, to enrich his musical language.

Enslaved by one [Schoenberg], enthralled by the other [Stravinsky], I have tried ever since, for decades, to sustain a double life, a contradiction, a dualism within myself, and to draw the aesthetic consequences.<sup>13</sup>

This paradox has important consequences in terms of elucidating Henze's relationship to the Second Viennese School, and more importantly in establishing his place in the musical avant-garde around mid twentieth century. In his writings Schoenberg suggested the homogeneity of style as the only proper standpoint for a composer, in order to elevate a composition to the status of creation within the historical development of music. Henze upsets the twelve-tone technique by blending it with precisely those traditional elements Schoenberg wanted to avoid. He is concerned with the aptness of a stylistic element and the resultant musical expression to render an idea present in the text, and the immediate impact of these expressions on the listeners.

---

to be offered from whatever side, and thereby, as something originally dead, cuts itself off completely from a living whole.' Well – in the light of that, everyone can examine himself to see whether or not he qualifies as an ugly eclectic."

<sup>12</sup> See Deborah Hochgesang, *Die Opern von Hans Werner Henze: im Spiegel der deutschsprachigen, zeitgenössischen Musikkritik bis 1966* (Trier: Wissenschaftlicher Verlag Trier, 1995).

<sup>13</sup> Henze, *The Prince of Hesse Memorial Lecture 1966*, 7.

Schoenberg, on the other hand, differentiates between the law of the nature of genius (artist), and the proclivities of the mediocre (artist); the former speaks or creates the laws of future humanity, while the latter has the inclination to accept the laws (of past forms and styles) as good.<sup>14</sup> Henze pursues the latter position rather naively in many of his writings in an attempt to justify his aesthetic views.

### 1.1. The post-war avant-garde and Henze.

In 1946, as peace settled over war-ravaged Europe, there gathered a generation of composers whose destiny it would be to confront the apocalyptic recent past in the midst of a reactionary socio-cultural present. The death of Anton Webern in the same year punctuated the fertile, but ununified, cultural landscape. Before long these composers would be engaged in individual, as well as collective, staking of dialectical ground on the emerging map of a new musical language. Initially at least, composers who attended the Darmstadt summer school had a common goal: acquiring first-hand knowledge of a repertoire that had been absent from the musical scene in Europe for more than a decade due to the repressive political and cultural strategies of the Nazi regime in Germany in the 1930s and during the Second World War. These policies were revealed with particular force in the anti-Semitic legislation carried out in the 1930s; as a consequence prominent musicians were removed from active artistic life. In addition, there was also the aversion towards modernism, which resulted in the exclusion of avant-garde music from public exposure in the same period.<sup>15</sup>

---

<sup>14</sup> Arnold Schoenberg, *Harmonielehre* (Wien: Universal Edition, 1922), 392-393.

<sup>15</sup> The consequences of the implementation of the cultural policies of the Nazi party are studied comprehensively by Erik Levi who documents that starting in 1933 musicians of Jewish ancestry were systematically removed from public musical life. Occasionally, musicians whose spouses were Jewish received privileges if their work proved to be too valuable to sacrifice. Erik Levi, *Music in the Third Reich* (New York: St Martin's Press, 1994), 40. Levi

Immediately after the war this repertoire became available again. The return of the music of the Second Viennese School was particularly significant for the developments around the middle of the century. René Leibowitz's lectures during the first years of the Darmstadt were instrumental in informing the young and maturing post-war composers about twelve-tone composition of the pre-war era. However, composers who later emerged as the prominent members of the Darmstadt school, including Boulez and Stockhausen, saw the conventional twelve-tone technique as inadequate because it inherited from the common practice tonal music the hierarchical relationship between pitch, rhythm, and dynamics – retaining the secondary status of the latter two. As Reinhard Kapp argues, the idea of rhythmic serialization was a common concern around 1950s, though the initiative to formulate a non-hierarchical serialization of all aspects of music derived this rationale from a flawed understanding of Anton Webern's music.

The first experience of Webern's work was reduced to makeshift performances; when the interpreters who knew how this music should 'go' returned from exile, people no longer listened to them. Relating to Webern occurred in a vacuum, at best in a state of reduced awareness. It only happened in earnest after Schoenberg's death, and then it was dealing with another dead man.<sup>16</sup>

Although Henze tries to distance himself from the Darmstadt hardliners, his sketches for numerous compositions show that he worked out, even as late as 1980s, different aspects of many of his compositions (pitch and rhythm) independently, in a manner reminiscent of the

---

stresses that the reaction against modernism started before the Nazis came to power, though these tendencies might have gained momentum in the thirties. Levi, 82.

<sup>16</sup> Reinhard Kapp, "Shades of the Double's Original: René Leibowitz's Dispute with Boulez," *Tempo* 165 (June 1988): 12. Also Henze was aware of the misinterpretation of Webern's music and aesthetics. Henze, *Music and Politics*, 43-44.

serialist movement.<sup>17</sup> On the other hand, Henze's treatment of the twelve-tone techniques was considered unorthodox from the beginning. In a short but informative article, Rudolf Stephan provides an accurate characterization of Henze's compositions from the late 1940s. He points out the absence of consonant triads and unusual and sometimes archaic orchestration as two elements responsible for the ascetic character of "new music." He argues that Henze intentionally opposes both tendencies with charming sonorities and brilliant orchestration in his early works.<sup>18</sup>

The tension between the mainstream avant-garde and Henze, which is reiterated in his own writings and in the scholarship, is not reflected in the initial workings of the Darmstadt school in the late 1940s and 1950s. A survey of the concert programs reveals that from the very beginning Henze's works were presented regularly, and some were included in the summer courses even after he officially left Darmstadt for good.<sup>19</sup> Yet, very few studies attempt to examine the nature of the opposition outlined above. Particularly matters relating to Henze or his relationship with other post-war composers are mentioned in passing – a careful investigation of specific works never emerges as a concern. One notable exception is Giselher Schubert's article in which flute sonatas by Boulez and Henze from 1946 are weighed up against each other to consider the influence of Schoenberg in the former and that of Hindemith in the latter.<sup>20</sup> While this insightful article makes a bold attempt to clarify Henze's twelve-tone technique by drawing attention to

---

<sup>17</sup> Examples include twelve-tone matrixes, rhythmic, dynamics, and chord charts for *Antifone* (1960), *Das Floß der Medusa* (1968), *Le Miracle de la rose* (1981), *The English Cat* (1980-1983), *Sinfonie Nr.9* (1995-1997). See Ulrich Mosch, ed., *Inventare der Paul Sacher Sammlung: Sammlung Hans Werner Henze, Musikmanuskripte* (Mainz: Schott, 2003).

<sup>18</sup> Rudolf Stephan, "Hans Werner Henze," *Die Reihe* 4 (Wien: Universal Edition, 1958): 32.

<sup>19</sup> See Borio Gianmario and Hermann Danuser, eds., *Im Zenit der Moderne: Die Internationalen Ferienkurse für Neue Musik Darmstadt 1946-1966* (Freiburg: Rombach, 1997), 513-638. This comprehensive study on Darmstadt School provides a complete program of the concerts held at the summer courses. The concert on 19<sup>th</sup> July 1957 included the *Finale* of the second act of Henze's then-recent opera *König Hirsch*, and the entire opera (with Hermann Scherchen's cuts) was presented on 31<sup>st</sup> August 1959.

<sup>20</sup> Giselher Schubert, "Erste Schritte. Henzes Frühwerk," in *Der Komponist Hans Werner Henze: ein Buch der Alten Oper Frankfurt, Frankfurt Feste '86*, ed. Dieter Rexroth (Mainz: Schott, 1986), 41.

early aesthetic concerns, much remains to be done to elucidate his place in the world of the musical scene in the mid twentieth century. It is particularly important to evaluate the individual responses to aesthetic questions that emerged right after the war. Henze's twelve-tone technique analyzed below was certainly an unorthodox, yet daring expression of a desire to assert his individuality by creating works that partly opposed the agenda put forth by the official avant-garde in the 1950s.

With the obvious advantage of dramatizing the situation, the polarity sketched out above presents an otherwise acceptable variation in artistic vision as an irresolvable conflict among composers involved. Henze promotes the division in various writings by emphasizing his rejection of the Darmstadt ideology and links the intensification of the conflict with his permanent move to Italy in the mid-1950s. Delimiting the scope of this study to the ten-year period from 1955 to 1965 is legitimated thus by a split (real, imagined, constructed or otherwise) between Henze and the Darmstadt School on one end of the slice, and by a fairly long period of silence in Henze's operatic output on the other. Stage works past 1965 that were nonetheless associated with operatic subgenres (for example, *Der langwierige Weg in die Wohnung der Natascha Ungeheuer*) indicated, additionally, a radical change of compositional style.<sup>21</sup>

---

<sup>21</sup> See Andreas Krause, ed., *Hans Werner Henze: A Catalogue of Works 1946 – 1996* (Mainz: Schott, 1996). Though categorized as operas in the Schott catalogue, a number of stage works from the late sixties and seventies resist genre classification. *Moralities* (1967), to three scenic plays by W.H. Auden, were designed as entertainment for high schools or music conservatories; *Der langwierige Weg in die Wohnung der Natascha Ungeheuer* (1971), a show for 17 performers, is imbued with aleatoric writing, and other contemporary techniques in the 1960s; *La Cubana or A Life for the Arts* (1973) is a vaudeville in five scenes; *We come to the River* (1974) is a commission by the Royal Opera House, Covent Garden, London, to be performed in vacant halls or hangars, though performances to date have been in regular opera houses.

## 1.2. Henze's musical language.

At the outset Henze's musical language is closely linked with his personal artistic commitments voiced in numerous writings (articles, interviews, performance notes, press releases). An essential element of his musical thinking is the emphasis on the communicative power of music, and more importantly on the relationship between language and music. His arguments seem at times elementary and oppose mainstream ideas in contemporary music. To clarify the lyrical character of many of his instrumental compositions, Henze mentions his intention to create lively representations of moods, as well as real and often interpersonal events.<sup>22</sup>

In the same lecture, and on other occasions, he also refers to the relationship between text and music in terms of their union in musical genres that involve text settings.

More than half of all existing music consists of settings of words. This relationship has diverse forms; sometimes music seizes violently upon language, and crushes it in its embrace, or sometimes language wants to seize upon music; they both can degrade but also can elevate one another.<sup>23</sup>

Henze also formulates his understanding of the relationship between word and music by focusing on the problematic concept of the linguistic quality of music. Certainly, his intention is not to argue that music can emulate the semiotic essence of ordinary language. It is rather an emphasis on the communicative potential in music – an idea that has persisted as a significant intellectual

---

<sup>22</sup> Hans Werner Henze, "Sprachmusik: eine Unterhaltung" interview by Johannes Bultmann, *Die Chiffren, Musik und Sprache: Neue Aspekte der musikalischen Ästhetik* 4, ed. Hans Werner Henze (Frankfurt am Main: Fischer, 1990), 8. Henze contrasts himself with Haydn, Brahms, and Webern, whom he names as composers that are concerned solely with music. All three have, of course, written vocal music, but Henze is referring to a music aesthetic stance that focuses on the specifically musical elements of the art in determining the content of a composition, without the need to associate it with extra-musical elements.

<sup>23</sup> Henze, *Music and Politics*, 84. Henze reiterates similar views on the subject in *Bohemian Fifths* and *Essays* as well as other articles and interviews.

concern throughout music history. Henze gives one of the clearest formulations of his compositional philosophy in an interview entitled “Language Music: A Conversation” where he delineates the foundations of his musical craft.<sup>24</sup> Referring to his studies with Wolfgang Fortner at the Heidelberg Church Music Institute, he stresses the significant place polyphony has in the formation of his musical standpoint – he considers Johann Sebastian Bach’s cantatas the pinnacle of great music and imaginative treatment of thoughts and words.

Yet, despite his eclecticism, what interests Henze is not reviving a compositional technique declared dead, or regressing into the aesthetic aspirations of an earlier time in history – his use of tonal allusion is quite often, and erroneously, identified as anachronistic, and criticized as reactionary.<sup>25</sup> Henze’s objective in alluding to the musical languages of earlier times is to derive from these compositional techniques elements that are still meaningful and that can be useful today. He welcomes as part of his compositional craft not only polyphony, but any musical impulse that he considers interesting and valuable. The results of his encounter with the music and compositional technique of the Second Viennese School should also be interpreted from this perspective. The chronological distance of forty or four hundred years is not significant in the process of incorporating a specific compositional method into his repertory of musical ideas. But, it is precisely in its antiquated form that dodecaphony became useful for him as another means of musical expression used to promote dramatic motion and contrast, particularly in the operas. For Henze an important motivation the communicative properties of music as a language have been an, but also a significant difference in aesthetic vision.

---

<sup>24</sup> Hans Werner Henze, “Sprachmusik: Eine Unterhaltung,” 11.

<sup>25</sup> On this point see, for example, Stephen Downes, “Hans Werner Henze as Post-Mahlerian: Anachronism, Freedom, and the Erotics of Intertextuality,” *Twentieth Century Music* 1 (September 2004): 179-207. The term needs to be specified as to how well it captures the essence of Henze’s allusions to tonality. It is not problematic to use the term anachronistic for the musical language of Prokofiev’s *Symphony in C*. The same sense, however, is not applicable to the tonal allusions in Alban Berg’s music or the use of tonal elements in minimalist music.

By the 1950s the Schoenbergian twelve-tone music was already criticized as antiquated – declared outdated by Henze’s teacher Wolfgang Fortner as well.<sup>26</sup> At Darmstadt though, this music was initially promoted as the historically important movement in the first part of the twentieth century and the only aesthetic and technical starting point for any future development; René Leibowitz referred to Schoenberg as the central composer of twelve-tone music. Even though both Boulez and Stockhausen studied twelve-tone composition with Leibowitz (first in Paris and then within the framework of Darmstadt summer school) they considered the aesthetic aspirations of the Viennese school old-fashioned. Both in Pierre Boulez’s famous article on Schoenberg and in the eyes of the post second world war avant-garde composers and music critics in general, the Schoenbergian method of twelve-tone music was considered to have lost its value as a source of inspiration in composition by the 1950s.<sup>27</sup> More specifically, the kind of twelve-tone music which dispensed with tonality, but retained thematic makeup and other structural norms of classical forms, lost its appeal for most post-war generation composers.<sup>28</sup> Those who embarked upon the integral serialist agenda took therefore Anton Webern as their point of departure.<sup>29</sup>

But it is precisely the antiquated form of twelve-tone music that is fascinating for Henze. It is significant that Henze concentrates on those aspects of twelve-tone technique that have already become part of the historical consciousness. Certainly his participation in the Darmstadt School in the forties and early fifties indicates an affinity with the tenets of the musical avant-garde.

---

<sup>26</sup> Henze, *Music and Politics*, 38. Henze writes that Fortner told him twelve-tone music was already out-of-date by 1930.

<sup>27</sup> Pierre Boulez, “Schoenberg is Dead,” *Score* 6 (May 1952): 18-22. Also published in Pierre Boulez, *Stocktakings from an Apprenticeship*, trans. Stephen Walsh, ed. Paule Thévenin (New York: Oxford University Press, 1991). Boulez adopts a more unprejudiced approach in his article entitled “Schoenberg the Unloved,” in *Pierre Boulez: Orientations*, trans. Martin Cooper, ed. Jean-Jacques Nattiez (London: Faber and Faber, 1986): 325-329.

<sup>28</sup> Herbert Eimert formulated this interpretation in “Die notwendige Korrektur,” *Die Reihe II* (1955): 35-41.

<sup>29</sup> Henze was skeptical about this interest in Webern, at the expense of Berg and Schoenberg, which he considered to be a misinterpretation of Webern’s compositional technique and his musical aesthetic. Henze, *Music and Politics*, 43.

This association, however, has little to do with the historical connection between twelve-tone music and integral serialism. Henze's primary concern in the use of serial technique, and indeed any musical technique, is the potential inherent in that system to express a dramatic idea.

Musical language of the twelve-tone system in this sense is meaningful only to the extent that it allows him to communicate an intelligible content. In practice such a formulation leads, particularly in the operas where a dramatic conflict is always present, to a simplistic formulation of musical characterization.<sup>30</sup>

The disparity between the post-war avant-garde and Henze is also reflected in his initial rejection of experimental means of musical composition. While modernist composers around 1960s were eager to make use of, for example, electronic techniques, Henze was cautious about employing them in his compositions. "I have never yet worked with electronic means. My experiments are all directed towards the creation of clear signs that rest on experiences with history."<sup>31</sup> The reason behind his suspicion of new compositional materials of the mid-twentieth century is not a rejection of the new means in principle. Henze's main concern has always been establishing a direct communicative link with the audience – hence, the desire to write public pieces, which seems to have become a pressing concern by the middle of 1950s.<sup>32</sup> The divide that had been created already in the musical activities of the Schoenberg circle, which, in a

---

<sup>30</sup> See, for example, Hans Werner Henze, "All Knowing Music: a Dialogue on Opera," interview by Ian Strasvogel, in *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth (Mainz: Schott, 1986), 138. "My music is on the side of those who suffer. They get the best and the most beautiful music. On the other hand, those horrible people, the murderers, collaborators and traitors, get ugly music. I deride them; I denounce them. I've always found it very important for an audience to understand the emotional intention of a score. It's very, very important. I'm sure I often went wrong in this pursuit, too sentimental, too tonal."

<sup>31</sup> Henze, *Music and Politics*, 164. Originally appeared in Hans Werner Henze, "Experiment und Avantgarde," interview with Wolf-Eberhard von Lewinsky, *Melos* 34 (1967).

<sup>32</sup> Henze, *Music and Politics*, 46.

limited sense, considered the expert as their intended audience, widened in the musical practice of the post-war avant-garde.<sup>33</sup>

When the newest compositional techniques became conventionalized as the accepted norm, Henze integrated even those contemporary compositional techniques, such as aleatoric music or electronic music, which he had at first rejected. Aleatoric techniques found their ultimate manifestation in *El Cimarrón*.<sup>34</sup> He uses techniques of electronic music in *Tristan*, for piano, tape, and orchestra, finished in 1973. It is indicative of Henze's application of different compositional methods or idioms in his own music that, by the time he appropriated aleatoric and electronic tools these were already conventional compositional techniques, and as such, he could operate with them as communicative means of expression. That is, these idioms had already become antiquated, and this allowed him to extract what he needed to communicate his message.

### 1.3. Henze scholarship – the operas

Research on Henze's operas tends to avoid serious analytical engagement with the music. Studies focus primarily on selected aspects of the music, and most often neglect the overall musical textures. The operas considered here have rich orchestral and vocal writing with layered textures of contrasting musical materials. The present study particularly focuses on the

---

<sup>33</sup> Henze's stance was perceived negatively by the prominent members of the Darmstadt school. The events that took place during the premier of his *Nachtstücke und Arien* on 20<sup>th</sup> October 1957 at Donaueschingen must be seen as emblematic of the opposition. "From my seat I could see that, after the first few bars, Boulez, Stockhausen, and also my friend Nono, got up together and left the auditorium, making sure that everyone saw them. They weren't even prepared to *listen* to this music that sounded so different from theirs. There was something symbolic about the sight of these three colleagues walking out on my music." Henze, *Music and Politics*, 46.

<sup>34</sup> Written during Henze's stay in Havana in 1969-1970, *El Cimarrón* is an overtly political work for voice, flute, percussion, and guitar, based on the autobiography of Esteban Montejo, a black runaway slave, who was living in Havana at the time. Because of the abundance of compositional styles that range from conventional passages, aleatoric writing, to graphic notation, the work requires active participation of the performers in the process of composition.

technique of layering, which occurs frequently in Henze's music, and explores the allusions to tonality created by the use of pitch collections (or aggregates) scattered in different registers. In the existing scholarship the common approach consists of a descriptive analysis of themes and characters, and identification of twelve-tone series in the operas, ignoring the effect of the overall musical texture on the dramatic action. The ubiquitous remark that Henze uses the twelve-tone technique flexibly remains an oversimplified generalization, which is seldom, if at all, supported by an in-depth analysis of his use of the system, and its relationship to twelve-tone compositional practice in 1950s and 1960s in general.

Likewise, the common belief that Henze often uses tonal allusions in his operas is hardly ever studied with the intention to explore the compositional method and intent behind his technique.<sup>35</sup> The dissertations by Oehl and Schottler on *Il Re Cervo* and *The Bassarids* respectively, have an almost identical layout; both start with a separate consideration of the original literary source and the libretto. Finally, the music is considered to show how it relates to the literary text. The problematical point is that, fundamental questions concerning the qualities that render the operas from this period as musical dramas remain unanswered as long as the discussion treats the libretto as an independent entity that by itself accounts for the dramatic quality of the operas under investigation. By adopting this descriptive approach to analyze Henze's operas, the authors render the music as a mere translation of the literary work. As one prominent opera critic has noted

---

<sup>35</sup> See, for example, Klaus Oehl, *Die Oper König Hirsch (1953-55) von Hans Werner Henze* (Saarbüchen: PFAU-Verlag, 2003), Wolfram Schottler, *Die Bassariden von Hans Werner Henze: Der Weg eines Mythos von der antiken Tragödie zur modernen Oper – eine Analyse von Stoff, Libretto und Musik* (Ph.D. diss., University of Hamburg, 1992); Katja Schmidt-Wistoff, *Dichtung und Musik bei Ingeborg Bachmann und Hans Werner Henze: Der "Augenblick der Wahrheit" am Beispiel ihres Opernschaffens* (München: Iudicium, 2001); Christian Bielefeldt, *Hans Werner Henze und Ingeborg Bachmann: Die gemeinsamen Werke* (Bielefeldt: Transcript Verlag, 2003).

The kind of ‘analysis’ which contents itself with the extraction from the text of a ‘content’ or a ‘subject’ that can be summarized in a few sentences, followed by the assertion that this is what the music expresses, is all too familiar. The commentator tells the story of the libretto, ascribes a purely tautological function to the music, and is satisfied that in doing so he has grasped the music’s meaning and purpose.<sup>36</sup>

In adopting this linear approach to analyze Henze’s operas, scholars endorse the idea that the libretto by itself accounts for the dramatic content of these works, leaving aside the general problem of the relationship between text and music. Rather than discussing the impact of text and the music in advancing the dramatic content of the operas with a view towards elucidating, in some way, Henze’s compositional technique, authors concentrate on extensive, and often excessive descriptive analyses of the primary literary source material, the librettos, and the musical product. Even in studies that consider several works that are somehow related, such as the two recent studies by Katja Schmidt-Wistoff and Christian Bielefeldt on the collaboration between Henze and his famous librettist Ingeborg Bachmann, the same scheme is followed through and through.

Particularly in dissertations devoted to a single opera by Henze, the intention is to comprehend the work in its singularity, rather than to establish its relationship to a category of works – both from a historical perspective and in terms of the musical language used. The latter goal – a search for musico-dramatic commonalities – is my concern here in the analyses of operas from 1955 to 1965. Despite the criticisms just voiced, these studies provide much needed groundwork – since scholarship on Henze’s music in general is scarce – and significantly facilitate interpretative work on general compositional matters.

---

<sup>36</sup> Carl Dahlhaus, “What is a Musical Drama?,” trans. Mary Whittall, *Cambridge Opera Journal* 1 (1995): 101. Even though Dahlhaus is primarily concerned with the application of analytical tools to eighteenth and nineteenth century operas, the same objection can be raised concerning analysis of contemporary operas as well.

Another related weakness in the scholarship is the uncritical reliance on Henze's writings – analytical observations are limited to confirming the composer's own views about his works, rather than establishing the validity of these claims independently. It is imperative to realize that even though Henze's prose writings are valuable in clarifying aspects of his compositional endeavors, they lack methodical precision. He refrains entirely from technical analysis, and indulges instead in autobiographical, political, and artistic considerations in a speculative fashion.<sup>37</sup> Conversely, even though Henze states on several occasions that he does not use leitmotifs authors diligently label motivic ideas for characters or specific feelings or thoughts in the operas.<sup>38</sup> Invariably their findings reveal that Henze uses the twelve-tone technique inconsistently and flexibly.

This Introduction provides a general outline of Henze's place vis-à-vis the musical avant-garde around the middle of the twentieth century. In the subsequent chapters on specific operas the conflict between Henze and the so-called "official doctrine" of the Darmstadt School will be studied further. Stressing the methodological limitations of the current research the present study

---

<sup>37</sup> The two writings most often referred to are: Hans Werner Henze, *Music and Politics* (already quoted above) and Hans Werner Henze, *Bohemian Fifths: An autobiography*, trans. Steward Spencer (New Jersey: Princeton University Press, 1999). The former source is a translation of Henze's writings that appeared in different collections: *Musik und Politik: Schriften und Gespräche 1955-1975*, ed. Jens Brockmeier (München: Deutscher Taschenbuch Verlag, 1976). There are several duplicate publications that differ slightly in content. *Schriften und Gespräche 1955-1979*, for example, includes Henze's earlier collection *Essays* (Mainz:Schott, 1964) as well all the writings from *Musik und Politik*. These collections consist of articles, speeches, and interviews that were already published individually in newspapers, musical magazines, and other sources. Henze's most extensive account apart from these two sources is his 1996 lecture "Language, Music, and Artistic Invention," *The Prince of Hesse Memorial Lecture 1996*. In addition, there are numerous writings, none of which attempt to disclose any technical compositional matters, save perhaps general remarks about the use of twelve-tone rows, quotes from other composers, and similar superficial matters. The same can be said about many diaries Henze wrote for individual compositions. See, for instance, Hans Werner Henze, *Undine: Tagebuch eines Ballets* (Stuttgart: R. Piper Verlag, 1959); *Die Englische Katze: ein Arbeitstagebuch 1978-1982* (Frankfurt am Main: S. Fischer, 1983); *L'Upupa: autobiografische Mitteilungen* (München: Propyläen Verlag, 2003).

<sup>38</sup> On *Il Re Cervo*, for instance, Henze's remarks are unambiguous: "In each scene a particular musical category is investigated, whether by design or spontaneous discovery. I have not used a tone-row, nor are there any central themes or leitmotifs." Henze, *Music and Politics*, 57. Despite this statement, Oehl's dissertation on *König Hirsch (Il Re Cervo)* is based on an exploration of motives that relate to characters and situations in the opera.

*Elegy for young lovers* is the exception among the operas from 1955-1965, in which Henze admits that instrumentation, limited to a chamber ensemble, affects the composition through the association of instruments with particular characters. This idea is akin to the use of leitmotifs.

will emphasize the need for an analytical approach that takes into account the entirety of Henze's complicated textures. Similarly, his understanding of the relationship between text and music will be linked to analytical discussions. The duality of truth-untruth, articulated very strongly in both operas, will be pursued to discuss how Henze interprets these ideas musically.

In elucidating the dramaturgical issues in the four operas chosen for this study the analyses will focus primarily on three aspects of Henze's compositional method: the nature of his ever-present tonal allusions, his idiosyncratic twelve-tone treatment, and his stratified textures that consist of contrasting musical materials. Chapters Two and Three will concentrate on *Il Re Cervo* and *Der junge Lord* written at each end of the decade considered here, to clarify how Henze creates focal pitches and key areas without using the conventions of tonal syntax. The orchestral preludes of the two operas and several other numbers will exemplify how oppositions are established through the simultaneous use of several pitch-collections (or aggregates) and contrasting stylistic elements (a persisting compositional technique in the works studied). In relation to *Cervo* influences from his adopted homeland will be studied in order to account for stylistic and formal features of several closed numbers.

Chapters Four and Five, on *Der Prinz von Homburg* and *The Bassarids* respectively, will focus on Henze's attempt to unite twelve-tone writing with tonal allusions. In the latter work, the two rows assigned to the protagonists will be examined to determine their impact on the musical textures and the dramatic context. Henze's characterization of the structure of the work in terms of symphonic forms will be scrutinized to provide an alternative explanation that gives a more logical account of the musical events and the drama, particularly in the first movement. In both operas, the underlying dramatic element is the conflict between two different world-views,

which the analysis will articulate by drawing attention to the contrasting musical idioms used to interpret the opposition.

## Chapter 2. Analyzing Henze's Operatic Technique: Tonality and Chromaticism in *Il Re Cervo*.

In *Il Re Cervo* (1952-1955), the earliest of the operas examined in the present study, Henze uses the duality truth-untruth as the underlying dramatic force in the development of the plot. The statues tell King Leandro that they are going to warn him (with their laughter) every time someone lies to him. But towards the end of the first act Leandro destroys the statues so they cannot reveal the untruths of his lover Costanza. Similarly, when Chancellor Tartaglia learns of the magic of the transformational spell – originally given to King Leandro as a life saver – and uses it to change into the king's appearance, the real king is transformed into a stag.

Based on a fable by Italian dramatist Carlo Gozzi (1720-1806) the libretto of the three-act opera *Il Re Cervo* was written by Heinrich von Cramer (who also provided the revised 1962 version). As the first opera written after Henze's permanent move to Italy, the power struggle that takes place in the opera, against the backdrop of fairy-tale images of mythical and supernatural surroundings, reflects similar elements found in dramatic works by Gozzi.<sup>39</sup> In developing the varied musical expressions in the opera Henze relies upon the dichotomies that form the core of the plot: Leandro's lyrical singing, particularly in the arias, contrasts unambiguously with Tartaglia's recitative style. Likewise, the vocal writing in Checco's and Coltellino's canzone differs essentially from the frenzied and plaintive spirit of Scollatella's outcry in many solo sections.

---

<sup>39</sup> My analysis of *Il Re Cervo* is based on the revised 1962 version, which is considerably shorter than the original. In its original version, premiered with extensive cuts in 1956, the opera was called *König Hirsch (The Stag King)* – a large-scale opera that lasts more than four hours. Even the revised and abbreviated version consists of more than two and a half hours of intensely varied music. The revision included writing substantial amount of new material, abbreviating certain sections, and replacing blocks of music. The finale of the second movement was reworked as the *Fourth Symphony*. A new speaking part, the magician Cigolotti, ensured that the plot, which was necessarily compressed in the revised version, was still comprehensible. Henze insists that even though the revised short version somehow works, he still prefers the original version. The original version was premiered in 1985 at the Stuttgart Statsoper, enjoying great success.

Thus, personae in the opera are delineated through musical characterization, which Henze sees as a necessary component of music theatre: “Without characterization, an opera, will not, cannot work.”<sup>40</sup> This remark is a commonplace opinion of operatic writing, and it does not illuminate compositional matters. Even when Henze provides a clear-cut compositional intent in the use of particular musical technique, as in the case of *Der Prinz von Homburg* discussed in chapter 3 below, his explanations are not always corroborated by further analyses. His remarks about this and similar issues are often clouded by his political involvement, personal and other concerns, which, despite their possible impact on the music, explicate little in terms of specific musical and dramatic issues.

Nonetheless, it is questionable whether Henze uses categorically different musical languages to depict different characters. As the following analyses will try to demonstrate, there are scarcely any passages in his music that can be identified as tonal in a traditional sense – harmonic progressions are limited to the most basic cadential formulae, such as V-I and IV-V-I progressions. The abundant tonal allusions are skeletal (as a rule with omitted pitches) and constitute, almost without exception, one part of a layered texture that includes contrasting musical materials. Even when cadential ideas are resolved expectedly, they are upset by sudden turns to contrasting key areas to avoid long term harmonic stability. Many times a sense of key focus is created exclusively by blunt statements of fundamental elements of the tonal system, such as an unembellished bass line and emphasis on contrapuntal rules – for instance by emphasizing the leading-tone. Frequently, Henze’s textures contain major or minor aggregates, but lack harmonic ideas to support the implied keys. Similarly, Henze’s use of twelve-tone

---

<sup>40</sup> Interview between Hans Werner Henze and Ian Strasfogel, “All Knowing Music: a Dialogue on Opera,” in *Der Komponist Hans Werner Henze: ein Buch der Alten Oper Frankfurt, Frankfurt Feste '86*, ed. Dieter Rexroth (Mainz: Schott, 1986), 140. Even though the quote is from 1986, two decades after the end of the period chosen for this study, the ideas are strongly linked with Henze’s earlier music (including operas) as well.

method is often blended with tonal implications that hide the use of a predetermined collection of notes.

Quite often Henze's musical textures frustrate a straightforward analytical approach that would justify a labeling such as tonal or twelve-tone music. In some cases, a conventional pitch collection or scale is used without highlighting a key area or centering on a pitch. Even though pitch content of a specific key is present in these examples, they are not organized in terms of conventional chord progressions necessary to identify the music as tonal. Despite the vague presence of voice-leading procedures, such passages are often obscured by rhythmic displacement and chromatic writing that contains contradictory elements in different layers of the musical texture. In other cases the music centers on a specific pitch or triad, without involving a diatonic collection, to create the sense of a key-center through brute repetition of a single musical element. Hence, following other twentieth-century composers, Henze uses nontonal means to create passages with a tonal slant.<sup>41</sup>

The differentiation between centricity and pitch-collection/scale/aggregate is as necessary to analyze Henze's twelve-tone technique as understanding his ever-present tonal allusions. An important aspect of his serial technique is the repetition of notes or segments from a row to create focal pitches. This method of twelve-tone composition is used particularly successfully in *Der Prinz von Homburg* and *The Bassarids* (examined below), but it is already present in *Il Re Cervo*.<sup>42</sup> Typically, the overall feeling in Henze's textures is always dissonant. In the passages

---

<sup>41</sup> For a general outline of centricity and referential collections see relevant chapter in Joseph N. Straus, *Post-Tonal Theory*, 2<sup>nd</sup> ed., (London: Prentice-Hall, 2000): 112-144. Among the composers whose tonal sounding music is considered in this book, Berg and Stravinsky are particularly important in studying Henze.

<sup>42</sup> Henze talks about unpleasant experiences during the preparations before the "premier" of the original, and longer, version of *Il Re Cervo* entitled *König Hirsch*, with extensive cuts in the hands of the famous conductor Hermann Scherchen. The premier seems to have suffered equally from the cuts as from the reactions of the spectators: "Pianissimo passages were drowned out by mocking laughter, and there was constant howling and whistling." Henze, *Bohemian Fifths*, 140. Stuckenschmidt gives a more positive view of the events and talks about a 25 minute long quarrel between the enthusiastically applauding majority and jeering minority who screamed "we want

with tonal allusions the tension between tonal ideas and the dissonances remain comfortable, while in the contrasting sections the level of dissonance is intensified.

With the compositional approach embraced in the operas discussed in this study, Henze moved away from musical modernism of the 1950s and 1960s. Incidentally, this was also a time when he devoted much time on genres neglected, or rather intentionally avoided, by other Darmstadt composers: “The developments of the early 1950s resulted in a sort of division of labor: *they* got the electronic studios and the late-night programs, *I* got the symphony concerts and opera houses.”<sup>43</sup> To some extent Henze was influenced by all musical styles that became fashionable in the 1960s and 1970s. Yet, a great percentage of his output consists of symphonies, concertos, ballets, chamber works, sonatas, and not the least operas.<sup>44</sup>

## 2.1. Tonal allusions and stratified textures in *Il Re Cervo*.

*Il Re Cervo* opens with a dissonant texture that is made up of traditional compositional elements. Partially associated with Scollatella’s aria that follows, the prelude depicts the storm that rages in the midst of preparations for the coronation of the new king, Leandro. Despite the contrasts in texture, segments from the prelude, particularly the thirds and the block chords persist in the aria (discussed below) and suggest a continuation of the idea that is present from the very beginning. Devoid of twelve-tone elements, the intensely dissonant opening sets anchor in structural continuity consisting of 1. closed symmetrical unit, bounded at either end by parallel third scalar

---

Lohengrin.” Hans Heinz Stuckenschmidt, “Romantischer Opern-Surrealismus: HENZES *König Hirsch* in den Berliner Festwochen, *Melos* 23 (September 1956): 289.

<sup>43</sup> Hans Werner Henze, *Music and Politics – Collected Writings 1953-1981*, trans. by Peter Labanyi (London: Faber and Faber, 1982), 46-47.

<sup>44</sup> The catalogue from 1995 names more than fifteen operas (not including various other works for the stage), ten ballets, nine symphonies, and over twenty concertos. See Andreas Krause, ed., *Hans Werner Henze: A Catalogue of Works 1946 – 1996* (Mainz: Schott, 1996). His last opera *L’Upupa oder der Triumph der Sohnesliebe*, completed in 2003, was premiered in Salzburg.

segments, 2. ascending parallel thirds in balance of descending ones, clear chordal transition between prelude and aria, and adherence to rhythmic patterns, 3. fluctuating sixths in the lower register (see Ex. 2-1).

Example 2-1. *Il Re Cervo*, Act I, Scene 1. Dense and layered orchestral texture.

The image displays a musical score for piano accompaniment, consisting of two systems of staves. The first system includes a grand staff (treble and bass clefs) and a right-hand staff. The second system also includes a grand staff and a right-hand staff. Annotations are placed to the right of the staves:

- Whole-tone collections:** Located to the right of the first system's staves.
- White-key segment:** Located to the right of the second system's right-hand staff.
- Dissonant sonorities:** Located to the right of the second system's right-hand staff.
- Parallel sixths:** Located to the right of the second system's bass staff.

Additional annotations within the score include "WT collection" above the first two measures of the second system's right-hand staff, and a measure number "4" above the first measure of the second system's right-hand staff.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The overall harmonic ambiguity of the prelude is a consequence of the stratified orchestral texture. Not only the superimposition of contrasting musical elements but also the occasional sparkles of inner conflict in the layers create a vibrant musical surface. However, the analytically meaningful collections in this passage do not create focal pitches or key areas; their identity gets blurred and cancelled out because of the overabundance of musical ideas in the stratified texture. In the uppermost register the parallel thirds are initially based on whole-tone collections (one complete and three partial). Lacking in clear harmonic focus and a definite goal, these waves of thirds nonetheless suggest a major-minor conflict, no matter how minute, with E-G# and E-G as the climax of the two phrases – a segment of the first phrase precedes the interval E-G ♭ and confirms the opposition.

While the analysis of the overall sound world of the opening phrase by itself benefits little from interpreting these collections or segments in one way or another, it both outlines the basic compositional elements of the musical texture, used elsewhere in Henze's operatic writing, and creates a connection with the aria that follows. The descending parallel thirds at the end of the prelude, immediately before Scollatella's aria, reinstate one layer of the prelude, this time with a clear goal implying D major as a focal key (see Ex. 2-2). Yet, despite the tonic-dominant emphasis with the thirds D-F# and A-C# in m. 38, a conventional resolution that would validate the claim for D major is delayed. When the D finally arrives in the bass, it becomes a focal pitch through mere repetition. Even so, the D tonic, which is the root of the emphatic pedal chord at m. 40, and also the goal of the entire passage, is complicated by the block chord (F-G-B-C) in the woodwinds and the brass, while the strings suggest D major.

Example 2-2. *Il Re Cervo*, Act I, Scene 1, mm. 37-40. Allusions to D major.

D :      I - V                  I - V                  I (D-tonic)

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Nevertheless, because the entire chord is confined to the same register, other interpretations of the sonority also seem plausible. With the D and the F# as the lowest and the C as the highest tone of the chord, it can be construed as a dominant seventh chord ( $D^7$ ), with its fifth omitted, superimposed upon its tonic (G), which itself can be interpreted as a dominant seventh chord (of C). It is only when the upper voice moves to C# in m. 46 that the D is stabilized as tonic (see Ex. 2-3). However, when the C# finally resolves up to D, the expected melodic goal of the voice-leading in m. 50, Henze complicates the harmony further by the descent in the bass from pedal D down to C, by the presence of the leading tone C# in the same chord, and also by suggesting C strongly. The root of the chord in m. 50 implies C as tonic, with a minor-major conflict because of E in mm. 46-49. What is more indicative of C as tonic however is its dominant-seventh chord ( $G^7$ ) in complete form in the same sonority. In fact, the complete  $G^7$  has been used in the passage as a pedal chord starting in m. 46.

Example 2-3. *Il Re Cervo*, Act I, Scene 1. Initial phrases in Scollatella's accompanied by block chords.

40 Scollatella

Ach, die - ser Re - - - gen!

46

Wie mag das en - den? Die gan - ze (Welt)

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Chordal summary of the orchestral accompaniment in Scollatella's aria.

m.40                      46                      50

G -pedal

**D<sup>7</sup>**                      **D-**                      **C-**

Neither the D major-minor nor C major-minor duality is coincidental; they were both present from the beginning in the orchestral prelude. The segment of the parallel thirds that was identified as C major collection at the end of the first phrase contradicts with the E $\flat$  of the chord in the middle register. Moreover, the opera sets off with a forceful E $\flat$  in four different registers. In retrospect, the scales, chords, collections of pitches, and voice leading that hint at D (major or minor) can be explained as one important ingredient in a dense and complicated musical texture with occasional allusions to tonality.<sup>45</sup> Ambiguity of pitch or key center in the opening results from the superimposition of simple musical ideas such as parallel thirds or parallel sixths to create highly dissonant textures. Yet, such a dynamic musical texture is apt, because it reflects both the storm in the forest and the turbulent state of affairs in the kingdom.

From a dramatic perspective the opening fulfils several important functions. As an obvious instance of pathetic fallacy,<sup>46</sup> it projects Scollatella's complaints into the raging storm in the forest in the midst of the preparations for Leandro's coronation. In this sense the stormy character of the orchestral texture reflects Scollatella's frenzied state of mind. Scollatella craves to become queen – she is terrified by the thunder, but retains her composure thanks to the strength of her ambitions. The same is true for her double Scollatella II, whom she calls upon in her looking-glass. But the storm also reflects turmoil in the kingdom. Tartaglia's claim to the throne triggers his deceitful trick later in the opera, where he gives Costanza a dagger to kill Leandro. He fails in his plan to get him murdered, but succeeds in assuming the King's powers to impose a despotic rule in the city. This power struggle that is an important element of the plot advances in the backdrop of the violent atmosphere created by the tempestuous music. The first

---

<sup>45</sup> The opening thirds of the orchestra can further be considered as the juxtaposition of scale-segments F#-minor and D melodic-minor.

<sup>46</sup> Coined by the English author and art critic John Ruskin, the term pathetic fallacy refers to ascribing human traits to inanimate objects. Discussed in John Ruskin, *Modern Painters*, vol. iii, pt. 4, 1856. Modern edition: John Ruskin, *Modern Painters*, (New York: Knopf, 1987).

scene is connected with the short orchestral prelude in the second act, *The Wood*, which evokes sounds of the forest and highlights the supernatural and magical aspects of the opera. The dramatic link between the two acts is further emphasized with the presence of Scollatella, who thinks she is queen, and Tartaglia, who tries to kill Leandro without success.

## 2.2. Twelve-tone strategy in *Il Re Cervo*.

*Il Re Cervo* abounds in layered textures made up of conventional musical materials. From this perspective passages that combine twelve-tone materials and traditional musical ideas within the same texture are particularly significant. In the existing literature attempts at clarifying Henze's use of twelve-tone techniques reveal method limitations. In a doctoral dissertation remarkable for its scope, Klaus Oehl embarks upon an extensive motivic thematic analysis of *Il Re Cervo*.<sup>47</sup> Oehl correctly observes that even though Henze uses a twelve-tone row, it is as a rule in incomplete form, with skips and alterations. Yet, his classification of the thematic materials for sole purpose of finding dramatic continuity results in irresolvable associations that depends on forced relationships between thematic ideas. One example should suffice: Oehl identifies a complete twelve-tone row, which he labels as "Scollatella/Power-row" (related to the "Power-row" of Tartaglia the chancellor) in the woodwinds in Scene 2 (see Ex. 2-4).

---

<sup>47</sup> Either with the intention to establish continuity with the Wagnerian opera tradition, or in a technical sense in the absence of an alternative analytical method, doctoral dissertations that concentrate solely on a single opera by Henze include meticulous thematic explication.

Example 2-4. *Il Re Cervo*, Act I, Scene 2, mm. 181-185, “Power-row” (identified by Oehl, 2003).



Several objections can be made as to the usefulness of twelve-tone analysis in the passage examined. While it is true that a complete twelve-tone melody is present at this point, its relationship to the other elements of the musical texture is ambiguous. This row exists as part of a dense texture that includes, in addition, the dissonant vocal line of Tartaglia, the dissonant bass line, the persistent parallel major thirds in the violins, and the brisk chords – mainly A minor superimposed with a C diminished-chord with its leading-tone added (see Ex. 2-5). Henze commonly uses two isolated pitch-collections or chords to create ambiguity or conflict to highlight a dramatic moment in the plot – in *Il Re Cervo* as well as other operas undertaken in this study, such as the love duet in *Der junge Lord* examined below. However, in this case the musical texture is too dense for the triadic opposition of A minor and C diminished-chords to become audible (in the second and the thirds acts, particularly in Checco’s recitative, concurrent use of conventional triads appear in more direct and lucid textures). An incomplete and slightly erratic statement of  $I_3$  form of the Power-row in the bass adds another layer to this already thick texture and creates a counterpoint with the complete statement of  $P_3 - F$ , the fifth pitch of  $I_3$ , is stated in a different register as part of the inverted  $D\flat$  major chord, and the row is cut off after pitch 8.

Example 2-5. *Il Re Cervo*, Act I, Scene 2, mm. 180-187. Complete twelve-tone row in context.

180 Tartaglia

Nun, Bi-schof, tre - tet vor und hebt die Kro-ne hoch mit bei - den

Whole-tone collection (B)-Db - Eb F-G

**P<sub>3</sub>** 1 2 3 4 5

Scollatella/"Power" row

**I<sub>3</sub>** 1 2 3

183 Hän - den und setzt sie hier auf die - ses kö-nig-li-che

A-B - C#-D# -F-G - A

6 7 8 9 10 11 12

Db

4 (5) 6 7 8

The image displays a musical score for Example 2-5 from *Il Re Cervo*, Act I, Scene 2, measures 180-187. It features a vocal line for Tartaglia and a piano accompaniment. The score includes German lyrics and annotations for twelve-tone rows. The vocal line starts at measure 180 with the lyrics "Nun, Bi-schof, tre - tet vor und hebt die Kro-ne hoch mit bei - den". The piano accompaniment includes a "Whole-tone collection (B)-Db - Eb F-G" and a "Scollatella/'Power' row" starting at measure 183. The piano part is annotated with numbers 1 through 12, indicating the sequence of notes in the twelve-tone row. The lyrics for measure 183 are "Hän - den und setzt sie hier auf die - ses kö-nig-li-che". The piano accompaniment continues with the lyrics "A-B - C#-D# -F-G - A". The score is written in bass clef for the vocal line and treble and bass clefs for the piano accompaniment. The key signature has one flat (B-flat).

Example 2-5 continued.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Textures like this, appearing to celebrate an overabundance of unrelated ideas, contain important features of some continuity. It is not insignificant that Tartaglia's vocal line is independent of both the twelve-tone material in the woodwinds and the bass, the conventional sonorities in the brass, and the parallel thirds in the violins. These layers coincide occasionally, but don't share a common structural basis derived from twelve-tone rows. In m. 182, the connection between Tartaglia's whole-tone vocal-line and the thirds in the violin can be explained in terms of whole-tone collections. The Scollatella-row is close to comprising whole-tone hexachords – only B $\flat$ , the fourth pitch disrupts this: E $\flat$ -A-B-(B $\flat$ )-D $\flat$ -G-F and F $\sharp$ -C-D-E-G $\sharp$  (B $\flat$ ) or the ordered forms B-D $\flat$ -E $\flat$ -F-G-A and C-D-E-F $\sharp$ -G $\sharp$ -(B $\flat$ ). Likewise, the thirds in

violin mm. 182-189 prolong the whole-tone idea of the row-opening as motivic elements and create a long term rising arch encompassing a-b'' (marked in Ex. 2-5). Hence, Tartaglia's whole-tone vocal line in m. 182 is a variation of the whole-tone string material and creates a link with the rest of the texture in terms of interval structure.

It is tempting to argue that dramatic continuity in parts of *Il Re Cervo* depends on the complete and incomplete forms of the row that is used sporadically. Oehl tries to establish such a kinship between the twelve-tone row and the so-called "Power-motif," heard in the brass earlier in the scene and argues for semantic connotations in the music as a reflection of Tartaglia's irritation (see Ex. 2-6).<sup>48</sup>

Example 2-6. *Il Re Cervo*, Act I, Scene 2. Head notes of Tartaglia's vocal line based on power row.

The image shows a musical score for Example 2-6. The top staff is the vocal line for Tartaglia, starting at measure 68. It is labeled "Power-row" and "P<sub>3</sub>" with numbers 1, 2, 3, 4 above it. The lyrics are "O, daß die Blit - ze Feu - er." The bottom staff is the piano accompaniment, labeled "Power-motif" and "P<sub>3</sub>" with numbers 1, 2, 3, 4 below it. The piano part features a complex rhythmic pattern with many sixteenth notes.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>48</sup> Klaus Oehl, *Die Oper König Hirsch von Hans Werner Henze* (Saarbrücken: PFAU-Verlag, 2003), 127.

This emphatic four-note segment (the first four pitches of the row) can be linked with Tartaglia; but identical pitch-content is insufficient compositional tool by which to create the implied association, much less convey the semantic essence of the situation. Analytically, highlighting one aspect of a given musical texture in an opera this way ought to include the requirement of dramatic power; but returning only once (Scene 5 in Act I), there is no consistent use in relation to Tartaglia. Justifiable as symbol of Tartaglia's rage, the power-motif has a very distinct melodic shape in Scene 2 (see Ex. 2-6); when the complete statement of the row appears within the dense texture, Henze changes the melodic shape, thus rendering null the claim of dramatic force of four-note segment.

In Act I, Scene 5, in an ensemble that includes Leandro, and Tartaglia, Scollatella and her doubles, the "Power-row" does emerge again as a purposefully used compositional raw material. Leandro wants to test the ladies' loyalty by asking which one of them would be the saddest if he were to marry one among them and die to leave her a widow. When the statues start to laugh, as promised, to warn Leandro of the untruth of the human world, the ladies get puzzled and fail to give an unambiguous answer. The descending tritone E $\flat$ -A in the choir of ladies in m. 128 and the complete twelve-tone row in the string-accompaniment unmistakably reminds the listener of initial gesture of the "power-row" (see Ex. 2-7). Henze distributes the pitches of the row in the vocal lines and the orchestra and the melodic curve in the unison choir further relaxes the basic compositional unity of the passage by joining together the head-notes of the row with the A-diminished and G-major triads.

Example 2-7. *Il Re Cervo*, Act I, Scene 5. “Power-row” re-emerges in Scene 5.

Scollatella I, III, IV und  
Chor der Frauenspersonen: *mit gemachten Zeichen von Schmerz.*

128

Power-row

A dim. G+

I<sub>3</sub>

1 2 3

Grausamer! Was sa-gen Sie?

Grausamer! Was sa-gen Sie?

Wenn Sie in Menschengestalt

sich darüber kränken?

Archi

3 10  
7 8  
2 6

◆ Gelächter der Statuen

4 1  
5 9  
12 11

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Immediately following this vague reference to the power-row, Tartaglia reiterates the same two-note idea, the head-notes E $\flat$ -A of the row, accompanied by the power-motive in the bass with rhythmic variation (see Ex. 2-8). In a sense Henze uses the twelve-tone row as a constructional unit in an unpretentious and direct way. A strong four-note group depicts the character, Tartaglia, locally and establishes continuity; the two head-tones (cf. Ex. 2-7) associate it with the choir of ladies. But the row is not used as a leitmotiv that is consistently associated

with Tartaglia throughout the opera and therefore has nominal value in the drama as a whole.

Yet, as a distinct element of the musical texture it helps communicate to the audience a specific mood locally and highlights the power struggle that unfolds in the opera.

Example 2-8. *Il Re Cervo*, Act I, Scene 5, mm. 129-130. “Power-motive” reiterated in Tartaglia’s self-absorbed pondering.

Tartaglia: *für sich.*

140 P<sub>3</sub> 1 3 2 3 3

Jetzt werf'ich mein Netz aus! Der Fischzug beginnt!

Cfag, Timp, Pft., Cb.  
*ffp* *ffp* *ffp* *ff*

+ Corni, Trbni.

P<sub>3</sub> 1 2 3 4 1 2 3 4

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

### 2.3. Chromatic writing in Scollatella's aria.

A comparison of the twelve-tone writing in the analyses above with Scollatella's aria in Scene 1 confirms the hypothesis that in Henze's operas musical textures are more important in creating a desired dramatic effect than specific thematic materials derived from rows. Scollatella's vocal line in the very first number of the opera is not identified as a twelve-tone row by scholars, even though Henze employs the twelve-tone pitch vocabulary of the arioso melodic line as an "expressionist" resource, without following dodecaphonic or serialist principles strictly. It is not based on a complete twelve-tone row; notes are repeated before the full pitch-aggregate of the row is used (see Ex. 2-9). More importantly, the row is not consequential – the overall musical texture is not determined in any significant way by the row [C-E-A $\flat$ -G-F $\sharp$ -D $\sharp$ -D-B-B $\flat$ -D $\flat$ -(C)-F], nor is this row related to the power-row mentioned earlier (cf. Ex. 2-7). And ultimately the orchestral texture clearly opposes the vocal line, partly because of the repeated fortissimo pedal-chord on D, alternately played in the strings and the wind instruments with rhythmic vigor and emphasis. But layered musical textures and simultaneous use of contrasting musical ideas characterizes Tartaglia's solo in Scene 2 as well (see Ex. 2-5 above). It is only a coincidence that the row in Scene 1 is incomplete (or almost complete). In both instances the row is only part of a texture that consists of varied musical materials.

A relaxed use of the twelve-tone techniques has been correctly identified as an essential element of Henze's compositions from the beginning. Even in earlier works, such as the *First Violin Concerto* from 1947, where he used twelve-tone techniques more diligently, Henze treated the compositional method was far less strictly than many of his contemporaries.<sup>49</sup> He appears to have been preoccupied with the potential any compositional technique offers, and to have used

---

<sup>49</sup> See David John Symons, "Hans Werner Henze: the Emergence of a Style," *Studies in Music* 3 (1969): 35-52; Hansjörg Pauli, "Hans Werner Henze's Italian Music," *Score* (1960): 26-37.

them for dramatic purposes rather than as purely musical constructs. It is certainly important to demonstrate that Henze treats the 12-tone system in his personal way. It seems more important however, to determine the place of this system in Henze's music accurately.

In this sense identifying Scollatella's vocal line as a twelve-tone row is useful to the extent it clarifies Henze's depiction of different characters in the opera. When the Scollatella's aria is considered together with the orchestral opening, it seems incomplete to restrict the analysis to the vocal line only, particularly because the thematic material is not used as a leitmotiv in this case either. What is more revealing and more interesting is the way this material is incorporated into the rich and varied musical texture. For instance, in Scene 1 there is a long-term harmonic motion in the bass, which, after the emphatic  $E\flat$  in m. 1 of the prelude (cf. Ex. 2-1 above), moves down to D in the static D-pedal chord in Scollatella's aria, further down to C, with a very brief C minor in m. 50, before moving up to  $E\flat$  in mm. 62-66 (see Ex. 2-9).

Example 2-9. *Il Re Cervo*, Act I, Scene 1. Cluster tetrachords of parallel thirds, descending bass line  $E\flat$ -D-C in the orchestra, incomplete twelve-tone row in Scollatella's vocal line.

40 Scollatella  $P_0$  1 2 3 4 5  
Ach, die - ser Re - - - - gen!

( $E\flat$  m.1) D

46 6 7 8 9 10 (1)  
Wie mag das en - den? Die gan - ze

D C

## Example 2-9 continued.

51 <sup>11</sup>

Welt \_\_\_\_\_

54

er - - - - säuft

The image displays a musical score for Example 2-9, continuing from a previous page. It consists of two systems of music. The first system, starting at measure 51, features a vocal line with a long note on 'Welt' and a piano accompaniment with complex chordal textures. A rehearsal mark '11' is placed above the vocal line. The second system, starting at measure 54, features a vocal line with notes for 'er' and 'säuft' and a piano accompaniment. The piano part is written in a complex, multi-measure style with many chords and accidentals.

## Example 2-9 continued.

57

sich noch!

62

Der fei - ne Hut, ver - fluchtes Wasser! Die schö - nen Blu-(men)

The musical score consists of five staves. The first staff is a vocal line starting at measure 57 with a triplet of notes (D4, E4, F#4) followed by rests. The second staff is a piano accompaniment line with chords and triplets. The third and fourth staves are additional piano accompaniment parts. The fifth staff is a bass line. The second system starts at measure 62 with a vocal line and piano accompaniment. The lyrics are: "Der fei - ne Hut, ver - fluchtes Wasser! Die schö - nen Blu-(men)".

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Hence, despite the lack of textural support through functional harmony, as in tonal music, or the use of a discernible pitch-collection, as in the love-duet in *Der junge Lord*, Henze establishes  $E\flat$  as a focal pitch in the bass, as part of a skeletal long term harmonic idea. In mm. 67-90 the bass alternates between D and  $E\flat$  before it settles on C immediately before the next segment of Scollatella's aria starts with the C pedal (cf. Ex. 2-10).

Starting in m. 51 Henze changes the orchestral accompaniment radically by replacing the static dissonant chords with scale segments of parallel thirds, a minor second (minor ninth) apart (e.g. E $\flat$ -G $\flat$  and E-G, F $\flat$ -A $\flat$  and F-A). And by superimposing these conventional elements he creates a highly dissonant musical texture where the layers of the scalar motion overlap to create clusters made up of two tetrachords of identical interval content, a minor second apart: D $\flat$ -F-A-C and D-F $\sharp$ -A $\sharp$ (B $\flat$ )-C $\sharp$ (D $\flat$ ) in m. 51, E $\flat$ -G $\flat$ -G $\sharp$ -B and E-G-A-C in m. 52, and so forth, (see Ex. 2-9). The sudden change of orchestral texture contrasts with the assertive block chords and creates a background to Scollatella's with the plaintive phrase "Die ganze Welt ersäuft sich noch! (The whole world is drowning!)."

Henze talks enthusiastically about Stravinsky, particularly his neoclassical period, as a continuous source of inspiration, even as late as 1990s.<sup>50</sup> Repetition of block materials and juxtaposition of sharply contrasting materials, which are characteristic elements of Stravinsky's music, surface constantly in Henze's compositions as well. The first period of Scollatella's aria reflects such influences through the use of the emphatic D-pedal sonority and the block chords that result from fluctuating and overlapping parallel thirds. These create closed units that consist of repetition of a basic idea such as triads and parallel thirds. More importantly, and again following Stravinsky's model, Henze suspends the harmonic motion, which is an indispensable component of tonal music.

At the same time Henze challenges the Stravinskian compositional technique by superposing Scollatella's vocal line, written in a radically different style, above the repetitive materials in the orchestral texture. Even though this aria is essentially expressionistic in style, and sets off with an almost complete statement of a row, it is free from the systemic restrictions of tonality, or twelve-tone music. In fact, it is plausible to argue that this vocal line is written in a free-tonal, if

---

<sup>50</sup> Henze, *Bohemian Fifths*, 58.

not twelve-tone style, which Stravinsky derided initially.<sup>51</sup> Henze's compelling differentiation of the vocal line from the orchestral texture creates the impression that the role of the orchestra is more than simple accompaniment. In fact, the orchestra reveals the totality of the situation, and the alternation of the scalar passages in thirds with block chords depict the storm and create the background to Scollatella's aria.

Before the second period of the aria begins the bass-line moves down to B which leads further to the very blunt C-major idea in the bass. In the second period of Scollatella's aria Henze creates a more transparent texture, which nonetheless consists of several layers of contrasting musical materials. Fifty two measures of pedal C major is periodically interrupted by  $I_4^6$  and V chords to provide forward thrust (see Ex. 2-10). However, these functional chords are used as an ostinato, and create a background above which more dynamic musical events materialize. It is hardly appropriate to use the term tonal or functional harmony, because the chords are not consequential in that they do not affect what is going on in other parts of the texture. Yet in their local register, they do function as minimal syntactic units. When the second period of the aria ends, the C-major ostinato I, V, and  $I_4^6$  fades out.

Henze occasionally uses such rudimentary tonal ideas to create a desired dramatic effect, and as a rule these passages are accompanied by contrasting musical materials. The ostinato in Scollatella's aria is akin to the blatant C-major passage in *Der junge Lord* Act I, Scene 2, (discussed below), depicting Luise, the not-so-talented-but-conscientious niece of the Baronin, practicing her scales on the piano. In both instances the compositional technique is similar in the

---

<sup>51</sup> Henze recalls with enthusiasm his first encounter with Stravinsky in Rome: "For the first (and last) time in my life, I knew beyond a shadow of a doubt that I was in the presence of a living legend, a figure of mythic status. I was privileged to sit beside the composer of *The Rite of Spring*, *Les Noces*, and the *Ebony Concerto*. The hand that had written *Le rossignol*, and *The Rake's Progress* touched mine. Henze, *Bohemian Fifths*, 129.

sense that a tonal idea as brazen as the C major is disrupted harmonically and melodically through the use of contrasting musical materials.

Example 2-10. *Il Re Cervo*, Act I, Scene 1. Layered texture in the second period.

93 *leggermente alla maniera del Blues*

Fl. Ob. Trba. + Clar. Corno Trbne. Clar. basso Fag. Arpa Bassi pizz.

C pedal I

97

Corno ingl. Clar. Fag. Corno

I<sub>4</sub><sup>6</sup> I<sub>3</sub><sup>5</sup>

C-pedal

101

Trba. Fl. Trbne. Clar. basso Fag. Cfg.

V<sup>6</sup> I<sub>4</sub><sup>6</sup> I<sub>3</sub><sup>5</sup>

C-pedal

Example 2-10 continued.

104 **Scollatella**

Bin ich nicht ganz so schön — ich bin noch schön genug! —

The score for Example 2-10 continued, starting at measure 104, consists of a vocal line and a piano accompaniment. The vocal line is in a treble clef with a key signature of one flat and a 4/4 time signature. The lyrics are "Bin ich nicht ganz so schön — ich bin noch schön genug! —". The piano accompaniment is in a grand staff (treble and bass clefs) with a key signature of one flat and a 4/4 time signature. The piano part features a steady bass line of chords and a more active treble line with eighth and sixteenth notes. Instrument labels "Fag." and "Cfag." are present in the piano part.

107

Für einen kö nig-lichen Hahn aus meines Va- ters Stall die beste Henne.

The score for Example 2-10 continued, starting at measure 107, consists of a vocal line and a piano accompaniment. The vocal line is in a treble clef with a key signature of one flat and a 4/4 time signature. The lyrics are "Für einen kö nig-lichen Hahn aus meines Va- ters Stall die beste Henne." The piano accompaniment is in a grand staff (treble and bass clefs) with a key signature of one flat and a 4/4 time signature. The piano part features a steady bass line of chords and a more active treble line with eighth and sixteenth notes. Instrument labels "Fl.", "Ob.", "Clar.", "Fag.", and "Trbe. Corni" are present in the piano part. A dynamic marking "p" is also visible.

## Example 2-10 continued

The image shows a musical score for Example 2-10 continued, starting at measure 710. The score is written for voice and orchestra. The vocal line is in the top staff, with the lyrics "Zu - dem\_ erschein ich zur Audienz als". The orchestration includes Xil. (Xylophone), Fl. (Flute), Crag. (Clarinet in G), Trba. (Trumpet), and Cor. ingl. (Cornet in G). The bass line is in the bottom staff, marked *mf*. The score is in 7/8 time and features complex rhythmic patterns, including triplets and sixteenth notes.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Similarly, against the backdrop of the C pedal-chord in Scollatella's aria, Henze spreads an intricate web of dissonant sounds, which is gradually intensified. While the woodwinds and the brass continuously contradict the tonal background the vocal line carries on with the chromatic melody that differentiates Scollatella from the rest of the texture, and makes clear her intent to win the King's hand: "Bin ich nicht ganz so schön, ich bin noch schön genug! Für einen königlichen Hahn aus meines Vaters Stall die beste Henne. (Aren't I really beautiful, I am still beautiful enough! The best hen from my father's hen house to a royal cock)."

Moreover, the orchestration itself supports the delineation of these conflicting ideas – whereas the bass and the harp sustain the pizzicato C-major music at a soft level in the background, the

assertive wind calls in *f* to *ff* jut out in the foreground to reflect the turbulence that determines the dramatic action in the scene. The march-like quality of the passage results from the regularity of the background material in  $\frac{4}{4}$  time and the occasional rhythmic impetus provided by the triplets and the accents in the winds. After the stormy music in the introduction, this procession music sets up the stage for the inauguration of the new king in the second scene.

#### **2.4. Influences from Italy: vocal style and characterization in *Il Re Cervo***

A recurring theme in Henze's writings is the influence of his move to Italy on his compositions.<sup>52</sup> As an eclectic composer it must have been only natural for Henze to incorporate musical impressions and impulses he received from a new environment with different musical styles and a different musical tradition. Nevertheless, it is unsound to expect that the experiences of his new homeland replaced his previous musical background and understanding as a whole. In an article on *Il Re Cervo* Wolfgang Schwinger questions whether Henze is right in saying that this opera reveals the influence of Italy and asks whether Mozart, Wagner, Strauss, Berg, and even Weill do not dominate his musical thinking, rather than Monteverdi, the Italian canzone, Donizetti, and Bellini.<sup>53</sup>

Henze acknowledges the influence of the German musical tradition, specific composers, and even specific operas. But he also speculates about the influence of a new environment, Italy, on his compositional practice. Certainly, his accounts hardly represent an analytical look at specific

---

<sup>52</sup> Henze moved to Italy permanently in 1953, first to Forio d'Ischia, and then to Naples. The specifics of these events are discussed in part in his autobiography *Bohemian Fifths*, particularly in pages 115-150. A shorter account of this segment of Henze's life is provided in *Music and Politics*, 50-56. See also Klaus Geitel, *Hans Werner Henze* (Berlin: Rembrandt Verlag, 1968) for a concise biography and a survey of the composer's compositional career from the 1940s to mid-1960s.

<sup>53</sup> Wolfgang Schwinger, "Aus Herzenlust. Im Übermass. Marginalien zur Urfassung von Henzes *König Hirsch*," in *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth (Mainz: Schott, 1986), 106.

musical issues. Henze's observations appear, rather, as emotional reactions connected to what must have seemed to be an urgent need to find living conditions which would allow this aspiring young composer in his late twenties, to leave behind a social reality he associates with the painful experiences of the war-era, and welcome a promising new social context with new possibilities.

With the faded melancholy elegance of a former capital, an incredible mixture of metropolis and village, Paris and Chicago, an architectonic trauma, a stage for the most sensitive but also the most sentimental human behavior, the most delicate and the coarsest, the wisest and the most impertinent, Naples seemed the appropriate environment for the jettisoning [of] all possible convention and caution, and any excess of counterpoint and esotericism, and for responding with a similar openness to the spontaneity and directness to be found in everything Neapolitan. The melodiousness of the language, faces, and the colors of the sky and the sea lead to transformations in the psyche without one having to do anything except let it happen.<sup>54</sup>

Henze's fondness for Mediterranean life, and particularly for Italy, does not originate from a single source and does not manifest itself in a single upshot.<sup>55</sup> As Franco Serpa points out, the characteristic Italianate elements in his music coexist in a complex, unstable, and, changeable relationship with other ideas and other cultural inclinations. As my analysis of Leandro's and Coltellino's arias below will show, it is occasionally possible to trace direct influences from Italian music and singing tradition that manifest themselves in an obvious way in Henze's music from the fifties and early sixties. Yet, they seldom become the only expressive mode in a work,

---

<sup>54</sup> Henze, *Music and Politics*, 66.

<sup>55</sup> Italy also seems to have attracted an unusual number of artists at this time. Franco Serpa talks about the vital musical life in the early 1950s in Italy including several performances of Wagner's *Ring Des Nibelungen* in the same year under several outstanding conductors such as Erich Kleiber and Wilhelm Furtwängler, as well as other rich concert activities, which point to a vibrant artistic environment. He also points out the unbelievable number of artists who came to Italy from all corners of the world for short or long stays. Franco Serpa, "Henze und die mediterrane Kultur," in *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Rexroth, Diether (Mainz: Schott, 1986), 275.

section, or even in a short passage. Serpa appropriately warns against the assumption that Henze's works written after his move to Italy somehow reflects a kind of lyricism or melodramatic content typically associated with Mediterranean musical culture.<sup>56</sup> He argues, further, that it is hardly possible to point out particularly Italianate elements in Henze's music that emerged after his emigration, and that these elements, if one can identify them, are already present in the works written before his move to Italy.<sup>57</sup>

This is a difficult matter to examine because the premises of the inquiry do not allow for fine distinctions between what is Henze's ever-present compositional mannerism and what can be recognized as influences from a new musical tradition. As a rule Henze operates with broad categories, both in his compositional endeavors as an eclectic composer, and in his prose as a writer. Consequently, his compositional method is derived from roughly defined dichotomies, such as tonal allusions, relaxed twelve-tone treatment and similar traditional ideas.

Concerning the discourse Henze uses to speculate about the influences, Serpa is equally skeptical. He argues that the terms such as "operatic style," "melodic lyricism," and "southern musicality," which Henze defines as Italian elements in *Il Re Cervo*, should be considered as conventional and comfortable criteria, which, particularly when used by the composer himself, do not clarify much.<sup>58</sup> This is not necessarily so. In determining the value of Henze's own writings for analytical and historical considerations it is necessary to mention the nature of these writings and the purpose behind their existence in the first place. A considerable portion of Henze's collected writings consist of reworked versions of interviews, program notes, and similar journalistic discourse attempting to control response arising from performances of his works, within a musical environment dominated by the modernist avant-garde. Obviously,

---

<sup>56</sup> Serpa, "Henze und die mediterrane Kultur," 275.

<sup>57</sup> Serpa, "Henze und die mediterrane Kultur," 286.

<sup>58</sup> Serpa, "Henze und die mediterrane Kultur," 275.

Henze does not aim for musicological precision in his approach to musical, social, or political issues related to his compositions, and he never indulges in analytical considerations.<sup>59</sup> But in the careful analysis of his compositional processes Henze provides valuable information about the reasons why a certain vocal style or a musical texture has been used at a certain point in an opera. Thus, when the composer himself appreciates specific details in a work as influences from a specific musical tradition, these should be accepted as such, particularly if analysis corroborates the claim.

Arguably, the influence of Italy and Italian music, about which Henze talks so enthusiastically in his autobiographical writings, cannot be determined with absolute certainty. Nevertheless, several numbers from *Il Re Cervo*, including Checco's canzone in Act II, Scene 2, Coltellino's aria in Act III, Scene 2, both analyzed below, contain stylistic elements that demand attention through an approach that takes into account speculative aspects of compositional practice. On the other hand as, as the consideration of these numbers will reveal, Henze's treatment of the canzoni resist straightforward formal or harmonic analyses of traditional elements, as much as they resist any twelve-tone analysis.

In Checco's canzone, where the so-called Mediterranean influences surface, Henze nonetheless challenges the listener by creating a discrepancy between the vocal melody and the fragile guitar accompaniment. He does not try to make a stylistic copy of a traditional music of the region, but rather create associations with his experience of this tradition for the dramatic purposes of the opera.

---

<sup>59</sup> Henze's reticence on analytical matters has been mentioned in the literature. He refrains from engaging in a discourse that attempts to elucidate the technical details of his works, or speculate on the significance of his work within a larger spiritual or metaphysical framework. But his prose often contains a poetic flexibility, expressivity, in which the subject he discusses is treated with metaphorical distance. Discussed in Ulrich Dibelius, "Henzes ästhetisches Selbstporträt," *Melos* 32 (March 1965): 69. Oliver Knussen talks about the same attitude in an interview that exposes Henze's unwillingness to talk about specific compositional details in analytical terms. *Hans Werner Henze, Memoirs of and Outsider*, prod. Dennis Marks, dir. Barrie Gavin. 89 min. Arthaus Musik, 2003. DVD.

For the most part these canzoni are extensively improvised in text and melody, to the point where the originals are no longer recognizable; they are variants of poignant, enigmatic compositions, dating back hundred or thousand years, made up of quartertones – magical intervals that can hardly be captured in our notation. To create something of this kind oneself – something that sounds neither artificial nor clever, but leaves its imprint on the world, accompanied by no more than a few plucked guitar notes that are scarcely meant to leave the empty [open] strings – this turns out to be a singular adventure.<sup>60</sup>

Checco's vocal line contains patterns that accentuate a simple melodic formula where the span of a fifth, E-A, is established as the thematic foundation of the canzone, with three successive statements of the same melodic framework (see Ex. 2-11). Even though the improvisational vocal writing in this unmeasured number justifies Henze's characterization of the genre, the guitar accompaniment is certainly more than simply "a few plucked notes," creating a counter force against the vocal line with its focal pitches and sonorities. In effect Henze's compositional method in Checco's canzone is similar to numbers analyzed above. In the first three phrases E and A are established as focal pitches, without using tonal procedures. Instead, Henze emphasizes E by repeating it at the very beginning, by assigning it the longest note-values in the three phrases, and by bringing in the leading-tone D# frequently.

At the same time, in the first part of the canzone, both the vocal line and the accompaniment are based almost entirely on the E-minor aggregate – the only incompatible pitch in this context is the occasional B $\flat$ . It is the tension between the pitch-collection in the background and the focal points created as surface details that creates the specific mood of Checco's number.<sup>61</sup> In this sense, the accompaniment does not provide harmonic support, but creates a pull away from the vocal line with the A-minor and C-major sonorities in the guitar accompaniment. However,

---

<sup>60</sup> Henze, *Music and Politics*, 58.

<sup>61</sup> In the present study the term "minor collection" refers to any of the three types of minor scales.

even though the accompaniment reiterates the opening melodic substance of the vocal line with particular emphasis on the upper and lower neighbors F and (the leading-tone) D#. It is noteworthy that the A-minor sonority that was stated emphatically in the beginning does not return at all later in the canzone. In hindsight, the E-minor and C-major aggregates appear to be more important in defining the focal keys than the root-position triad.

Example 2-11. *Il Re Cervo*, Act II, Scene 2. First part of Checco's canzone (unmeasured).

Canzone

49

Ch. Als ——— idi mit Vo — gel-zungen noch — zum Fisci sprach, —

Chitarra (Klang 8<sup>va</sup> bassa)

auf Re — — — gen — bo — gen

UN LN

A- C+

## Example 2-11 continued.

Ch.  
kamst du ge - - -

Chit. C-

- rit - - - ten, hast in die Träu - - -

- - - me er - - - ste Seh - sucht ge -

**Open strings of the guitar**

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Once again Henze avoids a cohesive harmonic motion to establish tonal references – both A-minor and C-major triads become focal sonorities through mere repetition. Notably, the prominent A-minor chord in the accompaniment is stated only in the beginning, and it is interrupted by the dissonance D#, before being replaced by the inverted C-major chord. In a sense the vocal melody is unaffected by the change of focus in the accompaniment from A minor to C major. The accompaniment is not meant to imply a modulation to a new key – C major is

stated as bluntly as A minor, with four successive repeats of the very same gesture, each ending on B, the leading-tone of the new tonal center.

Henze accentuates the arrival on the sustained G (last line in Ex. 2-11) using nothing but the simple overlapping statement of the open strings of the guitar, E-A-D-G-B-E, as accompaniment. Even though this resonant sonority includes the E-minor chord, the successive fourths interrupt a comfortable arrival of the tonic. It is only towards the very end of Checco's canzone that Henze places a root-position E minor in the guitar, while the vocal line ends on a C. He retains the uncertainty of the tonal idea by the sporadic use of the E-minor chord within in the remainder of the solo guitar part that includes nothing other than the C-major aggregate (see Ex. 2-12). Even at the very end, the ambiguity remains unresolved because of the fermata on A, the arpeggiated E-minor chord, and the final C in the accompaniment.

Example 12. *Il Re Cervo*, Act II, Scene 2, m. 49. End of Checco's canzone.

The image displays three systems of musical notation for the end of Checco's canzone. Each system consists of a vocal line (Ch.) and a guitar line (Chit.).

- System 1:** The vocal line has lyrics "Wann\_wirst du dich wen - - - den, West - -". The guitar line features a C-major aggregate chord, with an E-minor chord (E-) highlighted in a box.
- System 2:** The vocal line has lyrics "- - Wind?". The guitar line is marked *calmo ed espressivo* and includes a ritardando (rit.) section. The guitar line is labeled as a C-major aggregate.
- System 3:** The guitar line includes a Cadenza section marked *accel.* and a final section marked *lento rit.*. Two E-minor chords (E-) are highlighted in boxes. The guitar line is labeled as a C-major aggregate.

Henze creates a very transparent texture in Checco's canzone, partly because the accompaniment is limited to a single guitar, and partly because the dissonances remain at a comfortable level, even though several suggested key areas constantly saturate the musical surface. It seems plausible to consider associations between the canzone and Leandro's aria in Act I, Scene 2, analyzed below – they have a lucid musical texture and contain tonal allusions in the vocal melody and the accompaniment. It is important for dramatic continuity that both make extensive use melismatic melodic lines and both emphasize E minor as a key focus.

The contemplative and dreamlike quality of the text and the supernatural events, both central elements in the plot, makes the ambiguity of the tonal regions in the music appropriate to the dramatic needs of the situation. Checco is given the secret of magical transformation, which he is to pass on to King Leandro. But Tartaglia finds out about the spell, and uses it to transform into Leandro's shape, but the king himself is changed into a stag. The ambiguity of the tonal ideas in the canzone is noteworthy, because it sets up the double-chordal discourse in Act III, Scene 2, where the transformation of King Leandro corresponds with double-vision on stage. Duality of musical language in general is an important feature of *Il Re Cervo*, a quality that is achieved through the use of contrasting musical languages, as well as simultaneous use of several pitch-collections or focal pitches that confuse the tonal perception.

Some sections in *Cervo* do benefit from twelve-tone analysis, or rather the identification of twelve-tone series in the musical texture. Even though Henze creates his own twelve-tone strategies, as all other composers who exploit the technique, and uses it flexibly, it is important to clarify how this unrestricted practice becomes part of Henze's vocabulary. In the opening of

Act II, Henze uses what Oehl identifies as “Forrest-row” to build up a twelve-tone chord in the tutti (see Ex. 2-13).<sup>62</sup>

Example 2-13. *Il Re Cervo*, Act II, Prelude, mm. 1-7 the “Forest-row.”

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

When the curtain rises to the accompaniment of the overlapping twelve-tones of the row, it reveals the characters of the lively ensemble in Act II. Based on the row stated in the tutti the following contrapuntal texture that foreshadows important aspects of Henze’s twelve-tone treatment perfected in later operas, *Der Prinz von Homburg* and *The Bassarids*, discussed below in chapters 4 and 5. It consists, in addition to the F# pedal that is always present in the forty-bar-long prelude, the repeated chromatic gesture D<sup>b</sup>-C-D-(C#) and the analogous diminished sonority G#-B-F in the inner voices, the tetrachord E<sup>b</sup>-A-B<sup>b</sup>-G in the horn (see Ex. 2-14). Even the following F-A<sup>b</sup> in the upper register can be explained in terms of the P<sub>3</sub> of the row.

<sup>62</sup> Oehl, *Die Oper König Hirsch*, 161.

Example 2-14. *Il Re Cervo*, Act II, Prelude. Contrapuntal writing based on the “Forest row.”

The musical score is divided into two systems. The first system (measures 8-12) features:

- Clarinet (Clar.):** Melodic line with notes G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7.
- Clarinet Basso (Clar. basso):** Melodic line with notes G3, A3, B3, C4, D4, E4, F4, G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7.
- Arpa, Cb:** Pedal point chord consisting of G2, B2, D3, F3, A2, C3, E2, G2.

The second system (measures 12-15) features:

- 1. Viol. flag.:** Melodic line with notes G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7.
- Cel., 2. Viol. (tr) Fl.:** Melodic line with notes G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7.
- Oboe (Ob.):** Melodic line with notes G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7.
- Arpa, Cb:** Pedal point chord consisting of G2, B2, D3, F3, A2, C3, E2, G2.

Measure numbers 8, 9, 10, 11, 12, 13, 14, and 15 are indicated above the staves. Pedal points (P6, P3, P4, P5) are marked in boxes above the respective staves.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

As a compositional tool, the repetition of the small units derived from the row creates local events that become important in the musical texture. Likewise the use of the head-notes of three row-forms simultaneously focuses the attention on gestures based on fifths, E $\flat$ -B $\flat$ -E $\flat$ , F-C-F,

and E-B-E. Notably, the head-notes E $\flat$ , F, and E of these gestures define a simple chromatic three-note collection associated with the identical collection D $\flat$ -C-D in m. 8. In a sense Henze breaks down the implications of the row to create a pull against it by focal notes in the texture through repetition of pitches and gestures.

The forest scene is important in establishing long-term musical coherence that corresponds with the plot. By creating a multi-layered musical texture in the beginning of Act II, Henze recalls the structural complexity of the prelude in Act I. He replaces the constantly active and forceful music of the opening that depicted a storm, with a more static, though more pregnant music that depicts the mysterious sounds of the forest. In terms of compositional practice, the difference between the two passages is nominal – the musical material of the forest-scene is derived partly from a twelve-tone row, the orchestral introduction to the opera is not.

Concerning *Il Re Cervo* Henze argues that he tried to develop a vocal style, which was not derived from an existing model, but corresponded to the dramatic idea present in the text. In this framework each character should have a distinct expressive mode corresponding to that character.<sup>63</sup> How such a task would be handled and the conditions under which the result will gratify the audience and the experts alike are not self-evident. It might be safe to claim, though, that musical characterization as a topic was entirely alien to the artistic concerns of the musical avant-garde, in serialist as well as aleatoric music, which gained momentum in the fifties. For composers who took a radical stance against elements of musical composition that recalled the past, even the idea of an adaptation of literary works for an opera was questionable. Pierre Boulez, for example, argued that composed literature (referring to literature-opera) was sterile,

---

<sup>63</sup> Hans Werner Henze, "Mein König Hirsch," *Melos* 23 (September 1956): 243.

and that an operatic text had to be specifically written for the music theater – he suspected the very idea of “setting a text to music” and preferred a more neutral “making use of the text.”<sup>64</sup>

This approach was already apparent in Boulez’s *Le Marteau sans Maître* from 1954 (written, incidentally, during the time Henze wrote *Il Re Cervo*), where the text serves “as a kernel, the centre around which the music crystallizes.” In this work, there is only an associative connection between the text and the music in terms of indirect reflection.<sup>65</sup> Henze’s accommodation of tonal allusions, as well as the Italian canzone into *Il Re Cervo* contrasted equally strongly with Karlheinz Stockhausen’s abstract use of the voice and the text in *Gesang der Jünglinge* (1955-1956). At the time, Stockhausen’s idea of considering the text as a purely structural element of the musical texture would have been unthinkable for Henze – even a text so well-known to German speakers as the Book of Daniel.<sup>66</sup>

Repudiation of classical forms was considered as a significant aspect of the post-war avant-garde that interpreted Anton Webern’s twelve-tone music as its model. In Herbert Eimert’s article that was published in *Die Reihe*, Webern’s works from Symphony op.21 onwards, were considered to be the rejection of thematism, and formulated as the foundation of the post-Webern style.<sup>67</sup> Debatably, the argument was flawed as a justification for the adoption of his musical aesthetics. Concerning the persistence of classical forms Webern comments that in twelve-tone music tonality as a harmonic system was discarded but “everything else has

---

<sup>64</sup> “Nicht vertonen, sagen wir lieber verwenden.” Pierre Boulez, “Sprengt die Opernhäuser in die Luft,” *Der Spiegel* 21 (December 1967): 169. Concerning the rumors that he wanted to write a work for the theater, Boulez says such a project would attempt to conceive of the text and the music reciprocally. This idea is reminiscent of Sergei Eisenstein’s suggestion to consider film music not separately after the finished movie, but as an integral part of the creative process.

<sup>65</sup> Pierre Boulez, *Orientations*, trans. Martin Cooper, ed. Jean-Jacques Nattiez (London: Faber and Faber, 1986), 341.

<sup>66</sup> As mentioned above, Henze eventually incorporated all avant-garde techniques into his compositions.

<sup>67</sup> Herbert Eimert, “Die notwendige Korrektur,” *Die Reihe II* (1955): 35-41.

remained.”<sup>68</sup> Elements of classical form, that is, thematic structure, and formal parts were inherited from the tonal tradition and were controlled in new music by twelve-tone ideas. Henze was critical of the attempts to appropriate Webern's ideas to promote the serialist agenda and distanced himself from what he considered as a “misinterpretation of his [Webern’s] aesthetic and, indeed, of his technique and its motivation and significance.”<sup>69</sup> It is a notable aspect of the Darmstadt ideology that, while Boulez, Stockhausen and followers promoted a definite break with tradition, they still relied on the aesthetics of a pre-war composer, Webern, in whose works traditional compositional elements existed in the most concentrated form possible.<sup>70</sup>

Thematic ideas are essential in Henze’s music; particularly in *Il Re Cervo* melodic ideas are vital in portraying different characters. Melody, Henze observes, is discarded categorically and no more regarded as a self-evident musical element by composers of his generation.<sup>71</sup> In *Il Re Cervo* the expressionistic qualities of the thematic make up of Scollatella’s aria in Scene 1 are strikingly different from the tonal and melodic structure of Leandro’s aria in Scene 4. Similarly, Tartaglia’s dissonant vocal line, which is further accentuated by the emphatic “Power-motif,” is markedly different from the Checco’s canzone in Act 2, which is characterized by the simple guitar accompaniment and the lyrical, ornamented melodic lines.

These characterizations do not recur as leitmotifs later in the opera. The use of the power-motif, for instance, which is indeed directly connected to Tartaglia, is limited to Scene 2 in Act I. Henze’s use of this technique is akin to Alban Berg’s similar use of specific musical ideas

---

<sup>68</sup> Anton Webern, *Der Weg zur Neuen Musik*, (Vienna: Universal Edition, 1933), 46.

<sup>69</sup> Henze, *Music and Politics*, 43.

<sup>70</sup> For a detailed discussion of the persistence of traditional formal elements in Webern’s work within this context see Leopold Spinner, “The Abolition of Thematicism and the Structural Meaning of the Method of Twelve-Tone Composition,” *Tempo* 146 (September 1983): 3-9.

<sup>71</sup> Henze, “Mein König Hirsch,” 243.

associated with particular textual details within a limited context in *Wozzeck*.<sup>72</sup> In *Il Re Cervo* too, there are specific musical details that are developed for the dramatic purposes of the work in a specific scene. Therefore the melodic style connected with a character is not the only thing that ensures that the dramatic content is comprehensible. It is virtually impossible to differentiate, for instance, the vocal styles in the canzone sung by Checco, the musician who is to give King Leandro the secret of the transformational spell to save his life in Act II, and the one sung by Coltellino, the would-be assassin, in Act III. Both characters are sung by tenor-buffas to the accompaniment of a single guitar, and both are lyrical canzoni. Musical characterization in *Il Re Cervo* is invoked both by specific musical ideas within a scene, and by the long-term dramatic action in the opera as a whole. In order to emphasize the conflict that is inherent in the plot, Henze creates well-defined ideas, either thematic or melodic treatment, as in Tartaglia, Leandro, and Scollatella, or stylistic ones, as in the canzoni. In the development and resolution of the conflict, he relies on general stylistic elements, and refrains from using recurring Leitmotifs.<sup>73</sup>

In a general sense, characterization of the sort used in *Il Re Cervo* is constantly present in the operas considered in this study. In *Der junge Lord* the music of the lovers is obviously, maybe too obviously, differentiated from that of the Lord (the ape); in *Der Prinz von Homburg* and *The Bassarids* the pull between tonal allusions and chromatic material is very often responsible for how the dramatic action unfolds. But these two types of musical materials are not explicitly related to tonality or twelve-tone music. Henze seems to be reluctant to give the listener passages that comfortably fall into one category or the other. Rather he operates within the gray

---

<sup>72</sup> George Perle, *The Operas of Alban Berg: Wozzeck* (Berkeley: University of California Press, 1980), 94. Perle does not categorize such dramatic details as *Wozzeck*'s "Jawohl, Herr Hauptmann!" as Leitmotifs.

<sup>73</sup> *Der Prinz von Homburg* (to be discussed in Chapter 2 below) is an exception in this sense. The symbolic elements and the music of the first scene returns in the last scene of the opera – but this is an idea inherent in the plot and highlights a problematic aspect of Heinrich von Kleist's literary work as well as Henze's opera.

zone between these two worlds to create contrasts, and to advance the drama. The same can be said for his most chromatic music as well as for his canzoni.

Henze's claim about being influenced by his move to Italy requires, therefore, attention as worthwhile clues for investigation. It is a radical move to discard a composer's own writings as insignificant, or at any rate, unreliable utterances as far as analytical considerations are concerned. Likewise, it is a rigid argument to imply that a composer's own writings, especially the kind of suggestive prose Henze indulges in, has little to offer to an analytical investigation of his music and compositional activities. Quite on the contrary, it is this suggestiveness, together with other features of his writings that gives important hints to elucidate his work as a composer.

Henze opens his 1996 Lecture, with an outmoded speculation on the creative compositional process that indicates a clear contrast with contemporary concerns.

The process of artistic creation is hedged about with mysteries. We don't know – the creative artist himself doesn't know – how this or that picture arrives on the canvas, or how a piece of music comes into being. The most important thing is beyond the reach of rational scrutiny, and that is why the only things we can ever talk about are less important aspects such as the nature of the works that have actually come into being, and continue to come into being, in this mysterious way.<sup>74</sup>

This characterization is in fact as true for Henze's compositional endeavors as it is for a more strict compositional method such as integral serialism, which represented the extreme position that Henze rejected in the fifties and caused ultimately to distance himself entirely. Even the slightest amount of compositional choice made by a composer contains a certain amount of this uncertainty in the compositional process. In the work of a composer who so overtly emphasizes them, they are crucial for an adequate analysis.

---

<sup>74</sup> Hans Werner Henze, "Language, Music, and Artistic Invention," *The Prince of Hesse Memorial Lecture 1966*, trans. Mary Whittall (Aldeburg: Britten Pears Library, 1996), 3.

Perhaps the problem arises because of a puritan attitude on the side of the critics whose methodological tools are short-circuited by the constant stylistic turns in Henze's operas. It is certainly legitimate to ask whether the influence of moving to Italy urged a general stylistic change in Henze's compositional output. Even Franco Serpa's nuanced and insightful approach seems to be too puritan to clarify and confirm Henze's claims that the influences indeed were a result of a newly found freedom in his acquired homeland. If analysis confirms Henze's belief that his compositional method in the works under discussion can be associated with Italianate elements, then it should be considered as such without expecting that these elements permeate an entire score.

## **2.5. Tonality and characterization in Leandro's aria.**

Leandro's aria in Act I marks an abrupt stylistic change and separates this number from everything that precedes it. This dramatic turn of mood results from the juxtaposition of contrasting elements that is characteristic of Henze's music. Until that moment, even the sections that contained traditional elements were constantly in conflict with other layers of the musical texture. For the first time in the opera Henze creates a number that is relatively uniform in terms of its use of consonant sonorities, and more transparent in terms of musical texture.

King Leandro, who has spent most of his life in the forest, sings his farewell to the animals, his best friends, in an expressive aria accompanied by expressive sonorities and diatonic writing with strong tonal allusions. The vocal line is particularly revealing from a tonal perspective, with phrases that are regular in structure, each one clearly defined and resolved. It starts with two parallel phrases each of which rests on the upper neighbor of the final tone that arrives after a melismatic articulation including the upper and lower neighbors (see Ex. 15). While the first

phrase is anchored in B, and resolves to A after the melismatic figure C-B-A-G, the second phrase rests on A and it resolves to G after the melisma A-G-F#. In fact, the melodic line here suggests G major, particularly because of the leading tone F# resolving twice to G to strengthen it as a focal pitch. As a strong contrast to the dense musical texture of contrasting musical materials in the beginning of the opera, Leandro's aria has a thin and fragile texture where the accompaniment reinforces the thematic makeup of the vocal line in the uppermost voice by the resolution B-A in the first phrase, and A-G in the second. In the next two parallel phrases, Henze creates melodic ideas that are more chromatic and rhythmically more hesitant. The third phrase hovers around B before it arrives at the F#. Finally, the last phrase of the first period in this aria indicates E as the tonal center; the D# resolves twice to E, the second one arrives not in the vocal line but in the orchestral accompaniment.

These four phrases define a descending scalar segment A-G-F#-E with their final tones, which together with the leading-tone D# indicate E minor as a key center compellingly – the leading-tone is not resolved in the vocal line but in the orchestra (see measures 22-23 in Ex. 2-15). Moreover, the arrival of the tonic in the treble in the fourth phrase is supported by functional harmony, where a rhythmically forceful dominant chord resolves to an E minor chord in the orchestral texture. Once again, the clarity of the progression is tainted by the E and G as the two lowest tones of the dominant, though it is plausible to interpret this sonority as the superimposition of the E-minor and B-major chords, with the common tone B omitted. It is significant from a hermeneutical perspective to interpret the tetrachord A-G-F#-E as a reference to the conventional use of descending motives as signifier of lament.<sup>75</sup>

---

<sup>75</sup> Examples abound both as descending bass lines, such as in Monteverdi's *Lamento d'Ariane*, Purcell's "When I am laid in earth," as well as motivic elements in J.S. Bach's *B-minor Mass*.

Example 2-15. *Il Re Cervo*, Act I, Scene 4, mm. 14-23. Descending tetrachord in Leandro's aria.

**Phrase 1**  
UN LN **Phrase 2**

8 Lebt wohl, dies ist nicht eu - - - re Welt. Mit Fal - len ist der

**Phrase 3**

17 UN LN **Phrase 3**

8 Weg hier um-stellt. Zum Wald, der uns be - hüt - tet, keh -

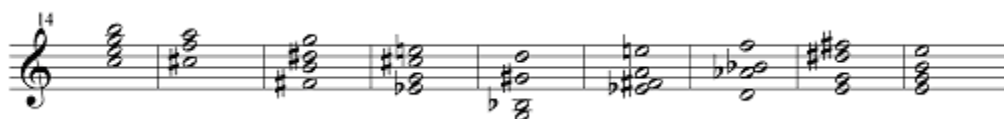
**Phrase 4**

20 **Phrase 4**

8 ret heim. Ich darf nicht län - ger bei such sein.

The accompaniment to Leandro's first two phrases doubles the vocal line in the treble and highlights the B-A and A-G descents. However, identifying these chords prove to be more problematic in terms of its relationship to the vocal line, particularly within an E minor framework. Most of the sonorities in the progression include one pitch that complicates the analysis (see Ex. 2-16).<sup>76</sup>

Example 2-16. Characteristic sonorities that accompany Leandro's four phrases. Triadic ideas are complicated by additional pitches.



In hindsight, it is compelling to interpret the first chord in the example as a tonic sonority, E minor. If C is considered as the root of the first chord, then it can be interpreted as a major-seventh chord on VI in E minor. But the next chord, which is an augmented, second inversion chord on the lowered second scale degree, F-A-C#, has no functional value within this context. Nevertheless, the following chord, together with the A in the vocal melody, strongly suggests a dominant seventh chord in E minor (despite the sixth of the chord that complicates the sonority) which is interrupted once again by the inverted C# diminished triad to complicate a conventional resolution. Because of their high register, the tone color created by these conventional chords seems to be more important than their harmonic function.

Dramatically, the unstable harmonic motion reflects Leandro's hesitant mood. A touch of melismatic writing, which Henze talks about in his memoirs as an influence from his acquired

<sup>76</sup> In the original version of *König Hirsch* the harmony is further complicated by the contradicting pitches in the bass. But, because of the large distance in register, this analysis would still be applicable by considering the bass as a separate layer in the texture.

country Italy, permeates the aria and creates musical continuity, in the short orchestral introduction of the aria, in the vocal line, and ultimately in the intricate orchestral texture as a whole. Before the second period of Leandro's aria starts, the strings emulate the intensity of the vocal line by playing a variant of Leandro's first two phrases. Functional harmony is not present even though Henze seems to hint at several key areas strongly; the aria as a whole is permeated with chromatic writing, with clear tonal allusions.

Example 2-17. *Il Re Cervo*, Act I, Scene 4. End of Leandro's aria.

77 Leandro  
8 Wol - ken in der Nacht. Ich ge - he wei - ter. A - ber mein Schritt hin - ter -

82  
8 läßt kei - - - ne Spur.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Towards the end of Leandro's aria Henze recalls the key focus of the first part; the incessant leading-tone D#, together with the C# in m. 77 and m. 82, suggests E minor once again (see Ex.

2-17). And just as in the first part of the aria the leading-tone is not resolved in the vocal line, but in the accompaniment. Nonetheless, Henze conceals the resolution by assigning it to the celesta with its indistinct sound. To obscure the sense of a cadence, or of any type of conclusion in E minor, the descending line E-C#-G# in the celesta connects Leandro's aria to the music of the statues.

## **2.6. Truth-untruth duality and double-vision on stage.**

Scene 4 closes with a short number in which the two statues promise the King will be warned every time someone lies to him. This section is separated from Leandro's aria in its simple melodic and rhythmic construction. In the hazy, tonal sounding music of the two statues Henze depicts the supernatural world that is perceptible only to Leandro. Arguably, the contrasting musical characterization of Scollatella and Tartaglia on the one hand, and Leandro, Checco, Coltellino, and of course the statues on the other, creates an easily discernible dramatic effect of opposition. Thus, through the starkness of this compositional method, Henze consistently forces the listener to associate tonal allusions with the good and twelve-tone or dissonant passages with the bad. But this is a "fairy-tale" opera that allows a straightforward differentiation, without becoming artificial.

In *Il Re Cervo* an important topic that explicates scenic action in a general sense is the musical counterpart of levels of reality contained in the fable. Leandro is involved both with the real world as part in the power struggle in the kingdom and with the supernatural world through his capacity to communicate with the statues. The duality of truth and untruth, that preoccupies Henze in all the operas chosen for this study, is directly linked with the workings of these two worlds in *Cervo*. And the musical texture reflects these levels of reality in a number of ways.

First, the magical realism of the talking statues is separated from the world of actions, with strikingly different music characterized by rhythmic regularity and harmonic simplicity. Second, the music of the statues contains an inner conflict that could be regarded as an ever-present compositional technique in Henze's operatic output: the bitonality or the superposition several pitch-collections – the simultaneous appearance of the 3# aggregate and the B-minor aggregate in the music of the statues in Scene 4 is more than a coincidence.

At crucial moments in the opera, Henze uses both tonal opposition and clash of tonal and twelve-tone materials to underscore a dramatic idea: conflict between chords of fourths and the diminished seventh in the vocal line while Coltellino chases Leandro in Act II, Scene 1, the superimposition of the E $\flat$  and A-diminished triads, the polychordal texture in Act II, Scene 2 that centers on the secret of magical transformation all depend on this technique for dramatic effect. In passages where the musical texture includes two distinct triadic units simultaneously, it is tempting to use the more customary term polytonal, but the term implies that key areas are established through the use of traditional harmonic progressions.<sup>77</sup> Henze uses them consistently as static units and establishes their significance through repetition only. The ultimate expression of such effects is reached with the concurrent use of two root-position triads in Act III, Scene 2, examined below, demarcating the cardinal moment in the opera where the King is identified as Stag by the Alchemists, and as King by Checco. This double-vision on stage, crucial for the resolution of the power struggle in *Il Re Cervo*, explains why this opera is dominated by the duality of musical expression and doubleness and ambiguity of (tonal) perception.

---

<sup>77</sup> For a recent discussion of polytonality see, for example, Peter Kaminsky, "Ravel's Late Music and the Problem of Polytonality," *Music Theory Spectrum* 26, (Fall 2004): 237-264. See also Gerald Larner, *Maurice Ravel*, (London: Phaidon Press, 1996). A discussion of the related topic, stratified musical textures will follow below in the analysis of *The Bassarids*.

Despite its simpler texture the music of the statues nonetheless holds an inner conflict and ambiguity because of the superimposition of major and minor modes (see Ex. 2-18). Once again, a sense of key focus is achieved through the use of a pitch collection rather than functional harmony. In this passage the arpeggiated pedal is based entirely on the B natural-minor scale and uses, in fact, every note of it. Another layer consists of the melodies of the statues that sing in parallel thirds that underline their dramatic function in the opera. The remaining elements of the musical texture can, for the most part, also be explained in terms of a three-sharp aggregate suggesting A major, although A is not a focal pitch in the passage. Essentially, the two key areas coalesce to create sonorities that are conventional, even though they do not always fit into the implied key area – the E-major chord in the example, for instance, is misplaced within a B-minor environment. Its obvious function within A major is not fulfilled either; it stands, rather, as an independent sonority that accidentally emerges from the simultaneous use of the two different key areas.

Example 2-18. *Il Re Cervo*, Act I, Scene 4, mm. 87-96. Marked sonorities indicate conventional triads.

Wer fragt, wird kei-ne Ant-wort er - hal - ten. Wer läuft, Wer fragt, wird kei-ne Ant-wort er - hal - ten. Wer läuft,

B minor E major D major

3# aggregate

B-minor aggregate

Example 2-18 continued.

The image displays a musical score for a vocal and piano piece. It consists of four staves. The top two staves are vocal lines, both featuring the same German lyrics: "wird kein Ziel er - rei - chen. Wer sich hin - wirft, wird den Bo-den nicht be - rüh - ren." The bottom two staves are piano accompaniment, with the left hand playing a bass line and the right hand playing chords and arpeggios. The key signature is one sharp (F#), and the time signature is 4/4. The music is in a minor mode, with a somber and dramatic atmosphere.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Even though Henze says in his writings that he has not used a tone-row in *Il Re Cervo*, techniques that are strongly associated with dodecaphonic music abound and permeate sections of the work and exist side by side with tonal allusions. Particularly in passages with a specific dramatic import, Henze makes use of these techniques to full effect. In Act 2, scene 1, where Coltellino follows Leandro from a distance with a pistol in his hand, the strings illustrate the urgency of the situation with chordal structures made up of fourths, diminished fifths, and seconds (see Ex. 2-19). The diminished seventh arpeggio of the vocal line in mm. 74-76 collides with two contrasting sonorities in the bass – the E-minor triad that repeatedly pivots on D#, and the F#-major triad that rests on G# – to obscure the clarity of the harmonic ideas.

Example 2-19. *Il Re Cervo*, Act II, Scene 1. Tremolos intensify the effect of the dissonant chords.

**Leandro**

71

8

Wie weit

Dim.-seventh arpeggio

Dissonant chords

75

8

bin ich ge - wan - dert

(A#)

F# (+G#)

E- (D#)

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Leandro's melody here is stylistically different from his solo in Act I. With its hesitant character, the vocal line lacks the appeal of the first aria; this cluttered musical texture persists until the arrival of the E minor at m. 124 (see Ex. 2-20). This is a magical moment in Act II that is separated from the dissonant environment with its traditional sonorities, and highlights

Scollatella's words: "Ich bin eine irrende Königin (I am an erring Queen)!" The astonishing effect of the E-minor sonority is not prepared in any sense in its immediate surrounding, and creates a sudden change of mood. This number is a duet between Leandro and Scollatella, and the forte E-minor sonority recalls Leandro's aria in the first act, with the same emphatic E-minor chord – it is also linked with the E-minor pitch-collection in Checco's canzone in Act II. In this way, Henze creates long term harmonic uniformity associated with a single character in the opera. But, the very next sonority creates a harsh contrast to the E minor, with the superimposition of E $\flat$  major and A-diminished triads. The momentary A $\flat$  in the bass further complicates the sonority (in a similar manner to many other chordal structures in the opera).

Example 2-20. *Il Re Cervo*, Act II, Scene 1. E minor within dissonant context.

124

Scollatella **P<sub>4</sub>** 1 2 3

Ich bin ei - ne

E $\flat$ -

3

5

C-major pitch-collection

Example 2-20 continued.

The musical score is presented in two systems. The first system, starting at measure 126, is labeled "C-major pitch-collection" and contains the vocal line with the lyrics "ir - - - ren - de" and a piano accompaniment. The second system, starting at measure 127, is labeled "Bb-" and contains the vocal line with the lyrics "Kö - - - ni - gin!" and a piano accompaniment. The score includes various musical notations such as treble and bass clefs, time signatures, and dynamic markings.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

From a dramatic angle the clash between E minor and E $\flat$  minor is apt, because it forcefully suggests a conflict between the characters in the duet, even though the tone between them at this moment is rather friendly. Despite the use of eight different pitches in mm. 124-126, the dramatic force of the passage does not depend on serial materials. However, the vocal line contains conflicting ideas that complement the chordal opposition in the accompaniment. It starts with E-B-B $\flat$ , the head-notes of the “Forest-Row,” which is interlocked with the E $\flat$ -minor arpeggio (B $\flat$ -E $\flat$ -F $\sharp$ ), to be followed by two phrases in a sequence of descending melodic gestures – melodic shapes in this short passage are reminiscent of Scollatella’s first aria in Act I. Conflicting tonal centers in the vocal line reflect her continuing anxiety and the shakiness of the

harmonic background in the orchestra provides a coherent texture that also echoes Leandro's presence.

Example 2-21. *Il Re Cervo*, Act II, Scene 2, mm. 1-5. Overlapping E-major and D-seventh chords.

The musical score for Example 2-21 is presented in three systems. The top system is a vocal line for Checco, starting in measure 5 with a triplet of eighth notes (G4, A4, B4). The middle system is a piano accompaniment for the first four measures, featuring a sustained E major chord in the right hand and a repeated, arpeggiated D major chord in the left hand, with triplets of eighth notes. The bottom system shows the continuation of the piano accompaniment in measures 4 and 5, with the E major chord sustained and the D major chord arpeggiated.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Juxtaposition of chords in Act II, Scene 2 advances the plot not by signifying specific character but rather by depicting a general mood. The pianissimo E major of the strings conflicts with the D seventh chord (its third, F# arrives in m. 4) in mm. 1-4 (see Ex. 2-21). In the absence of conventional harmonic progressions, it is appropriate to characterize Henze's technique in this case as polychordal to clarify the strong sense of a key center, created through the simultaneous use of a sustained E major, and a repeated and arpeggiated D-major chord. In this scene, Cigolotti wants to give Checco, the melancholy musician, the secret of magical transformation, which he can pass on to the king and save his life. The effect of the juxtaposition of the two chords reveals something ambiguous, however. Henze says that "the music always knows more

than the lyrics that are being sung.”<sup>78</sup> Checco’s recitative confirms what is already implied by the conflicting sonorities that create an atmosphere of anticipation: “Ich fühle, daß etwas Schönes in der Nähe ist. Aber ich kann’s nicht sehen,” (I can feel that something beautiful is nearby, but I can’t see it).

Example 2-22. *Il Re Cervo*, Act II, Scene 2. Voices of the forest interrupt Checco’s recitative.

The musical score consists of four staves. The top staff is for the 'Voices of the forest' (choir), showing a recitative line with lyrics: 'Du mußt die Augen öffnen'. The second staff is for the Glockenspiel, playing a rhythmic accompaniment. The third staff is for the Mandolin, playing a rhythmic accompaniment. The bottom staff is for the Vibraphone, playing a sustained B minor chord. The score is in 2/4 time and features a polychordal structure.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Checco’s recitative is interrupted three times by the Voices of the Forest (the choir) who tell him to open his eyes. Once again Henze uses a polychordal structure to achieve a feeling of expectation, and one more time Checco’s recitative confirms it: “Wenn ich aufwache, bin ich wieder allein,” (If I wake up, I’ll be alone again). Supported by the vibraphone, the choir sings “Du muß die Augen öffnen (You must open your eyes),” to a repeated B minor, even though the

<sup>78</sup> Hans Werner Henze, “All Knowing Music, a Dialogue on Opera” interview by Ian Strasfogel, *Der Komponist Hans Werner Henze*, ed. Dieter Rexroth (Mainz: Schott, 1986), 139.

E of the tenor confuses the clarity of the sonority. While the E of the mandolin supports the tenor's intrusion, the glockenspiel creates a mysterious feeling by arpeggiating the B $\flat$ -minor seventh chord at the distance of a minor-second to contradict the B minor of the choir (see Ex. 2-22).

The turning point in the opera is, as mentioned above, the return of the King as Stag that is prophesized in an ancient legend, to restore peace in the city. The superimposition of the two chords, in the sighing of Checco and the alchemists, that are a minor third apart separate the chaotic opening of the first scene of Act 3 and the revelation of Stag as King. While the alchemists see it as Stag, Checco recognizes him as the King. The sustained B-minor chords in the strings contradict the E-major and the E-major seventh chords in the brass to depict this duality (see Ex. 2-23).

Example 2-23. *Il Re Cervo*, Act III, Scene 2. Repeated E-major and B-minor (+ D#) triads.

59

62

Checco:  
"Unser König! Unser König"

Die Alchimisten:  
"Der Hirsch! Der Hirsch"

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

To mark the return of the real king, Henze assigns Coltellino, the unsuccessful murderer, one of the most captivating arias of the opera, accompanied only by solo guitar. Both the vocal line and the accompaniment in Coltellino's aria conform to Henze's depiction of the Neapolitan canzone as a type of song that is highly "improvised in text and in melody." Hence, the vocal line is highly ornamented and modulating, with unexpected harmonic formulations, cadences and turns, while the guitar part consists of a thin texture highly reminiscent of Checco's canzone in Act II (see Ex. 2-24). Henze is exceedingly careful in creating a delicate counterpoint to the vocal line, and refrains from disturbing its melodic clarity; the guitar accompaniment only compliments, and never intervenes with the vocal line.<sup>79</sup>

Example 2-24. *Il Re Cervo*, Act 3, Scene 2. Superimposition of the triads conceals and complicates harmonic texture.

89  
8

Tenor

sein Kleid, sein

Guitar

8

F+ and G+

C+ and D- (or B ø7)

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

In the opening of the aria, Henze uses two chords that consist of superimposed triads, a major second apart (a minor second in the latter polychordal sonority if the B in the vocal line is

<sup>79</sup> In this sense the writing is quite similar to *Drei Fragmente nach Hölderlin* for tenor and guitar from *Kammermusik* 1958 with the reserved lyricism and frugal accompaniment.

considered as well). For the most part Coltellino's aria is based on the white-key aggregate, without emphasizing C as a focal pitch or harmonic area – neither as a progression of triads in C major, or as a single C-major chord. The only time it is stated as a triad, in the first inversion, it is superimposed upon a D-minor first inversion chord. In the last nine measures of the aria there are no chromatic deviations from the white-key aggregate. Nevertheless, the musical context is not tonal in the traditional sense of the term. Even though triadic constellations appear ubiquitously they are mostly concealed by several means. The marked segment of the arpeggios in the example generates D-minor, E-minor seventh, and F-major chords, but falls short of confirming C major through traditional tonal syntax (see Ex. 2-25). Rather, they seem to be alluding to tonal music without subscribing to the essential premises of its system; the rhythmic displacement of chord tones through constant arpeggiation conceals vertical ideas and confuses the sense of triadic construction.

Example 2-25. *Il Re Cervo*, Act III, Scene 2. Parallel thirds in Coltellino's aria.

The musical score consists of two staves. The top staff is for Tenor, in treble clef, with a key signature of one flat and a time signature of 8/8. The lyrics are: "Wenn der Ratz ti - ber uns kommt, die Schell' wird zer - bis - sen,". The bottom staff is for Guitar, in bass clef, showing a series of arpeggiated chords: D-, E-, D-, E-7, and F+. A vertical line on the right side of the guitar part is labeled "White-key aggregate".

Even though conventional chords emerge from the interaction of two layers of parallel thirds, standard chord progressions that would establish a key area do not surface. It is revealing that Henze employs a simple technique, superimposition of layers of parallel thirds, to achieve radically different musical effects. In the orchestral prelude in the first act Henze uses it to create a dense and chaotic musical texture to depict the storm; in Coltellino's aria he creates a delicate accompaniment using the same technique.

The duet between Leandro and Costanza in Act 3 encapsulate Henze's mastery over different musical techniques to achieve musical characterization – in this case through variants of the same technique of superimposition or juxtaposition of traditional triads. When Leandro appears as King to Costanza, the violins accompany the timid initial words with faultless voice leading (see Ex. 2-26). The descending violin line resolves the suspensions as expected; the major and minor thirds prepare the suspended seconds, which then resolve to the next major or minor third, creating an astonishing counterpoint to the vocal lines. At this point in the aria, the vocal lines are hesitant, befitting the uncertainty implied by lovers' words: "Du hast mich gerufen" (Leandro), "Ich habe dich nicht gerufen" (Costanza) (You have called me, I have not called you).

The major-minor duality implied in the initial sonority is reiterated in the vocal lines in that while Leandro rests surely on the E as the pivotal pitch, Costanza leans on the D, but touches on E $\flat$  and C as upper and lower neighbor tones. The very same idea persists with Leandro's line still lingering on the E with its upper neighbor F or F $\sharp$  and its lower neighbor D, to end on a half step up on F. In mm. 6-7 Costanza's melody resolves three times from G $\sharp$  to A suggesting a focal point of some sort, the last one of which is particularly emphatic with the chromatic upper and lower neighbors B $\flat$  and G $\sharp$  – this idea was already implied in the contrapuntal descent in mm. 4-6 where G $\sharp$  and B resolves to A.

Example 2-26. *Il Re Cervo*, Act III, Scene 4. Musical texture as a whole helps the characterization.

**Costanza**

**Leandro**

Ich hab' dich nicht ge - ru - fen.

Du hast mich ge - ru - fen.

Kein Laut mei-ner Stim-me hat dich her - gezo-gen.

JederLaut deiner Stim-me hat mich her - gezo - gen.

Henze *IL RE CERVO* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Using the same analytical approach developed in chapter two, the following inquiry in chapter three will concentrate on *Der junge Lord*, to a libretto by Ingeborg Bachmann after a parable in *The Sheik of Alexandria and his Slaves* by Wilhelm Hauff. A comic opera written during the heyday of musical modernism, *Lord* is remarkable for its accessible musical

language.<sup>80</sup> The analyses will focus on Henzean stratified textures, tonal conflicts, and musical characterization, with particular emphasis on his technique of creating tonal allusions through incomplete textures. The discussion on the dramatic substance of this commercially successful opera will explore a kinship with Mozart's *Così fan tutte*, in terms of the development of its characters and the undecisive and tragic outcome of its plot.

---

<sup>80</sup> Abegg argues that *Der junge Lord* is an equally suitable work to introduce secondary-school students to opera as Mozart's *Die Zauberflöte* or Wagner's *Der fliegende Holländer*. Werner Abegg, "Hülsdorf-Gotha in die Schule! Ein Plädoyer für Hans Werner Henze's komische Oper *Der junge Lord*," *Musik und Bildung* (December 1986): 1055-1062.

### Chapter 3. “Henze turns the clock back:” *Der junge Lord*.

*Der junge Lord*, certainly the most successful opera of Henze’s career to 1965, has satirical qualities and explores several topics within the framework of the comic opera tradition.<sup>81</sup> As in *Cervo* the duality of truth-untruth is an important trope in the plot. Lord Barrat, the “young Lord” of the title, who is presented to the high-society in the small German town of Hülisdorf-Gotha as Sir Edgar’s nephew, turns out, at the end, to be the ape from the visiting circus, while the opera develops towards a tragic and disturbing climax.<sup>82</sup> The love between Luise and Wilhelm, a significant element of the plot connected with this ironic idea, is emphasized musically in a romantic idiom. As Deborah Hochgesang argues, the presence of the couple-in-love fulfills a double function: it creates a lyrical contrast with the grotesque, and advances the plot in terms of a three-part relationship among Luise, Wilhelm, and Lord Barrat.<sup>83</sup> It is uncertain, though, to what extent these three characters play an equally important role in the opera. Undoubtedly, Lord Barrat, the ape, is inserted into this story more as a disturbing factor than a dramatic character – the function of the character is limited to its presence as a grotesque element that is connected to the silent character Sir Edgar who only reluctantly agrees to

---

<sup>81</sup> Both Henze and Ingeborg Bachmann, the librettist, received generous fees for their great success. “My librettist had scored a palpable hit with the help of her royalties, was soon able to defray the not inconsiderable expense of replacing the whole of her wardrobe – with shoes to match, of course.” Henze himself bought the land in Castelli Romani to build his house “and paid for it with my fee from *Der junge Lord*.” *Der junge Lord* is regularly performed in famous opera houses, and is recorded for the gramophone: “it has been seen in more than fifty productions all over the world, including three in the United States, four in the German Democratic Republic. Composer, librettist and title were even mentioned in crosswords.” Hans Werner Henze, *Bohemian Fifths: An autobiography*, trans. Steward Spencer (New Jersey: Princeton University Press, 1999), 195-196.

<sup>82</sup> *Der junge Lord* is not overtly political, but it certainly contains social criticism in the abstract. As far as the claims that the opera criticizes the German attitude towards foreigners, Henze argues it is only “an incidental theme of *Der junge Lord*.” Henze, *Bohemian Fifths*, 195. Some critics went further in their criticisms of the opera to argue that *Der junge Lord* was nothing more than an artificial amusement, an unrelated art object, which has nothing to do with reality. Heinz-Ludwig Schneider, “An der Wirklichkeit vorbei,” *Theater Mosaik* 19 (1965): 4. In the same review, Henze was also charged with returning to the artistic stance of *L’art pour l’art*, which in hindsight is remarkable, in view of his left wing political views, and the overtly political character of his later work.

<sup>83</sup> Deborah Hochgesang, *Die Opern von Hans Werner Henze: im Spiegel der deutschsprachigen, zeitgenössischen Musikkritik bis 1966* (Trier: Wissenschaftlicher Verlag Trier, 1995), 336.

socialize with other people. His interaction with the other characters starts in the second act when terrible screams coming from Sir Edgar's house trouble the people of the town.

When Barrat is introduced to the town in Scene 5, he exhibits eccentric behavior, pronouncing vowels senselessly and citing Goethe incoherently, though satirically and mockingly: "Im Deutschen lügt man wenn man höflich ist" (In German one lies to be polite).<sup>84</sup> This quote from Act II of the second part of Goethe's *Faust* – the very first comprehensible words the ape utters in the opera – accentuates the duality of truth-untruth brutally. An ape citing Goethe's most famous work is shocking enough. But the Baroness is ready to praise anything the young nobleman offers: "Divine! Im Deutschen lügt man, wenn man höflich ist! Sie haben Witz Mylord" (Divine! All courtesy is based on plain lying. You have great wit my Lord).<sup>85</sup> Bachmann's libretto is highly successful in establishing the satiric quality of the plot, which from this moment on develops towards an unresolved climax.

Regarding Wilhelm, scholars agree that he fulfills an important dramaturgical function. He is the only main character in the opera who suspects Lord Barrat, and sees through the fraud in Sir Edgar's manipulation of the town's people.<sup>86</sup> It is true that Wilhelm is separated from the other characters in his awareness of the truth of the situation – to underscore the truth-untruth duality. But, as the final words uttered by the lovers reveal, Wilhelm's suspicions about the Lord have modest impact on the development of the plot or in communicating the essence of the story to the spectators. At the end of the opera, Luise, exhausted by the torturous dance with Lord Barrat and the revelation of his real identity as the circus ape, asks her lover for forgiveness. Wilhelm

---

<sup>84</sup> Johann Wolfgang von Goethe, *Faust*, Part 2, Act II. Philip Wayne's translation of the line differs essentially: "In German only liars are polite." Philip W. Goetz, ed., *The Great Books*, vol. 45, 2d ed. *Faust: Parts One and Two* by J.W.von Goethe, trans. Philip Wayne (Chicago: Encyclopedia Britannica, 1990), 90.

<sup>85</sup> This alternative translation of Goethe citation is by Eugene Walter in the vocal score of the opera. Hans Werner Henze, *Der junge Lord*, libretto by Ingeborg Bachmann, vocal score by Peter Hartman, (London: Schott, 1965), 372.

<sup>86</sup> Hochgesang, *Opem*, 336.

tries to assure Luise that she has been “dreaming a terrifying dream.” Luise’s answer confirms that she is the one who is aware of the true nature of events: “Ich habe nicht geträumt” (Ah, but I was not dreaming)!

### 3.1. Defining harmonic contexts in *Der junge Lord*

Reminiscences of the duet in Act I, Scene 1 between Luise and Ida, her confidante, heard at the end of the opera, is a musical manifestation of the dramatic surge instigated by Bachmann’s colorful and lively libretto, which delineates Luise as the vital character of the opera. The short solo in the first scene, in which Luise talks about her feelings for Wilhelm, combines diatonic writing in the voice with sensitive (and clichéd) writing in the cello (see Ex. 3-1). Even though the orchestral texture gets thicker immediately, the cello must be considered, at least initially, as the significant element of the sound world that reveals Luise’s feelings.

While B minor is implied by the cadential six-four and dominant chords in mm. 162-163, and prepared by the pedal F#, it is not established as a stable key area. F# is the only focal pitch in the musical texture; the move up to A# in the cello earlier in m. 156 suggests B, which never materializes. Even though the B-minor pitch-collection briefly accompanies Luise’s short solo Henze avoids a resolution to the tonic. And despite the unity of harmonic background in terms of pitch content, a key focus is not set up through the use of conventional tonal means.

Moreover, the local presence of the embellished dominant sonority ( $I_4^6 - V - I_4^6$ ) confuses the musical flow because it cuts into the semantic essence of the text and does not correspond to it structurally. By the end of the three-bar phrase “O Ida, liebste Ida” (Oh Ida, dear Ida), the orchestral accompaniment already contradicts the pitch collection with the dissonant chord, D#, A $\flat$ , C $\flat$ , C#, F#. It is certainly possible to identify this sonority as D# diminished-seventh chord

implying E as a key area, which further complicates the prominence of B minor. When Luise reveals her love to Wilhelm in the love-duet in Act II (examined below) the B-minor pitch-collection returns as a local musical detail.

Example 3-1. *Der junge Lord*, Act I, Scene 1. Clichéd cello solo reflects Luise's feelings.

153 *Ida*  
dau-ernd zu Dir her - ü-ber.

*Luise*  
Ah - Wil-helm?

156 *Ida*  
Der am Namensfest des Prin-zen Dich im-mer zum Kotillon geholt hat. Ich habe doch Augen im Kopf!

157 *Luise*

**B-minor pitch-collection**  
b: I<sup>6</sup><sub>4</sub>

Example 3-1 continued.

162

I - da, liebste I - - da, mei-ne ein-zi-ge be-ste Freun - din! Ich

**B-minor pitch-collection**

b:V -7 I 6

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Ambiguity of tonal focus continues later in the duet, to underscore Luise's rejection of the insinuations that everyone has noticed her liaison with Wilhelm (see Ex. 3-2). At the start, her melodic line reiterates B minor, but suddenly switches to C major, above the harmonically obscure ostinato bass that consists of two layers a minor-second (or ninth) apart: B $\flat$ -E $\flat$ -C and B $\natural$ -E $\natural$ -C $\sharp$  (D $\flat$ ). Perhaps the most stable layer of the texture is the C-major collection in the ostinato in the upper-most register, which is itself made up of two distinct ideas identical in terms of their interval content: D-G-E and G-C-A – presented as successive parallel fifths. C major was an important component of the opening music (orchestral prelude as well as first ensemble). Therefore it is sound to consider this aggregate as a partial C-major collection. Considered as a separate layer, the upper register is derived from the pentatonic collection C-D-E-G-A. The lower register suggests a partial B $\flat$ -minor collection, but the D $\natural$  in the top register

confuses its stability. In addition, the superimposition of different collections produces thirds and sixths without a tonal focus. This way, abundant tonal ideas (or segments) create a stratified texture with an overall effect of tonal ambiguity that foretells the conflict that arises in the love triangle involving Luise, Wilhelm, and Lord Barrat.<sup>87</sup>

Example 3-2. *Der junge Lord*, Act I, Scene 1. Tonal ambiguity in the duet between Luise and Ida.

182 Ida  
je - der hat es doch längst be - merkt.

Luise  
Nein, je - der

Partial C-major collection

Partial Bb major/minor collection

186  
nicht! Die Tan - te Ba - ro - nin hört nicht auf mir tag -

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>87</sup> In analyzing Benjamin Britten's musical language Philip Rupprecht discusses the concept of tonal stratification, which refers to the concurrent presence of independent tonal regions within a musical texture. In contrast to the traditional harmonic schemes where a single harmonic function determines the entire musical texture, tonal stratification indicates the presence of contrasting key centers manifested in thematic make up of a specific register. See Philip Rupprecht, "Tonal Stratification and Uncertainty in Britten's Music," *Journal of Music Theory* 40 (Fall 1996): 311-346. See also Philip Rupprecht, *Britten's Musical Language* (Cambridge: Cambridge University Press, 2001).

A varied form of the cello solo returns at the end of the opera to accompany the few words exchanged between Luise and Wilhelm. This musical idea symbolizes Luise's feelings and reveals her state of mind in the beginning and at the end of the opera with equal power, but with different connotations. In the amusing duet between Luise and Ida at the beginning it creates a counterpoint within the B-minor passage. At the end the incomplete cello solo transpires within a dissonant texture that consists of disconnected vocal lines and a contrasting orchestral texture. The cello line within the muddled sound world of the opera's finale has a psychological effect. It reflects the events from the point of view of Luise – it reveals so to speak, what goes on in Luise's mind.<sup>88</sup> Ultimately, although Wilhelm appears to be the character capable of figuring out the truth about the foreigners, it is Luise who understands the frailty of principles that govern interpersonal as well as societal relationships, and comprehends fully the impact events have had on their lives.

Here an analogy might be drawn between *Der junge Lord* and Mozart's *Così fan tutte*, which also uses the duality of truth-untruth as the underlying dramatic force in developing the plot. Critics agree on most of the influences in terms of surface detail in *Der junge Lord*: the stock characters from the comic-opera tradition, the ensembles, the orchestration, which is inspired by the effective orchestration in Mozart's *Die Entführung aus dem Serail*, and early German Romanticism.<sup>89</sup> But the association with *Così fan tutte* is not discussed in detail, even though Henze mentions it as the model he had in mind when composing *Der junge Lord*.<sup>90</sup> First there is the love triangle that inspires a psychological study of the emotional impact of human

---

<sup>88</sup> A similar issue in Ruggero Leoncavallo's *La bohème* is discussed as a philosophical use of music in reflecting a character's psychology in Allan Atlas, "Mimi's Death: Mourning in Puccini and Leoncavallo," *Journal of Musicology* 14 (1996): 52-79.

<sup>89</sup> In Henze discards *Bohemian Fifts* Rossini's influence in *Der junge Lord*, suggested by some critics and musicologists. Some stylistic allusions in the opera have dramatic import, while others simply parody a style momentarily by defining a character in relation to it locally.

<sup>90</sup> Henze, *Music and Politics*, 135.

relationships in the two operas. The question of fidelity, the central theme of *Così fan tutte*, is essential to developing the dramatic substance of Henze's comic opera as well. Without this idea the plot of *Der junge Lord* would have consisted of nothing but a simple satirical trick, played on the upper crust of the small town by the silent character Sir Edgar (loosely associated with Don Alfonso of Mozart's opera). Furthermore, these works share an element of inconclusiveness because the finale of *Lord* offers nothing other than a bitter sense of uncertainty. There is no *lieto fine* to the drama; the audience is left baffled and unsure of the concrete outcome of events on the stage.

Henze also borrows gender stereotypes from *Così fan tutte* in the overall dramatic plan of *Lord*. As Julian Rushton argues, in Mozart's opera the female characters develop more than the male characters.

Dorabella at least learns to understand her own lightness; and 'Fra gli amplessi' suggests that Fiordiligi has matured through learning the power of sexuality. There is little sign that Guglielmo learns anything in the school for lovers.<sup>91</sup>

Henze's work can be interpreted in a similar way; Wilhelm seems to be detached from the events and does not share the people's fascination with the noblemen. He has only a secondary function in the plot. Luise's call for forgiveness at the end shows that she understands the tragedy of the situation, while Wilhelm cannot grasp anything. In fact, at the end of the opera nothing has changed from his perspective, all this was just a bad dream. Luise is certain that it was not a dream, and she also realizes the impact of the events on her.

---

<sup>91</sup> Julian Rushton, "*Così fan tutte*," *Grove Music Online* (Accessed 3 August 2006).

*Der junge Lord* has a special place in Henze's operatic output because of the blatant use of traditional sonorities. Critics did observe this tendency without offering an analytical approach to determine the basis of Henze's compositional technique.<sup>92</sup> Hochgesang is correct in pointing out that Henze's "return to tonality" in fact happened nine years earlier in *König Hirsch*, but that the style Henze developed culminated in *Der junge Lord*.<sup>93</sup> Henze's own reactions against the criticisms of his comic opera reflected concerns voiced in many of his writings. He argued that the tonal allusions were necessitated by comic opera as a genre – a view readily adopted by the same critics as a justification of the musical language of the opera. In an interview with Klaus Keitel immediately after the premier in Berlin, Henze dwelled on the idea of whether the fading away of the comic opera tradition was a result of the abandonment of tonality in new music.

According to Henze gaiety and atonality were not theoretically compatible:

In the music of the Viennese School there is nothing truly lighthearted. This in the first place is probably the result of these composers' sense of mission, of the post-Wagnerian High Romantic Spiritual World in which gaiety – to say nothing of humor – was regarded as quite out of place. It is true that there are moments of heavy comedy and persiflage in Berg's *Lulu*, but not gaiety. Stravinsky almost alone, it seems to me, managed to bring out some humor in twentieth-century music.<sup>94</sup>

In the review of the premiere Hans Heinrich Stuckenschmidt, a self-taught music critic and essayist, commented that with *Der junge Lord* "Henze has turned the clock back stylistically."<sup>95</sup>

---

<sup>92</sup> Studied in detail in Hochgesang, *Die Opern*, 342.

<sup>93</sup> Hochgesang, 244. Hochgesang limits the scope of her study to music criticism, making only general remarks on compositional matters.

<sup>94</sup> Henze, *Music and Politics*, 136. Reworked from the interview by Klaus Keitel.

<sup>95</sup> Hans Heinz Stuckenschmidt, "Textdichterin Bachmann und Regisseur Sellner: beteiligt am großen Erfolg von Henzes *Jungem Lord*," *Melos* 32 (1965), 173. There are several articles and reviews by Stuckenschmidt on the premier of the opera, which differ slightly in content. Henze's reaction presumably targets the initial review by Stuckenschmidt, "Henze stellt die Uhr zurück," in *Frankfurter Allgemeine Zeitung* [Frankfurt] (9 April 1965), which contains the same one-liner (cited in Deborah Hochgesang, *Die Opern*, 347).

But he added that this score “was a masterpiece of compositional restoration.”<sup>96</sup> Considered by the composer an ardent advocate of his music, Stuckenschmidt was making a dubious observation and endorsing the commonly held view of musical modernism, which he shared, that “the development of music would go straight ahead in one undeviating line.”<sup>97</sup> Henze discards Stuckenschmidt’s views with ironic remarks:

My initial reaction was not to read any further. Did people really think me capable of such a strong-man act, I wondered? Which clock did Stuckenschmidt mean? And how late was it anyway? In the hearts of so many people at this time there still existed this *esprit de corps* that demanded that every deviation from the officially prescribed rules and regulations that were dictated by curiously structuralist progressive thinking and were applied to both life and art with equal rigor had to be denounced and punished without a moment’s delay.<sup>98</sup>

Henze was hasty in his rage against Stuckenschmidt, who presumably used the one-liner about turning back the clock for utterly different reasons than to pass judgment on his most successful opera, in a review which otherwise contained only praise for the composer and the work. Stuckenschmidt was undoubtedly evoking Adorno’s remarks about Richard Strauss’s *Der Rosenkavalier* in the follow up article on Stravinsky in *Quasi una Fantasia*, which appeared in German in 1963, two years before *Der junge Lord* was premiered. It read: “it may be categorically asserted that Stravinsky, unlike Strauss in *Der Rosenkavalier* ten years earlier, did not turn the clock back in order to achieve popularity.”<sup>99</sup> Given Stuckenschmidt’s intellectual background, it is inconceivable that he had not read the then-recent publication. And given Henze’s views on Adorno, almost always cynical, it is unlikely that he had read this publication

---

<sup>96</sup> Hans Heinz Stuckenschmidt, “*Der junge Lord* – ein Meisterwerk restaurativer Musik,” *Opern Welt* 5 (May 1965): 26.

<sup>97</sup> Henze, “All Knowing Music: a Dialogue on Opera,” 138.

<sup>98</sup> Henze, *Bohemian Fifts*, 194.

<sup>99</sup> Theodor Adorno, *Quasi una Fantasia*, trans. Rodney Livingstone, (London: Verso, 1992), 162, first printed in German in 1963 by Suhrkamp.

at the time of the premier.<sup>100</sup> It is not a coincidence that in the article Stuckenschmidt refers several times to Strauss, and particularly to *Rosenkavalier*.

Moreover, Stuckenschmidt was always supportive of Henze's compositional stance in his writings, which appeared in *Melos*, as well as several books and newspaper reviews.<sup>101</sup>

Stuckenschmidt saw the diversity of musical styles in the first half of the twentieth century as the musical manifestation of a new cultural period. He emphasized developments in the musical world, particularly the abandonment of tonality, as a reference point to account for the various modes of contemporary musical expression, without engaging in aesthetic judgments or artistic polemics; his particular emphasis on the coexistence of consonances and dissonances in much new music applies to Henze's own musical language.

Other critics who reported the premier of *Der junge Lord* observed that he made unveiled use of C-major passages, which no one dared to write anymore those days, and asked whether the opera represented a rejection of the twelve-tone doctrine.<sup>102</sup> Günter Engler interpreted Henze's *Der junge Lord* as a surprise because of its seemingly conservative music with tonal emphasis, which nonetheless, despite its associations with classical forms and a number of predecessors in the opera-buffa tradition, was not a stylistic copy.<sup>103</sup> In the music criticism of sixties, and later in

---

<sup>100</sup> Because of Adorno's involvement with Darmstadt school and musical life in Germany in general, Henze seems to have had contact with him in the fifties and sixties. His comments seem to be reactions to personal conversations with Adorno, at meetings, concerts, dinners, but it is unlikely that Henze was reading Adorno systematically at the time. It was only later, when he became overtly political, that he read Marxist literature, including Lenin, Marcuse, Adorno. Henze, *Music and Politics*, 55.

<sup>101</sup> Stuckenschmidt positioned Henze alongside Boulez, Stockhausen, and Nono, as a group of composers who freed themselves from tradition to create a new musical language. He refrained from defining a conflict among these composers, but referred to Henze's expressive ideal in contrasts to the strict and radical stance of the former group. See Hans Heinrich Stuckenschmidt, "Eine neue Kulturepoche," *Melos* 10 (October 1959): 281-287; *Schöpfer der Neuen Musik*, (München: Deutscher Taschenbuch Verlag: 1962), 204-212; *Oper in dieser Zeit* (Hannover: Friedrich Verlag, 1964), 105-121.

<sup>102</sup> Werner Oehlmann, "Großer Erfolg für Henze," *Tagesspiegel* [Berlin] (9 April 1965), quoted in Hochgesang, *Die Opern*, 344. That is, no one who wanted to be associated with the official avant-garde would write such passages. Outside this domain tonal writing continued to have a permanent place in musical composition.

<sup>103</sup> Günter Engler, "Alles äfft den Affen nach," *Westdeutsche Allgemeine Zeitung* [Essen] (9 April 1965), quoted in Hochgesang, *Opern*, 342.

scholarly studies that refer to tonal elements in Henze's operas, and his music in general, no explanation is given as to the way in which his music creates tonal allusions. Hochgesang accurately observes that in *Der junge Lord* Henze's compositional style with tonal allusions reached its culmination; yet, his technique can in no way be explicated as tonal music in terms of functional harmony.<sup>104</sup> The analyses below will attempt to establish a consistent approach to demonstrate the various techniques with which Henze creates tonal-sounding textures.

A frustrating aspect of analytical comments on Henze's music (particularly the operas) is the tendency to simplify matters relating to musical language. Analyses are often limited to observations of surface details that hardly provide enough evidence to pin down essential points. In terms of the abundant tonal allusions, for instance, the crucial point is to determine the function this practice has within each context, and clarify the results it produces. Henze is acutely aware of this issue and warns the listener against simple, straightforward conclusions – not only about tonal allusions, but about his music language in general.

Despite its use of pre-existing forms and figures, my music is not susceptible of literary interpretation; it is direct. Only with difficulty could you find things to be read between the lines. It has just as much to offer the naïve listener as the connoisseur who can investigate and evaluate the symbols. And yet, where my music seems easily accessible and within reach, it is in fact distant, saying nothing to the average secondary-school ear, and is acceptable only in such disguise; whereas where it seems closer to fashion (giving it a proximity to the everyday language of the contemporary festival) it in fact contains relatively simple things, pastorals and bucolics.<sup>105</sup>

---

<sup>104</sup> Hochgesang, *Die Opern*, 344. Hochgesang never indulges in detailed analytical matters in her study and mentions generalizations common in literature on Henze's music.

<sup>105</sup> Henze, *Music and Politics*, 128.

Scene 2 in *Der junge Lord* provides a vivid example of how Henze inverts a basic tonal idea to communicate an important detail in the story. It starts with bold C-major arpeggios, Luise playing the on-stage piano, conscientiously, though not particularly well (and on an instrument slightly out of tune in the recording conducted by Christoph von Dohnányi, to mark the dramatic effect).<sup>106</sup> The following romanza, and similar passages (such as the janissary music in Scene 1) that refer to conventional elements are interpreted as parody by Stuckenschmidt.<sup>107</sup> Henze is more specific about the meaning of the various stylistic quotes; he argues that even though there are elements of parody in the opera, the dramatic action is nourished primarily by the tension between tonal allusions and the harshly dissonant sounds.<sup>108</sup> This seems to be the reason why it is virtually impossible to isolate the influences from other composers or styles definitively anywhere in *Der junge Lord*. Even as blunt a manifestation of tonality as the C-major arpeggio is constantly complicated thematically and harmonically. Indeed, the romanza starts (after the initial arpeggios) as a Clementi sonatina, but it quickly startles the listener with the “wrong” notes and conflicting harmonies – in the piano solo itself and in relationship to the orchestra – starting in m 12 (see Ex. 3-3).

Example 3-3. *Der junge Lord*, Act I, Scene 2. C-major passages are interrupted by conflicting sonorities.

The image shows a musical score for piano solo on stage. It consists of two staves, treble and bass clef, with a 3/4 time signature. The score begins with a C-major arpeggio in the bass clef, followed by a similar arpeggio in the treble clef. The music then transitions into a more complex, dissonant passage, with the bass clef playing a series of notes that are not in the C-major scale, and the treble clef playing a series of notes that are also not in the C-major scale. The score is labeled "(Klaviersolo auf der Bühne) (piano solo on stage)".

<sup>106</sup> This is the only commercially available recording of Henze's most successful opera: *Der junge Lord*, Deutsche Grammophon 449 875-2, 1996, CD.

<sup>107</sup> Stuckenschmidt, "Textdichterin Bachmann und Regisseur Sellner," 172.

<sup>108</sup> Henze, *Music and Politics*, 136.

## Example 3-3 (continued)

*Tempo giusto*

9

13

Cor.

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The return of the arpeggios at the end is cut short by the chilling effect of the repeated motive in the upper register in the strings against the C major in the piano in mm. 27-28 (see Ex. 3-4). Quite remote from being amusing, the tableau is every bit as disturbing as the screams of the ape that interrupt the love duet between Luise and Wilhelm in the beginning of Act II. Ultimately, the power of this tableau relies upon on-stage realism: Luise's piano lesson amid her teacher, her aunt and others. Interrupted by the stylistically foreign elements, particularly in the orchestral background, but also in the piano part, the music warns the listener that the simplicity of the

events portrayed (a young small town girl taking piano lessons,) will be disrupted – that is, the music communicates to the spectators the discomfoting element that unfolds later in the opera.

Example 3-4. *Der junge Lord*, Act I, Scene 2. End of piano solo on stage.

The image shows a musical score for a piano solo. It consists of two systems of staves. The first system has a treble and bass clef staff with a key signature of one sharp (F#) and a 3/4 time signature. The second system has a grand staff (treble, middle, and bass clefs). A bracket on the right side of the second system is labeled 'C+'. Below the grand staff, the text 'C-major pitch-collection' is written. The music includes triplets and a dynamic marking of 'pp' (pianissimo).

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

### 3.2. Tonal opposition in the Orchestral Prelude

*Der junge Lord* opens with a short orchestral prelude that resembles the one in *Il Re Cervo* with its layered texture. Yet, while the opening of *Cervo* is incomprehensibly dissonant as a result of the simultaneous presence of contrasting materials, the tonal opposition in *Lord* is more readily decipherable because of the transparent texture of the orchestral sound. It is significant that Henze uses the orchestral opening in a traditional sense, in that it is dramatically connected with the opera as a whole; he includes motivic elements as well as harmonic conflicts that resurface later in the opera. Nonetheless, tonal references in the prelude are created by nontonal means,

and are disguised. Arguably, it is this characteristic element of Henze's music that critics consider to have a literary aspect. Henze refrains from letting the audience relax by offering a comfortable and uniform musical context.

Example 3-5. *Der junge Lord*, Act 1, Scene 1. Eb major and C major juxtaposed.

The musical score consists of four systems of piano accompaniment, each with a treble and bass clef staff. The first system shows a sequence of chords: Eb+ (bass), E+ (or C#-7) (bass), and Eb+ (bass). Above the second measure, the notes G#, C#, B, and E are indicated. The second system shows Eb+ (bass), E+ (or C#-7) (bass), and Eb+ (bass). Above the second measure, the notes G#, C#, B, and E are indicated. The third system shows C: I+V (bass) and C+ (bass). Above the first measure, the notes C: I and V<sup>6</sup> are indicated. The fourth system shows Eb+ (root position) (bass) and E+ (or C#-7) (bass). Labels 'C-major pitch-collection' are placed to the right of the second and third systems.

At the very beginning of the joyful prelude that represents the small idyllic town of Hülisdorf-Gotha, E $\flat$  major is established as a tonal focus. By stating the inverted E $\flat$  sonority (without its fifth) on a downbeat repeatedly Henze assigns a pivotal role to it (see Ex. 3-5). A strong sense of tonal focus is further reinforced by the arpeggiated E $\flat$  chord (this time with its fifth). But, already in the first measure Henze disrupts the stability of E $\flat$  major as a harmonic area by inserting contradictory materials into the texture. In the lowest register a swift bass motion outlines an E major sixth chord: G $\sharp$ -C $\sharp$ -B-E (A $\flat$ -D $\flat$ -C $\flat$ -F $\flat$ ), to trigger harsh dissonances with the upper registers. In each of the three statements of the initial musical idea, the counter gesture in the bass creates a tonal opposition both against E $\flat$  major and C major. This material is particularly important because in tonal music the bass register has a superior place in the structural hierarchy of different layers in establishing tonal centers. Since the E $\flat$ -major chord appears in inverted form in the beginning, it is already unstable as a key area – and the E-major sonority in the bass does not support E $\flat$  major as a tonal focus, but contradicts and destabilizes it.

Immediately following the E $\flat$  in the opening C is gradually introduced as an equally important harmonic idea. The V $_5^6$  chord in m. 2 and m. 4, particularly the bass motion C-B $\flat$ , gives a sense of C major, which is never stated as a pure triad or as part of a chord progression. But both the arpeggiated C-major chord in m. 5 and the occasional dominant emphasis establishes C major as tonal focus. Even the upper voices in mm. 4-5 conform to this analysis in terms of C major, in that, the D $\flat$  and the F $\sharp$  in m. 4 are upper and lower neighbors to C and G. Similarly, B $\flat$ , and E $\flat$  in the last beat of m. 4 are upper neighbors to D and A $\flat$  in the downbeat of m. 5 (see Ex. 3-6). The scalar ascent in mm. 6-8 leaves no doubt that the C-major pitch-collection is a counter force against the E $\flat$  sonority in the previous example. Within this C-

major environment  $A\flat$  in the downbeat of m. 5 appears to be an anomaly, though it be explained as a passing tone if voice-leading is taken into consideration; the ascending line  $G-A\flat-A$  in mm. 4-5 (marked in the voice-leading analysis in Ex. 6) can thus be justified. In the lower register one catches traces of functional harmony in C major with the appearance of the tonic and the leading tone in the lowest register of the texture, as well as the resolution of both the leading tone and the seventh of the dominant-chord in m. 5 ( $B\flat$  to C and F to E respectively).

Example 3-6. *Der junge Lord*, Act I, Scene 1. Voice-leading – asterisks indicate superimposed tonic and dominant (or subdominant) chords.

The musical score is in 4/4 time. The treble staff shows a melodic line with notes G, A-flat, and A-flat with a sharp sign. Above the treble staff, the chords G, A-flat, and A-flat with a sharp sign are indicated. The bass staff contains several chords marked with asterisks (\*), including a subdominant chord (IV). The notation includes various notes, rests, and slurs, with 'UN' markings above the treble staff.

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The ascending scale conceals, in a way, the C-major pitch-collection mm. 6-8 (see Ex. 3-5). It is indisputable that the middle voice of the parallel scalar motion (starting on the first beat of m. 6) is a C-major scale that spans over two octaves, starting and ending on C. Other layers of the texture, which also consist only of the C major pitch-collection, are set up so as to create a parallel motion of seventh chords (major and minor chords with their major and minor sevenths

– D/C/F, E/D/G, F/E/A and so on). Nevertheless, functional harmony is only locally present in the prelude and only in skeletal form.

By encircling the C-major element within a predominantly E $\flat$ -major environment, Henze highlights the tonal opposition in the opening. While the first of the two identical ascending scales ends on a first inversion E $\flat$  major chord, the second one, in mm. 23-26 lands on a first inversion C major chord as a clear indication of the polarity between the two key areas (see Ex. 3-7). C major is also the pitch-collection of the joyful pastoral passage that follows.

Example 3-7. *Der junge Lord*, Act I, Scene 1. C major contradicted by E $\flat$  – B $\flat$  and F – B in the woodwinds.

The image displays three systems of musical notation for piano accompaniment. The first system, starting at measure 23, shows a right hand with a C-major triad (C-E-G) and a left hand with a bass line. The second system, starting at measure 27, continues the C-major triad in the right hand and a similar bass line in the left hand. The third system, starting at measure 31, shows a right hand with a first inversion E $\flat$  major chord (B $\flat$ -D-F) and a first inversion F major chord (F-A-C), while the left hand continues with a C-major triad. The text 'C-major pitch-collection' is written to the right of each system.

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Henze corrupts the harmonic and melodic simplicity of this passage after only two measures; the woodwinds state the perfect fifth B $\flat$ -E $\flat$  followed by the tritone F-B, to contradict the C major context, communicating to the listener that the idyllic atmosphere promised by C major is only momentary. Even though the tritone F – B is explainable as part of the dominant-seventh sonority in C, the orchestration clearly separates the two layers by assigning the C-major ostinato to the strings and the opposing idea with the dotted-rhythm to the woodwinds to mark a dramatic moment in the prelude.

The polarity created in the orchestral introduction between E $\flat$  and C is carried on to the first ensemble, where the local officials form their first opinion of Sir Edgar, the newcomer to the town. It is significant that the first two vocal entries, by Oberjustizrat Hasentreffer (Chief Magistrate Harethrasher), and Professor von Mucker, both start with an E $\flat$  and dwell on this pitch repeatedly (see Ex. 3-8). Additionally, motivic fragments from the orchestral opening continue to support the harmonic background which continues to juxtapose the two key areas, C and E $\flat$ .

In the first fifteen measures of the ensemble the harmonic ideas of the orchestral prelude are restated. Asked to comment about the unpunctual foreign nobleman, Professor von Mucker refrains from voicing an opinion, in a texture that reinforces the C-E $\flat$  conflict. Both his vocal line and the scales in the orchestral accompaniment are firmly built on the C-major collection in mm. 45-50, without functional harmony or voice leading confirming it as a tonal area. Surprisingly, the lowest register, which initially is part of the C-major descent, outlines an unambiguous cadence in E $\flat$  (I – IV – V – I or VI<sup>6</sup>) at the end of the passage to encapsulate an important aspect Henze's compositional technique by superimposing two key areas. Even though both the orchestral accompaniment and the vocal line are based on the same pitch-

collection, the texture is impervious to traditional tonal analysis. The repetition of the C in mm. 45-46 in the vocal line is inadequate to identify it as a key focus, since the successive pitches F and the final note A are also repeated and the entire phrase consists of an arpeggiated F major-seventh chord.

Example 3-8. *Der junge Lord*, Act I, Scene 1. First two vocal entries.

The image displays a musical score for the first two vocal entries in Act I, Scene 1 of *Der junge Lord*. The score is written for voice and piano.

**First Entry (mm. 34-40):**

- Vocalist:** Oberjustizrat Hasentreffer
- Vocal Line:** Herr Pro - fes - sor, ich neh - me kein
- Piano Accompaniment:** Features a complex texture with arpeggiated chords. Annotations include  $E\flat+$  and  $C+$ .

**Second Entry (mm. 40-44):**

- Vocalist:** Professor von Mucker
- Vocal Line:** Eu - re Ex - zel - lenz! Blatt vor den Mund.
- Piano Accompaniment:** Continues the complex texture. Annotations include  $G\#$ ,  $B$ ,  $E$ , and  $C+$ . Two instances of "C-major pitch-collection" are identified with arrows pointing to specific chordal structures.

**Third Entry (mm. 44-46):**

- Vocalist:** (Unlabeled)
- Vocal Line:** Mit Per - miss zu sa - gen ich
- Piano Accompaniment:** Continues the complex texture. An annotation of "C-major pitch-collection" is present.

Example 3-8 continued.

The image shows a musical score for Example 3-8 continued. It consists of three systems of staves. The top system is a vocal line in treble clef with lyrics: "will mir kein Ur - - - - teil bil - - den." The middle system is a piano accompaniment in bass clef, with a bracketed section labeled "C-major pitch-collection". The bottom system shows a bass line with harmonic analysis: Eb: I, IV, V, I (or VI<sup>6</sup>).

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

In the absence of traditional methods of tonal compositional, the search for tonal elements is bound to be somewhat speculative. Certainly, C major is present as a pitch collection in the passage considered here, but it is not underscored as a focal pitch, chord, or ultimately as a key center. Conversely, E $\flat$  is present, though in the skeletal form of a bass-line, as a conventional chord progression that identifies a focal key. But there is nothing else in the texture to substantiate it as a key area. From a theoretical perspective E $\flat$  and C major share common notes, and occasionally Henze allows coincidental links between the two key areas (i.e. D and F as part of the B $\flat$ -major chord, the dominant of E $\flat$  in m. 49). But the musical texture lacks tonal stability that is sustained beyond the local presence of pitch-collections and the simplest of tonal factors such as the basic bass-motion (IV – V – I).

The additional opposition created by the strong bass motion in the prelude is carried on to the first ensemble, where the seemingly trifling intrusion of E major [G $\sharp$ -B-C $\sharp$ -E (A $\flat$ -C $\flat$ -D $\flat$ -F $\flat$ )]

in mm. 41-42 complicates the ongoing tonal conflict. It is important for structural unity as well as the dramaturgical continuity that the conflict is not presented as a local event. In this instance, Henze refrains from the outright contrast he uses to differentiate the music Lord Barrat and the lovers. He makes the tension between C-major and E $\flat$ -major audible for the listener through different treatment of the two collections. While C-major is stated hesitantly as overlapping layers of scales, E $\flat$  is asserted bluntly as a cadence in the bass. By repeating the scale segment F-E-D-C three times at the end of the passage Henze underscores C as a focal pitch. This is the third occurrence of parallel scalar layers of C in the opening of the opera, but the only time the key is highlighted this way.

In typical Henzean fashion the focus on C is upset by the vocal line and the bass. Indubitably, the repeated A in the voice belongs to the C-collection, but harmonically it does not support the focus on C. Conversely, the strong implication of E $\flat$  motion in the bass is weakened by the intrusion of the C in the same register, by the repetition of the C-major segment, and by the dominant-seventh chord on F heard briefly in m. 50. At this moment Town Controller utters the first negative remark about the foreigner: “Doch ist’s eine Fatalität, daß dem fremden Herrn Pünktlichkeit nicht bekannt ist (but I find this really too bad that the foreign Lord should prove to be unpunctual).” Nevertheless, despite the uncertainty that permeates the opening of the opera, an outright musical differentiation between the grotesque and the beautiful arrives only in Act II.

### **3.3. Tonal allusions and contrasting worlds in the “Love Duet.”**

One of the memorable moments in *Der junge Lord* is the love-duet between Luise and Wilhelm. Particularly the short orchestral opening is remarkable for its romantic idiom, and includes a major-minor duality to sustain the agitation created by conflicting musical elements in the opera

as a whole. Lovers' music is repeatedly interrupted by passages that contain harshly dissonant orchestral textures and the shrieks of Lord Barrat (the circus ape disguised as Sir Edgar's nephew).

In the first period of the duet E $\flat$  is established as a tonal center, even, to a certain extent, in terms of functional harmony (see Ex. 3-9). Although a clear-cut cadential bass line (IV or ii<sup>6</sup> – V – I) delineates E $\flat$  as a tonal area right before the interruption by the screams, chromatic writing in the upper registers obscure the harmonic focus with a major minor inflection G $\natural$ -G $\flat$  (F#) in m. 133.<sup>109</sup> At the same time the presence of the C-major pitch-collection in the same passage implies that the conflict created in the beginning of the opera is carried on to the love-duet as well. As shown in Ex. 13, it is analytically convincing to extract an ascending line G-A-B-C in the uppermost register from an otherwise chromatic and dynamic texture. A $\flat$  and G# in the same register can be considered as upper and lower neighbors in this C-major environment, (or as interruption by the conflicting E $\flat$  in the bass and middle voices). But the coherence of the melodic idea is upset by the bass line – particularly the A $\flat$  in the bass makes it hard to hear the A $\flat$  in the upper voice as a non-harmonic upper neighbor to G. Moreover, the C-A $\flat$  and F-A $\natural$  skips above the bass motion B $\flat$ -B $\natural$  imply an additional major-minor duality. Because the third of the C pedal is omitted, A $\flat$  and A $\natural$  in the upper voice suggests F major and F minor (with the incomplete dominant C-G superimposed upon F in a typically Henzean manner). But because the C is lowest pitch in the pedal chord it is logical to interpret F as an unresolved dissonance.<sup>110</sup> So, several harmonic ideas continuously upset the listeners' expectations and cancel out the implications of the tonal gestures. Particularly the C-pedal exerts its weight through repetition as

---

<sup>109</sup> The harmonic motion in the bass is not synchronized with the active treble, which frequently completes the harmonic implication of the lower register (for example the D in m. 133 completes B $\flat$  dominant seventh sonority, indicated by the curved arrow in example 9).

<sup>110</sup> The same C-pedal is used in the opening Dionysus-choir within a C-major context in *The Bassarids*, analyzed below.

a push against the emphatic  $E\flat$  in the bass. Despite the ascent in the upper register, the texture lacks a coherent bass motion to establish C as a stable harmonic area. Conversely, the bass line clearly indicates  $E\flat$ , but the texture lacks a transparent melodic idea that would justify the implications of the harmonic idea in the lower register. As subsequent examples will show, this kind of incomplete structures emerge consistently in Henze's music.

Example 3-9. *Der junge Lord* Act II, Scene 4. Cadential bass motion (IV-V-I) confused by the pedal chord and the upper voices.

The musical score for Example 3-9 consists of five staves. The top staff is a vocal line with notes on a whole note scale. The second staff is a piano accompaniment with a melodic line in the right hand and a bass line in the left hand. The third staff is a vocal line with notes on a whole note scale. The fourth staff is a piano accompaniment with a melodic line in the right hand and a bass line in the left hand. The fifth staff is a piano accompaniment with a melodic line in the right hand and a bass line in the left hand. The bass line in the fourth and fifth staves shows a cadential motion from IV to V to I, but it is complicated by a C major pedal in the right hand. The harmonic analysis below the score indicates the chords:  $E\flat/eb$ : IV / ii6, V7, I, and (i). The analysis also includes labels UN and LN above the piano accompaniment staves, and a legend for C major pitch-collection and C pedal.

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

$E\flat$  is suggested as the key center in the beginning of the love-duet as well, this time in the minor mode, as opposed to  $E\flat$  major in the first act of the opera (see Ex. 3-10). Within this chromatic texture, it is possible to outline a conventional chord progression above the tonic pedal  $E\flat$  ( $i - V^7 - i - V^7/IV - i$ ). In addition to the  $E\flat$ -minor triad and the  $E\flat$  pedal, the repeated resolution of the leading-tone  $D\flat$  to  $E\flat$  strengthens the sense of a stable key area. At the same

time, the  $D\flat$  in the top voice in the third beat of m. 121 complicates the chord progression by creating a minor seventh chord on  $E\flat$ , and by causing a cross-relation with the leading tone  $D\sharp$ .

Example 3-10. *Der junge Lord*, Act II, Scene 4.  $E\flat$ -minor context of the “Love-duet.”

4-3 "suspensions"/neighbor-tone

Voice leading

Leading-tone D

121 Pedal  $E\flat$

Harmonic analysis

$E\flat$ m: i    V7    i or V7/IV    i

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Despite the continuing hint of  $E\flat$ , particularly in the tetrachords in mm. 125-126, Henze creates a contrast by accentuating the block chords and by preparing the vocal entries with smoother melodic writing (see Ex. 3-11). In each of these chords the lowest sounding pitch is doubled, and the fifth is also included. Frugal use of materials to achieve a sense of tonal center in the upper register is balanced by the focus and concentration of these elements to a basic

chord progression  $I/i - V \frac{6}{5}$ . The last sonority in m. 125 ( $F\sharp - B\flat - C\sharp - F\sharp$ ) can be interpreted as III of  $E\flat$  minor ( $G\flat - C\flat - D\flat - G\flat$ ), confirmed by the  $E\flat$ -minor scale-segment in m. 126. Even though the leading tone  $D\flat$  in the previous measure supports  $E\flat$  as the tonal center, the texture is unstable in terms of tonal focus because of abundant tonal ideas. The bass line in m. 125 ( $E\flat - A\flat - C\flat - D\sharp - E$ ) indicates E minor, with the leading-tone  $D\sharp$  and the dominant ( $D\sharp - F\sharp - B\flat$ ) – together with the  $C\sharp$  all the pitches in this sonority are elements of the E melodic minor scale. In the middle register Henze complicates the texture even further by juxtaposing the arpeggiated E-major chord with the  $E\flat - B\flat$  interval (the skeletal implication of a  $I - V$  progression in  $E\flat$  minor), connecting it to the E melodic minor segment, and finally by the sudden turn to  $E\flat$  right before m. 126 with the leading-tone  $D\flat$ .<sup>111</sup>

Example 3-11. *Der junge Lord*, Act II, Scene 4.  $E\flat$  becomes less stable as a key focus.

The musical score for Example 3-11 consists of two staves: a vocal line (treble clef) and a piano accompaniment (grand staff). Measure 125 shows a vocal line with a whole note chord (F#-Bb-C#-F#) and a piano accompaniment with a bass line and chords. The piano accompaniment includes a circled note (F) in the middle register. Annotations include 'E+', 'E harmonic-minor segment in the bass', 'E♭ melodic-minor scale segment', 'V6', 'I/i', 'V6/5', and 'III'. An arrow points to the circled note with the label 'enharmonic spelling'.

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>111</sup> The F in the middle register (circled in the example) can be considered as part of the  $E\flat$  minor scale.

Stratified tonal textures, successive collections of remote tonal areas, and concurrent use of contradictory musical materials recur time after time in Henze's operas. In the love duet in *Der junge Lord* dense chromatic writing coincides with contrasting episodic sections that separate the exalted music of the lovers and the grotesque music of the screaming ape. By placing the duet in the beginning of Act II Henze intensifies its dramatic power. On the one hand, periodic interruption of the duet by Lord Barrat's exceedingly dissonant music exposes the third persona of the love triangle and advances the plot. On the other hand, Henze retains the C-E $\flat$  conflict of the prelude in the beginning of the opera, but builds up the dramatic tension by intensifying the confrontation between contrasting musical expressions.

Two vocal entries that follow the short orchestral prelude analyzed above undermine E $\flat$  that has been set up as a focal key. First Wilhelm, and then Luise reveal their affection towards one other, each in a different key: "Meine Luise (My Luise)!" suggests A major or F# minor, while the parallel phrase "Oh, mein Wilhelm (Oh, my Wilhelm)!" recalls B minor from Scene 1 (see Ex. 3-12). Once again the orchestral texture creates a counterpoint of additional tonal ideas to the vocal lines. Instead of confirming E $\flat$  as the key center, implied by the opening, the accompaniment changes the harmony abruptly. Because of the highly chromatic writing and the absence of functional harmony, it is ultimately impossible to determine the key of the passage. If the entire texture is taken into consideration, C# minor can be postulated as the pitch aggregate. The C# pedal-chord corroborates this interpretation, because the immediately following passage in B minor contains a B pedal-chord with identical construction (doubled tonic with its fourth and fifth included in the sonority). Furthermore, resolution of the leading-tone B# to the C#-chord after the arpeggiated dominant seventh (or ninth) chord on G# in complete form provides harmonic and melodic support.

Another possible harmonic explanation of this crucial moment in Act II is based on the bass motion F#-E that is repeated. Both A and C# in the vocal line correspond with F# and the C#-chord, which makes it plausible to interpret this sonority as the superimposition of the tonic with its dominant followed by a momentary A major in second inversion – F# is a more accurate labeling harmonically since it complements the melodic gesture. It also creates an abstract dominant-tonic relationship with the B-minor aggregate in Luise’s parallel phrase recalling the use of the same collection in the duet between Luise and Ida in the first scene.

Example 3-12. *Der junge Lord*, Act II, scene 4. 4# and 2# aggregates.

127

8

Wilhelm

4#- aggregate

Luise

2#- aggregate

Mei - ne Lu - i - se! Oh, mein Wil - helm!

f#: i + V III<sub>4</sub><sup>6</sup> (V<sup>7</sup>/V)

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

When the duet is interrupted by the screams that erupt from the house lovers seem to pay no attention, but the orchestral accompaniment establishes a new harmonic context and indicates G as a new focal pitch. In the block chords, which define a plain tonic-dominant-tonic bass gesture, Henze superposes the doubled roots with their dominant-sevenths in complete form – i.e. G with D<sup>7</sup> and D with A<sup>7</sup> (see Ex. 3-13). Repetition of the parallel block chords creates an empty and cold background to Wilhelm’s question “Meine Luise friert” (Is my Luise cold)?

Example 3-13. *Der junge Lord*, Act II, Scene 4. G as a new focal key in the love-duet after the interruption.

The musical score consists of two systems. The first system (measures 144-149) features vocal lines for Luise and Wilhelm. Luise's line begins with a triplet of eighth notes. Wilhelm's line includes the lyrics "Mei-ne Lu - i - se friert?". The piano accompaniment is marked with "D+ and A7" and "G+ and D7". The second system (measures 150-154) shows Luise singing "nicht." and the piano accompaniment with a chromatic chord progression labeled with notes: d''', b'', ab'', d'' b' - ab' g'. The piano part is again marked with "G+ and D7".

Henze *DER JUNGE LORD* © 1964 by Schott Music, © Renewed, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

These repetitions tentatively recall the similar motive in the strings at the end of the piano solo on stage in Act I, Scene 2, and thus become a symbol of the mood created by the grotesque element in *Der junge Lord*. Although Luise answers in the negative, the music nonetheless elucidates the anxiety inherent in the situation through a succession of chromatic chords rich in fourths, with occasional touch of polychordal ideas. In the chromatic chord progression that

concludes the first period of the love-duet Henze elaborates the idea presented in the block chords. While the repeated D-B-G# contour in the topmost register finally arrives on G the chromatic sonorities fill in the space between the D and G-chords.

With the introduction of Lord Barrat the dramatic rhythm in the opera is accelerated. The obvious characterization achieved by the pronounced differentiation of themes – of lovers, versus Lord Barrat – helps move the plot forward. Henze creates a striking contrast to the tonal allusions in the love duet using parallel dissonant chords in mm. 134-137, successive tritones in mm. 135 and 137, and chromatic scales in mm. 138-141 (see Ex. 3-14). The generous spirit in which the provincial town fanfares the exciting arrival of foreign visitors soon turns to suspicion and intrigue, fuelled by mysterious screaming heard emitting from Sir Edgar's home. Public pressure leads to elaborate explanation – the sounds heard were from newly-arrived English-speaking nephew, Lord Barrat, undergoing obligatory, strict German language tutoring – “Schläge sind manchmal vonnöten” (Beatings are now and then required).

Example 3-14. *Der junge Lord*, Act II, Scene 4. Dissonant musical texture accompanies Lord Barrat's screams.

The musical score for Example 3-14 is presented in three staves. The top staff is for Lord Barrat's voice, marked "Barrat" and "Stimme Lord Barrats". It begins at measure 133 with a treble clef and a common time signature. The tempo is indicated as "Tempo di Minuetto". The vocal line starts with a whole note chord (A major) and is followed by a long, sustained note marked "(Schreie)" (screams). The middle and bottom staves are for piano accompaniment. The piano part features a complex, dissonant texture with parallel chords. A specific section of the piano accompaniment is highlighted with a box and labeled "Parallel dissonant-chords". This section shows a sequence of chords with a 3-measure triplet and a 6-measure triplet, creating a highly dissonant and chromatic sound.

Example 3-14 continued.

135

Barrat

8 - hi!

7

6

3

6

3

Successive tritones

136

Barrat

8 A - - - hi!

Parallel dissonant-chords

7

7

6

3

6

7

7

6

Successive tritones

138

Barrat

(weinerlich)

Ah,

3

Successive tritones

6

3

6

gliss. 14

As mentioned above, the chief basis for the earlier view of this section as parody, namely that the composer employs such traditional elements as “Tempo di Minuetto” for sections that interrupt the love duet, is, at best, weak. To accept this criterion is to have ignored the total absence of actual “minuet” clues. Surely, the abundance of rhythmic variation in the layered orchestral texture in this section, together with irregular and unusual accents, adequately reflects the dramatic content, in what could be identified as Henze’s characteristically uncomplicated terms.

In *Il Re Cervo* and *Der junge Lord* Henze uses a compositional approach that marks a break with the European musical avant-garde in the mid-1950s. His ever-present allusions to tonality and his idiosyncratic use of twelve-tone technique represent an aesthetic view that was inimical to mainstream modernist concerns in 1950s and 1960s. A characteristic element of Henze’s compositional method is that he constantly disrupts the listeners’ expectations by merging together fundamental elements of contradictory compositional systems. As discussed above, Henze does not use traditional harmonic procedures to create tonal allusions. Sometimes he uses skeletal harmonic ideas that are constantly tainted by contrasting musical materials, using tonal, twelve-tone, and other techniques. Sometimes he uses pitch-collections without following a harmonic scheme that corresponds to such a framework. Brute repetition of focal pitches or sonorities often find their way into Henze’s scores as a way of establishing key centers; this is a non-tonal technique he shares with other twentieth-century composers (for example Stravinsky) to create tonal sounding structures. Almost without exception, Henze’s compositions include opposing and conflicting ideas, and quite often conflicting styles, to communicate an idea or a situation to the listeners. The following chapters will try to demonstrate that the same

compositional method is used, perhaps in a more sophisticated and intellectually stimulating way, in other operas chosen for this study: *Der Prinz von Homburg*, and *The Bassarids*.

## Chapter 4. Conflicting worlds and conflicting musical idioms in *Der Prinz von Homburg*.

There is but tentative presence of twelve-tone writing in *Il Re Cervo*, occasionally evident in the use of complete or partial row materials which, inspired by styles as remote as Schoenbergian expressionism and the Italian canzone, the composer has skillfully featured in the vivacious musical landscape. In *Der junge Lord* the significance of twelve-tone method is virtually negligible.<sup>112</sup> Two other operas, written seven years apart, contain illustrative examples of how Henze creates dramatic action through the compositional technique of uniting twelve-tone rows with tonal allusions. Both *Der Prinz von Homburg* (1958), to a libretto by Ingeborg Bachmann after Heinrich von Kleist's play by the same name, and *The Bassarids* from 1965, to a libretto by W.H. Auden and Chester Kallmann after Euripides's *The Bacchae*, displays musical characterization of different worlds through contrasting musical idioms. True to Kleist's original text, in the Bachmann libretto the world of the dreamer Prince, representing the glorification of human kindness, is compositionally contrasted to the world of law and order, and blind obedience to reasons of state. Through clever characterizations of the repressive Pentheus world vs. richly sensual one of Dionysus, Henze's idiosyncratic treatment of the two chosen twelve-tone rows in *The Bassarids* achieves a subtle, very important, distinction between his two main characters.

*Der Prinz von Homburg* was written soon after *Il Re Cervo* but there is a striking difference between the two. *Cervo* exhibited an array of different musical expressions plurality and invited comments that characterized the opera as a work where all stylistic dogma was overcome, and

---

<sup>112</sup> Christian Bielefeldt discusses twelve-tone usage in *Der junge Lord* and even identifies complete rows; in such cases his focus is not entire musical textures related to dramatic issues, but local chromatic ideas where twelve-tone ideas emerge. Christian Bielefeldt, *Hans Werner Henze und Ingeborg Bachmann: Die gemeinsame Werke* (Bielefeld, Transcript Verlag: 2003), 222-228.

where conventional triads and chromatic block sonorities of eight, ten, and even twelve tones coexisted side by side as equally legitimate compositional means.<sup>113</sup> As the successor of this lively fable, *Homburg* is remarkable for its austere and homogenous musical language that puts unusual demands on the spectators. It is surprising that Henze would choose to refocus his attention on twelve-tone composition after rejecting the precepts of the Darmstadt School wholeheartedly in *Cervo* only a few years earlier. It is also illuminating that Henze would try to justify his return to a strict compositional approach by positioning himself vis-à-vis the musical avant-garde.

*Homburg* is really very difficult; it's hardly presentable. I went very far in making an opera that has old forms filled with a very complicated modern idiom. It's the most severe music I ever wrote, because I started to accept the reproaches coming from the other side of the Alps that my music was getting too Italianate. I thought the best answer was to show them that I could just as tough as all the others, and that I could write music even within those boring rules.<sup>114</sup>

While Henze tried persistently to distance himself from the artistic aspirations of the progressive tendencies in post-war Europe, he would ironically tackle what he must have deemed as legitimate comments coming from his critiques by returning to an unusually strict twelve-tone strategy. In the sketchy account of the compositional intent behind the use of twelve-tone materials in *Der Prinz von Homburg* Henze draws a categorical distinction between two different

---

<sup>113</sup> Hans Heinrich Stuckenschmidt, "Romantischer Opern-Realismus: Henzes *König Hirsch* in der Berliner Festwochen," *Melos* 23, (September 1956): 289-290. Despite the difference of opinion, between the enthusiastic majority and the jeering group of protestors, blatantly voiced in the premiere of *König Hirsch* in Berlin, Stuckenschmidt considers the evening a great success, with which the post-war generation of German composers embarked upon the opera scene.

<sup>114</sup> Hans Werner Henze, "All Knowing Music: a Dialogue on Opera," interview by Ian Strasfogel in *Der Komponist Hans Werner Henze: ein Buch der Alten Oper Frankfurt, Frankfurt Feste '86* (Mainz: Schott, 1986), 141. In the two autobiographical writings Henze's discussion on the use of serial techniques in *Der Prinz von Homburg* is less provocative. See Hans Werner Henze, *Music and Politics: Collected Writings 1953-81* (London: Faber and Faber, 1982), 100-104 and Hans Werner Henze, *Bohemian Fifths: An Autobiography*, trans. Stewart Spenser (Princeton: Princeton University Press, 1999), particularly pp. 158-161.

worlds associated with the hero of the opera and other characters who represent the hierarchical social order of Kleist's story.

The opera *Der Prinz von Homburg* ... may serve as an example of my confrontation with strict serialism, with the systems or theories of today, and their conflict with the beautiful harmonies of yesterday, or with what remains of them that we still find significant. This latter represents the Prince's dream-world in the opera ... But these sweet sounds also speak of the loving feelings which are as important to Princess Natalie as the martial laws of Brandenburg, sounds which we only hear fully when the Prince himself is in his sleepwalking state. With these sounds I separated the world of actions and consequences, of reasons of state and of self-control. For *that* world I composed serially organized military music, with a predominance of fanfare-like fourths and fifths in the twelve-note row, thus keeping the whole piece in order.<sup>115</sup>

Although this formulation gives useful clues to evaluating the opera as a whole, it complicates the analysis by isolating the musical depiction of the characters into broad categories of tonal and twelve-tone. As the analysis below will show, the distinction between the dream-world of Prince Friedrich and the world of actions is not accomplished through the exclusive application of serial or tonal writing to different parts of the opera – even the so-called dream sequences contain twelve-tone rows. Indeed, in all the operas from 1955-1965, Henze operates with several stylistic allusions, often within the same stratified musical texture. Even in relatively uniform closed numbers such as Checco's canzone in *Cervo* Henze disrupts the listeners' expectations by chromatic saturation of the texture and conflicting sonorities within the same musical expression. *Homburg* certainly contains tonal allusions, though not in a straightforward manner where one musical style is unequivocally assigned to a character in the opera. Rather, the real world is

---

<sup>115</sup> Hans Werner Henze, *Language, Music, and Artistic Invention: The Prince of Hesse Memorial Lecture 1996*, trans. Mary Whittall (Aldeburgh: Britten-Pears Library, 1996), 7-8.

depicted with variants of highly dissonant twelve-tone music, while the dream world of the Prince often alludes to a tonal idiom within a texture that often includes contrasting materials.

Henze's formulation reflects the polarization of the characters in the opera and the portrayal of the Prince as the protagonist. As Hans J. Kreuzer points out, in *Homburg* the entire story and plot revolve around and originate from the Prince.<sup>116</sup> Yet, the abundant ensembles in Bachmann's libretto do not allow a secluded musical treatment of the characters in terms of a strong opposition created between tonal and twelve-tone sections. More specifically, because of the continuous presence of layered textures in Henze's music, the supposed differentiation is hardly audible to such a degree that it creates the dramatic effect postulated above.

By attributing a positive connotation to tonal music and a negative one for twelve-tone composition, Henze also provokes a discussion that was an outdated concern even for the avant-garde composers in the 1950s. Several legitimate objections can be raised against the aesthetic view that assigns value judgments to specific compositional styles. First, Henze invokes superficial arguments familiar from the first half of the twentieth century – i.e. the opinion that tonal music is beautiful, and serial or twelve-tone music is not, resurfaces. Both tonal allusions and twelve-tone materials play a crucial role in creating contrast and conflicting worlds in all the operas examined here. But because tonal allusions are constantly interrupted by disparate elements in the musical textures, Henze's remarks give an inaccurate description of his compositional method.

Similarly, when Henze writes about the inspiration from the musical language of earlier periods, he presupposes a historically undifferentiated idea of tonality. By doing so he submits to a view that divides the music of, roughly 1600 – 2000 into broad categories of tonal and post-

---

<sup>116</sup> Hans Joachim Kreuzer, "Libretto und Schauspiel: Zu Ingeborg Bachmann's Text für Henzes *Der Prinz von Homburg*," in *Werke Kleists auf dem modernen Musiktheater*, ed. K. Kanzog and H. J. Kreuzer (Berlin: Erich Schmidt Verlag, 1977), 72.

tonal. As Julian Horton argues “it is doubtful that tonal practice from the Florentine Camerata to Schoenberg’s *Second String Quartet* can be unified in a common concept of teleology.”<sup>117</sup> And Henze does not use tonal procedures that can be traced back to the compositional principles of the “common practice” period. Rather, he mimics tonality by employing skeletal ideas and creates allusions in non-tonal ways. Quite often he uses pedal points as proto-tonics, and spreads complete or partial major/minor pitch-collections in his textures without following the conventions of tonal syntax. Even when he uses triads he avoids well-formed tonal cadences, and infuses textures with divergent elements that hinder harmonic and thematic unity, which is an essential quality of traditional tonal conception. In his idiosyncratic compositional standpoint, he creates musical ideas that imitate past styles, or allude to aspects of past compositional practices without following the systemic conventions of a system.

Likewise, even when Henze uses a twelve-tone row as a starting point, he rejects a Schoenbergian understanding of the twelve-tone series as “integral structure, [which] implies a music in which there is a constant and equivalent circulation of the totality of pitch classes.”<sup>118</sup> As noted earlier, Henze refers to the Second Viennese School as one of the influences on his musical thought; but he singles out Alban Berg’s approach to twelve-tone composition as his ultimate inspiration.

---

<sup>117</sup> Horton argues that tonal prolongation is achieved in different ways in high baroque, classicism, romanticism, and early works of Schoenberg. About the specifically compositional procedures Horton points out that “large-scale baroque forms rely crucially on the impetus generated by embedding tonicization within a constant mobility of progression. Fugue and ritornello, in particular, are inseparable from this principle: cadential assertions of key are established and destabilized with relative rapidity. In Schenkerian terms, the formal action is played out in the middleground. The advent of the sonata principle fundamentally altered this practice: the relationship of foreground and background has vitally changed, the music’s detail being more consistently elaborative of the deep-structural prolongation of a single modulation and its nullification. Many commentators have observed (Schoenberg among them) that nineteenth-century practice is different again.” Moreover, Horton rejects the idea that the aesthetic context of three hundred years of art music can be studied from the point of view of a single teleological order. Julian Horton, “Schoenberg and the Moment of German Music,” *Music Analysis* 24 (March 2005): 239-240.

<sup>118</sup> George Perle, *The Operas of Alban Berg: Lulu* (Berkeley: University of California Press, 1985), 86.

Berg is the only affinity I have to the Viennese School, to dodecaphony and twelve-tone technique. I can understand dodecaphony in Berg's sense, in other words as a language, and never quite in the sense of Webern or Schoenberg, where for me it remains theory, grammar, esotericism perhaps; a bourgeois self-affirmation.<sup>119</sup>

Consequently, the interpretative challenge in studying Henze's operas is profoundly linked with his understanding of the relationship between text and music – and between language and music. In his analyses of the complex relationship between language and music Henze constantly evokes a Schopenhauerian metaphysics of music.

When words reach their limits, when verbal formula fail to express a meaning or actually distorts it, music takes over. The inexpressible, the unsayable comes into its own: gestures, especially the sign-language of hands, which add such lively support and enrichment to the process of communication in the world of speech, now become pure dance, and verbal speech becomes pure song, where there are only things to be heard, and seen, and felt, where a higher consciousness takes over, where other laws than the usual ones define our experiences, where everything becomes pure form as thought and as creation.<sup>120</sup>

It is this revival of aspects of nineteenth-century, and specifically Schopenhauerian musical aesthetics that distinguishes Henze's compositional undertaking. In sharp contrast to modernist composers, he trusts in music's ability to express what cannot be expressed in words, and to access the metaphysical essence behind phenomena. In *The World As Will and Representation* Schopenhauer argues that music "never expresses the phenomenon, but only the inner nature, the in-itself, of every phenomenon, the will itself."<sup>121</sup> Yet, the framework for Schopenhauer's

---

<sup>119</sup> Henze, *Music and Politics*, 154. As noted above Henze identifies the Schoenbergian serial technique as one of the influences on his compositional thinking. Therefore it is confusing that he distinguishes Berg as his model, because they don't share the same aesthetic aspirations, and the similarities between the two composers are incidental rather than essential.

<sup>120</sup> Henze, *Language, Music, and Artistic Invention*, 13.

<sup>121</sup> Arthur Schopenhauer, *The World As Will and Representation*, vol. 1, trans. E.F.J. Payne (New York: Dover Publications, 1969), 261. Schopenhauer admits that this claim cannot be demonstrated. Analogous passages can be

speculative arguments is the musical language of late eighteenth and early nineteenth centuries. Integrating Schopenhauerian philosophy to the compositional techniques of the twentieth century, particularly to Henze's very personal and characteristically eclectic musical idiom, is not an aesthetic principle that can be taken for granted.

Moreover, Schopenhauerian philosophy defines the concepts of beauty and genius as prerequisites to the process of artistic creation that results in high art. As an old-fashioned conceptual framework, the aesthetics of genius requires metaphysical concepts such as the tendency of the material of musical composition as a regulatory force that ensures that a composition is not superfluous or incoherent; it also requires the artistic genius (composer and performer) as the agent that sets this process in motion. The twelve-tone system can indeed be considered as a regulatory force in composition, but as the analysis below demonstrates, Henze is hardly interested in pursuing this teleological interpretation. In his works twelve-tone writing is often present as part of a layered texture that consists of contrasting materials alluding to different musical styles.

Henze's preoccupation with the linguistic quality of music is especially vital in discussing *Der Prinz von Homburg*; there is a considerable amount of literature examining the aptness of Kleist's play for the music theater.<sup>122</sup> Henze admits he was initially unresponsive to Luchino Visconti's suggestion to set the play to music.

---

found in Henze's other important writings: Hans Werner Henze, *Essays* (Mainz: B. Schott's Söhne, 1964), 51-63, reproduced in Hans Werner Henze, *Music and Politics* (London: Faber and Faber, 1982), 84-92, and Hans Werner Henze, "Sprachmusik: eine Unterhaltung" interview by Johannes Bultmann, *Die Chiffren, Musik und Sprache: Neue Aspekte der musikalischen Ästhetik* 4, ed. Hans Werner Henze (Frankfurt am Main: Fischer, 1990), 7-25.

<sup>122</sup> In a letter to Stefan Zweig in 22 May 1935 Richard Strauss wrote: "Glauben Sie mir: Kleist ist unkomponierbar. Ich habe es jetzt wieder am *Prinzen von Homburg* gesehen, der von Gräner auf ein Paar Knallmomente zusammengestrichen und mit sogar anständiger Musik versehen, trotz preußischer Fahnen und richtiger Militärmärsche bei dem Patriotischen Berliner Publikum bei der dritten Aufführung 700 M. Abendkasse gebracht hat." Willi Schuh, ed., *Richard Strauss, Stefan Zweig: Briefwechsel*, (Frankfurt am Main: S. Fischer, 1957), 134; "Believe me: Kleist is beyond composing. I just saw it again when [the German composer Paul] Graener cut down the opera *Der Prinz von Homburg* to a few claptrap scenes, even provided some decent music: the box-office result,

During my time in Berlin [in 1957], Visconti had spoken to me more than once of his desire that I should set *Der Prinz von Homburg*. I had consistently refused. He had read only in Italian or French translations and could not know that, for a German, Kleist's language is itself already music, music that sounds like a vast storm-tossed orchestra.<sup>123</sup>

Critics who reported the premiere of Henze's opera expressed their skepticism as to the suitability of Kleist's poetic language for the music theater. Deborah Hochgesang distinguishes three different views emerging from the criticisms.<sup>124</sup> Those who considered Kleist's play to be unsuitable for music theatre maintained that the strength of music lay in its ability to communicate emotional expression, and that logical thought by definition was alien to it.<sup>125</sup> Others regarded *Der Prinz von Homburg* in Henze's setting as a failure while acknowledging the sensitive and poignant musical language, and argued that the poet needed the composer as little as the composer should have looked for the poet to legitimate his music. A third category of critics welcomed the opera as a success, and admitted that Henze's masterful compositional power was unequalled among post-war composers in the area of music theatre.<sup>126</sup>

---

despite Prussian flags and real military bands, was 700 marks from the patriotic Berlin audience at the third showing." *A Confidential Matter: The Letters of Richard Strauss and Stefan Zweig, 1931-1935*, trans. Max Knight (Berkeley: University of California Press, 1977), 94-95. Jörg B. Theilacker argues that within a short time after its publication, the play was presented with music, both with typical "kapellmeistermusik" to illustrate moods, to accentuate the plot, and as prelude or interlude to acts. In 1834 music by Beethoven and Weber, and later by other composers, including Samuel Scheidt, Johann Pachelbel, Johann Kuhnau, Richard Wagner, Gustav Mahler, and Arnold Schoenberg, accompanied the play. Jörg B. Theilacker, "Grazie und Härte, Kühle und Feuer: Gegensätze in Henzes Oper *Der Prinz von Homburg*," in *Theater ist ein Traumort: Opern des 20. Jahrhunderts von Strauss bis Widmann*, ed. Hanspeter Krellmann and Jürgen Schläder (Berlin: Henschel, 2005), 213.

<sup>123</sup> Hans Werner Henze, *Bohemian Fifths*, 148. The idea that Kleist's literary style has musical qualities cannot be confirmed, and has to remain as pure speculation.

<sup>124</sup> Deborah Hochgesang, *Die Opern von Hans Werner Henze: im Spiegel der deutschsprachigen, zeitgenössischen Musikkritik bis 1966* (Trier: Wissenschaftlicher Verlag Trier, 1995), 254.

<sup>125</sup> Bernd Müllmann, "Henzes Kleist-Oper *Prinz von Homburg*," *Hessische Allgemeine Zeitung* [Kassel] (24th May 1960), quoted in Hochgesang, *Die Opern*, 256. It was not the first time such objections were raised about a musical work that took a written text as its point of departure. A famous example is Richard Strauss' tone poem *Also sprach Zarathustra*, which was subject to similar criticisms. Henze supporters suggested that Kleist's poetic language made the play suitable for the music theatre – similar arguments were made to defend *Also sprach Zarathustra* earlier.

<sup>126</sup> Werner Oehlmann, "Kleist im Streit mit Henze und Käutner," *Tagesspiel* [Berlin] (24 May 1960), quoted in Hochgesang, *Die Opern*, 255.

Some critics derived their reviews of the premier from the point of view of understanding Kleist through Henze's opera. Still others went to the extreme and despite their praise of the expressivity and lyricism of the work, for example in the love duet between Natalie and the Prince, demanded that the text be understandable at all times.<sup>127</sup> Deborah Hochgesang argues that the call for the intelligibility of the text might indeed indicate a weakness in the opera. The point of departure for these comments was nineteenth century precepts and operatic ideals that relegated operatic singing to the demands of the text in order to meet the demands of the music drama (in terms of Wagnerian polemics). A similar attitude already discussed above, characterizes scholarship on individual operas, where the libretto is given disproportionate consideration to make music subordinate to the demands of the text. In discussing *Homburg* the relationship between text and music becomes crucial because of the significance of Kleist's literary work for German audiences, critics and spectators alike. But it is hardly sufficient to limit the interpretation of the dramatic substance of the opera to the libretto. This is as true for studying Henze's operas as it is for those of any other opera composer.

The formula "word and tone," though Wagner's authority stands behind it, is the ruin of opera interpretation, to put it in broad terms. Nothing is more mistaken than to assume that the text represents the dramatic aspect of an opera, so that an opera will be more dramatic the greater the privileges it hands over to the text. For what can be called in opera its dramatic or theatrical meaning is not to be read from a mere text, but rather takes definition only from the juncture of music, language, scenery, and stage movement and gesture. This juncture may become a dialectic or even a counterpoint, in which the text often plays only a slight role. More decisive than words, in opera, is the visible and palpable situation from which the words grow.<sup>128</sup>

Certainly Bachmann's adaptation alters the mechanics of the text to make it suitable for operatic treatment; it is superfluous to expect that the full historical and philosophical substance

<sup>127</sup> Karl Kuehne, "Läst sich Kleist vertonen?" *Rhein-Zeitung* [Koblenz] (26 May 60).

<sup>128</sup> Carl Dahlhaus, *Aesthetics of Music*, translated by William Austin, (Cambridge: Cambridge University Press, 1982), 66-67.

of Kleist's work should be intelligible as text in the opera. Moreover, even though the specific historical setting of the play is important for a thorough understanding of the play, and to some extent the opera, ideas overtly expressed in the text have universal appeal. Henze admits that the plot of the *Der Prinz von Homburg* seems inseparable from the Prussian setting from which it is developed. He argues, however, that “the tension between the existence of the individual and ‘reasons of state,’ and questions of disregard for law and order,” which constitutes the core of the libretto, are abstract and timeless, and that the issue is already abstracted in Kleist’s work.<sup>129</sup> As other critics also observed in their criticisms after the premier, it is the inner reaction of the hero<sup>130</sup> and his dream world that is the emphasis in Henze’s work and not the actual historical facts related to the text. Needless to say that Henze’s intention was not to duplicate the dramatic content and semantic logic of the text. Rather his aim was to explore and reflect the dualities and conflicts between reason and feeling, divine law and human law that are constantly at work in Kleist’s play.

In the next sections Henze’s compositional method will be explored further with a view to showing the sophistication of his operatic technique. First, a critique of current literature will demonstrate the inadequacy of employing thematic analysis on its own, and highlight the need for a more comprehensive study of entire musical textures in *Homburg*. Second, a thorough analysis of selected passages will reveal how Henze produces varied musical expressions through his characteristic twelve-tone technique combined with the ever-present tonal allusions. And finally, the analytical perspective developed here will be applied to dramaturgical issues, linking details of row choices and pitch-language with conflicts that are at the core of the opera’s plot.

---

<sup>129</sup> Henze, *Music and Politics*, 100.

<sup>130</sup> Or the anti-hero, since Henze characterizes the opera as the “glorification of a dreamer, the destruction of the notion of the classical hero.” Henze, *Music and Politics*, 101.

#### 4.1. Thematic and harmonic definition in *Homburg*, Act I.

*Der Prinz von Homburg* was premiered in 1960 by the Hamburg State Opera. Later in that year Diether de la Motte published a monograph on the opera that is remarkable for its analytical focus.<sup>131</sup> In strong contrast to subsequent studies devoted to Henze's operas, this groundbreaking work attempts to develop a systematic approach to reveal the compositional method used in the score. The following analysis re-evaluates de la Motte's findings and builds on his approach to arrive at a comprehensive methodology that deals with several aspects of Henze's compositional practice simultaneously.

Perhaps because of the continuing influence of Wagnerian operatic thinking, de la Motte starts the study with motivic analysis to distinguish between different characters in terms of their thematic materials. Hence, his initial objective is to reveal repeated use of intervals that may be associated with twelve-tone writing in those sections which take place in the actual world, and intervals, particularly the minor sixth, which signify the dream world.<sup>132</sup> The accumulative approach employed by de la Motte builds on individual themes, binary relationships between themes and furthermore (partial) textures that result from the interaction of themes. Given the abundant stratified textures in Henze's music general, this method might seem plausible if a thematic elaboration is supported by an analysis of the entire texture. Certainly, thematic characterization has a place in depicting different characters in Henze's operas. But de la Motte depends more on the interval structure and the span of individual voices to develop his

---

<sup>131</sup> Diether de la Motte, *Hans Werner Henze: Der Prinz von Homburg. Ein Versuch über die Komposition und den Komponisten*, (Mainz: Schott, 1960).

<sup>132</sup> Henze's views expressed in program notes and other earlier writings inform such analysis. From a methodological perspective, though, it would be a mistake to verify the authority of Henze's interpretation through an analysis that seemed to justify it. As the composer himself remarked, "music is not musicology." Henze, *Music and Politics*, 104. Henze hardly ever engages in technical analysis of his works, neither in his writings, nor in his collaboration with performers. (Personal communication with Norwegian conductor Rolf Gupta, friend of Henze's, who conducted *Der Prinz von Homburg* in the Netherlands in 2004).

arguments about the musical characterization, rather than on thematic differentiation – this is understandable because Henze does not use themes as leitmotifs. However, this approach forces selective consideration of melodic shapes, and furthermore, assigns or readily assumes metaphysical qualities of certain intervals. Despite the undue emphasis given to thematic materials in terms of interval content, and the excessive descriptive information that results from such examination, it is instructive to follow this analysis in order to summarize the findings, point out its limitations and develop alternative interpretations.

The following examples would be helpful to demonstrate the point. De la Motte argues that the melodies in the passages that correspond to the Prince, and to the dream-world in general, repeatedly contain the minor sixth interval and the octave span. In the opening ensemble of the opera the choral texture consists of melodic shapes of different character; Natalie sings a melodic idea that spans an octave, while the thematic material of Count Hohenzollern, the Prince's confidante, has a minor sixth B-G as the first interval (see Ex. 4-1a and 4-1b).

Example 4-1. *Der Prinz von Homburg*, Act I, Scene 1. The opening ensemble. 4-1a: Natalie's vocal line spans an octave. 4-1b: Count Hohenzollern's line opens with a minor sixth. 4-1c is de la Motte's reduction from score of the Elector's vocal line in mm. 141-150 (full texture provided in Ex. 4-3).

a)

Natalie

20

Der Prinz von Hom - burg.

b)

Count Hohenzollern

20  
8 Der Prinz von Hom - burg

c)

The Elector

141  
8 Ins Nichts mit dir Zurück, Herr Prinz von Homburg, ins Nichts! In dem Gefild'

146  
8 der Schlacht sehn wir uns wieder. Im Traum erringt man Ruhm und Lie - be nicht!

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

De la Motte then compares the tonal orientation of the melodic materials of Natalie and Count Hohenzollern with the contrasting world of Friedrich Wilhelm, the elector of Brandenburg, whose vocal line, he says, is characterized by fourths and fifths as the building block (see Ex. 4-1c).<sup>133</sup> As an analytical procedure the reduction of the Elector's vocal line is acceptable, since it takes rhetorically stressed notes, and omits shorter anacrustic pitches. It is debatable, however, whether the dramatic action in *Der Prinz von Homburg* is set in motion only through thematic

<sup>133</sup> De la Motte, 13-14.

differentiation of different characters that represent different worlds. Certainly, Henze makes use of melodic ideas based on successive fourths and fifths, common melodic types in (early) twelve-tone music, here and in other operas. And certainly, such comparisons are significant if these intervals recur consistently to depict a specific character exclusively.

However, the so-called “Wreath-motif,” too, is based on successive fourths in an even more consistent and overt manner, even though this musical idea is exclusively associated with the dream world of the Prince and his tender affection for Natalie – it also spans an octave, either  $B\flat-B\flat$  or  $A\flat-A\flat$  (see Ex. 4-2). There is no reason why this passage should create a contrast to the thematic construction of the Elector’s music in terms of interval content; it is based on successive fourths, followed by a fifth, and a seventh leap – and could be considered as a parallel passage. Hence, it cannot be unequivocally stated that there is a melodic and harmonic contrast between the music of different characters in the first ensemble of the opera. De la Motte refrains from labeling themes with different interval structure as tonal or serial. But the import of intervals is not something that we can take for granted; the significance of the interval structure of a theme has to be considered within the musical context in which it appears. Likewise, de la Motte also refrains from associating different melodic constructions with different compositional systems, because there are hardly any passages in the score that are predominantly tonal or predominantly serial.

Example 4-2. *Der Prinz von Homburg*, Act I, Scene 1. Wreath motive characterized by successive fourths and fifths, and by the octave span  $B\flat-B\flat$ .

Natalie

85

Octave span  $ab'-ab''$

Fourth Fourth Fourth Fourth Fifth

Lor - - - 3 - - - - - beer ist es.

Octave span  $bb'-bb''$

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Thematic differentiation is insufficient on its own for a comprehensive examination of the dramatic conflict in this opera. Unavoidably, melodic analysis of this kind leads to a forced segmentation of the text and the musical ideas into semantically incoherent parts. In example 1c (the passage is shown in Ex. 4-3) the interval D-A can neither be justified in terms of the grammatical structure of its text, because it makes two separate sentences overlap, nor in terms of musically meaningful segmentation, because it cuts through the synchrony between the semantic content of the text and the structural unity of the musical ideas –the successive phrases examined below. While the allegorical first verse refers to the Prince’s frame of mind, the dry second verse reminds him of his duty in the battlefield: “Ins Nichts mit dir zurück, Herr Prinz von Homburg, ins Nichts! In dem Gefild’ der Schlacht seh’n wir uns wieder” (Into oblivion Prince of Homburg, into oblivion, oblivion! We’ll meet again on the battlefield)! These adjoining verses uttered by the Elector reminds the high ranking cavalry general, the Prince, that his duties supersede all other concerns and invite him to join the cooperative effort towards achieving their shared goal. As a vital element in the plot, the isolation of the Prince from the other characters requires attention. Because the two verses are semantically distinct, a musical

analysis that considers the corresponding musical phrases as coterminous gestures – connected by a fourth, D-A – highlights only one aspect of the musical texture in abstract structural terms.

From a dramatic perspective the relationship between the Prince and his high-commander is crucial in establishing the premises of the conflict that unfolds eventually because of the former's failure to follow orders. And this short solo has intricate textual and musical details that accentuate the essential elements of the drama. Most of what the Elector says is direct and unambiguous, but "Ins nichts" has been subject to various interpretations particularly because of its suggested connection with the "sleepwalking" Prince, ironically stated in the closing verse: "Im Traum erringt man Ruhm und Liebe nicht" (Love and fame cannot be won in dreams)!<sup>134</sup> Hence, the words spoken by the Elector towards the end of Scene 1 encapsulate the plot, and highlight the conflict, which results with the Prince being court-martialed and sentenced to death. Appeals by the other commanders and the ladies to pardon him cause the Elector to leave the choice to the guilty party himself – if the Prince says the death-sentence is unjust, he will be pardoned.<sup>135</sup> Realizing that he would be relinquishing values treasured and observed by all parties involved (law, as well as honor), Arthur refuses to admit that he was unjustly sentenced. It is only when he acknowledges the principles set up by the law that the Elector pardons him and "the victor of the battle of Fehrbellin" joins the cry "In Staub mit allen Feinden Brandenburgs" (May Brandenburg's enemies all turn to dust)!

Perhaps Henze's oversimplified identification of the Prince as a dreamer resonates with a modern day understanding of the term denoting someone remote from everyday reality and

---

<sup>134</sup> Discussed in Stuart Atkins, "Taught by Success: Kleist's Prince of Homburg," *German Quarterly* 50 (January 1977): 5. Atkins refers to earlier interpretations of "Ins nichts" as death, but argues that it rather implies "the Prince's somnambulistic state."

<sup>135</sup> It is dubious, though, whether the Prince really has a choice in this matter. He is a high-ranking general in the army and knows very well "the articles of war; he knows the overwhelming necessity of obedience to the commands of a superior at that time and in that environment." John J. Mulligan, "Kleist's Friedrich von Homburg: The Prince without a Choice," *Forum for Modern Language Studies* 16 (1980): 35.

active life, hence separate from all the others in the opera. This might be the reason behind the attempt in Henze scholarship to look for thematic differentiation between the characters.

Analytical focus on the fourth as a unit of melodic-intervallic construction results in a segmentation that limits the discussion to matters of background structure (certainly a significant focus in analyzing Henze) at the expense of vibrant surface details that indicate tonal allusions in the passage. But the vocal line is not the only important element of the musical texture in this passage; indeed, Henze's eloquent treatment of this very important moment in the drama indicates further sophistication in his style of creating tonal allusions by using non-tonal means. In capturing the essence of the text he relies on the interaction between the vocal line and the strings, pervaded by the same pitch-collections, and on the counter-melody in the horns that uses a contrasting collection.

Clearly delineated by longer note-values and rests, the Elector's vocal line consists of four successive phrases – the point of departure for the alternative analysis given here (see Ex. 4-3). In the first vocal phrase, an unconcealed emphasis on C#, F#, and B confirms the interval of the fourth as a structural unit, but disguises at the same time the scale segment C#-E-F#-A-B that is supported harmonically by the orchestral texture with the rhythmically displaced sonorities of a  $V^6 - I/i$  progression in D. In the second phrase, Henze matches the dramatic significance of “ins Nichts, ins Nichts!” with a musical gesture that gives additional weight to the tonal allusion; the leading-tone C# resolves to D after the escape-tone B, while the inverted dominant chord resolves to the tonic. Considered as a whole, these two phrases that refer to the Prince's dream-state use the D-major pitch-collection (D is incidentally one of the focal keys heard in the short orchestral prelude of the opera).

Example 4-3. *Der Prinz von Homburg*, Act I, Scene 1. Regular phrases in Elector's first solo.

**Kurfürst (Elector of Brandenburg)**

**D/d: V<sup>6</sup>      I/i<sup>6</sup>**

141  
8  
Ins Nichts mit dir zu-rück, Herr Prinz von Hom-burg, ins Nichts, ins Nichts!  
**Phrase 1** → **B**      **Phrase 2** → **D**

(Horn)

145  
8  
In dem Ge - fild' der Schlacht seh'n wir uns wie - der!  
**Phrase 3** → **E**

148  
8  
Im Traum er - ringt man Ruhm und Lie - be nicht!  
**Phrase 4** → **G#**

Despite the harmonic support in terms of a skeletal chord progression in the orchestral accompaniment, the musical texture also includes tonally contrasting elements. As a characteristic element of his compositional practice, Henze upsets the unity of the tonal material by introducing, first the A-minor pitch-collection in the third phrase, and then the A-major collection in the fourth – both supported by the pedal E-B in the strings. At the same time, the distinct counter-melody in the horns contradicts the momentary tonal ideas in the vocal line and creates an additional layer that needs to be taken into consideration. Even though the head-notes of the five-note figure (E $\flat$ , B $\flat$ , A, F, E $\natural$ ) suggests persistence of the fourths as a constructive unit, the lingering A, as well as F and E are connected with other collections in the passage – A is the root of the dominant chord in m. 143 and F creates the major-minor conflict in m. 144.

It is notable that the final E of the horn melody is also related with the pedal E-B in the strings and piano in mm. 144-150. Despite the constant intrusion of dissonant elements, particularly the adjacent pedal F $\sharp$ -C $\sharp$ , the tremolando pedal supports a tonal idea that is emphasized in the Elector's vocal line. The ultimate pitches of the four successive phrases outline an ascending inverted dominant-seventh chord (B, D, E, G $\sharp$ ), as structural idea, which is connected with the A minor-A major context of the third and fourth phrases. Together with the dominant pedal, this V $_3^4$  ascent provides a vivid example of Henze's method of forming tonal allusions via incomplete outer-voice patterns, bass motions, and leading-tone suggestions. Despite the overabundance of  $\natural$  major/minor pitch-collections, (D, A, and even E major, if we take into account the leading-tone D $\sharp$  in mm. 143-144) Henze avoids undiluted elements of traditional common practice tonal syntax.

Aside from being a counter force against the Elector's voice, the horn melody is also associated with the dream-world of the Prince. It uses the first five pitches of the "Dream-Row"

that appears partially in the orchestral prologue and in complete form in the opening solo where Count Hohenzollern describes his pensive state (Act I, Scene 1). With its contrasting pitch content and clear rhythmic pattern, this twice-stated gesture is the only element of the orchestral texture that has a thematic substance – curiously, it reiterates the rhythmic configuration of phrase one and two in the Elector’s vocal line. Dramatically, it helps establish continuity by repeating the row used earlier in the scene.

Nevertheless, this passage is indeed dissonant, not because of the type of melodic construction used, but because of the conflict created by the stratified harmonic texture where several pitch-collections coalesce with the twelve-tone derived materials. In a typically Henzean manner every detail of the texture is obscured by diatonic/chromatic neighbor-tones or opposing sonorities – the E minor is upset by A# and its superimposed dominant B-chord that is itself used as a pedal. In short, Henze disrupts the coherence of tonal materials using non-chord tones (often the leading tone of the triad, or the simultaneous presence of the third and the fourth without a resolution).

The previous commentary explored the complexity of tonal allusion in Henze’s accompaniments, demonstrating the need for analysis that goes beyond the intervallic properties of the vocal lines alone (as in de la Motte). Another aspect of de la Motte’s thematic analysis that requires attention is the interval of the minor sixth that plays an important role as an element of musical characterization of the Prince’s dream-world both in the opening ensemble and later in his solo numbers. Two examples from the first scene, examined below, should be adequate to demonstrate that in order to reveal the dramatic substance of Henze’s operatic music it is necessary to discuss his musical textures in their entirety. As de la Motte correctly observes, the first solo entry of the Prince emphasizes the minor sixth and the span of an octave in two

significant melodic ideas that correspond with the two central phrases of the text – “Natalie! Mein Mädchen” (Natalie! My maiden)! and “O Liebste” (My dearest)! (see Ex. 4-4).

Example 4-4. *Der Prinz von Homburg*, Act 1, Scene 1. Octave spans and the sixth leaps in the Prince’s part.

Prinz von Homburg

126 Na - ta - - - - - lie! Mein Mäd - - - - - chen!

129 Mei - ne Braut! O Lieb - ste! Was ent - weichst du mir?

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Because Henze does not employ different thematic ideas as leitmotifs the relevance of the observation in terms of interval structure hinges on the comprehensibility of the musical meaning accomplished through the frequent use of an interval within a given musical context (texture). But limiting the analysis to thematic elaboration and interval content imposes a descriptive approach. In order to avoid a futile discussion of the minor sixth as an appropriate musical means to depict a musical mood, emotion, or a state of mind – which would inevitably prompt a

metaphysical consideration,<sup>136</sup> de la Motte tries to trace the consistent use of the same interval in relation to the same character or mental state. This method makes Henze's compositional style seem mechanical – it appears as if Henze has arbitrarily chosen the minor sixth and applied it systematically to a specific character or to a specific state of mind. It is inescapable that the emphasis on musical characterization through thematic or motivic elaboration in the operas of a composer who is from the beginning known for his relaxed use of twelve-tone techniques, results in segmentation of ideas at the expense of large scale formal and dramatic considerations. A more plausible approach is to examine the meaning of musical details (including the minor sixth) within the context of the musical textures in *Der Prinz von Homburg*.

In discussing the dramatic context of the Prince's first vocal entrance in the opera, it can be asserted that Henze alludes to music from the past: a possible explanation for dwelling on the idea of the sixth is the symbolism related to Wagner's *Tristan und Isolde*. One of the main hypotheses of this dissertation is that Henze's allusions are never a duplication of past styles – with the exception of passages such as the Bach quotation at the end of the second movement of *The Bassarids*, or the stylistic replica “Sonata da camera” in *Das Ende einer Welt*,<sup>137</sup> which nonetheless contains uncontrived sections as well as deteriorated chaotic sections in the similar style of Alfred Schnittke. Rather, Henze is able to allude to past styles using only the most fundamental elements of tonal composition. He does not attempt, though, to discuss influences from the past while examining the prominent minor sixth interval in The Prince's vocal line.

---

<sup>136</sup> Attempts of this kind have been made, for instance in Gino Stefani, “The Voice of the Heart: A Progressive Semiotics on the Interval of the Sixth,” in *Musical Signification: Essays in the Semiotic Theory and the Analysis of Music* (Berlin: Mouton de Gruyter, 1995): 199-207. But La Motte and other authors who wrote on Henze's music do not engage in such considerations.

<sup>137</sup> *Das Ende Einer Welt (The End of a World)* is a one-act radio play, written in 1953, and re-worked as an opera in 1964.

This is justifiable because using a specific interval within a tonal idiom is drastically different than using it within a style that is characterized by its pervading dissonant structures.

Concentration on the thematic structure is a common feature of studies on *Der Prinz von Homburg*. Partly due to this approach, the contrapuntal texture that precedes the Prince's first vocal outburst receives particular attention. Appropriately named the "Dream-Invention," because of the pervasive contrapuntal use of the twelve-tone row in the vocal lines and the orchestra, this dense and monotonous passage is only an upsurge towards the vocal entry of the Prince, which arrives with an abrupt change in the emotional content of the music.<sup>138</sup> Up until that moment, almost six minutes into the opera, the Prince had been wandering around in the garden in his somnambular state. While the Elector hands the wreath over to Princess Natalie, the Prince stands up vivaciously, and suddenly the F#-minor arpeggio in the piano gives the musical flow an unexpected force (see Ex. 4-5). This is a salient moment in the first scene that is communicated to the audience more by the power of the pedal harmony over nine measures, than the thematic structure of the vocal line. In addition to providing a powerful contrast to the severity of the dream invention, the tonal idea in the piano accompaniment also foretells the melodic frame of the first phrase: f#-f#. Because of the dyadic opposition caused by the constant presence of B in the F#-minor chord (attached either to A or C#), this sonority sustains an inner tension, and only occasionally coheres with the vocal melody. The tonal quality of the passage results from the brute repetition of the F#-major chord, while the strings and woodwinds present a conflicting harmonic idea.<sup>139</sup>

---

<sup>138</sup> De la Motte refers to this passage as the dream invention in *Hans Werner Henze: Der Prinz von Homburg*, 23, and Christian Bielefeldt adopts the label in *Hans Werner Henze und Ingeborg Bachmann*, 186.

<sup>139</sup> The occasional B ♭ in the texture vaguely implies a modal ambiguity: F major vs. F minor.

Example 4-5. *Der Prinz von Homburg*, Act I, Scene 1. Abrupt change of mood with the F#-minor arpeggio.

125 *Prinz von Homburg*

P.v.H. Na - ta - - - -

Pno. 3 3 3 3

Archi (tr) (tr)

127 - - - lie! Mein Mäd - - - chen! Mei - ne Braut!

P.v.H.

Legni (tr) (tr) (tr)

130 O Lieb - - - - ste! . Was ent - weichst du

P.v.H.

Legni (tr) (tr) (tr)

Archi (tr) (tr)

Without doubt the sound world of the Prince's short solo is different both from the dream-invention and the Elector's music. At the same time it is stratified, with a typical Henzean construction of the layers, where the vocal line occasionally joins together with the orchestral texture. Yet, despite the overt presence of a traditional sonority, the texture as a whole is dissonant. It is reasonable to question the validity of Henze's remarks about a clear-cut divide between the music of the world of dreams and the actual world of law and order. As the analyses in this study demonstrate, Henze constantly operates with several musical layers that often contradict one another to form dissonant textures, regardless of the textual content of a given passage.

When a variant of the Prince's solo returns in Scene 2 the melodic curve still circumscribes an octave, as in Scene 1, but the interval content is markedly different. Most importantly the minor sixth is not part of the thematic material, even though this is a moment when the Prince notices Natalie in the ensemble and responds to her with affection (see Ex. 4-6). Given that Scene 2 centers on the battle plan and occurs therefore in the world of actions, the change of melodic curve is legitimate. Hence, this new gesture can be analyzed in terms of fourths and fifths ( $E^b-A^b/B^b-E^b$  or  $E^b-B^b/A^b-E^b$ ), using the same method used in analyzing the Elector's part – the same is true for the other voices as well.

But the score also includes tonal sonorities, B-major and A-minor triads in close position, that are not connected according to rules of traditional harmonic progression, but are stated bluntly as sound blocks. Despite the lack of melodic and harmonic coherence, Henze nevertheless uses the B-major pitch collection for the entire texture in mm. 68-72 (with the respelled pitches in Ex. 4-6). The final D natural after the melodic climax that ends on  $E^b$  in the vocal line reiterates the same gesture stated in the choir of officers and creates a major-minor duality. As a

compositional technique that occurs time and again in the operas examined here, this conflict produces an ambiguous musical outcome that is appropriate for the dramatic situation in Scene 2. While the Prince is preoccupied with Natalie and seems unable to concentrate on the meeting where battle plans are discussed, Field Marshal Dörfling and other officers communicate to him the Elector's direct orders: "Des Prinzen Durchlaucht wird, nach unsers Herrn ausdrücklichem Befehl, wie immer auch die Schlacht sich wenden mag, vom Platz nicht, der ihm angewiesen, weichen" (His Highness the Prince, on the explicit orders of the Elector, whatever course the battle may take, shall not move from the place he has been assigned)!

Example 4-6. *Der Prinz von Homburg*, Act I, Scene 2. Variant of Prince's solo.

The musical score for Example 4-6 consists of several parts:

- P.v. H. (Prince of Homburg):** Vocal line starting at measure 68, featuring a triplet of notes.
- Dörfl. (Dörfling):** Vocal line with lyrics: "drück-li-chem Be-fehl -". Includes a triplet and a sharp sign (#).
- Offze. (Offizier):** Vocal line with lyrics: "Nach unsers Herrn aus - - drück-li-chem Be-fehl-". Includes a triplet.
- Harmonic Analysis:** Below the piano accompaniment, the following chords are indicated: B major, (D#), A minor, and B major.
- Piano Accompaniment:** Includes a grand staff with treble and bass clefs, featuring complex textures with triplets and a quintuplet.

Example 4-6 continued.

The musical score is arranged in several systems. The top system includes the P.v. H. (Percussion) part with a bass clef and a 7/8 time signature, featuring a triplet of eighth notes (A#, C#, D#) and a half note (D). Below this is the vocal line for Dörfli, with lyrics: "wie im - mer auch die Schlacht sich wen - den mag, - lie!". The vocal line includes a triplet of eighth notes and a half note. The middle system shows the Offze. (Offstage) parts for three voices (1, 2, 3) in treble and bass clefs. The bottom system features the piano accompaniment (Pno.) in grand staff, with an Arpa (Arpeggiator) part in treble clef. The piano part includes a triplet of eighth notes and a half note. The Arpa part features a triplet of eighth notes and a half note. The bottom right of the score includes the notation "(Vcl., Cb.)".

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

To summarize the results of the analytical discussion so far: the flexibility of melodic construction in the two solo sections defies a categorical distinction between the characters in terms of the interval structure of the vocal parts. If we accept Henze's comments about the harmonic language of *Homburg*, and de la Motte's thematic analysis of different characters uncritically, it becomes an insurmountable task to distinguish the musical elements or textures that belong to the world of dreams from those that belong to the world of reason. Drifting in and

out of his dream-state, the Prince makes the distinction implausible. He is the only character in the opera that exists in both realms, but also the most central figure as well.

In abstracting the world created in Kleist's play from its freely modified historical setting, Bachmann and Henze invest their attention in the emotional and sensual shift in the dreamer's state, as the manifestation of timeless ideas about freedom. Henze's alternation of strict composition, exemplified by the contrapuntal writing in the inventions, considered below, with effective use of tonal allusions in layered textures of several voices or lines convey the intangible dimension between dreams and reality "where facts are perceived with abnormal clarity."<sup>140</sup>

#### **4.2. Dramatic flow and row technique in Scene 1.**

The tension between the dreamer Prince and the ruling authority is reflected in the multifaceted and rich musical texture, both vocally and orchestrally. But the differentiation is hardly ever employed strictly. Rather a sophisticated blend of twelve-tone writing with tonal allusions through Henze's non-tonal means, already mentioned above, sustains a musical flow that reflects the main dramatic idea of the plot. The stratified texture of the "Traum- Invention" (Dream-Invention) in this opening scene is a case in point, to demonstrate Henze's compositional technique, and to elucidate the significance of the dynamics between text, music, and staging in developing the drama. Particularly in his attempt to delineate the Prince's state of mind, Henze achieves subtle distinctions between the dream-world and the world of actions. As the analysis below will show he uses harmony as signifier of interior psychological state, in order to elucidate short term and long term dramatic action. Occasionally, this approach involves a shift from

---

<sup>140</sup> Henze, *Music and Politics*, 104.

more consonant to more dissonant textures (and vice versa) at dramaturgically important moments in the opera.

A castle in Fehrbellin is the setting for Scene 1, depicting Prince Friedrich Arthur of Homburg in an entranced state in the garden, holding a laurel wreath in his hand. Friedrich Wilhelm, the Elector of Brandenburg, the second major character of the opera, takes the wreath from the Prince, places a silver medallion around his neck and gives him the hand of the Princess Natalie before leaving him to his thoughts. A significant symbolic element in the drama, the wreath establishes a strong link between the first and last scenes. Henze gives musical emphasis to this symbol with the repetition of the “Wreath-motif” and a variant of the entire musical texture at the end of the opera.

Characterized by the consistent use of ordered pitch-collections, the contrapuntal sections of Scene 1 have received attention in the literature (almost exclusively in German scholarship). Without exception, studies concentrate on the Dream-Invention, taking into account only those layers that are based on the so-called “Dream-Melody,”<sup>141</sup> even though the texture also contains a counter twelve-tone melody, and tonal allusions. In terms of elucidating the compositional craft behind the specific sound structure in this layer, and establishing the consistency and transparency of the composer’s technique, such an approach is justifiable, and yields valuable insight into analytical matters. In interpreting dramatic issues, though, it is necessary to examine textures in their entirety and study the context in which the twelve-tone materials depict the world of reason and bring about the opposition against the dream world of the Prince.

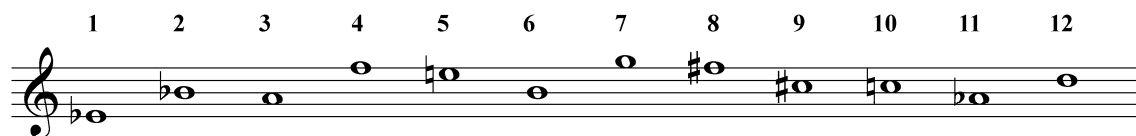
Because of the way dramatic tensions are set up and resolved in *Der Prinz von Homburg* the polarization of the characters requires a musical analysis that incorporates the twofold significance of the protagonist – i.e. both his dream world and his imperturbable sense of duty in

---

<sup>141</sup> First identified by de la Motte, and later adopted in Bielefeldt and Schmidt-Wistoff, with slight amplifications.

the actual world, which is as important in Bachmann’s libretto for the “lieto fine” in Act III as in Kleist’s play. As such the presence of two twelve-tone rows, which overlap in the Dream-invention, is especially rewarding to investigate. Existing literature on the topic recognizes the presence of these rows separately, but avoids a possible interpretation from a dramatic perspective. In order to evade confusion in labeling with the thematic material of the invention, Bielefeldt identifies the recurring row in Scene 1 as the “Basisreihe” (Basis-row). It is equally justifiable to name it “Dream-row 1” as the passages in which it surfaces constantly relate to the fantasy world of the Prince. Moreover, the orchestral opening, which accompanies the sleepwalking Prince, is connected with this row and provides important dramatic clues about the development of the plot (see Ex. 4-7).<sup>142</sup>

Example 4-7. *Der Prinz von Homburg*, Dream-Row 1.



In the buildup toward the invention in Scene 1, Dream-row 1 appears as the structural foundation of two dramatically momentous passages – the orchestral prologue and the first extended solo of Count Hohenzollern. The curtain rises to an intense orchestral sonority employing the first four notes of the row vertically (see Ex. 4-8). Depicting the Prince in his dream-state, the texture immediately explores the inherent dramatic opposition of the plot with

<sup>142</sup> In the present study, the row that is used in the “Dream-Invention,” analyzed below, is labeled as “Dream-row 2.” Bielefeldt labels the material derived from Dream-row 1 the “Traum-Tune” (Dream-Tune). See discussion on the topic in Bielefeldt, *Hans Werner Henze und Ingeborg Bachmann*, 186. De la Motte suggests an interchangeable use of melody, sequence, row or theme in labeling the material used in the invention. As discussed below, both scholars concentrate on the actual musical surface and do not examine the twelve-tone row as the structural basis of the passage. See de la Motte, *Hans Werner Henze*, 23.

the union of twelve-tone material and tonal allusions. Already in this prologue the distinction between the two worlds becomes problematic. As Schmidt-Wistoff argues, the dream-sphere of the Prince, highlighted by the pantomime performed both by the Prince and the Elector, is disturbed frequently by other characters present in Scene 1.<sup>143</sup> Henze's musical interpretation follows the dramatic complexity of the situation, but his technique is neither tonal in a traditional sense nor consistently twelve-tone. To understand the musical substance here, analysis must look beyond such reductive technical labels.

As an extension of the thematic analysis reviewed above, current literature discusses the connection between the opening and the Count's solo that uses Dream-row 1, in order to establish musical and dramatic continuity. In the analysis of the sustained sonority in the beginning, issues of interval content take priority over other musical details that are important in developing the conflicts in the opera – hence the common view that the first sonority consist of a fourth/a fifth and a minor sixth (E $\flat$ -B $\flat$ , A-F respectively). Bielefeldt adopts de la Motte's categorical distinction between the interval content of the Elector's and Prince's vocal lines to suggest that these intervals, presented in antagonistic terms within the general context of the plot, display the theatrical reality of the opera by accentuating the melodic and harmonic conflict in the first sonority.<sup>144</sup> While it is technically possible to find such a connection, claims about the dramatic weight of the intervals are valid only if thematic characterization of the personae in the opera can be unequivocally established in terms of continuing intervallic opposition.

In order to comprehend the initial orchestral sound in all its complexity it is necessary to study both harmonic and thematic aspects of the prologue. Immediately after the fortissimo announcement of the open fifths E $\flat$ -B $\flat$ , A and F are added to the sound mass (on beat four of

---

<sup>143</sup> Katja Schmidt-Wistoff, *Dichtung und Musik bei Ingeborg Bachmann und Hans Werner Henze: Der "Augenblick der Wahrheit" am Beispiel ihres Operschaffens* (München: Iudicium, 2001), 95.

<sup>144</sup> Christian Bielefeldt, *Hans Werner Henze und Ingeborg Bachmann*, 193.

measure 1). What is readily noticeable in the strong statement of the tetrachord is the stepwise motion in the middle register from B $\flat$  to A, to cause a tritone with E $\flat$ , and a fifth skip from B $\flat$  to F in the upper register to form stacked fifths E $\flat$ -B $\flat$ -F. The thematic nature of the leap from B $\flat$  to F becomes clear with the tonal orientation of the repeated motif in mm. 5-8. There is certainly an inner tension in this prologue, triggered by the tetrachord. However, as other examples studied here also show, Henze's textures are characterized by an abundance of conflicting ideas. There are hardly ever any passages where a single idea, tonal or twelve-tone, is responsible for the dramatic objectives pursued. Indeed, the tonal conflict presented in the prelude, and reiterated in the first ensemble, does not originate from an intrinsic quality in Dream-row 1, but from the superimposition and juxtaposition of focal pitches, sonorities, or pitch-collections that persist in the scene as a whole.

Without doubt, the tension between the perfect-fifth E $\flat$ -B $\flat$  and the tritone E $\flat$ -A in the lower register is readily audible – it is in any case more obvious than a supposed conflict with the minor sixth that involves an inner voice within the orchestral tutti. Additionally, E $\flat$  is accentuated by E $\natural$ , its upper-neighbor, which is also the fifth pitch of Dream-row 1, consequently the final note of the horn counter-melody (E $\flat$ -B $\flat$ -A-F-E $\natural$ ) in the Elector's solo analyzed above. Apart from long term thematic unity derived from the row, Henze underlines the opposition further by the additional G, suggesting E minor, and D, insinuating B $\flat$  major, the dominant of E $\flat$  superimposed upon the pedal bass. The continuing presence of A in this sonority further complicates an already ambiguous harmonic context. Neither G nor D is derived from the row employed here; nonetheless they form typical Henzean sonorities with simultaneous use of tonic and dominant chords, and a minor-major conflict within the same sonority.

Example 4-8. *Der Prinz von Homburg*, Act 1, Scene 1. The first four notes of Dream-row 1 in the beginning of the prologue.

The musical score is presented in four systems, each with a grand staff (treble and bass clefs).  
 System 1: Labeled 'Dream-row'. It shows the first four notes of a melodic line. Above the notes are numbers 2 and 4. A bracket above the notes is labeled 'Vorhang auf'. A box labeled 'P<sub>3</sub>' is positioned below the first note.  
 System 2: Starts at measure 5. It includes parts for 'Arpe, Pno., Vibr.' and 'Archi'. Above the staff are numbers 2 and 4. Below the staff are numbers 1, 3, and 5 (UN).  
 System 3: Starts at measure 8. It includes a part for 'Legni'. Above the staff are numbers 7 and 7. Below the staff is the number 5 (UN).  
 System 4: Starts at measure 12. It includes a part for 'Ottani'. Above the staff are numbers 3 and 3. Below the staff are numbers 3 and 3.

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

An alternative dramatic interpretation of Scene 1 makes it possible to explicate how the conflicting musical details relate to the plot. As mentioned above the entire story in the opera revolves around the Prince. Hence, the contrasting musical ideas in the scene do not reflect the duality of dream-world vs. world of actions in terms of an interval-based opposition between the Prince and the Elector. Instead, the dichotomy mirrors the hero's dilemma, forcing him to tackle the tension involving his loyalty to reasons of state, his sense of duty, and his existence as an individual. Accordingly, the conflicting sonorities and the division between tonal and twelve-tone music, if such strict differentiation is indeed possible, expose his inner conflict, rather than manifest an outright confrontation with his superior.

As opposed to the harmonic conflict created between E $\flat$  (major) and E minor, its upper neighbor, Henze introduces another conflict with the lower neighbor D. Because the D-major triad is established as a contrasting sonority (first in inverted form then in root position), its relationship to the E $\flat$  material is reinforced through rhythmic reiteration as well. In addition, both the E $\flat$  pedal and the superposed B $\flat$  major triad contradicts harshly with the D major triad in mm. 9-12. Before the arrival of the D minor triad in mm. 13-14, Henze accentuates the opposition with E $\flat$  using a sonority that superimposes the B $\flat$  (seventh) chord and the tonic (this time with its third) in mm. 11-12. When the bass moves half a step down to D $\flat$  Henze emphasizes the D minor triad by a similar construction that brings together the tonic and the dominant. To sum up, tensions that develop from typically Henzean chord constructions and chromatic progressions are more important in determining the dissonant sound world of the opening than thematic distinction connected with Dream-row 1. Even when interval-based arguments seem most plausible, Henze disrupts the expectation of the listeners by shifting his focus – he refrains from using thematic ideas consistently and exclusively for the same character.

Example 4-9. *Der Prinz von Homburg*, Act I, Scene 1. Count Hohenzollern's vocal line is based entirely on Dream-row 1 (orchestral parts omitted from the example).

**P3**

**Phrase 1**

1 2 3 4 5

40 Als ein Nacht - wand - ler, schaut, auf je - ner Bank,

**Phrase 2**

6 7 8 9

45 wo - hin, im Schlaf, wie wir nie glau - ben woll - ten, der

**Phrase 3** **Phrase 4**

10 11 12

50 Mond - - - schein ihn ge - lockt, be - schäf - ti - get, sich

**P3** **Phrase 5**

1 2 3 (4) 5 6 7 8 9 10

55 träu - mend, sei - ner eig' - nen Nach - welt gleich, den prächt' - gen Kranz des

11 12

60 Ruh - - - - mes ein - zu - win - - - - den

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

In analyzing the Count Hohenzollern's solo, which begins just a few moments after the orchestral prologue, it is significant to mention at the outset that it is based entirely on Dream-row 1 (see Ex. 4-9). Accordingly, it seems to contradict Henze's remarks that he avoided twelve-tone writing in the dream sequences. The significance of the row in the vocal line is acknowledged by other authors, yet analyzed only in terms of its connection with the opening

sonority – i.e. the recurring tetrachord E $\flat$ -B $\flat$ -A-F.<sup>145</sup> This approach is valid only if the vocal line is considered on its own, and in segmented form.

Starting immediately after a dramatic harmonic turn in the lower register in the orchestra, the Count describes the Prince's state of mind: "Als ein Nachtwandler, schaut, auf jener Bank, wohin, im Schlaf, wie wir nie glauben wollten, der Mondschein ihn gelockt, beschäftigt, sich träumend, seiner eig'nen Nachwelt gleich, den prächt'gen Kranz des Ruhmes einzuwinden" (Sleepwalking, look, on that bench. Asleep, as we would never have believed, enticed by the moon, preoccupied, dreaming, akin to his own posterity, preparing a fine wreath of glory). Despite the explicit use of the row as the structural background of the entire solo, an analysis concerned solely with the connection between various occurrences of the row does not illuminate the richly varied musical surface – this is as true for compositional coherence as for dramatic continuity in Scene 1.

Given Henze's treatment of thematic materials in the Elector's vocal line analyzed above, it is sound to focus on phrase structure based on the semantic unity of the text in the Count's solo as well. Referring to the sleepwalking Prince, Phrase 1 prefigures both the interval content and initial rhythmic pattern of the horn counter-melody to arrive later in the scene. Accordingly, Dream-row 1 provides structural unity between the opening and the two solos that are important in communicating the dramatic essence of the plot. Nevertheless, it is doubtful that the link between the sections is derived from the row, because the tetrachord E $\flat$ -B $\flat$ -A-F does not constitute an indisputable subdivision of the text. Undeniably, the readily observable musical idea in the first phrase is the two-part construction, which, while dividing an otherwise explicit ascending line from E $\flat$  to E, accentuates the upper-neighbor opposition introduced in the beginning. It is illuminating that the two parts are separated semantically and musically by the

---

<sup>145</sup> See, for example, Schmidt-Wistoff, *Dichtung und Musik bei Ingeborg Bachmann und Hans Werner Henze*, 161.

rests, yet joined together structurally by the minor sixth skip A-F. This noteworthy detail, duplicated with a similar gesture in phrases 2 and 5 with the minor sixth leap B-G and C-A $\flat$  respectively, verifies the hypothesis that rather than representing different characters in the opera, the contrasting ideas reflect the hero's predicament, manifested through varied musical expressions.

In this remarkable solo that is rewarding for the performers (both the tenor and the ensemble that provides the choral background), Henze manages to incorporate all the musical factors discussed above into a coherent and pulsating musical texture. Even as frequent fourths and fifths alternate with minor sixths, clearly delineated phrases outline a skeletal harmonic idea focusing on D, the lower neighbor of E $\flat$  (see Ex. 4-9). In a similar manner to the Elector's solo, the ultimate tones of the five phrases establish D as a focal pitch and A major, its dominant as key element of the melodic idea: phrase 2 rests on C#, while phrase 3 and 5 pivot on D. But D is itself the leading-tone of E $\flat$ , stated three times in phrase 4, before the line reaches A.

Strong thematic and harmonic associations between solo sections in Scene 1 reveal the dramatic purpose behind Henze's compositional method. He does not follow the row slavishly, and is not bound by it as an ordered thematic line of pitches. As a structural musical source he puts the row to varied uses without making it the only factor in determining the more local musical events. Considered in its entirety the texture also suggests E $\flat$  as a focal pitch (and pitch-collection) in mm. 39-42 in the solo line, the choir of voices, and most significantly in the lower strings, which sustains an ostinato over 24 measures and indicates the minor mode with the G $\flat$  (see Ex. 4-10a). Within this E $\flat$  environment, highlighted particularly with the E $\flat$ -B $\flat$  pedal and the bass figure, the inverted form of the opening contrasting material A-F persists to maintain a structural link with the opening. In doing this Henze relies on row intervals as pedal

points. But rather duplicating interval content of the row and qualities inherent in it, Henze sustains row intervals as pedal points to create vertical harmonic tension.

Example 4-10a. *Der Prinz von Homburg*, Act 1, Scene 1. Count Hohenzollern's solo in context.

39

Kfn.

**Dream-row 1**

Nacht, \_\_\_\_\_

Hofd. 1.

Nacht, \_\_\_\_\_

Hofd. 2.

Nacht, \_\_\_\_\_

3.

Hohenz.

**P<sub>3</sub>** 1 2 3 4

Als \_\_\_\_\_ ein Nacht - - wand - ler, schaut, \_\_\_\_\_

Offze. 1.

Ah! \_\_\_\_\_ schaut, \_\_\_\_\_

2.

3.

**F-A inverted form of the interval**

*sim.*

*tr tr tr tr tr tr*

**Eb minor + tetrachord from Dream-row 1**

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Certainly, the F-A dyad is part of the music both as melodic material in the tenor, and as a reference to the initial sonority in the orchestra. But it is also significant as part of the three note string gesture that constitutes a coherent unit by itself and functions as a layer that provides forward thrust to the static sound world of the scene. Within this transparent texture Henze inserts dissonances that retain the anxiety instigated from the very beginning. Already in the downbeat of m. 44 the orchestral accompaniment states a three-note cluster E $\flat$ -E $\natural$ -F (see Ex. 4-10b).

Together with G $\flat$  in the ostinato, the pitch content of mm. 44-45 is derived from a basic chromatic tetrachord – set class (0,1,2,3), in this case as (E $\flat$ ,E,F,G $\flat$ ). Both vocal solos (Count and Natalie), and the choir of ladies duplicate the pitch collection used in the orchestra. In order to highlight the semi-tone conflict Henze introduces E in m. 44 in the choir, as well as in the Count's and Natalie's vocal lines. Significantly, the lower strings sustain the E $\flat$  material and serve as an opposing force, while the perfect fifth E $\flat$ -B $\flat$  in the choir move to E-B $\flat$  before the arrival of a contradictory perfect fifth E-B in m. 46 to confirm the opposition between E $\flat$  and E.

Example 4-10b. *Der Prinz von Homburg*, Act I, Scene 1. The E-E $\flat$  tonal conflict.

43

Nat. Ah!

Kfn.

1.

Hofd. 2.

3.

**Dream-row 1**

Kf. **P<sub>3</sub>**

Hohenz. **5** **6**  
auf - je - ner Bank, wo - hin,

1.

2ffze. 2 3

E $\flat$  G $\flat$  E F

Detailed description of the musical score: The score is for Act I, Scene 1 of 'Der Prinz von Homburg'. It features a vocal line for 'Nat.' (Nathalie) and a piano accompaniment. The piano part is divided into three systems. The first system shows the vocal line for 'Hohenz.' (Hofmeister) with notes 'auf - je - ner Bank, wo - hin,'. The second system shows the piano accompaniment with notes E $\flat$ , G $\flat$ , E, and F. The third system shows the piano accompaniment with notes E $\flat$ , G $\flat$ , E, and F. A 'Dream-row 1' is highlighted with notes P<sub>3</sub>, 5, and 6. The piano part shows a chromatic descent from E $\flat$  to F, with a circle around the E $\flat$  note and an arrow pointing to the E note below it.

Example 4-10b continued.

46

Nat.

Kfn.

**Dream-row 1**

**P<sub>3</sub>** 6 Mond - -

1. Schlaf - - - - -

Hofd. 2. Schlaf - - - - -

3.

Hohenz. 6 7 8 9 10  
 - im Schlaf, - - - - - wie wir nie glau - ben woll - - ten, der Mond - -

1. 4  
 - im Schlaf - - - - - Mond - - - - -

2.  
 3. 4 Mond -

er er er er er er er er er

Towards the end of the Count's solo the conflict becomes even more evident with the return of the opening sonority in the orchestra. Recalling elements and layers from the orchestral prelude is a common element of the works studied here, and as a cliché of operatic writing it helps connect musical ideas in different sections in *Der Prinz von Homburg* as well. By this time, all twelve tones of the row have already been used (though freely repeated to correspond with the composer's dramatic intentions) and Henze, through selective use of the tones in the vocal line, directs the melodic flow and harmonic elements together. In mm. 55-57 the Count's melodic line emphasizes E $\flat$ , B $\flat$ , A, and D with the harmonic support of the opening sonority E $\flat$ -B $\flat$ -A-F (as a tetrachord in m. 55 and the return of m. 1 of the opera's opening dyads E $\flat$ -B $\flat$  and A-F in m. 56), above the E $\flat$  pedal – the texture confirms the return of E $\flat$  as a focal pitch (see Ex. 4-10c).

As if to embellish the nascent idea already intimated with the conflicting E-G alongside the tetrachord in the opening, Henze changes the harmonic focus from E $\flat$  to E near the end of the solo. When the Count sings the arpeggio figure E-B $\flat$ -G in m. 58, pedal E-B in the piano, harp, and the choral background reinforce E minor as a referential pitch collection (see Ex. 4-10d). It is gripping that Henze excludes the strings altogether from the E minor section, only to bring them back when the E $\flat$  ostinato figure returns at the end of the solo. Even though the pitch-collection E-B-G is a segment of the twelve-tone row, it only creates the allusion to E minor at the end. In its first appearance in phrase 1 (mm. 44-48, see Ex. 4-10b), E is the last note of a semantically and musically complete unit. Phrase 2 is separated from this E, where the repetition of the B over three measures and the immediate move away from G down to F $\sharp$  makes it impossible to hear the segment as an arpeggiated triad.

Example 4-10c. *Der Prinz von Homburg*, Act 1, Scene 1. Opening sonority returns towards Hohenzollern's solo.

55

Nat.

Kfn.

1.  
a - - - - (i)n

Hofd. 2.  
- - - - (i)n

3.

Kf.

Hohenz.  
1 2 3  
träu - mend, sei - - ner eig' - - nen Nach - - welt gleich,

1.  
Offze.

2.  
3.

**Dream-row 1**

**P<sub>3</sub>**

2 4 1 3

2 4 1 3

Example 4-10d. *Der Prinz von Homburg*, Act 1, Scene 1. E-minor pitch-collection.

58

Nat.

Kfn.

1.

Hofd. 2.

3.

Kf.

**E minor arpeggio**

Hohenz.

den prächt'gen Kranz des Ruh -

1.

Offz.

2.

3.

Picc. Arpa

E harmonic/melodic minor collection (Eb=D#) E major (Ab=G#)

Detailed description: This musical score page, numbered 58, features multiple vocal staves and a piano accompaniment. The vocal parts include Nat. (Natural), Kfn. (Königliche Hofkapelle), Hofd. 1, 2, and 3 (Courtiers), Kf. (König), Hohenz. (Hohenzollern), and Offz. (Officers). The lyrics for the Hohenz. part are "den prächt'gen Kranz des Ruh -". The piano part is marked "Picc. Arpa" and includes a bracketed section at the bottom identifying the "E harmonic/melodic minor collection (Eb=D#)" and "E major (Ab=G#)".

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

It is an indication of Henze's purposeful treatment of dramatic action and a compelling affirmation of his compositional method that the E-minor harmonic background emerges only in Phrase 5, when the three pitches are used as a thematic entity. The differentiation reflects textual concerns rendered explicit by blatant dissonances through the simultaneous use of E $\flat$  and E segments in the first rendition of the E-B-G segment, and through the dispersion of the E-minor pitch-collection in the second. Certainly, the highly dissonant first statement coincides with the astonishment caused by the Prince's state, whereas the transparent tonal allusion in the second foretells his heroic achievement by referring to the "wreath of glory." Such delineation of dramatic context offers a psychological effect of resolution that is the result of a progression from dissonant to more consonant texture, before the E $\flat$  ostinato returns.

Another harmonic turn towards D minor suggests a firm control of structural coherence to bring back the last of the key areas presented in the prelude. The choral texture unmistakably declares a D-minor triad to accompany the D-F-D melodic curve in the Count's vocal line, which completes the line of thought instigated in the E-minor context a few bars earlier (see Ex. 4-11). As opposed to the D major/minor ambiguity of the opening, D minor at the end is confused by the use of the A-major aggregate in the orchestra. A sudden and unpredicted return of the E $\flat$  ostinato corroborates the hypothesis that Henze uses different musical ideas and textures as block materials, in a style reminiscent of Stravinskian compositional practice, where harmonic progression derived from tonal compositional syntax is halted. What remains is the immediate effect of a vivid musical idea, that is put to various use within different textures depending on the demands of the drama.

Example 4-11. *Der Prinz von Homburg*, Act 1, Scene 1. Tonal ideas at the end of Hohenzollern's solo.

The image shows a musical score for the end of a solo. The vocal parts are arranged in a system with the following staves from top to bottom: Nat. (Soprano), Kfn. (Alto), 1. (Tenor), Hofd. 2. (Bass), 3. (Bass), Kf. (Bass), Hohenz. (Soprano), 1. (Tenor), and Offze. (Bass). The lyrics for the vocal parts are: "licht.", "licht.", "licht.", "licht.", "licht.", "licht.", "mes", "ein - zu - win - den.", "licht.", "licht.". The piano accompaniment is shown at the bottom, with the label "Arpa, Vla." and a rhythmic notation. A vertical box highlights the end of the solo, and a horizontal box highlights the piano accompaniment. The piano accompaniment is labeled "A major aggregate (+C, G) / D-minor triad" and "Eb ostinato".

**A major aggregate (+C, G) / D-minor triad**

**Eb ostinato**

### 4.3. Tonal allusions in twelve-tone counterpoint: the “Dream-Invention.”

Enveloped between the Count’s and the Elector’s solos, the “Dream-Invention” is notable for the contrapuntal treatment of thematic ideas derived from two twelve-tone rows. To mark the arrival of the “Invention” passage itself Henze intensifies the dramatic action in the preceding transitory episode by reintroducing several musical ideas into a stretto texture; a shift of dramatic focus complements the amplification of the musical ideas before the invention commences (see Ex. 4-12).<sup>146</sup> As already mentioned, the solos explore the Prince’s psyche to delineate the inner conflict between freedom and his sense of duty; in the transition, the spectator’s attention is guided toward external manifestations of his emotional state. One of the secondary characters, the Electress misconstrues his curious behavior and declares him sick while others ask for a doctor; Count Hohenzollern assures them that it is nothing more than a disturbance of the mind.

The following discussion will deal further with Henze’s technique of creating focal pitches and pitch-collections within a densely twelve-tone texture. First, the analysis will aim to discuss the simultaneous presence of the two Dream-rows within the E $\flat$ -minor context of the transition and the Invention. Then, several layers of vocal and instrumental parts will be examined to illustrate how Henze emphasizes focal pitches to create tonal allusions. To conclude, analytical findings will form the basis of dramatic interpretation of the passage reflecting the dilemma of the Prince that constitutes the core of the plot.

Immediately before the Invention starts, the ladies notice the leaves the Prince is weaving. Natalie sings an ornate “Wreath-motif” to the orchestral accompaniment that consists of the E $\flat$  ostinato and the opening orchestral sonority (see Ex. 4-12). A much simpler gesture heard in the alto nonetheless shares with the soprano the E $\flat$  pitch-collection as its structural foundation; the

---

<sup>146</sup> This is the section that has received most attention in Henze scholarship.

penultimate note  $G\flat$  confirms, thematically, the minor mode hinted in the ostinato. The overwhelming weight of  $E\flat$  as a key focus in mm. 79-87 results from the concurrent use of musical elements introduced earlier in the opera. In the lower register the  $E\flat$  minor ostinato returns to give the music a push one more time while the tetrachord, this time with additional pitches that complete the  $E\flat$  collection to indicate a harmony that uses the tonic and the dominant (incomplete). Together with the opening sonority, now made even more dissonant through the accumulation of the main key areas from the opening in a stretto, the choir of ladies, and solo lines of Natalie and the Electress constitute the melodic and harmonic material of the episode.

As an inspired example of Henzean stratified textures, superimposition and juxtaposition of block materials of the scene help reflect the psychological complexity of the situation. While the officers perceive the Prince's contemplative state as a sign of his preoccupation with the imminent battle, the Electress observes in him a childish confusion remote from any worldly involvements. And while Natalie reiterates the officers' words, the head-notes of her solo recall the minor-sixth interval to create associations with the opening and the Prince's solo that arrives a moment later. Stated at the very beginning of the opera these strong thematic and harmonic materials acquire dramatic vigor. Because of their distinct registers, their rhythmic diversity, as well as orchestral and vocal differentiation the effect of the individual ideas becomes easily discernible even within the layered sound world of the section.

Example 4-12. *Der Prinz von Homburg*, Act 1, Scene 1. Eb-minor collection and the Dream-rows in the transition and the “Dream-Invention.”

**Eb-minor pitch-collection**  
(Eb, F, Gb, Ab, Bb, Cb, Db)

**Eb-minor pitch-collection**  
(Eb, F, Gb, Ab, Bb, Cb, Db)

Example 4-12 continued.

87

Nat. ist es. **Dream-row 2** **I<sub>1</sub>** 1

Kfn. ist es. Scha - - -

Hofd. **Wreath-motif**

Offz. 1 *mit kurfürst und Hohenzollern* **P<sub>1</sub>** 1 2 3

Kf. Hohenz. Die Schlacht von

Offz. 2 **Dream-row 1** **P<sub>1</sub>** 1 2 3

Gb/G-natural conflict

**Dream-row 1** **P<sub>1</sub>** 1 2 3

**Eb-minor pitch-collection**  
(Eb, F, Gb, Ab, Bb, Cb, Db)

92 **Dream-row 2** **P<sub>1</sub>** (Db) 1 2

Nat. Die Schlacht

Kfn. - - - de, e - - wig scha - de,

Hofd.

Offz. 1 4 5 6 7 8

Kf. Hohenz. mor - - - gen sieht er schon

Offz. 2 **Dream-row 2** **P<sub>1</sub>** 1 2 3 4 1 2 3

Clar. 7

Fl. 7

4 5 6 7 \* 8

## Example 4-12 continued.

The image displays a musical score for a scene from the opera *Der Prinz von Homburg*. It features five staves: a vocal line for the character 'Nat.' (Natasha), a vocal line for 'Kfn.' (King of Prussia), and three staves for piano accompaniment labeled 'Offz. 1 Kf. Hoherz.', 'Offz. 2', and 'Offz. 3'. The vocal lines contain German lyrics. The piano accompaniment includes a section with a boxed 'P<sub>1</sub>' marking and numbered measures (4, 5, 6, 7, 8, 9, 10, 11, 12) with various musical notations like slurs and triplets. The lyrics are: 'von mor - - - gen - sieht er daB hier kein Spie - - - gel in der NÄ - he ist! im Geist aus'.

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The successive accumulation of several divergent musical ideas creates suspense, and become a sign of ambivalence, communicating the essential elements of the plot, as experienced by the Prince, himself, and observed by the party as a whole. Henze mentions the premises of this compositional technique in passing, and then only vaguely.

I am thinking ... of the degrees of tension that arise when two or more lines converge, a tension that can be increased or decreased by means of part-writing. Clusters ... have now become combinations of notes in my scores that can be followed not only on the printed page but also by the listener ... They land on the manuscript paper, moving from left to right, passing from past into the future and forever creating new contrapuntal, harmonic and emotional relationships. I am tempted to use a conceptual construct such as “psychopolyphony” to describe my present technique, which I have spent half a century developing.<sup>147</sup>

Inspecting more closely the dramatic oppositions in the plot, the internal musical tensions derived from overlapping blocks account for a multiplicity of “voices” – depicting both an inner conflict and a struggle between the individual and the existing social order. In the move toward the invention these diverse voices expose a multitude of musical details, united through Henze’s treatment of harmonic background that is based on the E $\flat$ -minor pitch-collection.

At the double bar Henze replaces the ostinato in the lower register with a complete statement of Dream-row 1 (P<sub>1</sub>) in staccato parallel octaves in the choir of officers, duplicated in the bass instruments with rhythmic variation. Meanwhile, the wordless humming of the ladies replicates the wreath-motif (transposed a minor second down). Although the Electress sets off the “Dream-Invention” with a complete statement of the I<sub>1</sub> form of Dream-row 2, an E $\flat$ -minor pitch-collection dominates the entire texture after the slight change of tempo as well. Significantly, G $\natural$ , the only pitch in mm. 88-91 that is not an element of the E $\flat$ -minor key, maintains the G $\flat$ -G $\natural$  opposition (or rather the E $\flat$  major/minor opposition) implied in m. 87. Furthermore, the harmonic focus of the texture is additionally confirmed by the C $\natural$ -D-E $\flat$  ascent in the inner voice in mm. 84-86, which would have confirmed E $\flat$  as a key center in a tonal context, further

---

<sup>147</sup> Henze, *Bohemian Fifths*, 33-34. In an interview the composer mentions that there are always several active “voices” in his music. *Hans Werner Henze, Memoirs of and Outsider*, prod. Dennis Marks, dir. Barrie Gavin. 89 min. Arthaus Musik, 2003. DVD.

confuses the texture, because of the accumulation of conflicting musical ideas into a short, but dense passage.

Henze's compositional approach in these adjacent sections reveals important clues to determine how a pitch or key area is emphasized in his music. Undoubtedly, E $\flat$  is a focal pitch and a focal sonority in the transition, whose significance is made explicit through the persisting ostinato, in the repeated fifths in the choir of ladies, and in the superimposed sonorities in the orchestra. Aligned with these ideas, the secondary theme in the alto encompasses an octave e $\flat$ '-e $\flat$ " while resting repeatedly on the dominant and subdominant scale degrees B $\flat$  and A $\flat$ . The wreath-motif that Natalie sings covers b $\flat$ '-b $\flat$ ", underlining in the meanwhile both F and A $\flat$ , to suggest the dominant of E $\flat$  major/minor. Despite the added prominence of (parallel) fifths E $\flat$ -B $\flat$ , A $\flat$ -E $\flat$ , and B $\flat$ -F, and the occasional third G/G $\flat$ , the harmonic context is nonetheless complicated by the incessant contrasting materials in the vocal and orchestral texture (see Ex. 4-12).

With the shift of emphasis from E $\flat$  to D $\flat$  in the bass at the double-bar, contrapuntal writing takes over as the compositional principle in Scene 1. Because the transposed "wreath motif" is supported by two perfect fifths, D $\flat$ -A $\flat$ , at each end of the melodic idea, and because Henze uses this interval thematically in the bass and the choir of officers, it is tempting to consider D $\flat$  as a separate collection in opposition to E $\flat$ -minor. Moreover, the arrival of the D $\flat$  as a focal pitch is prepared in the previous section where the first statement of the wreath-motif ends on a perfect fifth D $\flat$ -A $\flat$ . Indeed the double bar indicates a change in the musical expression, with the slower tempo, the sudden shift from E $\flat$  to D $\flat$ , the contrapuntal writing, and the stratified texture that contains several rows and the wreath-motif. Henze achieves another subtle distinction in his musical response to dramatically important textual details: the E $\flat$ -minor

collection in the ladies' ensemble refers to the laurel wreath, while the  $D\flat$  focus in the next section highlights the Prince's preoccupation with the battle. Yet, the  $E\flat$ -minor collection accounts for the entire texture in this short section (mm. 88-91). Even the incidental occurrence of  $G\sharp$  (marked separately in m.91 in Ex. 4-12) conforms to the general idea of the passage by reiterating the  $E\flat$  major-minor conflict – it is also the third pitch of Dream-row 1 stated in the bass.

Equally important is the dramatic continuity accomplished through the use of the two rows in the invention. Dream-row 1 is employed with the same melodic curve used in the Count's solo about the Prince's dream-state, (deviations marked with asterisks in the example are done to accommodate the vocal line to the limitations of the choir). Moreover, the use of Dream-row 2 in the two female voices blends in with the remainder of the texture. But whereas the head-notes  $D\flat$ -F in the alto reiterates the pitch focus of the passage, and form a typically Henzean major/minor conflict, the minor sixth leap in Natalie's much discussed entry sets off the contrapuntal writing using the prime form of Dream-row 2. Concentrating on the actual musical surface formed in addition by the contrapuntal entries in the clarinet, the flute, and the counter theme in the alto, de la Motte and Bielefeldt claim that two collections of notes constitute the structural basis of the invention (see Ex. 4-13). In order to arrive at analytical units in the vocal and instrumental parts de la Motte assigns a new number to successive tones even when a tone is repeated.<sup>148</sup> Though questionable as an analytical approach, their studies provide valuable groundwork for further investigation and interpretation. This method reveals how the actual music unfolds, but overlooks the relationship between the twelve-note row (in this case the

---

<sup>148</sup> The result is a 27-note row followed by 25-note row (labeled from A to Z) – Bielefeldt assembles these together as a 52-tone row to label it the “Traum-tune.” Authors argue that the Dream-invention unfolds using this material as the foundation of the texture; Natalie's line consists only of the first 13 notes, the flute all 52 notes, and the Electress using the inversion of the row (la Motte observes that the Electress's line is the inversion of Natalie's 13-tone melody). De la Motte does not assign new numbers if a phrase is repeated in its entirety.

Dream-row 2) as abstract structural unit, and the invention as the musical outcome through Henze's idiosyncratic compositional method. A reinterpretation of their findings uncovers Henze's twelve-tone technique in *Homburg* – a compositional method also used in *The Bassarids* examined below.

Example 4-13. "Rows" in the "Dream-Invention" (after de la Motte, pp. 21-22).

The image displays a musical score for three parts: Flöte (Flute), Natalie Kurfürstin (Soprano), and a vocal line. The score is divided into three systems, each with numerical annotations above the notes indicating specific 'Rows' or structural units.

**System 1 (Measures 92-97):**

- Flöte:** Measures 92-97. Annotations: [1 2 3 4 5] above measures 92-94; (1 2 5 4 5) 6 7 above measures 95-97.
- Natalie Kurfürstin:** Measures 92-97. Annotations: [1] above measure 92; 2 above measure 93; 3 above measure 94.
- Vocal:** Measures 92-97. Annotations: [1] above measure 92; 2 above measure 93; 3 above measure 94; 4 above measure 95; 5 above measure 96; 7 (4 5) above measure 97.
- Lyrics:** Scha - - - de, e - - - wig scha - de, daß hier kein

**System 2 (Measures 98-103):**

- Flöte:** Measures 98-103. Annotations: 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 above measures 98-103.
- Natalie Kurfürstin:** Measures 98-103. Annotations: 4 5 6 7 8 9 10 11 12 above measures 98-103.
- Vocal:** Measures 98-103. Annotations: 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 above measures 98-103.
- Lyrics:** mor - - - - - gen sieht er schon im Spie - - - - - gel in der Nä - he ist! Er würd' ihm, ei - tel

**System 3 (Measures 104-109):**

- Flöte:** Measures 104-109. Annotations: 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 above measures 104-109.
- Natalie Kurfürstin:** Measures 104-109. Annotations: 15 ( ) 15 15 ( ) 15 above measures 104-109.
- Vocal:** Measures 104-109. Annotations: 22 ( ) 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 above measures 104-109.
- Lyrics:** Geist aus Son - - - - - nen ei - nen Sie - - - wie ein Mädchen, nah'n und sich den Kranz bald so, und wieder so - - - wie ei - ne

Example 4-13 continued.

110

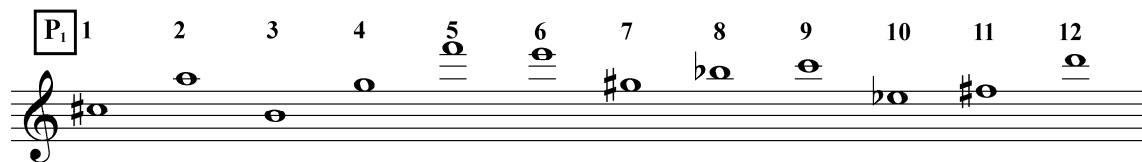
flor - ne Hau - be auf pro - bie - ren.

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Plausibly, the thematic and (part of the) textural material in the “Dream-Invention” is derived from a twelve-tone row (see Ex. 4-14).<sup>149</sup> Labeled Dream-row 2 in the present study, this collection is derived by omitting pitch-class repetitions in the flute part and sieving the surface note-string to leave only the new pitch-classes. It is rewarding to start the analysis from this row because the variation Henze achieves between Natalie’s vocal line and the instrumental parts allows for a dramatic reading of the texture with regard to the plot. This approach will also reveal harmonic and thematic connections between the contrapuntal texture derived from Dream-row 2 and the counter-theme in the bass entirely structured on Dream-row 1.

<sup>149</sup> This collection is not acknowledged as a separate twelve-tone row in the literature. Because of the similar passage in Act 1, Scene 3a, where the scholarship recognizes a collection labeled “Battle-row,” it is logical to analyze this parallel idea the same way. In example 14 the row is given in its correct register to make it easier to trace voice leading analysis given below.

Example 4-14. Dream-row 2 used in the contrapuntal section in “Dream-Invention.”



Analyses that concentrate specifically on the contrapuntal writing based on Dream-row 2 have limited value in elucidating dramatic matters. From a merely technical perspective, three compositional issues appear important for a thorough understanding of the musical structure and its dramatic effect. First, the row is stated with a more rapid succession of new pitches in the orchestra than in the solo parts of Natalie and the Electress – this is particularly obvious in the flute part that commences in m. 96 (see Ex. 12). Hence a heterophonic treatment of the row creates much of the different melodic forms in the different layers – the same principle associates the plain statement of Dream-row 2 in the officer’s choir with the repeated sixteenth-notes in the bass in the orchestra.

Second, it is doubtful that the twelve-tone row or 27 or 25-tone row is Henze’s main compositional “source” in the “Dream-Invention.” Because of the persistent large skips in the vocal and instrumental lines it is unsound to consider either of the row forms a theme. It is true that in the expressionistic works of the early twentieth century, a style with considerable influence on Henze, such undulating writing was common. But by using continuous skips in the instrumental as well as vocal lines, he forms a compound melody with several diatonic or chromatic units in different registers (see Ex. 4-15).

Example 4-15. Diatonic and chromatic thematic units in different registers of the “Dream Invention.”

The image shows a musical score for Flute and Viola. The Flute part is in the upper staff, and the Viola part is in the lower staff. The Flute part starts at measure 94. The score includes diatonic and chromatic thematic units in different registers. The Flute part has notes: (C# B), C#, (A G), G#, Bb C), (Db Eb, F#). The Viola part has notes: (Eb Db), (A Bb). Above the Flute staff, there are notes: (F E G A) (Bb C) D). Above the Viola staff, there are notes: (F G A).

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

And third, coupled with frequent note repetition, these short musical gestures create focal pitches and even focal key areas. Particularly in Natalie's vocal line the repetitions develop tonal allusions similar to other solos studied above, and connect the invention with the orchestral prelude at the beginning. A much more lucid melodic structure in this emphatic solo outlines an A-major triad through flexible treatment of the incomplete P<sub>1</sub> form of Dream-row 2 (see Ex. 16). Framed by C# at each end, phrase 1 rests on A, first with a minor-sixth leap, and then, as if to fortify it as a pivotal pitch, with a minor-seventh leap B-A. Another minor-sixth sets off phrase 2, where an emphasis on A and E complete the triadic idea; two parallel sub-phrases at the end outline octave spans e'' - e' and a'' - a'. With the exception of E<sup>b</sup>, the penultimate tone, the entire solo is derived from the D harmonic/melodic minor scale.

Example 4-16. Focal pitches and tonal allusions in Natalie's vocal line.

**Dream-row 2**

94 P<sub>1</sub> 1 Die Schlacht von mor - - - gen

**Phrase 1**

101 5 6 sieht er schon im Geist aus

**Phrase 2** **Phrase 3**

106 Son - - - - - nen ei - nen Sie - - - ges - kranz ihm win - den.

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

This analysis corroborates De la Motte claims that the first 14 notes in his analysis can be construed as D minor with major and minor sixth.<sup>150</sup> To substantiate this claim, though, it is essential to take into account the rest of the texture. Indeed, the D-A-F descent in the bass in mm. 93-95, D melodic-minor scale segment B-C# in mm. 94-97, and arpeggiated dominant-seventh chord (particularly in m. 96) contribute to creating a tonal orientation in the harmonic background (see Ex. 12). Consequently, D minor is implied particularly through the repetition of the leading-tone C# and other pitches of the dominant triad. Vague presence of the D-minor pitch collection (harmonic and melodic) is obscured by the additional pitches of Dream-row 2,

<sup>150</sup> De la Motte, *Hans Werner Henze*, 23. In arriving at his conclusion the author takes into account only the elaborate flute part.

introduced to the texture in the flute. Even when the D-minor triad is stated in m. 101, F# in the bass confuses the harmony. Equally flimsy, the inverted D-major triad in m. 104 is also obscured by the superimposed dominant sonority in the same measure.

Analytical findings above attempt to clarify how twelve-tone materials produce tonal allusions. Evidently, D as a key focus establishes structural links with the orchestral opening of the opera. But the dramatic analysis of the “Dream-Invention” depends ultimately on the immediate relationship between Natalie's solo and the other thematic and harmonic ideas. Once again Henze creates a powerful musical depiction of the Prince's inner conflict through the simultaneous use of two rows in the vocal as well as orchestral parts. Without doubt Dream-row 1 in the soprano is dramatically related with Dream-row 2 in the officer's choir (see Ex. 4-12). They sing the same text that further explores the intangible dimension of the hero's inner world: “Die Schlacht von morgen sieht er schon im Geist aus Sonnen einen Siegeskranz ihm winden” (In his mind's eye he already sees tomorrow's battle weave him a wreath of glory made of suns).

It is not a coincidence that the forceful opening line “Die Schlacht” (The battle) is set to music through the thematic treatment of the intervallic opposition in the prologue – i.e. the minor-sixth C#-A in Natalie's vocal line, and the perfect-fifth D $\flat$ -A $\flat$  in the choir. Hence, the intervallic differentiation represents the personal impasse of the Prince, equally important for the play and the opera. In fact the conflict between the world of dreams and world of actions only become apparent with the I<sub>1</sub>-based material in solo line of the Electress that comments on the external signs of the hero's confused state of mind: “Schade, ewig schade, daß hier kein Spiegel in der Nähe ist! Er würd' ihm, eitel wie ein Mädchen, nah'n und sich den Kranz bald so, und wieder so, wie eine florne Haube aufprobieren.” (Pity! Were there a mirror here, he would approach it, vain as a girl, to try on his wreath as though it were a flower).

#### 4.4. Row structure vs. musical expression: the “Battle-Invention.”

*Der Prinz von Homburg* ends on a most curious note that contradicts the premises laid out by the composer concerning the depiction of the two worlds through different musical idioms. Hailed by the officers and the ladies as “the victor of the battle of Fehrbellin,” sung to a variant of the wreath-motif, the Prince wakes up to ask: “Nein, sagt, ist es ein Traum” (No, tell me, is this a dream)? Colonel Kottwitz’s answer suggests that the Prince has dreamt everything that happens between the first and the last scenes: “Ein Traum, was sonst” (A dream, what else)? As mentioned above musical and visual elements from Scene 1 return at the end to create logical continuity in the drama; a restatement of the opening orchestral sonority with related thematic materials and two occurrences of the wreath-motif above an open fifth E $\flat$ -B $\flat$  ensure that resolution of the dramatic conflict corresponds with the formal unity of the work.

The analysis below will focus on the contrapuntal texture of the Battle-Invention in order to show how it differs from the “Dream-Invention” (a parallel section). Particularly, differences between the two Dream-rows and the Battle-row will be considered as one of the determining factors that affect the different musical outcome. A dramatic interpretation of the move away from strong tonal allusions towards more dissonant textures will conclude the following two sections.

As mentioned above Henze’s claim regarding the distinction between the two worlds in *Homburg* in terms of tonal and twelve-tone music is somewhat inaccurate. It is certainly telling that contrapuntal sections are imbued with carefully designed textual and musical references that are indubitably related with the dream-world. Their significance is revealed through links between different sections or scenes, showing imaginative use of symbolic language throughout the opera. One such connection exists between the final choral texture in the last scene and

“Battle-Invention” in Act I, Scene 3a.” Based on a twelve-tone row, this contrapuntal texture expands the dramatic idea already introduced in the parallel section in Scene 1, the “Dream-Invention.” Yet, it is only in the final scene that the resolution of the conflict between reasons of state and the human sentiment is attempted. Natalie and the Electress are joined by the others in their affirmation of power of the latter as the superior impulse in human existence: “Der Himmel hat einen Zeichen uns gegeben, und fester Glaube baut sich in uns auf, daß die Empfindung einzig retten kann” (Heaven has given us a sign, we firmly believe that feelings alone can save us)!

This idea is already planted in the drama in Scene 3a, where the Prince disobeys specific orders not to leave the position he is assigned until the goals of the battle plan are achieved. Despite the pleas by the officers to follow orders, he commands them to obey him, their superior officer, and demands the fanfare be sounded sooner than planned. Reminded by Count Hohenzollern the Elector’s order to wait, the Prince gives an overemotional answer, not fit for a cavalry commander in time of war: “Auf Ordn’? Hast du sie noch vom Herzen nicht empfangen” (The order? Doesn’t your heart give you the order)? As Kreutzer argues, the overt prominence of the Prince in the opera is the result of Bachmann’s efforts to adapt the text to the musical genre of opera, and at the same time mold an acceptable version of the drama for contemporary audiences.<sup>151</sup> This quality of the libretto makes elaborate musical delineation somewhat redundant and allows Henze to depend on subtle distinctions between the world of dreams and world of actions – as mentioned the music of both worlds reflects a union of twelve-tone writing and tonal allusions.

Since the contrapuntal orchestral texture in the Battle-Invention is also controlled by a twelve-tone row, it is natural to interpret associations between Scene 3 and the “Dream-Invention.”

---

<sup>151</sup> Kreutzer, “Libretto und Schauspiel,” 62.

Partly because of different interval structures in the rows used, there are differences between the sound-world of the two scenes. With their strong tonal leaning, the head-notes of the two dream-rows,  $E\flat$ - $B\flat$  and  $C\sharp$ - $A$ , are used to great effect as thematic and harmonic ideas in Scene 1. As opposed to Dream-row 1, which is rich in fifths and sixths, and Dream-row 2 in sixths and major thirds, the “Battle-row” abounds in major/minor seconds and minor thirds (see Ex. 4-17).

Example 4-17. The Battle-row.

The image shows a musical staff with a treble clef and a key signature of one flat. The notes are:  $E\flat$  (1),  $F$  (2),  $G\sharp$  (3),  $A\flat$  (4),  $B$  (5),  $C\sharp$  (6),  $D\flat$  (7),  $E$  (8),  $F$  (9),  $G$  (10),  $A\flat$  (11),  $B$  (12). Brackets above the staff indicate intervals: Minor third (2-3), Minor third (4-5), Minor third (6-7), and Major second (10-11). Brackets below the staff indicate intervals: Minor second (1-2), Major second (3-4), Minor second (5-6), Major second (7-8), and Minor second (11-12). A box labeled  $P_9$  is at the beginning of the staff.

This is not to say that the compositional style of the Battle-Invention is altogether different. Just as in the “Dream-Invention,” the undulating lines in the orchestra create compound melodies (see Ex. 4-18). In this case Henze partitions the  $P_9$  form of the row between the two violin parts, while he uses the  $P_4$  form in the cello. The result is several motivic ideas that form local voice-leading details such as the three-note arch  $G$ - $G\sharp$ - $A$  in the top layer of Violin I (marked at mm. 149-152). Likewise, the cello part introduces chromatic/diatonic scale segments in three registers; as a compliment to the uppermost register of the violin part, the three-note ascent  $F$ - $F\sharp$ - $G\sharp$  in the bass is particularly important in cautiously focusing on  $A$ . Consequently, the outer voices imply  $A$  minor as a harmonic idea, which is vaguely developed in the Count’s vocal line – it replicates, so to speak, the opening solo of the opera in skeletal form, with an emphasis on the three pitches of the  $A$  (minor) triad and the span of  $e\flat$ - $e$  as pivotal notes of the melody.

Example 4-18. *Der Prinz von Homburg*, Act 1, Scene 3. Battle-row in context (score is transposed to concert pitch).

143

English Horn

Clarinet in Bb

Bass Clarinet

Bassoon

Horn in F

Hohenz.

P.v.H.

Officer

Violin I

Violin II

Viola

Cello

Contrabass

Auf, folgt mir! Auf! Lasst Fan-fa-re

Ru-hig, ru-hig Kün-der!

**Bb-major triad**

## Example 4-18 continued.

147 **Battle-row**

Clarinet in Bb

Bass Clarinet

Horn in F

Hohenz.

P.v.H.

Officer

Violin I

Violin II

Viola

Cello

Contrabass

Des Herrn Durch - laucht bei der Pa - ro - le ge - stern be - fahl, dass wir auf Ord - re

bla - sen

(D E E $\flat$  (G

(A B $\flat$  B $\sharp$  C $\sharp$ ) (E $\flat$  F $\sharp$  F $\natural$  E $\flat$ )

F $\natural$  F $\sharp$  G $\sharp$ )

## Example 4-18 continued.

150

Clarinet in Bb

Bass Clarinet

Horn in F

Hohenz.

P.v.H.

Officer

Violin I

Violin II

Viola

Cello

Contrabass

war - ten sol - len.

Auf Ord'r? Hast du sie noch vom Her - zennicht Emp - fan - gen?

Der Hen-nings hat den Rhyn

$I_9$  5 6

$P_9$  12

$P_4$  9 10 11

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

It is striking that there is far less phrase repetition in the Battle-Invention, with only ambiguous and indirect focal-pitch emphasis or allusion. Moreover, the vocal and orchestral textures are not unified through the use of twelve-tone row or pitch-collections that can be interpreted as the structural foundation of the entire score. Tonal material is restricted to the

repetition of the B $\flat$ -major triad in the strings and the wind instruments, with a manifest march-rhythm in the fanfare. Both tonal and twelve-tone materials are used as block materials demarcating textual content unmistakably. When Count Hohenzollern reminds the Prince of explicit orders to wait, the twelve-tone texture takes over abruptly. Henze's compositional approach here is cinematographic in the sense that the music is used explicitly to depict dramatic action; the repeated chords that accompany the orders to sound the trumpet get interrupted time after time by contrapuntal sections where the focus is on matters of state and law and the Prince's reaction that constitute the core of the plot.

And finally, the Battle-Invention, too, includes a counter-melody that supports a conflicting viewpoint in the drama. Based on the I<sub>9</sub> form of the row, this opposing idea in the clarinet initiates the head-tones of the Prince's outcry explaining his reasons to disobey orders. Orchestration, too, contributes to dramatic continuity; the heterophonic parallel melody in the horn accompanies the Prince ("Auf Ordn'?" at m. 150), recalling the instrumentation of the repetitive counter-melody in the Elector's solo in Scene 1. Nonetheless, despite similar method of composition in the two inventions, Henze manages to create greater suspense in the Battle-Invention, as called for by the dramatic action in the scene, initiating the serious problems the Prince faces in the following acts.

#### **4.5. Twelve-tone counterpoint in Act II.**

Henze's oversimplified demarcation in his own commentaries and published remarks on the opposing musical idioms in *Der Prinz von Homburg* is corroborated partly in the opening of Act II, which depicts the court-marshaled Prince in a prison. Written as a three-part fugue the score reflects straightforward application of several forms of Dream-row 1 (see Ex. 4-19). Even the

transparent instrumentation reflects the gravity of the situation with the limited use of the strings – only the lower registers with the cello and the contrabass – over 155 measures. Unaware that the Elector is about to sign his death warrant, Wilhelm asks the Count with optimism: “Sprich, des Arrestes bin ich wieder los” (Tell me am I to be set free)? He is confident that the Elector would pardon him even though the court-martial warrants a death-sentence.

Example 4-19. *Der Prinz von Homburg*, Act II, Scene 4, mm. 1-14. Contrapuntal use of Dream-row 1 and rhythmic-rows (score transposed to concert pitch). Analytic indications after de la Motte, *Hans Werner Henze*, 44-45.

**Rhythmic-row**

The image displays two systems of musical notation for brass instruments. The first system includes Horn in F, Trumpet in C, Trombone 1, and Trombone 2. The second system includes Horn (Hn.), C Trumpet (C Tpt.), Trombone 1 (Tbn. 1), and Trombone 2 (Tbn. 2). The notation features various rhythmic patterns and pitch contours, with specific analytic markings such as **Dream-row 1**, **P<sub>3</sub>**, **P<sub>10</sub>**, and **I<sub>6</sub>**. Brackets and numbers (1-12) indicate the sequence of notes in the rows. The title **Rhythmic-row** is placed above the first system and below the second system.

**Rhythmic-row**

Surprisingly, not only the pitches, but the rhythmic values in the passage are serialized as well. This is fascinating, considering Henze's rejection of Darmstadt ideology, closely tied with the development of multiple serialism as a compositional method.<sup>152</sup> However, as recent research articulates, Henze shared an enthusiasm for the opportunities the Darmstadt school offered, not only in terms of promoting new music, but also because it allowed revival, in Germany, of music by composers whose music had been banned under the Nazi regime. Henze himself refers to the early years of Darmstadt as a constructive experience, and recalls the influence of his teacher Wolfgang Fortner and René Leibowitz as prominent figures. He also mentions that the group unanimously agreed at the time that serialism and dodecaphony were the only viable techniques to be developed further.<sup>153</sup> Susan Bradshaw regards Henze as one of the composers of "the class of '45, a group consisting of Boulez, Pousseur, Stockhausen, Henze, Maderna, Nono, and Berio. During the 1950s, this youthful brigade congregated at Darmstadt and developed the plans for integral serialism."<sup>154</sup> What seems problematic for Henze is not the use of a specific compositional technique and the level of control over different aspects of a composition but the loss of expressivity in music and the total disregard of its social function. Hence, even though he uses twelve-tone rows and serialized rhythmic values in *Homburg*, he nonetheless explores a dramatic and expressive potential in the technique by juxtaposing it with tonal ideas.

In Act II Scene 5 the alternation of block materials of contrasting musical elements convey the sense of hopelessness, specifically signaled in the block chords that accompany one of the

---

<sup>152</sup> M. J. Grant uses the term multiple serialism in her discussion of the terminology as the least problematic term compared with serial (which in English and French covers all music composed with rows), total or integral serialism (because of the different developments in Europe and the US), if she says "the term 'multiple serialism' appears in recent Belgian publications, and is the least problematic of the three, as long as it is borne in mind that 'multiple' refers to the parameters organized and not to the presence of multiple rows." M. J. Grant, *Serial Music and Serial Aesthetics: Compositional Theory in Post-War Europe* (Cambridge: Cambridge University Press, 2001), 5.

<sup>153</sup> Henze, *Music and Politics*, 38.

<sup>154</sup> Susan Bradshaw, "The Class of '45," *Musical Times* 136 (March 1995), 139.

most dramatic moments in the opera. Two superposed tetrachords (F#-minor and G-minor triads with added fourths) that were repeatedly stated in the short tutti introduction to the scene, accentuate the solo entry of the Prince horrified by the thought of his death sentence, to be carried out the next day (see Ex. 20a): “O Gott! Ich seh’ das Grab beim Schein der Fackeln öffnen, das morgen mein Gebein empfangen soll” (Oh God! I can see the grave opening up by torchlight to receive my bones tomorrow). Because of the clear difference in register it is logical to read this sonority, now sounded only in the strings, as two minor chords a minor second apart (with their added fourths). Despite the rhythmic vigor that separates the block sonority from the vocal line and the brass counter-melody, thematic and harmonic materials in the texture are nevertheless derived from P<sub>9</sub> form of the Battle-row. After the four-note motif that uses that same rhythmic pattern as the counter melody in the Elector’s solo in Scene 1, the row is interrupted by the block chords, only to return in the trombones and the horns to complete the full statement of the collection.

Scene 5 has a three-part formal structure that projects the dramatic substance of the plot with the alternation of its contrasting sections, complemented by layered textures of twelve-tone rows and tonal materials. In the first part, the orchestral tutti states the superimposed chords insistently to reveal the severity of the situation (these chords return to interrupt the Prince’s solo in the second part). In the contrapuntal second part the vocal line initially replicates the opening tetrachord (A-B<sup>b</sup>-C<sup>#</sup>-B<sup>♯</sup>) with a varied melodic curve, it also creates a tension both with the twelve-tone row, because it does not follow the pitch order or the row, and with the conventional sonorities in the strings (particularly with the collision of E and E<sup>b</sup> chords – see Ex. 4-20a).

Example 4-20a. *Der Prinz von Homburg*, Act II, Scene 5. Battle-row in the vocal line and the orchestra.

**Battle-row**

73 P.v.H. **P<sub>9</sub>** 1 2 3 4

(O Gott!) Ich seh' das Grab beim Schein

Archi Trbne. 5 6 7

**F#-minor and G-minor triads**

76 P.v.H. **P<sub>9</sub>** (4) 6

der Fa - ckeln öff - nen, das mor - gen mein Ge - bein

**E-minor seventh arpeggio**

**E<sub>b</sub> + (with leading-tone)**

**P<sub>9</sub>** 8 9 10 11 12

79 P.v.H. 2 3 4

emp - fan - gen soll. Und die - se Au - - - gen,

Through the slightly erratic application of the row in the vocal line Henze retains tonal conflicts introduced earlier in the drama. By switching the order position of D and E $\flat$  in mm. 17-18 he prepares the conflict between the E $\flat$  chord in the strings and the E-minor seventh arpeggio in the vocal line. At the same time the repeated leading-tone C# (D $\flat$ ) in the vocal line suggests D as a focal key, but because of the switch, the resolution to the tonic is postponed until m. 18, where it becomes part of the E sonority. Furthermore, it might even be suggested that the orchestral texture in these two bars comprise the E $\flat$ -minor pitch-collection justifying a connection with Scene 1. But the accumulation of so many conflicting tonal and twelve-tone ideas within the confines of a few bars creates a sound mass that is confusing for the listener and makes it impossible to determine the prominent idea aurally or analytically. On the other hand, the two passages are indeed connected dramatically, yet the nature of the Prince's dilemma is altered. In the first scene Henze's focus was on Arthur's inner dilemma, the conflict between his sense of duty and his craving for freedom - hence the transparency of the tonal and twelve-tone ideas and their unification within a tonal focus, partly an outcome of the interval structures of the Dream-rows. Confronted with the immediate threat of a death sentence, the Prince's quandary in Scene 5 relates to his actions in total disregard of established law and the consequences he must face as a result of these - hence indecipherably dense musical textures, partly due to the qualities of the Battle-row.

After the alternation of the block chords with twelve-tone material, a long contrapuntal section accompanies the prince's plaintive elaboration of his hopeless situation. As Bielefeldt observes, Henze makes use of two different forms of the battle-row a perfect fifth apart in a three

part texture in mm. 20-28.<sup>155</sup> It is notable that a complete row cuts through a semantic unit (and also the musical phrase) and starts in the middle of m. 21 (see Ex. 4-20b).

Example 4-20b. *Der Prinz von Homburg*, Act II, Scene 5. Counterpoint based on the Battle-row.

The image displays a musical score for Example 4-20b, consisting of two systems of vocal and piano accompaniment. The first system covers measures 21 to 22, and the second system covers measures 23 to 24. The vocal line is in the bass clef, and the piano accompaniment is in the treble and bass clefs. The key signature is one flat (B-flat major/D minor), and the time signature is 3/4. The lyrics are in German. Counterpoint analysis is provided with boxed labels **R<sub>9</sub>** and **P<sub>1</sub>** and numbered measures.

**System 1 (Measures 21-22):**

- Measure 21: **R<sub>9</sub>** (row 9) starts in the middle of the measure. The piano accompaniment features a triplet of eighth notes.
- Measure 22: Continuation of the vocal line and piano accompaniment.

**System 2 (Measures 23-24):**

- Measure 23: **P<sub>1</sub>** (row 1) starts in the middle of the measure. The piano accompaniment features a triplet of eighth notes.
- Measure 24: Continuation of the vocal line and piano accompaniment.

The lyrics for the first system are: "die das Schau - spiel schau'n, will man mit Nacht um - schat - ten,". The lyrics for the second system are: "die - sen Bu - - - - sen mit mör - de - ri - schen Ku -".

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The orchestral epilogue in Scene 5 consists of two musical ideas consistently pursued over 66 measures, in which parallel thirds E-G# and F-A in the woodwinds alternate with contrapuntal

<sup>155</sup> Christian Bielefeldt, *Hans Werner Henze und Ingeborg Bachmann: die Gemeinsamen Werke*, 187.

sections with transparent voice-leading in several registers (see Ex. 4-21). In the entire passage harmonic motion is stalled and reduced to blunt statements and repetition of block materials, as in the first section, to create formal structural unity in the scene. Although the repetition of the E-G# interval indicates E major as a harmonic focus, it is established neither in terms of a harmonic progression, nor in terms of a pitch-collection.

Example 4-21. *Der Prinz von Homburg*, Act II, Scene 5.

39

Vivace (Vorhang, oder schnelle Verwandlung)

Corni

Fl. alto, Cl. basso

Arpe

Fg.

E: I + V<sup>7</sup>

E: I + V<sup>7</sup>

E-minor collection (E, F#, G, A, B, C#, D[#])

B-major collection (B, C#, D#, E, F#, G#, A#)

41

Legni

Vla.

Vcl.

G# A# B

G# A# B

45

Cor.

Fl., Clar.

Tba., Arpa

Tonal stratification in the following contrapuntal section results from the concurrent use of E-minor and B-major collections. Even though functional harmony is absent, the piano reduction clearly shows two key areas are assigned to different registers. While the upper registers define an E natural-minor collection in mm. 41-45 – they contain all the pitches of the key (including the common tone F# that is an element of both collections) – the lower registers define B major. When the flutes and the oboe finally state the E-minor chord in the uppermost layer, the E $\flat$  in the clarinet contradicts it to recall the very opposition in the orchestral prologue to the opera. Taken as a single unit m. 41 (and m. 43) indicates E-major as a harmonic focus, because of the typically Henzean chord construction that uses the tonic and the dominant simultaneously (see Ex. 4-21). Henze keeps the E- minor and B-major pitch-collections separate through voice-leading, and complicates even the clarity of the ascending segment F#-G#-A#-B, which would have implied a clear single tonic within the stratified texture. Even though the arpeggiated triad in the middle register reads an unambiguous E minor, the G# in the bass indicates an E major (see Ex. 4-22). Hence, the priority of the E minor is interrupted both by the major/minor conflict and by the B major as part of the stratified texture.

As if to intensify the significance of the passage and highlight the conflicting ideas, Henze introduces twelve-tone material into an already complicated harmonic context. Remarkably, the arrival of the serial material is carefully prepared from the very beginning. The repeated thirds in the opening of this section are supported harmonically through different compositional means. While E major/minor is implied by one of the pitch-collections in the stratified texture, the opposing interval F-A is substantiated first by the F, and later the F-A pedal, before it is connected with the first pitch of the P<sub>9</sub> and R<sub>10</sub> forms of the Battle-row (see Ex. 4-21 and 4-22). In mm. 51-52 first eight notes of the original forms of the battle-row, P<sub>9</sub> create a contrasting

texture surrounded by the E-major idea (again with the pedal F-A, used sporadically in mm. 49-54). The E-major sonority (fifth omitted) in m. 54 is connected to the next measure by the E-major arpeggiated triad (G# as the second pitch of the row).

Example 4-22. *Der Prinz von Homburg*, Act II, Scene 5.

Henze *DER PRINZ VON HOMBURG* © 1958 by Schott Music, © Renewed, Revised version © 1991 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Perhaps the single most striking moment in the entire opera is the return of the opening music in the last scene. In the opening moments, the blindfolded Prince is presented in a disheartened state plaintively contemplating death and immortality. Count Hohenzollern removes his blindfold towards the end of their duet when the first sonority of the opera returns. Symbolic elements of the drama, the wreath, the chain and the related musical gestures leave no doubt that

this is a continuation of Scene 1. De la Motte argues that the happy ending of the opera, at the conclusion that it was all a dream, is not definitively interpreted by Henze, but made an open-ended climax towards the coronation of the Prince in the last scene.<sup>156</sup> This is a valid conclusion only if we take the text literally and expect a musical translation of the plot. Both the libretto and the music retains the Prince's confusion from the beginning to the end, and questions important personal, social, political matters, including autobiographical issues that have particular significance for the composer himself.

Henze's provocative differentiation between opposing aesthetic views of composition provides a good starting point to analyze the musical language of the last opera chosen for this study. In *The Bassarids* Henze attempts a consolidation of the techniques outlined in the discussion of *Der Prinz von Homburg*: serial vs. diatonic oppositions; rigorously stratified textures with competing tonal layers of recognizable independent focal-pitch reference; tone repetition in serial passages to create focal pitches or focal harmonic ideas. The next chapter will apply a similar analytical approach to argue that a more sophisticated union between twelve-tone materials and tonal allusions bring about greater dramatic precision and more transparent textures in *The Bassarids*. Even though the thematic materials of both main characters are derived directly from predetermined rows sketched out by Henze, the musical outcome is much more lucid and more accessible than the somber and serious sonorities of *Homburg*, a fact admitted by the composer himself.

---

<sup>156</sup> Diether de la Motte, *Hans Werner Henze: Der Prinz von Homburg*, 59.

## Chapter 5. Sophistication of a style: *The Bassarids*.

Despite Henze's claims concerning the outright distinction between the hero's dream-world and actuality, through the opposition of twelve-tone techniques and tonal allusions, the overall sound of *Der Prinz von Homburg* is indeed very dissonant. As the analyses in Chapter 4 demonstrate, serial materials permeate even those sections where tonal allusions surface as an important dramatic tool in conveying the essential elements of the plot. In *The Bassarids*, written seven years later in 1965, the composer one more time tackled the formidable task of uniting twelve-tone and tonal ideas to adumbrate dramatic action that is developed from the opposition between the contrasting worlds of "stranger-god" Dionysus and the young king Pentheus. But there is a difference. In *Homburg*, Henze refrains from assigning a specific twelve-tone row to the Prince or to any other character. Rather, he establishes dramatic connections indirectly by forming associations between the Prince's inner conflict and the other characters' reactions to his physical and mental state by careful control of dissonant textures and recurrent tonal allusions.

For the two main characters in *Bassarids*, on the other hand, Henze devises two twelve-tone rows with characteristically different interval content – while the Dionysus-row is imbued with tonal chordal ideas the Pentheus-row has none.<sup>157</sup> Yet, he uses the rows in an unsystematic way, and avoids fortifying this distinction by using a specific musical idiom in relation to either character. From the beginning the music of both Pentheus and Dionysus reflects typically Henzean technique of layered textures of opposing ideas. Once again, Henze's aesthetic vision of exploring an expressive potential in twelve-tone derived materials and tonal allusions is used to highlight the dramatic tensions in the story. Without defining the protagonists in one

---

<sup>157</sup> A similar distinction between the "Dream-rows" and the "Battle-row" in *Der Prinz von Homburg* differs in the sense that they are not linked to specific characters in the opera.

particular style the composer establishes a conflict through identical formal construction of the musical events that introduce contrasting worlds of Pentheus and Dionysus; the drama is developed from the intensification of this opposition in the first two movements.

One aspect of the opera that received particular attention in the literature is its formal structure, outlined by the composer in terms of four symphonic movements. An often repeated argument links Henze's remarks about the sonata-form layout of the first movement with the thematic dualism derived from the two twelve-tone rows designed for Dionysus and Pentheus at the outset. Even though the sensual world of Dionysus (that is equated with tonal allusions ever more strongly after the stylistic break in the second movement) triumphs at the end of the opera, the Dionysus-row is manifestly present in varied uses in the first and the second. Substantial vocal entries in the music of his rival grow out of incomplete and erratic treatment of the Pentheus-row. Then, when the latter row is employed more consistently in the second and the third movements, the Dionysus-cult had already become the spiritual power that entices the citizens of Thebes, despite the monarch's growing frustration and the harsher methods of his rule.

However, as the following analysis will demonstrate, twelve-tone differentiation is not essential to establishing or resolving the conflict between the rivals, which is used in the Henze scholarship as the basis of the sonata-form explanation in the first movement. The straightforward application of the thematic materials of the characters into the formal sections of the sonata form produces ambiguous descriptions and fall short of explicating the plot. In an interview given after the British première of *The Bassarids* Henze stated had wanted "the librettists to give the text a symphonic form."<sup>158</sup> Asked to provide specific evidence on the

---

<sup>158</sup> Hans Werner Henze, "The Bassarids: Hans Werner Henze talks to Paul Griffiths," interview by Paul Griffiths, *The Musical Times* (October 1974): 831-832. In *Music and Politics* and *Bohemian Fifts* Henze does not mention

traditional formal features of the work Henze offers vague descriptions that differ from the outlines given by scholars (for example Wolfram Schottler, critiqued below). But then, Henze also warns the listener against undue emphasis on the formal scheme of the sonata form: “Now, of course we don’t expect an orthodox sonata form to develop, because that would be undramatic and anachronistic.”<sup>159</sup> Therefore, traditional formal qualities of the movement must be considered as abstract structure and secondary in terms of their impact on dramatic flow – although the composer is behind the remarks that initiate the argument in the first place.

*The Bassarids* was commissioned for the Salzburg Festival and it was premiered in 1966 to critical acclaim. For many critics the dramatic substance of the opera, its orchestration, its formal unity, and particularly its “singable” twelve-tone-derived melodies represented an undogmatic modernism.<sup>160</sup> Dubbed “opera seria” by the librettists W.H. Auden and Chester Kallmann, the work is a retelling of the Euripidian drama *The Bacchae* styled to appeal to a contemporary audience by modifying some aspects of the original storyline. From the very beginning repression of the masses by the ruling authority is explicitly formulated in the libretto, but a clear-cut reading of this struggle as the depiction of the mounting conflict “between the Establishment and the counterculture New Left”<sup>161</sup> in the 1960s should be considered an overstatement. At the time Henze was still absorbed by aesthetic problems related to musical language and his reactionary view that caused him to leave Darmstadt. His later involvement in left wing politics would result in a radical change of compositional method, quite unlike the

---

such a request. For the symphonic form argument in *The Bassarids* see also John Bokina, *Opera and Politics: From Monteverdi to Henze* (New Haven: Yale University Press, 1997): 176-179; Wolfram Schottler, *Die Bassariden von Hans Werner Henze: Der Weg eines Mythos von der antiken Tragödie zur modernen Oper, ein Analyse von Stoff, Libretto und Musik*, Ph.D. diss. (Trier: Wissenschaftlicher Verlag Trier, 1992).

<sup>159</sup> Henze, “*The Bassarids*: Hans Werner Henze talks to Paul Griffiths,” 831.

<sup>160</sup> See Deborah Hochgesang, *Die Opern von Hans Werner Henze: im Spiegel der deutschsprachigen, zeitgenössischen Musikkritik bis 1966* (Trier: Wissenschaftlicher Verlag Trier, 1995), 342-348.

<sup>161</sup> John Bokina, *Opera and Politics*, 10. this issue is further discussed by Bokina in the chapter on *The Bassarids*, see particularly pp. 167-170.

syncretic use of twelve-tone principles and the tonal allusions attempted in the early operas.<sup>162</sup>

Keeping in mind the radical change towards explicitly political themes accompanied by a shift in stylistic focus in Henze's later works for the stage, it is more appropriate to regard *The Bassarids* as the culmination of a period of compositional activity in search of an individual style that differs from the artistic objectives of the musical avant-garde in the 1960s.

The opera challenges social norms by appending a homoerotic element to the relationship between Dionysus and Pentheus, camouflaged behind religious or philosophical convictions of the characters. A direct kinship with Christian dogma in the identification of Dionysus as God's son is curtailed by the infatuation of his hypnotized cult with the promise of carnal pleasures. In an attempt to impose upon the citizens of Thebes his belief in rationality, Pentheus pushes for monotheism and vows to abstain from bodily pleasures till he dies. The desire to convert Thebans to ascetic customs of monotheistic religion is a projection of the ruler's lack of control over his own desires and a symptom of his repressed sexual fantasies. Accordingly, the rivalry between the two points of view, the two worlds or the two religions, is exploited to advance a psychological study of Pentheus as the principal topic of the opera. Musical depiction of this issue was already attempted in *Der Prinz von Homburg* in the composer's treatment of the inner dilemma of the main character. In *The Bassarids* this psychological dimension is explored further, dealing bluntly with broader religious, philosophical, and moral questions.

Still, as with *Homburg* and *Lord* there is a socio-political dimension probed in *The Bassarids* as well. Cloaked behind the fantasies and hallucinations of the young king Pentheus as a

---

<sup>162</sup> Some of the famous works in this category include: *Versuch über Schweine* (1968), based on a poem by Gastón Salvatore, written as a protest against the attempt on the life of German student activist Rudi Dutchke; *Das Floß der Medusa*, oratorio for soprano, baritone, mixed choir, and orchestra (1968), text by Ernst Schnabel; *El Cimarrón* (1970), a stage work for baritone, flute, guitar, and percussion, on Hans Magnus Enzenberger's text, based on the autobiography of the Cuban runaway-slave Esteban Montejo; *Der langwierige Weg in die Wohnung der Natascha Ungeheuer* (1971), for baritone and seventeen players, on a text by Gastón Salvatore.

personal dilemma, the confrontation between his rigid worldview and the uncontrollable appetite of masses for the Dionysus-cult can also be interpreted as a power struggle. Neither the librettists nor Henze present this opposition in terms of good vs. bad to celebrate the liberating influence of Dionysus. Certainly, Pentheus exerts his reign and does not shun from attempting to torture the stranger-God. But the crowds who worship Dionysus show no mercy at the end of the third movement when they chase Pentheus in Mount Cytheron to kill him; as an act of revenge, Agave, his mother, is chosen to carry out the deed. While the crowd kneels before Dionysus at the end of the opera, the city of Thebes is burnt to the ground, and the royal family sent to exile, the opera comes to an end on the disturbingly dissonant sound of the orchestral tutti. Hence, the creators of the opera explore tensions that surface in the exploration of the human psyche, permeating the original storyline of Euripides's drama with details relevant to their personal and social concerns.

Twelve-tone writing has a very strong presence in *The Bassarids*, yet the clearly delineated solos, duets, powerful choral sections, and the highly praised orchestral writing make it a much more accessible work than *Homburg*. In addition, the ever-present tonal allusions, stylistic variation, and explicit quotes from J.S. Bach's music all contribute to reflecting Henze's aesthetic vision of uniting twelve-tone writing and traditional elements of musical composition to promote the dualism called for in the plot. As with *Homburg*, Henze does not use a specific compositional method or a style exclusively for one character in *Bassarids* either. According to the demands of the drama, he uses serial techniques and tonal allusions for both characters, controlling nonetheless the level of dissonance in a typically Henzean manner.

Several problematic themes encountered in the Henze literature complicate a reliable analytic approach to *The Bassarids*. Concerning the structure of the single act of the opera, Henze once wrote that he pursued a four-movement symphonic form.

A sonata form movement is followed by a scherzo – a series of bacchanalian dances with a calm vocal ensemble as trio. The third movement is an adagio with fugue, interrupted by an intermezzo – the satyr play, an opera within the opera; the fourth, with its Ash Wednesday mood, is a passacaglia.<sup>163</sup>

Taking Henze at his word Peter Andraschke argues that *The Bassarids*, despite its being a work of the music theater, belongs to the reception history of the 20<sup>th</sup> century symphonic tradition.<sup>164</sup>

It is disappointing that this verdict is not an insight derived from a careful discursive analysis of the opera in order to show its relationship with symphonic music; Andraschke simply depends on Henze's remarks, which, unless examined as to their proper value, confuse an objective examination of the issues.

Reading the libretto [of *The Bassarids*] came at a time when I was beginning to discover the forms of the nineteenth-century symphonic music. I was also gathering valuable experiences as a conductor. Conducting helped me on. It was, as it were, a matter of physically gauging the proportions, just as one measures out a terrain, one's own territory, with one's feet. I conducted various performances of Schubert's Great C Major Symphony, Brahms's Second Piano Concerto (Claudio Arrau), and Mahler's First Symphony. This physical experience of the orchestra, through sound, was valuable.<sup>165</sup>

---

<sup>163</sup> Hans Werner Henze, *Music and Politics*, trans. Peter Labanyi (London: Faber and Faber Limited, 1982), 145. As is the case with most of Henze's essays in this collection, the section entitled "Tradition and Cultural Heritage" is from an interview done about a month before the premiere of *The Bassarids* in Salzburg: Hans Werner Henze, "Tradition und Kulturerbe," interview by Klaus Geitel, *Die Welt* [Berlin] (13 July 1966).

<sup>164</sup> Peter Andraschke, "Zur Wirkungsgeschichte der Antike nach dem zweiten Weltkrieg: Hans Werner Henzes Bassariden," *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Rexroth, Diether (Mainz: Schott, 1986), 122.

<sup>165</sup> Henze, *Music and Politics*, 145.

About the libretto stage of the opera Henze reports that Auden and Kallmann agreed to write the text on the condition that he listened to Richard Wagner's *Götterdämmerung* at the Vienna State Opera.<sup>166</sup> Henze's symphonies, which numbered five by that time, seem to have caught the attention of the librettists, who presumably were also well aware of the symphonic formal qualities of Wagner's *Ring* and particularly *Götterdämmerung*.<sup>167</sup> In any case, the root of Henze's discussion is dramatic considerations related to symphonic forms, linking formal opposition in the first movement sonata form with the inherent conflict in *The Bassarids*. In fact, the formal structure of the first movement is interpreted differently by scholars who concentrate on particular aspects of the music. For example, Wolfram Schottler takes the classical symphony as his point of departure to analyze the opening fanfare as an introduction.<sup>168</sup> Focusing on dramatic construction of the movement that introduces the main characters of the opera, Wolfgang Burde refers to the same passage as "a hard, rather unsensual" theme "in the classical Beethoven manner."<sup>169</sup> Both authors rely on thematic dualism to substantiate the sonata-form argument – as the analysis of the opening will show the Pentheus-row is not present in the fanfare. Henze himself acknowledges that the trumpet call applies to Pentheus but says the prelude "has almost nothing to do with the symphonic structure."<sup>170</sup> The analyses below will demonstrate that structural issues in this opera are secondary in terms of their impact on the

---

<sup>166</sup> Henze, *Music and Politics*, 143. Henze reports also that to make sure he listened to the entire work Kallmann accompanied him to the performance.

<sup>167</sup> For a discussion of formal issues in Wagner's *Ring* see William Kindermann, "Dramatic Recapitulation in Wagner's *Götterdämmerung*," *19<sup>th</sup>-Century Music* 4 (Fall 1980): 101-112; Carl Dahlhaus, "Formprinzipien in Wagners *Ring des Nibelungen*," *Beiträge zur Geschichte der Oper* ed. Heinz Becker (Regensburg: Bosse, 1969), 95-129; Anthony Newcomb, "The Birth of Music out of the Spirit of the Drama: An Essay in Wagnerian Formal Analysis," *19<sup>th</sup>-Century Music* 5 (Summer 1981): 38-66. It is important that the main issue considered in these writings is the connection between form and drama.

<sup>168</sup> Wolfram Schottler, *Die Bassariden von Hans Werner Henze*, 185.

<sup>169</sup> Wolfgang Burde, liner notes to Hans Werner Henze, *The Bassarids*, Koch-Schwann Musica Mundi 314 006 K3, 1991, CD.

<sup>170</sup> Henze, "The Bassarids: Hans Werner Henze talks to Paul Griffiths, 831.

development of the drama, and concentrate primarily on dramatic relevance of the musical events instead.

As a source of inspiration the musical forms of the past have engendered much creative work in the twentieth century. Particularly the neoclassical initiative that formulated a problematic, but fruitful, aesthetic agenda (epitomized in the works of Stravinsky) must be considered as a driving force behind Henze's compositional output in traditional genres. Nevertheless, the idea that the symphonic tradition of the twentieth century is continued in *The Bassarids* is only applicable in a general sense. First hand experience of the orchestra Henze acquired through his conducting activities around this time must have helped him a great deal in imagining the remarkable orchestral sound of the opera, with the transparency and clarity of its textures and the grandeur of its tutti passages. Yet, characteristic formal components of the classical symphony, and the musical codes ingrained in its long history have limited value in determining the dramatic essence of Henze's works for the music theatre.

The following sections aim to critique the sonata-form argument in the first movement of the opera by arguing that while it is technically possible to locate elements of the traditional genre in the formal layout of the music, dramatic structure of the plot seems to be working against this interpretation. Instead of the formalist approach that contends with identifying theme areas based on twelve-tone rows, the present analysis focuses on the parallel musical events that introduce the conflicting worlds of Pentheus and Dionysus. Serial materials associated with the main characters of the opera are studied as a related topic to show consistencies in Henze's compositional method with twelve-tone rows. Finally, juxtaposition of styles and quotes from other composers are examined to underline their role in clarifying dramaturgical issues in *The Bassarids*.

### 5.1. Twelve-tone thematic characterization and the sonata-form argument in the first movement.

Henze sketched out two twelve-tone rows in all their permutations for *The Bassarids*, ordered in a circle of fifths sequence, one for Pentheus and one for Dionysus.<sup>171</sup> The sonata-form argument is derived from the appearance of the rows as the compositional basis of the themes that define the world of Dionysus and Pentheus – the former is stated by the off-stage voice, using all twelve tones of the Dionysus-row, and the latter theme is presented by the citizens of Thebes, with the partial use of the Pentheus-row. Pentheus himself appears much later in the first movement with a more convincing statement of the RI<sub>5</sub> row-form. Wolfram Schottler proposes the following formal layout to explain the form of the first movement in terms of the classical symphonic framework (see Ex. 5-1).<sup>172</sup>

Example 5-1. Schottler's outline of sonata-form in the first movement of *The Bassarids*.

Introduction		mm. 1-102
First theme	Stranger (Dionysus)	mm. 103-192
Second theme	Thebans	mm. 193-243
Development	5-part development	mm. 243-574
Recapitulation (and Coda)		mm. 575-664

<sup>171</sup> Reproduced in Wolfram Schottler, *Die Bassariden von Hans Werner Henze*, 205-206. Sketches of the two 12-tone rows are preserved at the Paul Sacher Foundation in Basel, which houses numerous music manuscripts and other documents Henze donated to the institute. The manuscripts identify the rows as Dionysus[-row] and Pentheus[-row], used as standard terminology in the critical literature on this opera.

<sup>172</sup> Schottler, *Die Bassariden von Hans Werner Henze*, 185.

Although the layout outlined above is reminiscent of the thematic structure of the first movement sonata form, it is doubtful that the dramatic action in *The Bassarids* unfolds from this opposition.

Even at a first hearing, the listener will surely perceive the opposition between the Pentheus and Dionysus themes, and the gradual dominance of the latter, until the end, when it has eliminated everything else.<sup>173</sup>

Certainly, the opposition between Dionysus and Pentheus is not resolved at the end of the first movement, but rather at the end of the third movement when Pentheus, overwhelmed by the cult, is persuaded by the Stranger to go to Mount Cytheron in disguise and see his people in their worship of Dionysus. Led by Pentheus's mother Agave and warned of a spy in the woods, the maenads and Bassarids (those who wear fox-skins) chase and kill him. The strong tonal allusions in this final solo indicate a change of compositional style in the portrayal of the young King. In the first movement, the reprise is too flimsy to acquire any dramatic weight because only one of the themes returns (first theme in Schottler's outline), but then in varied form. Unless the sonata form can be shown to clarify the dramatic essence of the opposition between Pentheus and Dionysus, its schematic application in the movement remains a matter of background structure. In *The Bassarids*, neither twelve-tone-derived thematic dualism, nor stylistic differentiation based on compositional principles accounts for the formal structure of the first movement.<sup>174</sup>

---

<sup>173</sup> Henze, *Music and Politics*, 150.

<sup>174</sup> The classical sonata form is meaningful to the extent that tonal and thematic tensions are resolved in the recapitulation. Within the context of an intricate score such as *The Bassarids* the absence of a resolution in the first movement makes the sonata-form argument insufficient in explicating dramatic action. For a thorough discussion of the classical sonata form see Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (London: Faber and Faber, 1976).

Also, it is not self-evident that the suggested distinction between the characters, which Henze mentions, is the outcome of a thematic differentiation based on the structural characteristics of the assigned twelve-tone rows. Evidently, the interval structures of the two rows are radically different. Yet, musical textures in the two theme areas indicated in the examples below are similar, in the sense that both contain tonal allusions despite the presence of the rows, and both involve stratified textures of contrasting ideas. An alternative reading of the first movement given below takes the introduction-segment of the opera's first movement as a substantial thematic and dramatic passage to contend that the rhetorical/dramatic opposition starts already at this point.

It is significant from a dramaturgical perspective that Pentheus and Dionysus are presented in the first movement with similar musical events. A fanfare of trumpets depicts the inauguration of Pentheus as King, and creates a parallel to another significant musical idea sung by the unaccompanied voice that announces the arrival of God Dionysus in Boeotia. And both ideas are followed by choral passages in which Thebans greet them equally strongly. "Pentheus is now our Lord," they shout, before the block treatment of the fanfare in alternation with choral sections stretches the jubilation over a hundred measures. When the off-stage voice finishes his ceremonial outcry "Ayayalya!," the citizens welcome Dionysus equally strongly: "Long have we waited, long watched."<sup>175</sup> This way, parallel musical events introduce the conflicting worlds of Pentheus and Dionysus, and the drama unfolds from the tension established between the protagonists. When the two characters appear again later in the first movement the contrast between the two has deepened in that, the world of Pentheus becomes more rational, while that of Dionysus develops into the sensual world of dance and song.

---

<sup>175</sup> Since the libretto is in English, the quotes in this study are from Auden and Kallmann's original version. Even though the German translation was used for some later productions, the first German recording (the only commercial one available) is also sung in English.

### **Dramatic opposition and formal unity: Pentheus-music vs. Dionysus-music**

In creating the authoritative image of Pentheus, tutti passages play an important role. Especially the clichéd use of the trumpets at the very beginning of the opera signals the start of Pentheus's rule in Thebes, after the abdication of his father Cadmus. The effect of the clichéd use of brass to depict royalty is upset by the distortion achieved through uncharacteristically dissonant sound of the fanfare. In this highly complicated harmonic and thematic context there are elements of vague canonic treatment in the four trumpets (see Ex. 5-2): each line starts with a three-note gesture based on Set class (024), accentuated by rests (E $\flat$ -F-G, A $\flat$ -F $\sharp$ -E and so on). The outer voices indicate a tonal emphasis with the entries on E $\flat$  and B $\flat$  in contrary motion (the same harmonic relationship exist between E $\flat$  and A $\flat$  in the first and second trumpets). Yet, the chromatic digression established by Trumpet 3 obscures the kinship between the other voices. Indeed, Henze's chromatic writing with the half-step clashes between the entries on B and A $\flat$ , or B and B $\flat$  contributes to achieving the opaque sound of the passage that communicates a discomforting emotional state.<sup>176</sup> Because the individual trumpet lines are packed into the same register, the layered texture lacks an overall harmonic and thematic focus.

There are also elements of whole-tone-ideas in all four voices, although they are upset by the phrase structures of the separate lines (the asterisks in Ex. 5-2 indicate the last note in the whole-tone segments). Even though it is theoretically possible to identify substantial whole-tone segments, they don't seem to coincide with melodic shapes of the different layers – this is particularly evident in the first voice. Likewise, the abundant triadic groupings in phrase ends do not share a common harmonic basis and sustain the ambiguity established in the opening

---

<sup>176</sup> Similar clashes of tonics half-step apart occurs in Benjamin Britten's *Billy Budd* prelude. In this case, however, the ambiguity of harmonic focus is created by assigning two tonics into separate registers. See Philip Rupprecht, "Tonal Stratification and Uncertainty in Britten's Music," *Journal of Music Theory* 40 (Fall 1996): 311-346.

segment. It is notable that the diminished-triad (F#,A,C) in Trumpet 4 and the augmented sonority (F,A,C#) in the tutti highlights the half-step opposition suggested in the canonic entries.

Example 5-2. *The Bassarids*, First Movement. Canonic entries whole-tone segments, and triadic groupings in the opening fanfare.

**Fanfare (trumpets)**

Whole-tone segments (Eb,F,G,A,B)

(Ab,F#,E,D,C)

(B,C#,D#,F,G)

(Bb,G#,F#,E,D)

C#-

A-

F dim.

F aug.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

In the following section, citizens of Thebes hail their new king in a homophonic texture that retains the harmonic ambiguity and the agitated atmosphere of the beginning. At each end of the homophonic choral segment, open fifths on A-E and C-G delineate a closed unit (see Ex. 5-3);

though lacking in traditional harmonic progression, the vocal texture can be analyzed in terms of a white-key aggregate. In spite of the comfortably tonal-sounding vocal writing, the dissonant sonority (F,C#,A,B $\flat$ ) in the orchestra, sustained from the fanfare, upholds the tension created in the beginning.<sup>177</sup> Particularly the half-step “discrepancies” C/C# and A/B $\flat$  that result from the superimposition of the two vocal tonics (A,C) and pitches in the orchestral pedal chord contribute to sustaining the anxious mood.<sup>178</sup>

Example 5-3. C-major/A-minor pitch-collection in conflict with the orchestral sonority.

The image shows a musical score for the piece "CITIZENS OF THEBES". It features four vocal staves (Soprano, Alto, Tenor, Bass) and an orchestral accompaniment. The vocal parts are enclosed in a box and labeled "White-key aggregate (+ Ab/G#)". The lyrics for all parts are "Pen - theus is now our lord.". The orchestral accompaniment is labeled "F-augmented/B $\flat$ -minor triad". The score includes various musical notations such as notes, rests, and dynamic markings like "g $\text{zza}$ ".

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>177</sup> The orchestral sonority can be analyzed as an F-augmented triad with added fourth, or an inverted B $\flat$ -minor triad with added major-seventh, both typical chord types in Henze’s music.

<sup>178</sup> In his 1996 article on Benjamin Britten’s music Philip Rupprecht uses the terms congruencies and discrepancies to refer to consonances and dissonances respectively, above the bass of a chordal texture. See Philip Rupprecht, “Tonal Stratification and Uncertainty in Britten’s Music,” 320.

Example 5-4. *The Bassarids*. First Movement. Abundant tonal ideas in choral sections.

The image shows a musical score for Example 5-4, titled "The Bassarids". It features a choral section with four vocal parts (Soprano, Alto, Tenor, Bass) and a piano accompaniment. The score is marked with "C: I+V" at the top. The lyrics are "found\_ \_ \_ ed\_ \_ \_ our\_ \_ \_ cit\_ \_ \_ \_ \_ \_ (y,)". The piano part includes a "White-key aggregate" and an "Eb melodic-minor segment". The bass line features an "Eb-major pedal-chord".

Annotations on the right side of the score include:

- White-key aggregate
- E $\flat$  melodic-minor segment
- E $\flat$ -major pedal-chord

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The unstable harmonic areas in the fanfare, created by use of contrasting proto-tonics or pitch-collections persist later in the prelude and the opera as a whole. While the choir tells of the abdication of Cadmus, the founder of Thebes, and wishes happiness and wisdom to Pentheus, the musical texture indicates a clash between C-major and E $\flat$  major/minor (see Ex. 5-4). At the same time, the E $\flat$ -pedal collides with the D-chord to create another local conflict of tonics half-step apart – this particular dualism returns later in the opera. Because the C-major layer lacks E, the E $\flat$ -pedal suggests C-minor (another typically Henzean trait to imply major and minor modes

simultaneously). The  $E\flat$ -major focus is itself confused by the  $E\flat$ -minor segment in bass-voice, which is also superimposed upon the sonority in the upper registers that includes elements of the tonic and dominant triads in C major – also, the  $F\flat$  in the bass voice gives a Phrygian inflection to the  $E\flat$  mode. Henze prolongs the tonal uncertainty of the opening until 103 where Dionysus is introduced, and refrains from confirming any of the pitches or collections as the dominant element of the music.

After the alternation of the fanfare with choral sections, in which Pentheus is presented as a prominent character of the opera, Dionysus, concealed as off-stage voice, appears for the first time. Both in the tenor solo and the following orchestral interlude musical ideas inherent in the Dionysus-row are employed as thematic and harmonic materials. Rich in elementary tonal ideas, the row (see Ex. 5-5) can be segmented into an augmented triad, a major triad, and a complete dominant seventh-chord (of  $A\flat$ ). Overlapping with these subdivisions of the row, a minor chord and a trichord – Set class (015), in this case  $E, B, E\flat$  – provide the remaining structural features of the initial Dionysus-music. This segmentation follows the main phrase-motions of the vocal line (Ex. 5-6), and the chordal units that recur in the orchestral interlude (Ex. 5-7).

Example 5-5. *The Bassarids*. Segments of the Dionysus-row.

The unaccompanied tenor solo (see Ex. 5-6) that announces the arrival of God Dionysus in Boeotia is based on the  $P_8$  form of the Dionysus row. What is immediately noticeable about this

passage is an emphasis on the top register,  $A\flat$  and  $E\flat$  in the first phrase (first line in the example), and  $A\sharp$  and  $F$  (their neighbor notes) in the second. Pitch repetition, intervallic consistency derived from the qualities of the row, and recurring motivic units pervade the unmeasured writing to conceal the fact that the entire solo passage uses a predetermined row. Particularly in the first part, the row is only secondary in terms of its impact on the overall thematic flow. Additionally, the four-pitch-class complex  $A\flat$ - $C$ - $F$ - $A$  (the first and the last dyad of the row) unfolds a major-minor (0347) tetrachord,  $F+$ / $F-$ . The second emphasized dyad  $F$ - $A$  (either as the end of  $P_8$  or the beginning of  $P_5$ ) is two pitches of the pedal tetrachord in the orchestra in Ex. 5-3 that is combined with the  $A$ - $A\flat$ - $C$  in the bass voice. In this way, Henze establishes smooth pitch-continuities at the opera's opening that introduces the two protagonists of the opera.

Example 5-6. *The Bassarids*, First Movement. Off-stage voice (Dionysus) based on Dionysus-row  $P_8$ .

**Off-stage Voice**

**Phrase 1**

103  $P_8$  1 2 3 4 5 3

$A$  - ya - ya - ly - a! \_\_\_\_\_  $A$  - ya - ya - ly - a!

$A\flat: I$

**Phrase 2**

6 7 8 9 10 11  $P_5$  1 2 3

The God \_\_\_\_\_ Di - o - ny - sus has en - tered Boe - o - tia! \_\_\_\_\_

$E\flat 7$   $D+$   $D-$   $A+$

$A\flat: V$   $D/dm: I$   $i$   $V$

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Henze's twelve-tone technique here is reminiscent of the "Dream-Invention" in *Der Prinz von Homburg*, with the small repeated patterns which create focal pitches and compound melodies. In the first phrase, an A $\flat$  major triad is emphasized in the vocal line with the longer note values, and remains in the upper register, separated from the perfect fifth E-B, which is left inconsequential – adding only chromatic color. In the second phrase, the E $\flat$  dominant-seventh chord confirms A $\flat$  as a focal pitch, but moves immediately a half step down to D major/minor, which, like the dominant-seventh sonority, is present as a segment of the Dionysus-row (see Ex. 5-5). A hint of dominant sonority at the end affirms D major/minor as another focal sonority in the solo – the juxtaposition of E $\flat$  and D will return as a decisive moment in Pentheus's solo number at the end of the third movement. Taking the semantic unity of the text and the music into consideration, the final three pitches of the passage (F,A,C $\sharp$ ) can be analyzed as a new statement of the Dionysus-row (P<sub>5</sub>), forming structural unity between the symmetrical (048) trichords in the beginning and end phrases.

As opposed to the Pentheus-music in which the choral response immediately follows the fanfare, the sacral calls of Thebans are separated from the off-stage solo by the orchestral interlude (see Ex. 5-7) to convey a sense of anticipation with the tremolando string sonorities – C $\sharp$ -F $\sharp$ -A, D-F $\sharp$ -B $\flat$ , and F $\sharp$ -C $\sharp$ -F, all harmonic ideas derived from the row.<sup>179</sup> Together with the delicate sound of the harp which superposes E $\flat$  and B $\flat$ -major chords these ideas prepare the initial hesitant sound of the *dolcissimo* choral section. Sharing thematic and harmonic basis with the solo, every detail of the interlude can be analyzed as derivatives of the Dionysus-row; the prominent idea in this fragile texture is the juxtaposition of the augmented-trichord materials from the row with the simple diatonic sonorities – the only exception is the Wagnerian half-diminished seventh chord (0258), which is very suggestive in this Dionysian context.

<sup>179</sup> C $\sharp$ -F $\sharp$ -A (minor triad), D-F $\sharp$ -B $\flat$  set class (015)

Structurally, the head-notes of the row in the violin/flute relate to the Stranger's off-stage voice, using a shuffled segment from the  $P_1$  form of the Dionysus-row.<sup>180</sup> Henze does not complete the row in the orchestral section, but presents a simple and rhythmically regular statement of Dionysus-row  $R_{10}$  in the bass-clarinet and the cellos to connect it to the choral segment that reflects people's excitement in awe of Dionysus.

Example 5-7. *The Bassarids*, First Movement. Orchestral interlude in the Dionysus music.

The musical score consists of three staves. The top staff is for Flute and Violin, starting at measure 104 with a box labeled  $P_1$ . It features a melodic line with a slur over three notes, the first of which is marked with a '1' and the third with a '3'. The middle staff is for Harp, with two systems of notation. The first system includes arpeggiated figures labeled  $Bb+$  arp. and  $Eb+$  arp. The second system includes an augmented triad labeled 'Aug. triad', a chord labeled  $F\#$ , and two chords labeled  $Bb$  aug. and  $Bb+$ . The bottom staff is for Celesta, providing a rhythmic accompaniment.

<sup>180</sup> Or, the first three pitches of the  $I_1$  ( $C\#-A-F$ ) of Dionysus-row, which leaves out  $E$ , an important pitch in this context. The minor sixth ascent from  $C\#$  to  $A$  suggests this is the inversion of the prime form of the row, but because of the flexible use of the rows what is decisive is the harmonic function of the row in the overall musical texture. Considered as an augmented triad, the  $C\#-A-F$  in the upper register responds to the same chord-type (048),  $A\flat-C-E$ , in m. 103.

Example 5-7 continued.

The musical score consists of three staves. The top staff is a vocal line starting at measure 106 with a melodic phrase. The middle and bottom staves are for 4 Clarinets. The first chord in measure 106 is a triad (A<sup>b</sup>, C, E) labeled 'Set class (015)'. The second chord in measure 107 is another triad (A<sup>b</sup>, C, E) labeled 'Set class (015)'. The third chord in measure 108 is a dyad (A<sup>b</sup>, E) labeled 'Set class (0258)'. The key signature is one flat (B-flat major).

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Continuing dramatic significance of the augmented triad is evident in the opening of the choral section, with the canonic treatment of the partial Dionysus-row. The soprano replicates the Stranger's melody (see Ex. 5-8) using the partial Dionysus-row ( $P_0$ ) – i.e. a minor sixth below the original statement – but retains the A<sup>b</sup>-major triad in the upper register and the E in the lower. Also, the augmented triad formed by the three head-notes of the row provides structural coherence between the opening tenor solo, the orchestral interlude, and the choral response.

Example 5-8. *The Bassarids*, First Movement, mm.122-125. Soprano entry based on Dionysus-row, retaining the  $A^{\flat+}$  and  $C(A^{\flat})$  aug. triads of the off-stage solo.

The musical notation shows a single melodic line in treble clef. The notes are: G4 (quarter), A4 (quarter), B4 (quarter), A4-G4 (beamed eighth notes), F4 (quarter), E4 (quarter), D4 (quarter), C4 (quarter), B3 (quarter), A3 (quarter), G3 (quarter). A bracket above measures 1-4 is labeled  $A^{\flat+}$ . A bracket below measures 1-3 is labeled  $C(A^{\flat})$  aug. A box labeled  $P_0$  is under measure 1. Measure numbers 1-5 are below the staff.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The opening of this choral segment contrasts drastically with the homophonic texture of the Pentheus-choir. With the canonic entries in the soprano, the alto, and the bass (see Ex. 5-9), the texture seems to respond to the fanfare of trumpets, yet homophonic writing soon takes over to expose the invitation to clap and dance in welcoming the God Dionysus. No doubt the contrapuntal texture of the passage is reminiscent of the inaugural fanfare; but the difference between the two choral sections in terms of the overall harmonic effect is important in clarifying the dramatic purpose behind parallel musical events to depict the contrasting worlds of Dionysus and Pentheus. In the initial Pentheus-music, four trumpets produce an intensely dissonant texture which lacks pitch and harmonic focus. Then, in the following choral section the discrepancy between the orchestral and vocal layers retains the tension despite the apparent tonal allusions, particularly in the vocal layers in the succeeding sections.

Example 5-9. *The Bassarids*, First Movement. Multiple tonal allusions in the choral texture against the C background.

The image displays two systems of musical notation. The first system (measures 123-128) features four vocal staves (Soprano, Alto, Tenor, Bass) and a piano accompaniment. The Soprano part is marked with  $P_0$  and numbered 1-5. The Alto part is marked with  $P_3$  and numbered 1-2. The Tenor part is marked with  $P_{10}$  and numbered 1-2. The piano accompaniment is marked with  $P_0$  and numbered 1-3. Labels on the right side of the first system indicate: 'D-minor segment' (Alto), 'C-major collection' (Tenor), and 'C-minor segment' (Bass). Labels at the bottom of the first system indicate: 'C pedal-chord' (Piano) and 'C-major/minor pitch-collection' (Piano). The second system (measures 129-134) features four vocal staves and a piano accompaniment. The Soprano part is marked with  $R_{10}$  and numbered 1-4. The lyrics are: 'Long have we wait - ed, long watched:'. The piano accompaniment is marked with  $R_{10}$  and numbered 4. A label at the bottom of the second system indicates: 'C-major pitch-collection' (Piano).

In the corresponding section in the Dionysus-music the choral layers and the orchestral sound merge to create a range of tonal allusions in each of the voices against the C background. The outer voices of the loosely canonic passage are based on the  $P_0$  segment of the Dionysus-row, while the two inner voices use the D-minor and C-major/minor collections.<sup>181</sup> As a contrast to the Pentheus-music music, which lacks harmonic focus, the Dionysus-choir establishes clear tonal ideas through pitch and interval repetition in all four voices. In the soprano, repetition of the minor sixths C-E and  $E^b$ -G emphasize a conflict between major and minor modes of C – an idea implied further by the C-minor segment in the tenor. Yet, clearly delineated phrases substantiate C major as the focus of the entire top register (circled in the example). Based on a D-minor segment, the symmetrically constructed alto contrasts with the other layers in the first part, but joins the sopranos in unison to confirm C in the second phrase. In order to reinforce the C-major pitch-collection, Henze uses a trilled pedal-chord, with C as a focal pitch, in the orchestra. While the first phrase of the section (mm. 123-128) contains a hint of uncertainty with the major-minor modes and the D-minor segment, the second part affirms C-major as the main harmonic idea of the choral fragment; the last few bars includes nothing but the C-major pitch-collection.

Different strategies of textural opposition and outright stratification of materials in contrasting pitch registers allow Henze to produce shades of dissonant and consonant textures. In the Pentheus-music of the opening the layers consist of whole-tone collections, which are connected to triadic end phrases via diatonic groupings. Because the layers lack a common basis the abundant cross-relations between the individual lines result in heavily dissonant outcome – including the choral block in relation to the orchestral layers. The Dionysus-music, in contrast,

---

<sup>181</sup> Solo cello doubles the soprano in mm. 122-128 before it states a short counter-melody; all four voices sing the ceremonial “Ayayalya” as text, left out in the musical example for analytical clarity.

is imbued with ideas derived from the row segments. But the overall harmonic idea is carefully controlled to accentuate the C-major collection, with sporadic hints of the minor mode.

Certainly, tonal syntax is absent from the texture entirely, but pitch and interval repetition in the soprano, tenor, and the bass creates focal pitches unambiguously. And in strong contrast to the opening choir, the orchestral texture conforms to the same C-major pitch-collection used in the choral texture.

The conflict created by the D-minor segment in the alto is only momentary and lacks in consistency to become a counterweight against C major. Because the soprano and the alto are in the same register, the overlapping lines result in a dissonant sound. In all the operas examined in the present such layering is often used as a compositional principle involving the simultaneous use of contrasting collections. Nevertheless, all four vocal entries of the first Dionysus-choir are derived (at least the head-notes) from the Dionysus-row where C is constantly stressed as a pitch, as a triad, and as a pitch-collection. The momentary pitch and key dualisms that result from the layered texture in the first part – between C and B $\flat$ , C and E, as well as between C major/minor and D minor – is replaced by a homogenous texture emphasizing C major unmistakably in the second. Yet, the passage lacks elements of tonal syntax, including harmonic progressions and voice-leading. Even the dissonant pedal is not resolved to a major triad but retains the inner conflict of the I $_4^5$  chord in C major till the end.

The structural connection between the Stranger's solo and the choral music is partly the consequence of the inner symmetry of the augmented triad, set-class (048); A $\flat$ ,C,E segment in the solo is linked with the C,E,A $\flat$  in the choir. But the tonal allusion in the solo results from a focus on the A $\flat$ -major triad through pitch repetition, longer note-values, and different register with the E-B in the same segment. In the soprano the same triad is used as the structural

framework that adjoins two thematic entries C,E and E $\flat$ ,G around A $\flat$ . Although P<sub>0</sub> form of the row accounts for all 5 pitches of the first phrase, pitch and interval repetition at each end justify the interpretation in terms of two separate row forms.<sup>182</sup>

In a general sense the two rows carries dramatic force in *The Bassarids*. When Dionysus appears for the first time as the off-stage voice, the row, or ideas derived from the row permeate the musical texture. Similarly, when Pentheus makes his first entry towards the end of the first movement, the RI<sub>11</sub> of the Pentheus-row is used to confirm his world in contrast to that of Dionysus. When tonal allusions surface, as in the choral section analyzed above, the rows function as behind-the-scene matters of musical structure, irrelevant as to the resulting music. More precisely, the rows permeate the musical structure of *The Bassarids*, but their use is varied; sometimes a partial statement of the row provides the basic motive for a tonal sounding passage, sometimes a complete row creates a connection between to passages, sometimes a dramatic contrast is achieved with the dissonant interval content of the row. Yet, the rows never become the only determinant of the musical textures; they function as compositional starting point from which several (contrasting) ideas are developed.

Example 5-10. Dionysus-row against the parallel thirds and occasional fifths in the orchestra.

133

Dionysus-row    **I<sub>0</sub>**    1    2    3    4    5    6    7

<sup>182</sup> Towards the end of the choral passage the cello echoes the D major material from the Stranger's solo and the orchestral interlude. D-F# and C#-A is suggestive of the I-V that ended the solo on the leading-tone of D – once again this idea is left unresolved. The B $\flat$  is kept in the lower register and separated from the D-major idea.

Example 5-10 continued.

The musical score consists of several staves. The top four staves are for the vocal ensemble, labeled 'CORO' on the left. The parts are Soprano (S.), Alto (A.), Tenor (T.), and Bass (B.). Each vocal part has a melodic line with lyrics 'A - - ya - - ya - - - ly - a!' and a corresponding Pentheus-row (P<sub>5</sub>) indicated by a boxed label and numbers. The Soprano part has P<sub>5</sub> 1 2 3 4, the Alto has P<sub>5</sub> 6 8 10, and the Tenor has P<sub>5</sub> 1 7 11. The Bass part is empty. Below the vocal parts is the piano accompaniment, consisting of two staves. The piano part includes chords and arpeggiated figures, with a Pentheus-row (P<sub>5</sub>) indicated by a boxed label and numbers: 1 2 10 4, 6 7 3 10, 1 11, and 10 4, 3 10. At the bottom of the piano part is a single staff for the bass line, with an I<sub>0</sub> row indicated by a boxed label and numbers: 8 9 10 11 12 7.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Before the Pentheus-row is stated thematically for the first time in any of the vocal lines, the Dionysus-music continues with alternating episodic sections of choral and short orchestral

sections. In mm. 133-137 the complete statement of the Dionysus-row ( $I_0$ ) is stated in the cello and the trombone (see Ex. 5-10). Contrasting materials in the orchestra recalls similar textures used in other operas studied above: block materials of parallel thirds (and occasional fifths), and later with partial  $P_5$  statement in the soprano. Doubled in the strings, the dissonant sonorities in the choir form another block material that replaces the thirds and fifths. The complete statement of the row overlaps with these two block materials; initially it is the prominent idea of the texture, but blends later with the partial statement in the soprano. In the overall texture its purpose is secondary to the forceful sound of the choral texture.

As the analysis of Pentheus-music vs. Dionysus-music demonstrates, the compositional principle behind the musical depiction of the two worlds is similar. The idea that the tension between the rivals is resolved at the end with the triumph of the Dionysus-world is unjustified from the point of view of sonata-form principles. As the analysis of the second and the third movements will show, the turn of events in the plot is reflected musically through the effective use of quotation technique rather than a synthesis of musical materials introduced in the first movement. When the Dionysus theme (first theme according to the sonata form argument) returns in the reprise in the first movement, it has been transformed stylistically (see Ex. 5-11).

Despite the initial minor sixth ( $G, E\flat$ ) that is suggestive of  $P_7$  form of the Dionysus row, the unaccompanied call differs from the off-stage voice earlier in the first movement. First, unlike the arioso style of the first call, it develops into an aria and bursts into song, a strophic song even. With the evocative sound of the off-stage voice, the guitar accompaniment, and the fragile orchestral texture, the Thebans are invited to join the dance and rejoice in the sensual world of Dionysus. Second, both the empathic melismatic vocal style and the delicate accompaniment of the guitar, reminiscent of canzoni in *Il Re Cervo*, create a significant stylistic contrast with the

first theme area and the surrounding music.<sup>183</sup> And finally, the emphasis on A $\flat$  and E $\flat$  has been replaced with an emphasis on E $\flat$  and D.

Example 5-11. *The Bassarids*, First Movement. Second solo of the off-stage voice (reprise).

**Off-stage voice**

575  
8 how fair is wild Cyth-er - 5 - - on: Lush and

576  
8 green 3 in her scent 3 - - ed glades

577  
8 grow i - - vy, vine, and bry - o - ny;

580  
8 from her cav - erns of cool stone

Guit.

Crotales & Str.

Harp & Str.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>183</sup> Such moments in *The Bassarids* were interpreted as Italianate elements in the reviews after the premier. See, for example, Karl Ganzer, "Henzes Opera über die Massensuggestion," *Augsburger Allgemeine Zeitung* [Augsburg] (9 August 1966), quoted in Hochgesang, *Die Opern*, 370.

Nevertheless, the resolution to D at phrase-ends in the second solo hints at a connection with the Stranger's first solo, which ended on a dominant of D major/minor with the unresolved leading-tone C#. The leading-tone is absent in the return of Dionysus, but the resolution of the E♭ to D, after the ornamented figure that accentuates the escape tone, and the repetition of the F# in the triplets in the second phrase suggest a resolution to D, as the fulfillment of an idea suggested in the first solo. It is significant for the overall coherence of the opera that Pentheus's aria at the end of the third movement, which exposes his immersion in the Dionysus cult, echoes the same stepwise conflict between D and E♭.

To underline the connection with the first solo Henze uses the same C<sub>4</sub><sup>5</sup> pedal from the Dionysus-choir in the guitar accompaniment. While the transparent orchestral sound reiterates the C-major pitch-collection, its interaction with the vocal line creates ambiguous harmonic relations, quite unlike the choral texture of the first Dionysus music. There are obvious associations between the two Dionysus sections. Yet, in the second appearance of off-stage voice, the stylistic transformation results in a formal incongruity, which rules out sonata form as the means by which the drama is developed. It may be possible to map the thematic ideas in *The Bassarids* to an ideal sonata-form scheme. It is hardly possible to verify, though, that dramatic action depends on it.

Henze's own interpretation of the first movement in terms of sonata form originates from his understanding of musical forms as archetypes of western musical tradition that can be revised to explore their usefulness for artistic creation today. This is not to say that tensions created by the musical treatment of tonal ideas in sonata-form layout can be replicated in the musical language

of contemporary music to mold uncharacteristic material into the same framework.<sup>184</sup> Thematic and harmonic differentiation between the Dionysus and Pentheus in *The Bassarids* is subtle, but the impulse behind the dramatic tension between the two musical worlds is not the symphonic forms of the past – neither classical forms, nor the twentieth-century symphonic tradition.

It is even more problematic to account for the second theme within a sonata-form outline. Immediately before the Pentheus-row appears, the choir echoes the head notes of Dionysus-row P<sub>5</sub>, where the C major pitch-collection of the Dionysus theme (first theme) overlaps with dissonant sonorities. The suggested second theme is sung by the feeble Tiresias in a recitative style (see Ex. 5-12), with an agitated orchestral accompaniment, and possesses nothing of the rationality that characterizes Pentheus's dogmatic belief system.<sup>185</sup> Even though it is schematically possible to accept this vocal entry as the second theme area, the indecisive and confused state of the character, and the musical material that reflects his ambivalence, distorts the essential elements of the plot, unequivocally stated by the composer as the dramatic confrontation of the world of Dionysus and Pentheus. In the erratic and partial use of the Pentheus-row in Tiresias's vocal line, which also lacks the head-notes of the row, a reference to Pentheus's world of reason is absent. Auden and Kallmann characterize Tiresias as “a vain, stupid, impotent old man, whose fear of death takes the form of trying to keep up with the young. He is enthusiastic about the cult of Dionysus simply because it is new, the latest thing in religious fashion.”<sup>186</sup>

---

<sup>184</sup> “One can explain why fugues exist, and also why they can no longer be written today. Because the tonal system, from which a fugue derives its tensions, no longer works. There are also twelve-tone fugues, which are truly formalistic; an old form is reproduced, without the tension of the material that once made such a fugue dramatically effective and alive.” Henze, *Music and Politics*, 155.

<sup>185</sup> Schottler, *Die Bassariden von Hans Werner Henze*, 185.

<sup>186</sup> Auden and Kallman provided a genealogical tree of the characters where Tiresias is portrayed as a weak figure struck blind by Hera, and compensated by Zeus with long life and prophetic powers – not evident in the opera. W.H. Auden, Chester Kallmann, “Religious Attitudes of the Characters,” Introductory notes to Hans Werner Henze, *The*

The musical texture creates an indecisive mood and consists of musical elements that are derivatives of the Dionysus-row – major, minor, and diminished triads, all of which are made unstable by the addition of a conflicting pitch. It is also important that the text in this passage does not refer at all to Pentheus, but reveals Tiresias’s inclination towards Dionysus: “I too would like to join the dance. I too would wear fawn skin. Who will guide me to Cytheron? Dionysus, give me strength!” Even though the partial and erratically used P<sub>11</sub> form of the Pentheus row emerges now and again, the murmurs of the secondary character never acquires the significance of a counter theme.

Example 5-12. *The Bassarids*, First Movement. Second theme, after layout by Schottler.

**Pentheus-row**

193 **I<sub>11</sub>** 4 5 6 8 7 9 10

TIRES. I too would join the dance. I too...

**G<sup>b+</sup> F<sup>+</sup> E<sup>°</sup> G<sup>+</sup>**

Fag.

Example 5-12 continued.

The image shows a musical score for Example 5-12 continued. It consists of three staves. The top staff is for the vocal line, labeled 'TIRES.' and starts at measure 196. The music is in 2/4 time and features a melodic line with lyrics: '— would wear a fawn — skin. Who will'. A triplet of eighth notes is marked above the vocal line. The middle and bottom staves are for the piano accompaniment. The piano part features a complex harmonic structure with various chords and intervals. Two specific chords in the piano part are highlighted with black boxes: one in the right hand (treble clef) and one in the left hand (bass clef). The right-hand box is labeled 'F#-' and the left-hand box is labeled 'F+'. The piano part also includes a triplet of eighth notes in the right hand.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

When Pentheus appears for the first time in the opera, his vocal line is based on the ordered form of the Pentheus row (the first six pitches of RI<sub>5</sub> followed by free usage), accompanied by the massive orchestral tutti that signifies what Pentheus stands for in the opera (see Ex. 5-13). The affirmative vocal line, which arrives after a 26-measure long buildup towards a *sffz* tutti, reflects Pentheus's determination to uphold the law: "Too lax was the Law in permitting weak ignorant women to kindle this flame on Semele's tomb." One more time Henze employs a compositional technique that contradicts a clear-cut distinction between the characters. True, the Pentheus-row is different from the Dionysus-row in terms of interval content – it is not imbued with triadic segments or intervals. Yet, Pentheus's first vocal statement in the opera coincides

with an unmistakable tonal emphasis in the orchestral texture – the pedal F and the periodic statements of the F-minor sonority (both sustained and arpeggiated). Further, there is a link between the two sub-phrases of the vocal line that start with F and A $\flat$  creating a reference with the harmonic background of the segment.

The power of the tutti, the accented motivic materials, and the high and explosive dynamic markings create a frightening image of king Pentheus, and indicate an intensification of the dramatic confrontation in the music of Pentheus in this passage and that of Dionysus in the reprise (return of the off-stage voice). Still, because this emphatic passage arrives towards the end of the first movement, it is hardly appropriate to label it as the second theme.<sup>187</sup> There is, moreover, no evidence that the conflict is derived from differences inherent in the respective rows of the two characters, or thematic materials that are schematically molded into formal categories. Arguably, the tension between the two worlds is impossible to determine as a general compositional principle that can be traced throughout the first two movements, or even locally at any given moment in the opera. Rather, the musical differentiation that is crucial in advancing the drama needs to be confirmed through analysis within a given dramatic context. This is a result of the subtlety of Henze's depiction of the opposing characters without assigning a specific musical idiom to Pentheus or Dionysus – both realms involve twelve-tone writing, and both contain as well as tonal allusions. However, he uses different techniques to expose important dramatic details of the plot.

---

<sup>187</sup> The first movement consists of 664 measures and Pentheus first appears in m. 481.



## Example 5-13 continued.

The musical score consists of three systems. The first system is a vocal line in bass clef, starting at measure 483. It features a sixteenth-note triplet (marked '6') on 'weak', followed by another triplet on 'ig-no-rent wo-men', and a triplet on 'to kin-dle this flame'. The final measure has a seven-measure rest (marked '7') followed by a triplet on 'on Se-me-le's'. The second system shows the piano accompaniment in treble and bass clefs, with a box highlighting a chord in the first measure and the label 'F-sonority' to its right. The third system continues the piano accompaniment with a seven-measure rest in the first measure.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

At the end of this forceful passage Pentheus threatens to put to death those who dare to re-light the altar-flame at Semele's tomb. But, after Pentheus gives the order he turns around only to find the stage empty. The enchanting sound of the guitar and the off-stage serenade (the reprise already analyzed above) invites everyone to go to Mount Cytheron to taste the pleasures promised by god Dionysus. Based on the ordered  $P_2$  form of the Pentheus-row, the ostinato bass that is used towards the end of the section creates the feeling of forward motion is (see Ex. 5-14). At the same time, the ostinato reflects Pentheus's anxiety, as the initial signs of his powerlessness in controlling his people. He asks: "Captain! Where are my people? Were there

not orders bidding them to gather?" Dramatically, this is a decisive moment in the opera in communicating the Thebans' enthusiasm to follow Dionysus, in total disregard of the explicit orders from their King. From this moment on, the opposition between the two protagonists deepens, but the turning point in the drama and the resolution of the conflict only arrives with the stylistic shift and Bach quotations in the second movement. Nevertheless, the discomforting mood established by the ostinato indicates what lies ahead. The triadic sonorities in the guitar and the piano create a subtle contrast with the row-derived material reflecting the concurrent actuality of the worlds of Dionysus and Pentheus. When Pentheus re-enters the palace in a fury, because his orders are not obeyed, the ostinato bass disappears.

Example 5-14. *The Bassarids*, First Movement. Row segment in the ostinato accompanied by simple triadic sonorities.

509  
PENTH. Pentheus

(M.D.) E-(+ A,D) Cap \_tain!

8basse 8bassa

Open strings of the guitar

Pentheus-row  $P_2$  1 2 3 4 5 6

## Example 5-14 continued.

512

PENTH. *Where are my peo\_ple? Were there not or\_ders bid\_ding them to*

$Bb+$   
 $A^b+$

Chit.  
 $A^7$

7 8 9 1 2 3 4 5 6

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

As the above analysis of the first movement of *The Bassarids* shows, the sonata-form argument is insufficient in explicating the dramatic substance of the opera. Pentheus is strongly present already in the orchestral prelude, characterized by the dissonant harmonic texture made up of layers of separate traditional pitch-collections. The dramatic conflict is established between this opening and the first appearance of Dionysus as off-stage voice, with stronger tonal allusions. Both in this solo and the following choral segments the twelve-tone materials are used to create focal pitches in more transparent textures with stronger tonal emphasis. Throughout the first movement the conflict between the music of Pentheus and that of Dionysus is intensified, but not resolved. The sonata-form argument fails to explicate the escalation of the conflict, and

should perhaps be understood as an archetypal form that provides background structure to the movement rather than being the driving force behind the creation of the opposition.

In Henze's later remarks there are clues for an alternative interpretation of the form in *The Bassarids*. Auden and Kallmann's designation of the work as "opera seria" is justified in the sense that the alternation between recitative-like segments, short arioso sections, arias (for instance, Dionysus in the reprise, Agave in the second movement, Pentheus in the third) and duets (Dionysus and Pentheus in the third movement) create associations with number operas.

As for the musical language of *The Bassarids* – where exactly does it come from? And on what tradition is it based? After all, it is certainly not Wagner's compositional method that is taken up and developed here; for that, my piece is far too close to the older type of number opera. Still less can it be compared with Strauss.<sup>188</sup>

Indeed, distinct numbers offset formal categories of symphonic writing and require further attention. Certainly, the orchestral prelude is explainable either as an introduction (as in Schottler's sonata-form layout) or as an overture. However, with its powerful musical expression, the opening fanfare is more important in presenting one of the principal characters of the opera. This material is used only in the opening, but fulfills its function as the musical depiction of the new King Pentheus. The subtle distinction that is created in the following Dionysus-music is significant in establishing the opposition between the two main characters, although neither the Dionysus's off-stage call, nor Pentheus's powerful vocal entry in the first movement constitutes a stereotypical operatic form as a number. But these solos reflect the contrasting nature of the characters and play an important role in dramatizing the opposition.

---

<sup>188</sup> Hans Werner Henze, *Bohemian Fifths*, 207.

Agave's aria in the second movement (considered below), on the other hand, is a separate number isolated from the surrounding music that foreshadows the turning point of the plot at the end of the second movement. With its periodic formal structure, this aria spawns stylistic contrast through its jazz-inspired vocal line and the contrapuntally used twelve-tone material in the orchestral texture. Ordered by her son Pentheus to explain what she saw on the mountain of Cytheron, Agave portrays her experience in an idiom that is essentially different from the twelve-tone derived textures of the preceding sections. Likewise, the duet between Dionysus and Pentheus in the third movement and the numerous ensembles follow operatic conventions as separate numbers. Pentheus's aria, which he sings immediately before being killed by the crowd, must be considered as an operatic cliché. Not the least, Dionysus's aria that concludes the second movement invokes tonality by quoting Bach, transformed within a romantic idiom to create a powerful and memorable number.

## **5.2. Tonal and twelve-tone stratification in *The Bassarids*.**

In the following sections two important compositional techniques will be considered. First, stratification of texture will be further studied as a persistent compositional method in creating juxtaposed tonal and harmonic contexts in *The Bassarids*. Second, stylistic elements and quotation from (or allusion to) J.S. Bach's music will be examined to discuss the turning point in the opera, which is hinted at in Agave's aria, and unambiguously stated in the synthetic insertion of contrasting music to highlight the dominance of the Dionysus music over everything else.

As argued above, Henze often uses several pitch-collections simultaneously within a texture to suggest a dramatic conflict or create tension. Sometimes he superposes collections that have a tonal basis; other times he forms layers that are stylistically different. In the initial Pentheus-

music Henze puts the row to various uses; twice in the opening he employs it to connect choral segments.<sup>189</sup> The  $P_{10}$  form of the row is used in descending parallel octaves in a slightly erratic manner (see Ex. 5-15). This change in the ordering of the pitches has technical rather than dramatic reasons – the reordering creates two successive chromatic groups, set class (012), and enables Henze to create a smoother articulation in the descent. In the two occurrences the pitch content of the descent is identical, but the orchestration is varied – strings and woodwinds in the first, strings, brass, and piano in the second.

Example 5-15. *The Bassarids*, First Movement. Pentheus-row connects choral segments in the Introduction.

Set class (012)      Set class (012)

$P_{10}$  1 2 3 4 7 5 6 8 10 11 9 12

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

<sup>189</sup> In m. 37 and m. 69 in the first movement.

In the third appearance of the same idea, immediately before the off-stage voice (Dionysus) appears, Henze superimposes three forms of the Pentheus-row ( $P_3$ - $P_{10}$ - $P_2$ ) to create an ostinato that accompanies the return of the fanfare (see Ex. 5-16). Against these separate layers of contrasting rhythm, a choral segment in parallel octaves is added. Despite the occasional correspondences between the separate layers, the superimposition of the contrasting materials exaggerates the dissonant quality of the texture. The choir sings “Long life to our young Duke,” but the tumultuous composite texture belies the optimism of the text. Evidently, the superimposition of block materials associated with Pentheus has symbolic value; all the layers present in the texture relate to Pentheus, and are clichés of operatic writing – e.g. the unison or octave passages in the choir and the use of the brass in the orchestra to depict royalty. Perhaps the most surprising element of this texture is the parallel statements of three row forms that correspond directly with textual content that relates to Pentheus.<sup>190</sup> Since the twelve-tone row is designed by the composer for a specific character, this link is significant; yet the choral melody is independent of the twelve-tone row. So, the connection is audible in a limited sense, because there are no thematic associations between this reordered collection and the successive occurrences of the row. Henze prepares the arrival of the Dionysus-music through an intensification of dissonant textures in the opening Pentheus section.

---

<sup>190</sup> The other two statements of the row in m. 37 and m. 69 are used to connect two choral segments.

Example 5-16. *The Bassarids*, First Movement. Stratified texture of block materials in the opening.

4 Trb. sulla scena ossia in Orchestra

1. **Opening fanfare**

2.

3.

4.

CORO

S. **Unison/octave texture**

A.

T.

B.

P<sub>3</sub> 1 2 3 4 7 5 6 8 10 11 9 12 1 2 3 4 7 5 6 8 10 11 9

P<sub>10</sub> 1 2 3 4 7 5 6 8 10 11 9 12 1 2 3 4 7 5 6 8 10 11 9

P<sub>2</sub> 1 2 3 4 7 5 6 8 10 11 9 12 1 2 3 4 7 5 6 8 10 11 9

**Pentheus-row**

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Example 5-17. *The Bassarids*. Second Movement. Pedal derived from Pentheus-row juxtaposed with triadic bass-gestures.

668  
CADM. *Cadmus* Wait,

**Brass**

**D- (+B) or B<sup>♭7</sup> (B,D,F,A)**

**Strings**

**P<sub>2</sub>** 1 2 3 4 **B triad (B,D,F)**

**Pentheus-row**

671  
CADM. Pentheus. Give no orders. Bow your head: —

**B<sup>♭7</sup> (B,D,F,A)**

In the second movement the conflict between Pentheus and Dionysus deepens. Determined to eradicate the Dionysus cult, Pentheus ignores Cadmus's warning to bow for the Gods (exx. 5-17 and 5-18. show excerpts from this moment in the scene). Several suggestive musical elements underline the emergency of the situation in which the young King struggles to exercise his will. The four-note pedal in the bass emphasizes D as a focal pitch, and includes also its leading-tone C# and its (major) third F# (see Ex. 5-17). D is further stressed on each end of the two bass-gestures comprising B diminished and B half-diminished seventh motions. With the rapid stepwise motion in the string figure, the sustained half-diminished seventh chord in the brass, and the pedal D-C#-C ♭ -F# – head-notes of Pentheus row P<sub>2</sub> – Henze upholds the dissonant tone of the Pentheus-music. It is dramatically significant that while the Pentheus-row saturates the musical surface in the beginning of the second movement, it is briefly replaced by the triadic bass-motion (B diminished and B half-diminished seventh) when Cadmus advises Pentheus to refrain from deciding against the will of Gods: "Pentheus. Give no orders. Bow your head."<sup>191</sup>

After this momentary digression the row returns, apportioned between the voice and the orchestral accompaniment creating a counterpoint of sporadic dissonant and consonant intervals (see Ex. 5-18). The erratic use of the Pentheus-row here resists assignment to a single character or plot agent. Cadmus reminds the young King of the terms of his rule: "you rule by my consent. I spoke with the gods. Their words, forgotten, were fire."<sup>192</sup> Even though a complete row is present in this context the thematic ideas in Cadmus's words are not row-derived. In fact, the row-segment A-C#-D-C ♭ -F#-F evokes the D major/minor inflection heard in the first off-stage call. Similarly, the next segment (A#-B-C) deviates from the row, to disrupt a clear link between the characters and the associated musical materials.

---

<sup>191</sup> Hans Werner Henze, *The Bassarids*, vocal score by Carlos Berner (Mainz: Schott, 1992), 162.

<sup>192</sup> Henze, *The Bassarids*, vocal score, 163.

Example 5-18. *The Bassarids*, Second Movement. Pentheus-row apportioned between the vocal line and the cello.

675 **Pentheus-row**

CADM. [A 4 6 D 8 9 F# F] 10 11

you rule by my consent.

RI 4 1 2 3 5 7

678 I<sub>10</sub> 1 2 3

CADM. I spoke with Gods.

12

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

It is significant that in the second movement the Dionysus-row is absent from the musical texture initially; the Pentheus-row, meanwhile, is consistently present in various forms. 160

measures into the movement the Dionysus-row appears as a pedal tetrachord in the piano and timpani (see Ex. 5-19), coalescing with the thick texture of the brass to function as a structural element in the background. Through the canonic treatment of the Dionysus-row Henze creates consonant intervals C-E and E-C, and the dissonances G-G#, G#-G. The result is a continuation of ideas established in the Dionysus-music in the first movement – the tetrachord (C,E,G,G#) contains both the C-major and C-augmented triads, while the bass line in m. 819 sounds a straightforward C major triad (a skeletal tonal allusion typical of Henze).

Example 5-19. *The Bassarids*, Second Movement. Opening tetrachord of the Dionysus-row pedal against the canonic entry in the trombone.

818

The image shows a musical score for Example 5-19, titled "The Bassarids, Second Movement." It features a score for piano, timpani, and trombone. The score is divided into two systems. The first system shows the piano and timpani parts, with the piano part marked "gva" and the timpani part marked "gva b.". The second system shows the trombone part, marked "Trb.", and the piano and timpani parts. Below the score, the Dionysus-row is labeled "Dionysus-row" and "P4", with a box around "P4". The notes of the row are numbered 1 through 4. The trombone part is also numbered 1 through 4. An arrow points from the "P4" box to the first note of the trombone part.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

The return of the Dionysus-row with dramatic purpose coincides with Pentheus's avowal that he will abstain from bodily pleasures (wine, meats, and women) till the day he dies. Even though the Dionysus-row is used erratically the musical texture is not reminiscent of the Dionysus material in the first movement. Moreover, the hint of the Dionysus material diminishes with the use of the Pentheus-row immediately afterwards, and with a similar voice-leading, where pitches of the row that are already used are repeated to create continuity.

Throughout the second movement, which is written in a fragmentary style, the confrontation between Pentheus and the Dionysus cult is reflected several times. Schottler divides this movement into a series of dance forms and labels them "in the manner of a Pavane," "in the manner of a Courante" and so forth, to suggest periodic units in the music. The idea is derived from Henze's remarks that the movement was conceived of as a scherzo of bacchanalian dances.<sup>193</sup> Delineation of the formal divisions this way conceals the dramatic development of the conflict between Pentheus's strict adherence to high moral principles and the hedonistic vision of the Dionysus cult, which obviously cuts across the formal sections. The conflict becomes evident in the humming of the prisoners while Pentheus inquires about the few prisoners brought before him: "What? A poor handful, Captain?" While the prisoners hum in a state of trance, the Captain replies: "All, Sire, we could discover; though I could hear more, many more."

### **5.3. Stylistic contrast and quotation technique in *The Bassarids***

In Agave's aria, remarkable for its fusion of twelve-tone materials and jazz-like vocal idiom, Henze underscores the turning point of the drama. Characterized by its contrapuntal texture, the stylistic shift in this number coincides with the return of the Dionysus-row. For the first time in

---

<sup>193</sup> Henze, *Music and Politics*, 145.

the work, the Dionysus-row is used as a significant structural component of the musical texture in a straightforward way – the twelve tones of the row are used without pitch repetition in the solo oboe melody, and then restated to create a twelve-tone ostinato (see Ex. 5-20).

Example 5-20. *The Bassarids*, Second Movement. Dionysus-row is part of the triadic ideas within the contrapuntal texture of Agave's aria.

**Dionysus-row**

1066

PENTH.  $\text{P}_5$  1 2 3 4

What did you see there?

$\text{♩} = 80$  [F A C#]

Ob.

Arpa

[E G# C# A]

1071

AGAVE  $\text{P}_5$  5 6 7 8 9 10 11 12

[C (Bb) E G (B) [B D# F#]

8va

Example 5-20 continued. Dionysus-row P<sub>5</sub> continued.

1076

AGAVE

On a for-est foot-path, round a far bend, time

P<sub>5</sub> 1 2 3 4 5

1080

AGAVE

stop-ped, I stepped in to a world a-wait-ing me as it ev-er was;

P<sub>5</sub> 6 7 8 9 10 11 12

gva

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

With the undulating melodic writing Henze creates a compound melody comprising transient groups of notes in different registers, reminiscent of the contrapuntal writing in *Der Prinz von Homburg*. Even though the oboe solo in Agave's aria is based on a twelve-tone row, the

interaction with the vocal line and the carefully designed harp accompaniment engenders momentary chordal sonorities, which defy labeling and are constantly disguised through active part writing. Particularly with the entry of the vocal line triadic ideas become clear, yet in typical Henzean manner fail to create a conventional tonal succession. Within this texture the presence of the Dionysus-row is suggestive; because Henze sketched out that the drama in *The Bassarids* is based on the conflict between the music of Dionysus and that of Pentheus, and the overcoming of the former through the opera, the arrival of the row in the second act is undoubtedly significant. But as far as the musical style is concerned Agave's aria has no connection with the music of the off-stage voice in the first movement where the tonal allusions were derived from the manipulation of the row to emphasize focal and repeated pitches or phrases. In the aria, the row remains as an independent layer without thematic substance, and does not create focal pitches. Only with the addition of the harp and the vocal line does it become part of a texture in which allusions to triadic sonorities become more obvious (starting in m. 1076 in Ex. 5-20).

Agave's aria creates an unmistakable stylistic contrast and it is followed by a fragmented passage that reflects Pentheus's growing frustration over not being able to exert his authority upon his people now enthralled by the Dionysus cult. His insistent calls for more definitive information about Dionysus are not fulfilled by the Captain's actions. Thus he orders that Agave and Autonoe be locked in the palace.

Pentheus and Dionysus (disguised as the Stranger) are brought together in the following recitative with questions about the latter's origins and his faith; the interaction culminates in an aria based on the *Overture* from Bach's *Partita no.4* in D Major, BWV 828 (see Ex. 5-21). Occurring at a dramatically crucial moment in the opera, this allusion is the intensification of a

change in musical style already suggested by Agave's aria. Yet, Henze does not pay due attention to it.<sup>194</sup> Rather, he muses over the purpose of the motivic quote from Bach's *St. Matthew* Passion in the Third Movement and at the end of the opera. Likewise, the existing scholarship focuses on identifying various occurrences of the quotes (or allusions), including vague associations with Mahler's symphonies; the quote from the *Partita* is acknowledged, but its dramatic significance is largely overlooked. It is problematic that Schottler extends the idea of quotation in *The Bassarids* to stylistic quotation and consonant sonorities. These are musical elements that Henze uses constantly in his works (including instrumental music), and provide very little help in explicating the function quotation plays in this opera. A constantly reiterated idea in Henze scholarship is the notion that he, as an eclectic composer, adopts stylistic elements from earlier periods, as well as other genres and musical traditions, only to synthesize them into his own personal compositional idiom. Such a general statement would apply to many other composers, and thus fail to elucidate the specific issues relevant to *The Bassarids*. What is vital in this context is to interpret the significance of the quotations (more precisely an allusion in this case in projecting the essential elements of the plot.

Corresponding with Pentheus's interaction with the Stranger (Dionysus), the aria is a response to the King's demand to know more about the cult. Pentheus suspects the Stranger is a priest from the Dionysus cult and threatens with death unless answered properly. Even though the quote (allusion) is limited chiefly to thematic material and its periodic repetition, it inevitably alters the listeners understanding of the situation, with the sudden reference to a strongly tonal passage. Both the orchestration and the contours of the vocal line are written in a late romantic

---

<sup>194</sup> Henze, *Music and Politics*, 150. Similarly, Schottler limits his discussion to finding and confirming those quotes in *The Bassarids* already mentioned by the composer himself. See Schottler, "Die Bassariden" by Hans Werner Henze, 242-248.

idiom that strikingly contrasts with the immediately preceding alternation of recitatives and arioso passages. The quote is not at all exact, but the association with the music of the past is.

Example 5-21. *The Bassarids*. Second Movement. Quote/allusion in the upper strings to Bach *Partita No.4* in D major, BWV 828.

1300 **Stranger**

**Larghetto**

1302

found a child a - sleep,

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

Consequently, the contrast between the music of Dionysus and Pentheus, which Henze outlines as the main source of dramatic action in the opera, has not been resolved through a synthesis of the musical materials introduced in the first movement. Rather, the transformation is introduced artificially. Through the unexpected shift of style Henze creates an unambiguous contrast and inevitably invites an interpretation of compositional systems and musical languages.

As analyzed above the distinction between the world of Dionysus and Pentheus is unclear in the first act of the opera because the music of both characters includes twelve-tone as well as tonal associations – that is, the difference is not as explicit as Henze in verbal commentaries would want it to be. The quote from (allusion to) the *Partita* creates a sudden and unmistakable contrast with everything heard until that moment. It is reasonable to question Henze's assessment that the opposition between Dionysus and Pentheus is eliminated gradually in the opera. The conflict is not resolved by any interaction between the two musical worlds, but by the insertion of a very well known musical idea into an unfamiliar environment. Henze downplays the significance of the quotations in *The Bassarids*, as a response to critics who considered them to be ironic in intent, and argues that the quotations make up only fifteen seconds out of 150 minutes of music.<sup>195</sup> In terms of exact quotes Henze is correct; Dionysus's aria, which is 53 measures long, contains only a few bars of exact quotes (and then only in the upper melodic line) from the *Partita*. Furthermore, Henze alludes to the *Ouverture*, but abandons it to continue in an idiom foreign to the original. However, it is inessential for the listener whether the reference to a well-known work by Bach is exact, partial, reworked or not.

This borrowing is immediately discernible regardless of the context it is used. The cultural dialogue initiated by the quote derives its power from Bach's immutable place in music history

---

<sup>195</sup> Hans Werner Henze, *Music and Politics*, 151.

and the religious implications inherent in his music. Within the musical context of *The Bassarids*, even inexperienced listeners cannot avoid noticing the change in musical style that emerges with the quote. Even though the recomposed passage deviates essentially in terms of tempo, meter, rhythmic values, harmonic motion and contrapuntal complexity, the entire aria reflects the inspiration of the original work within a romantic spirit. Henze uses the memorable melodic idea of the *Overture* to create a periodic aria, with three repeats of the quote in the strings, in the woodwinds, and finally in the tenor line. These three occurrences of the quoted motif create a unified musical idea for the entire aria, and prepare the climax at the end of the second movement.

A second borrowing from Bach's *St Matthew Passion*, the 19<sup>th</sup> movement recitative, is all the more intricate because the librettist Auden asked Henze to quote this particular passage.<sup>196</sup> From a compositional point of view it must therefore be interpreted as mechanical, and external to the plot and to the musical language of the opera as a whole. The occurrence of a motivic quotation as a local musical event is hardly sufficient to explicate large-scale compositional issues in an intricate score such as *The Bassarids*. Henze outlines the role of the quotations in the opera as "signposts, as guides for thought, which make the listener hear and think in the right direction."<sup>197</sup> When this quote appears for the first time in the third movement, it indicates a decisive moment in the opera in which Pentheus comes under the hypnotic influence of the Stranger (Dionysus), and then towards the end of the fourth movement, when the guards carry Pentheus's bier on to the stage. In its first occurrence the borrowing is hardly noticeable since it

---

<sup>196</sup> Henze, *Music and Politics*, 153.

<sup>197</sup> Henze, *Music and Politics*, 153.

is a three-note motive within a thick and fortissimo orchestral texture.<sup>198</sup> It is significant, though, for the dramatic action because it signals Pentheus's surrender to the Dionysus cult and exposes his repressed desire for bodily pleasures. The same motive returns at the end of the opera when Pentheus's dead body is brought in (see Ex. 5-22). This time the quote is unmistakable with the harmonization of the choir, the oboe and the English horn playing the famous motive, several times, at a higher register each time, ascending – all this fits into a web of associations with the past compositional practices, including hermeneutical interpretation of musical ideas.

In the *St. Matthew Passion* the recitative (19<sup>th</sup> movement) deals with recognition of sin for which Jesus has suffered, and as such has a very central place in Christian belief and liturgy. The passage is quoted in a similar setting with a four-part choir, strings and woodwinds (oboe and English horn instead of oboe da caccia), yet transposed from its original key of F minor to E minor. As expected the recitative in Bach's *Passion* follows a clear tonal design, with key areas prepared through tonicization and expected resolutions. Henze keeps the recurring motive, but makes the orchestra work somewhat against the choral voices by the rhythmic displacement of sonorities, which create consonances, first slightly then harshly. He also retains the pedal (in the horns), but adds a bass line in the lower using the first hexachord of the Pentheus-row. The passage swings between segments associated with the sound world of the quote and those sections that deviate strongly from it.

Inevitably, religious and aesthetical questions emerge as a direct consequence of the quote, particularly in the second instance. Such surface details are important in establishing associations between *The Bassarids* and Bach, also because of the religious overtones of the libretto, which is imbued with biblical references. To summarize: it is obvious that there is a

---

<sup>198</sup> Despite Henze's remarks as to the significance of the quotes in leading the listener's attention in the right direction, the only commercially available recording omits the intermezzo where the quote from the *St. Matthew Passion* appears the first time.

musical alteration in *The Bassarids*. But the presentation of this transformation is abrupt and artificial, rather than gradual, as Henze puts it. As discussed above, the two main characters of the opera are defined musically in terms of their respective tone-rows, which would hardly account for the contrast created by the Bach quote.

Example 5-22. *The Bassarids*. Third Movement Quote from *St Matthew's Passion*, recitative (19<sup>th</sup> movement), *Oh Schmerz! hier zittert das gequälte Herz (Ah woe! How trembles his tormented heart)*.

ANCORA MENO MOSSO, SOLENNE (♩ = 60)

*AGAVE bows her head. At a gesture from CADMUS the two GUARDS carry the bier off left.*

1245

AGAVE *ppp*  
good. (610)

BASSARIDS

S. *ppp*  
O let my ways be low - ly and all

A. *ppp*  
O let my ways be low - ly and all

CORO

T. *ppp*  
O let my ways be low - ly and all

B. *ppp*  
O let my ways be low - ly and all

ANCORA MENO MOSSO, SOLENNE (♩ = 60)

Ob.  
Cor. ingl.  
*pp*  
Cor.  
Vcl.,  
Cb.

**I4** 1 2 3 4 5 6

**Pentheus-row**

In the third movement the accelerated musical process coincides with the intensification of the dramatic motion, during which Pentheus becomes aware of his own bodily disposition. Seduced by Dionysus's beauty (once again disguised as the Stranger), Pentheus is asked to look into a mirror, where he sees Agave (his mother), Autonoe, and Tiresias insatiably chasing the Captain. What he sees is a reflection of his own suppressed sexuality, displayed in the *Intermezzo* earlier in the movement.<sup>199</sup> A psychological comment on this climactic moment in the opera is warranted. "The basic conflict in *The Bassarids* is between social repression and sexual liberation: the liberation of the individual."<sup>200</sup> When Pentheus wants to see the rites of the Bassarids at the palace, Dionysus asks him to dress like the women who worship there. The transparent texture here is primarily created by the intimate sounds of the guitar on stage and the oboe solo that accompanies the duet between Dionysus and Pentheus. Both start their parts with the head pitches of their respective rows, but both deviate from it immediately to create a freely dissonant, but comfortable texture. Once again the shift in the emotional context is reflected with the sudden change from the powerful sound of the full orchestra to the delicate texture, which still uses the head notes of the rows (three of the Dionysus-row and three of the Pentheus-row in the vocal lines). Disguised in Agave's clothes and a fawn-skin around his neck, Pentheus watches the Bassarids only to realize his inclination towards Dionysus; possessed by Dionysus entirely, he sings in unison with him.

---

<sup>199</sup> The *Intermezzo* was included in the world premiere of the opera. Later Henze and the librettists decided to remove the long section to turn it into a work in its own right called *The Judgment of Calliope* – it is not included in the commercially available recording used for this study either. The excision of this crucial segment from the opera received mixed criticism. Some consider the *Intermezzo* a "major miscalculation" and welcome the revision as an improvement. See John Simon, "Henze's Dance of Death," *The New Leader* (November 2005): 62-64. Others consider it a miscalculation to drop the *Intermezzo* arguing that this section is crucial in communicating the sexual subtext of the opera. See, Dana Gioia, "Operatic Auden," review of Henze's *The Bassarids* and Benjamin Britten's *Paul Bunyan*, *The W.H. Auden Society Newsletter* 12 (April 1994), online edition (accessed 30 September 2008).

<sup>200</sup> Henze, *Music and Politics*, 156.

Pentheus's helplessness towards the power of the cult is complemented by his physical confinement in the woods watching his disobedient subjects perform their rituals. A voice tells the maenads that there is a spy among them whom they must hunt down. When Bassarids, including Agave finally close in on Pentheus he sings an aria in praise of Dionysus and begs his mother to remember he is her son, with the same questions she had heard during her interrogation in the second movement. To each question the choir responds with "No!" With his final scream the maenads start a song in glory of the huntress Agave.

Pentheus's aria before his imminent death, a cliché of opera, is as powerful as the Bach quotes, in conveying the idea that tonal references derived from the quotes represent the sensual world of the Dionysus cult. The Bach quotes can be explained as a mechanical means of establishing a framework to facilitate a correct understanding of the work. But the originally composed material that mimics past traditions forces the listener to explore answers to aesthetic questions. Nevertheless, the prevailing tonal allusions in the aria can hardly be taken as the submersion of the King to the Dionysus-cult – in fact, the aria is highly chromatic and harmonically ambiguous. Rather, the constant shift of focus, through interconnected V-I harmonic motions, reflects Pentheus's inner struggle – his confession of the emotional change that occurred within him. Henze opens the aria with an undiluted D-minor chord, followed by  $\text{vii}^{\text{o6}}$  above the pedal D (see Ex. 5-23).

Despite the presence of complete triadic ideas D minor in m. 831 and  $\text{E}\flat$  in m. 838, tonal stability is evaded by the use of pervasive non-chord tones, but more importantly by the lack of any other tonal chord progression than dominant-tonic progression – the tonal formulae, similar to tonal allusions in many other operas by Henze from the same period, are limited to skeletal harmonic configurations, and various voice-leading techniques. In this fragile harmonic context

the descending bass line D-C-B $\flat$ -A $\flat$ -G frames two focal pitches that are confused by the other layers of the texture. The pedal D is certainly supported by the vocal line, but already in m. 834 it is weakened by the chromatic writing in the upper register. Starting in the next measure successive quasi dominant/dominant-seventh and proto-tonics imply several keys in a texture that incessantly corrupt any sense of tonicization – roughly in a circle of fifths motion (D-G-C-F $\sharp$ -B $\flat$ -E $\flat$ ). In the downbeat of m. 835, the G sonority (marked with a box in Ex. 5-23) above the D pedal lacks its third, which arrives only in the second and third beats to create a major/minor duality (with B and B $\flat$ ). However, on the second beat the top voice moves down to F $\sharp$ , which, together with the stepwise descent to C in the middle voice and the continuing pedal D implies the dominant of G.

In these parallel harmonic events with identical function that occur within a single measure, it is impossible to identify a focal pitch or focal harmony. When the bass line moves down to C in m. 836 the resolution of the F down to E seems to corroborate its tonicization. But at the same time C in the middle voice resolves a half step down to B (both marked with arrows in Ex.23); the active voices in all registers upset the stability of C as a key area. The next descent in the bass to B $\flat$  is also corroborated by the (quasi) 4-3 resolution in the middle voice. In order to prepare the arrival of E $\flat$  the bass moves down to A $\flat$ , to be resolved to G in the next measure, while the leading-tone D moves up to E $\flat$  in the vocal line. Henze refuses to stabilize even E $\flat$ , which arrives somewhat more robustly as a tonic (in the first inversion according to voice-leading rules). But the G in the bass becomes a short pedal-note, above which its dominant, D major, is stated; 6-5 resolution in the vocal line substantiates G as a focal pitch/sonority. Hence, each dominant-tonic progression cancels the effect of the previous one, and the constant flux of keys interrupts a sense of harmonic focus. This harmonic ambiguity changes the listener's

perception of the King. From the very beginning of the opera Pentheus-music reflects an uneasiness created by dissonant textures (achieved by various compositional means discussed above). While earlier passages depict external manifestations of his power, and his determination to uphold the law, the final aria explores the inner dilemma caused by the conflict between his instinctive desires and the tenets of the moral/theological system he wants to impose upon the Thebans.

Example 5-23. *The Bassarids*, Third Movement. Tonal allusions in Pentheus's aria.

831 Pentheus

I looked into eyes that were my own.

[G, D-B - F] V<sup>7</sup> of C

d: I ----- vii<sup>°</sup>6 ----- (iv)

836

A full red mouth was round - - ed on my

(6 ----- 5)

(quasi 4 --- 3) (quasi 4 ----- 3)

[Bb, D - F - Ab] V<sup>7</sup> of Eb

g: I ----- V

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

As discussed in the above analyses Henze often creates tonal conflicts using two harmonic areas a minor second apart. The tonal conflict created between D and E $\flat$  in mm. 831-839 presages the move to E $\flat$  at the very end of Pentheus's aria, where the arrival of E $\flat$  suggests Pentheus's tragic fate, first in the major mode, and then, to reflect the intensity of the situation, in minor mode. As if to accentuate the D-E $\flat$  opposition, Henze ends the orchestral texture on a sustained E $\flat$ , with the major seventh degree added, while the vocal line accentuates the opposition with the move from E $\flat$  up to D in the next measure (see Ex. 5-24). This E $\flat$ -D tonal conflict was already present in the off-stage call in the first movement. The large scale compositional unity cannot be overlooked. In the first movement the conflict was primarily based on melodic structure; at the end of the third movement this idea is confirmed in harmonic terms.

Example 5-24. *The Bassarids*, Third movement. E $\flat$ -D conflict at the end of Pentheus's aria.

The musical score for Example 5-24 consists of three staves. The top staff is for the vocal line, labeled 'PENTH.' on the left. It shows two measures: measure 869 and measure 870. Above the staff, the notes E $\flat$  and D are indicated with a caret (^) and a flat sign (b) for E $\flat$ . The vocal line has the lyrics 'No!' under the notes E $\flat$  and D. The middle staff is for the piano accompaniment, showing a sustained E $\flat$  in the bass line and a melodic line in the treble clef. The bottom staff is for the piano accompaniment, showing a sustained E $\flat$  in the bass line and a melodic line in the bass clef. The key signature is E $\flat$  major (three flats) and the time signature is 3/2.

Henze *THE BASSARIDS* © 1964 by Schott Music, © Renewed, Revised version © 1992 by Schott Music, All Rights Reserved, Used by permission of European American Music Distributors LLC, sole US and Canadian agent for Schott Music.

In the fourth movement, Agave's realization that she has murdered her own son exposes the tragic end baldly. Dionysus's triumph takes place alongside the destruction of the city of Thebes. The Dionysian takeover is not entirely pleasant in its outcome, evidenced in the submersion of Thebans to the pacifying power of the cult. As with *Der junge Lord* and *Der Prinz von Homburg*, the last opera chosen for this study, *The Bassarids* also ends without a decisive answer to the conflict presented in the plot. Yet, to greater degree than in the earlier works Henze's opera seria unites twelve-tone writing with tonal allusions, which, coupled with the Bach quotation, underscores major compositional questions in an age preoccupied mainly by modernist concerns.

## \* Epilogue

This dissertation focused on four operas Hans Werner Henze wrote in the ten-year period from 1955 to 1965. The intention was to achieve two primary goals: first, I attempted to show that despite Henze's efforts to define his relationship vis-à-vis the Darmstadt School in terms of a polarity resulting from radical differences in aesthetic vision, serial techniques do play an important role in his later work as well. Even in *Il Re Cervo* (1952-55), a work characterized by stylistic diversity, twelve-tone materials emerge as part of Henze's musical vocabulary. But he constantly blends twelve-tone materials with tonal sounding sonorities and textures – this is a

characteristic element of Henze's music in general. Particularly in *Der Prinz von Homburg* (1958) and *The Bassarids* (1965) this technique is used to project the conflicts inherent in the plot. Typically, Henze uses fundamental elements of tonal syntax to create allusions to past practices. This involves either a conventional bass-motion, such as IV-V-I, or voice-leading that suggests a focal pitch. Yet as a rule his textures are incomplete, and very often include contrasting ideas (including superimposed tonal and twelve-tone materials).

The second objective of this study was to consider Henze's stratified textures in their entirety and analyze the nature of his compositional technique in order to clarify dramatic issues in the operas. In the current scholarship this aspect of his music is largely overlooked: existing studies (mainly in German) devote more attention to librettos as the primary source of dramatic content, and remain at the descriptive level in their consideration of the music. Even though I have examined the thematic structure of separate lines thoroughly (particularly in analyzing the role of twelve-tone rows in different layers) I have tried to account for the entirety of Henze's textures in the works considered.

It was inspiring to study Henze's early operas. They are analytically rewarding and musically interesting. In the process I have discovered that the supposed polarity between Henze and other Darmstadt composers does not reflect the complexity of the situation around mid-twentieth century accurately. It is misleading to conclude that after he left Darmstadt Henze avoided serialism completely; as the above analyses attempted to show this simply is not true. Rather, he uses the ideas harvested in the post-war years as part of his idiosyncratic compositional method, which he developed over several decades. Surprisingly, Henze uses serialist techniques even in his later work in the 1990s.

As other recent research demonstrates, Henze was not the only composer who attempted to break free from the dogmatic forms of serialism in this transitory phase of its evolution. This is a fascinating topic that is receiving some attention in current scholarship and would better help us to understand Henze's place in contemporary music. Equally important is the study of Henze's instrumental music, now more frequently encountered in scholarly writings than it once was. It is instructive to study how Henze applies his compositional methods to genres other than opera. But Henze's contribution to the repertory of opera in the second half of the twentieth century is undeniably his signal achievement. To have lived intimately with these formidable works for a good number of years has been challenging and humbling, and deeply rewarding.

## Bibliography:

- Abegg, Werner. "Hülsdorf-Gotha in die Schule! Ein Plädoyer für Hans Werner Henzes komische Oper *Der junge Lord*." *Musik und Bildung* 18 (December 1986): 1055- 1062.
- Agawu, Kofi. *Playing with Signs: A Semiotic Interpretation of Classic Music*. Princeton: Princeton University Press, 1991.
- Albright, Daniel. *Untwisting the Serpent: Modernism in Music, Literature, and Other Arts*. Chicago: University of Chicago Press, 2000.
- Andraschke, Peter. "Zur Wirkungsgeschichte der Antike nach dem Zweiten Weltkrieg. Hans Werner Henzes *Bassariden*." In *Der Komponist Hans Werner Henze*, ed. Diether Rexroth, 122-131. Mainz: Schott, 1986.
- Atlas, Allan W. "Mimi's death: Mourning in Puccini and Leoncavallo," *Journal of Musicology* 14 (1996): 52-79.
- Atkins, Stuart. "Taught by Success: Kleist's Prince of Homburg," *German Quarterly* 50 (January 1977): 1-9.
- Auden, W.H., and Chester Kallman. "Genesis of a Libretto." *Elegy for Young Lovers: Opera in Three Acts*, 61-63. Mainz: Schott, 1961.
- \_\_\_\_\_. "Euripides for Today." *The Musical Times* 115 (October 1974): 833-834.
- Bachmann, Ingeborg. "Notizen zum Libretto vom *Jungen Lord*." *Opern Journal der Deutschen Oper Berlin* 8 (1965): 6-7.
- Bernhart, Walter. "Prekäre angewandte Opernästhetik: Audens "sekundäre Welt" und Hans Werner Henzes *Elegie für junge Liebende*." In *Die Semantik der musikoliterarischen Gattungen: Methodik und Analyse – Eine Festgabe für Ulrich Weisstein zum 65. Geburtsdag*, ed. Walter Bernhart, 233-246. Tübingen: Narr, 1994.
- Bielefeldt, Christian. *Hans Werner Henze und Ingeborg Bachmann: Die Gemeinsamen Werke – Beobachtungen zur Intermedialität von Musik und Dichtung*. Bielefeld: Transcript, 2003.
- \_\_\_\_\_. "Hand in Hand, wie Geschwister. Beobachtungen zum Zusammenspiel der Medien in den gemeinsamen Werken Ingeborg Bachmanns und Hans Werner Henzes." Ph.D. diss., University of Hamburg, 2002.
- Bokina, John. "Eros and Revolution: Henze's *Bassarids*." *The European Legacy: Toward New Paradigms* 1 (July 1996): 1591-1596.
- \_\_\_\_\_. *Opera and Politics: From Monteverdi to Henze*. New Haven: Yale University Press, 1997.

- Boulez, Pierre. *Orientations: Collected Writings*. Translated by Martin Cooper. Edited by Jean Jacques Nattiez. London: Faber and Faber, 1986.
- \_\_\_\_\_. "Schoenberg is Dead." *Score* 6 (May 1952): 18-22.
- \_\_\_\_\_. "Sprenget die Opernhäuser in die Luft." *Melos* 39 (December 1967): 429-437.
- \_\_\_\_\_. "From the Domaine Musicale to IRCAM: Pierre Boulez in Conversation with Pierre Michel Menger." *Perspectives of New Music* 28 (1990): 6-17.
- Bradshaw, Susan. "The Class of '45." *Musical Times* 136 (March 1995), 139-141.
- Braunmüller, Robert. "Der einsame Fremde. Hans Werner Henzes Oper *Der junge Lord* und die Tradition der Komödie." *Musica* 50, (May 1996): 184-188.
- Burde, Wolfgang. "Faszination eines zeitgenössischen Komponisten: Bemerkungen zur Hans Werner Henzes Musikanschauung." *Philharmonische Blätter* 2 (1968-1969): 12-16.
- \_\_\_\_\_. "Tradition und Revolution in Henzes musikalischem Theater." *Melos* 2 (April 1976): 271-275.
- \_\_\_\_\_. "Anmerkungen zu Henzes Oper *Die Bassariden*." Introduction to booklet notes for *Die Bassariden*, Koch Schwann CD 314 006 K3, (1991).
- Carroll, Mark. "Commitment or Abrogation? Avant-garde Music and Jean-Paul Sartre's Idea of Committed Art." *Music and Letters* 83 (November 2002): 590-607.
- \_\_\_\_\_. *Music and Ideology in Cold War Europe*. Cambridge: Cambridge University Press, 2004.
- Dahlhaus, Carl. "Die Tragödie als Oper: *Elektra* von Hofmannsthal und Strauss." In *Geschichte und Dramaturgie des Operneinakters. Bericht über Symposium vom 17. bis 20. Februar 1988 in Thurnau*, edited by Christiane Schneider and Sieghart Döhring 277-284. Laaber: Laaber-Verlag, 1991.
- \_\_\_\_\_. "Formprinzipien in Wagners *Ring des Nibelungen*." *Beiträge zur Geschichte der Oper*, ed. Heinz Becker, 95-129. Regensburg: Bosse, 1969.
- \_\_\_\_\_. *Vom Musikdrama zur Literatureoper: Aufsätze zur neueren Operngeschichte*. München: Musikverlag Emil Katzbichler, 1983.
- \_\_\_\_\_. *Aesthetics of Music*. Translated by William Austin. Cambridge: Cambridge University Press, 1982.
- \_\_\_\_\_. "What is a Musical Drama." Translated by Mary Whittall. *Cambridge Opera Journal* 1 (July 1989): 95-111.

- \_\_\_\_\_. "Formprinzipien in Wagners *Ring des Nibelungen*." *Beiträge zur Geschichte der Oper*, ed. Heinz Becker, 95-129. Regensburg: Bosse, 1969.
- Dibelius, Ulrich. *Moderne Musik 1945 – 1965*. München: R. Piper Verlag, 1966.
- \_\_\_\_\_. "Henze's ästhetisches Selbstporträt," *Melos* 32, (March 1965): 69-74.
- Downes, Stephen. "Hans Werner Henze as Post Mahlerian: Anachronism, Freedom, and the Erotics of Intertextuality." *Twentieth-Century Music* 1 (September 2005): 179-207.
- Drummond, John Dodds. "Apollo and Dionysos. The study of an aesthetic idea in Wagner's *Tristan und Isolde*, Schoenberg's *Moses und Aron* and Henze's *The Bassarids*." Ph.D. diss., University of Birmingham, 1972.
- Eimert, Herbert. "Die notwendige Korrektur." *Die Reihe II* (1955): 35-41.
- Flamer, Ernst H. "Politisch engagierte Musik als kompositorisches Problem dargestellt am Beispiel von Luigi Nono Und Hans Werner Henze." Ph.D. diss., University of Freiburg, 1981.
- Floros, Constantin. "Und immer wieder für eine bessere Welt." *Das Orchester* (March 2003): 39-44.
- Gavin, Barrie, director. *Hans Werner Henze, Memoirs of and Outsider*, DVD, Arthaus Musik, 2004.
- Geitel, Klaus. *Hans Werner Henze*. Berlin: Rembrandt Verlag, 1968.
- Gianmario, Borio and Hermann Danuser, eds. *Im Zenit der Moderne: Die Internationalen Ferienkurse für Neue Musik Darmstadt 1946-1966*. Freiburg: Rombach, 1997.
- Giesbrecht, Sabine and Stefan Hanheide, eds. *Hans Werner Henze: Politisch Humanitäres Engagement als künstlerische Perspektive*. Osnabrück: Universitätsverlag Rasch 1998.
- Gioia, Dana. "Operatic Auden" Review of Henze's *The Bassarids* and Benjamin Britten's *Paul Bunyan*, *The W.H. Auden Society Newsletter* 12 (April 1994), online edition accessed 30 September 2008.
- Goetz, Philip W., ed. *The Great Books*, vol. 45, 2d ed. *Faust: Parts One and Two* by J.W. von Goethe. Translated by Philip Wayne. Chicago: Encyclopedia Britannica, 1990.
- Grant, M. J. *Serial Music, Serial Aesthetics: Compositional Theory in Post-War Europe*. Cambridge: Cambridge University Press, 2001.

- Hartwich, Wolf-Daniel. "Iconoclasm on the 20<sup>th</sup> Century Stage (Schönberg, Henze, and Glass)." *Studies in the History of Religions*, ed. E.J. Brill 331-344. New York: Leiden, 2001.
- Häusler, Josef. "Hans Werner Henze und sein Werk für die Zeizeitgenössische Musik." *Universitas* 30 (1975): 1147-1154.
- Helm, Everett. "Current Chronicle – Germany." *The Musical Quarterly* 52 (January 1966): 101-106.
- \_\_\_\_\_. "Current Chronicle, Austria." *The Musical Quarterly* 53 (July 1967): 408-415.
- Heister, Hans-Werner. "Nolens volens Politisch: Einige Aspekte der Ästhetik Hans Werner Henzes." *Neue Zeitschrift für Musik* 57 (July 1996): 12-15.
- Henderson, Robert. "Hans Werner Henze." *Musical Times* 117 (July 1976): 566-568.
- \_\_\_\_\_. "Henze's Opera Buffa: *Der junge Lord*." *The Henze Collection*, booklet for *Der junge Lord*, Deutsche Grammophone 449 875-2, 1996, CD.
- Henze, Hans Werner. *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi. London: Faber and Faber, 1982. Originally published in German in 1976.
- \_\_\_\_\_. "König Hirsch (Il Re Cervo): (1) The Spirit of Italy." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 57-61. London: Faber and Faber, 1982.
- \_\_\_\_\_. "König Hirsch: (2) Two Performing Versions." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 62-64. London: Faber and Faber, 1982.
- \_\_\_\_\_. "*Der Prinz von Homburg*." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 100-104. London: Faber and Faber, 1982.
- \_\_\_\_\_. "Elegy for Young Lovers: (1) Birth of the Opera." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 105-108. London: Faber and Faber, 1982.
- \_\_\_\_\_. "Elegy for Young Lovers: (2) The Artist as Bourgeois Hero." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 109-118. London: Faber and Faber, 1982.
- \_\_\_\_\_. "*Der junge Lord*: (1) The Making of an Opera Buffa." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 134-137. London: Faber and Faber, 1982.

- \_\_\_\_\_. "Der junge Lord: (2) The Spectre of Mendacity." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 138-140. London: Faber and Faber, 1982.
- \_\_\_\_\_. "Der junge Lord: (3) Hints Staging." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 141-142. London: Faber and Faber, 1982.
- \_\_\_\_\_. "The Bassarids: (1) Tradition and Cultural Heritage." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 143-146. London: Faber and Faber, 1982.
- \_\_\_\_\_. "The Bassarids: (2) Psychology in Music." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 147-151. London: Faber and Faber, 1982.
- \_\_\_\_\_. "The Bassarids: (3) Psychology in Music." *Music and Politics: Collected Writings 1953-81*. Translated by Peter Labanyi, 152-156. London: Faber and Faber, 1982.
- \_\_\_\_\_. *Musik und Politik: Schriften und Gespräche 1955-1975*. Edited by Jens Brockmeier. München: Deutscher Taschenbuch Verlag, 1976.
- \_\_\_\_\_. *Bohemian Fifths: An Autobiography*. Translated by Stewart Spencer. London: Faber and Faber, 1998. Originally published in German in 1996.
- \_\_\_\_\_. *Essays*. Mainz: Schott, 1964.
- \_\_\_\_\_. *Language Music and Artistic Invention*. Aldeburgh: Britten-Pears Library, 1996. Hans Werner Henze's lecture given in Aldeburgh during the 49<sup>th</sup> Aldeburgh Festival of Music and the Arts, 11 June 1996.
- \_\_\_\_\_. "Man resigniert nicht – Man arbeitet weiter: Albrecht Dumling sprach mit Hans Werner Henze über Musik und Politik." Interview by Albrecht Dumling. *Neue Zeitschrift für Musik* 157 (July 1996): 4-11.
- \_\_\_\_\_. "Hans Werner Henze." In *The Composer's Point of View: Essays on Twentieth Century Music by Those Who Wrote It*, ed. Robert Stephan Hines, 89-104. Oklahoma: University of Oklahoma Press, 1970.
- \_\_\_\_\_. "The Bassarids: Hans Werner Henze talks to Paul Griffiths." Interview by Paul Griffiths. *The Musical Times* 115 (October 1974): 831-832.
- \_\_\_\_\_. "A Kind of Grandfather." Interview by Tom Service. *Opera* 52 (March 2001): 289-296.
- \_\_\_\_\_. "Experimente." In *Neues Musik Theater. Almanach zur 1. Münchener Biennale*. Edited by Hans Werner Henze, 7-13. Munich: Carl Hanser Verlag, 1988.

- \_\_\_\_\_. *Hans Werner Henze, Memoirs of and Outsider*. Produced by Dennis Marks. Directed by Barrie Gavin. 89 min. Arthaus Musik, 2004. DVD.
- \_\_\_\_\_. "Hans Werner Henze: An Interview with Oliver Knussen introducing the Henze Collection." Interview by Oliver Knussen. Liner notes in booklet for *2. Konzert für Klavier und Orchester and Tristan*. Deutsche Grammophone 449 866, 1996, CD.
- \_\_\_\_\_. "Gespräch zwischen Hans Werner Henze und Peter Ruzicka." Interview by Peter Ruzicka. Liner notes in booklet for *Hans Werner Henze*. Wergo WER 66372, 1996, CD.
- \_\_\_\_\_. *Undine: Tagebuch eines Balletts*. Munich: R. Piper Verlag, 1959.
- \_\_\_\_\_. *Hans Werner Henze: A Catalogue of Works 1946 – 1996*. Edited by Andreas Krause. Mainz: Schott, 1996.
- \_\_\_\_\_. "Sprachmusik: eine Unterhaltung." Interview by Johannes Bultmann. In *Die Chiffren, Musik und Sprache: Neue Aspekte der musikalischen Ästhetik 4*, ed. Hans Werner Henze. Frankfurt am Main: Fischer, 1990.
- \_\_\_\_\_. "All Knowing Music: a Dialogue on Opera." Interview by Ian Strasfogel. In *Der Komponist Hans Werner Henze: ein Buch der Alten Oper Frankfurt, Frankfurt Feste '86*, ed. Dieter Rexroth, 137-142. Mainz: Schott, 1986.
- \_\_\_\_\_. "Mein König Hirsch." *Melos* 23 (September 1956): 241-244.
- \_\_\_\_\_. "Meine neue Oper." *Melos* 27 (Mai 1960): 133 135.
- Hochgesang, Deborah. "Die Opern von Hans Werner Henze im Spiegel der Deutschsprachigen, zeitgenössischen Musikkritik bis 1966." Ph.D.diss., University of Hamburg, 1992.
- Jungheinrich, Hans-Klaus. "Biografische Rhythmen bei Henze." In *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans-Klaus Jungheinrich, 35-43. Mainz: Schott, 2002.
- \_\_\_\_\_. "Der einsame Rebell: Hans Werner Henze und die Darmstädter Avantgarde." In *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans Klaus Jungheinrich, 11-21. Mainz: Schott, 2002.
- Kaminsky, Peter. "Ravel's Late Music and the Problem of Polytonality." *Music Theory Spectrum* 26 (Fall 2004): 237-264.
- Kapp, Reinhard. "Shades of the Double's Original: René Leibowitz's dispute with Boulez." *Tempo* 165 (June 1988): 2-16.

- Kindermann, William. "Dramatic Recapitulation in Wagner's *Götterdämmerung*." *19<sup>th</sup> Century Music* 4 (Fall 1980): 101-112.
- Klein, Hans-Gunther. "Ideologisierung von Werken Kleists in Opern aus dem 20. Jahrhunderts." *Norddeutsche Beiträge* 1 (1978): 44-65.
- Koch, Gerhard R. "The Development of the Composer Hans Werner Henze." *Essays on Modern Music* 3 (1987): 23-30.
- \_\_\_\_\_. "Ästhetische Praxis, keine praktische Ästhetik." In *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans-Klaus Jungheinrich, 45-53. Mainz: Schott, 2002.
- Krause, Andreas, ed. *Hans Werner Henze: A Catalogue of Works 1946 – 1996*. Mainz: Schott, 1996.
- Krebs, Wolfgang. "Zur musikalischen Dramaturgie von Richard Strauss' *Salome*." In *Geschichte und Dramaturgie des Operneinakters: Bericht über Symposium vom 17. bis 20. Februar 1988 in Thurnau*, edited by Christiane Schneider and Sieghart Döhring, 251-275. Laaber: Laaber-Verlag, 1991.
- Kreutzer, Hans Joachim. "Vom Schauspiel zur Oper: Ingeborg Bachmanns Libretto für Hans Werner Henzes *Der Prinz von Homburg*." *Obertone: Literatur und Musik, Neun Abhandlungen das Zusammenspiel der Künste*, 217-261. Würzburg: Königshausen and Neumann 1994.
- \_\_\_\_\_. "Libretto und Schauspiel: Zu Ingeborg Bachmann's Text für Henzes *Der Prinz von Homburg*." In *Werke Kleists auf dem modernen Musiktheater*, ed. K. Kanzog and H. J. Kreutzer, 60-100. Berlin: Erich Schmidt Verlag, 1977.
- Kuntz, Edwin. "Hans Werner Henze." *Melos*, 12 (Desember 1950): 341-344.
- Larner, Gerald. *Maurice Ravel*. London: Phaidon Press, 1996.
- Levi, Erik. *Music in the Third Reich*. New York: St Martin's Press, 1994.
- Lindenberger, Herbert. *Opera in History from Monteverdi to Cage*. Stanford: Stanford University Press, 1998.
- Mäckelmann, Michael. "Hans Werner Henzes frühe Einakter *Das Wundertheater*, Ein Landarzt und das Ende einer Welt: Ein Vergleich." *Geschichte und Dramaturgie des Operneinakters: Bericht über Symposium vom 17. bis 20. Februar 1988 in Thurnau*, edited by Christiane Schneider and Sieghart Döhring, 387-400. Laaber: Laaber Verlag, 1991.
- Mason, Colin. "The Paris Festival," *Tempo* 24 (Summer 1952): 12-19.

- McClymonds, Marita P. "Opera seria? Opera buffa? Genre and style as sign." In *OperaBuffa in Mozart's Vienna*, ed. Mary Hunter and James Webster, 197-231. Cambridge: Cambridge University Press, 1997.
- Metzer, David. *Quotation and Cultural Meaning in Twentieth-Century Music*. Cambridge: Cambridge University Press, 2003.
- Miller, Norbert. "Geborgte Tonfalle aus der Zeit. Ingeborg Bachmanns *Der junge Lord*, oder, Keine Schwierigkeiten mit der komischen Oper." *Für und Wider der Literaturoper: Zur Situation nach 1945: Thurnauer Schriften zum Musiktheater* 6, ed. Sigrid Wiesmann, 87-100. Laaber: Laaber-Verlag, 1982.
- Mosch, Ulrich, ed. *Inventare der Paul Sacher Sammlung: Sammlung Hans Werner Henze, Musikmanuskripte*. Mainz: Schott, 2003.
- Motte, Diether de la. *Hans Werner Henze, Der Prinz von Homburg: Ein Versuch über die Komposition und den Komponisten*. Mainz: Schott, 1960.
- Mulligan, John J. "Kleist's Friedrich von Homburg: The Prince without a Choice," *Forum for Modern Language Studies* 16 (1980): 33-45.
- Newcomb, Anthony. "The Birth of Music out of the Spirit of the Drama: An Essay in Wagnerian Formal Analysis." *19<sup>th</sup>-Century Music* 5 (Summer 1981): 38-66.
- Nyffeler, Max. "Der Westfale. Der Weltbürger." In *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans-Klaus Jungheinrich, 63-74. Mainz: Schott, 2002.
- Oehl, Klaus. *Die Oper König Hirsch (1953-55) von Hans Werner Henze*. Saarbücken: PFAU – Verlag, 2003.
- \_\_\_\_\_. "Oper auf der Couch: Hans Werner Henzes Funkoper *Ein Landarzt*." In *Musik – Konsepte*, 132, ed. Ulrich Tadday. München: Richard Boorberg Verlag, 2006.
- Perle, George. *The Operas of Alban Berg: Wozzeck*. Berkeley: University of California Press, 1980.
- \_\_\_\_\_. *The Operas of Alban Berg: Lulu*. Berkeley: University of California Press, 1985.
- Petersen, Peter. *Hans Werner Henze: Ein Politischer Musiker – Zwölf Vorlesungen*. Hamburg: Argument-Verlag, 1988.
- \_\_\_\_\_. "Funktionen der Musik in der Oper." In *Gesungene Welten: Aspekte der Oper*, ed. Wulf Konold and Udo Bermbach, 31-52. Berlin: Reimer, 1992.

- \_\_\_\_\_. "Ein unbekanntes Skizzenheft zu König Hirsch von Hans Werner Henze." In *Opernkomposition als Prozess*, ed. Werner Breig, 147-164. Kassel: Bärenreiter, 1996.
- \_\_\_\_\_. *Hans Werner Henze: Werke der Jahre 1984-1993*. Mainz: Schott, 1995.
- \_\_\_\_\_. "Tanz-, Jazz- und Marschidiome im Musiktheater Hans Werner Henzes: Zur Konkretisierung des Stilbegriffs *musica impura*." *Musiktheorie* 10 (1995): 73-86.
- \_\_\_\_\_. "Der Terminus *Literaturoper*: Eine Begriffsbestimmung." *Archiv für Musikwissenschaft* 56 (1999): 52-70.
- \_\_\_\_\_. "Der junge Lord und das Operschaffen Hans Werner Henzes." *The Henze Collection*, booklet for *Der junge Lord*, Deutsche Grammophone 449 875-2, 1996, CD.
- Pauli, Hansjörg. "Hans Werner Henze's Italian Music." *Score* (1960): 26-37.
- Petitt, Stephen J. "Henze: Homburg and Himself." *Opera* 47 (June 1996): 637-641.
- Porter, Andrew. "Henze's Young Lord." *The Musical Times* 110 (October 1969): 1028- 31.
- Puhlmann, Albrecht. "Zerrissen und Zerreibungsmächtig: Zur Aktualität der *Bassariden* von Hans Werner Henze." In *Musiktheater im 20. Jahrhundert*. Hamburger Jahrbuch für Musikwissenschaft 10, ed. Constantin Floros, Hans Joachim Marx, and Peter Petersen, 205-213. Laaber: Laaber Verlag, 1988.
- Rexroth, Diether, ed. *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*. Mainz: Schott, 1986.
- Rickards, Guy. *Hindemith, Hartmann, and Henze*. London: Phaidon, 1995.
- Rochholl, Andreas. "Über Poesie hinauszuwachsen ... : Ingeborg Bachmann und Hans Werner Henze." *Neue Zeitschrift für Musik* 157 (July 1996): 27-29.
- Rosen, Charles. *The Classical Style: Haydn, Mozart, Beethoven*. London: Faber and Faber, 1976.
- Ruppel, Karl Heinrich. "Opernfestspiele 1966, Veränderung und Entwicklung in Bayreuth, München, und Salzburg." In *Theater heute: die deutsche Teaterzeitschrift* 9 (1966): 38-42.
- \_\_\_\_\_. "Die Oper von träumenden Prinzen," *Neue Zeitschrift für Musik* 121 (1960): 242-244.
- Rupprecht, Philip. "Tonal Stratification and Uncertainty in Britten's Music." *Journal of Music Theory* 40 (Fall 1996): 311-346.
- \_\_\_\_\_. *Britten's Musical Language*. Cambridge: Cambridge University Press, 2001.

- Ruskin, John. *Modern Painters*. New York: Knopf, 1987.
- Schmidt-Wisthoff, Katja. Dichtung und Musik bei Ingeborg Bachmann und Hans Werner Henze: *Der "Augenblick der Wahrheit" am Beispiel ihres Opernschaffens*. München: Iudicium Verlag, 2001.
- Schneider, Heinz-Ludwig. "An der Wirklichkeit vorbei." *Theater Mosaik* 19 (1965): 3-6.
- Schoenberg, Arnold. *Harmonielehre*. Wien: Universal Edition, 1922.
- \_\_\_\_\_. "New and Outmoded Music, or Style and Idea." In *Composers on Modern Musical Culture: An Anthology of Readings on Twentieth-Century Music*, ed. Bryan R. Simms, 96-107. New York: Schirmer Books, 1999.
- \_\_\_\_\_. "Opinion or Insight?" In *Style and Idea*, ed. Leonard Stein. Berkeley: University of California Press, 1984.
- Schopenhauer, Arthur. *The World As Will and Representation*. Translated by E.F.J. Payne. New York: Cover Publications, 1969.
- Schottler, Wolfram. "Die Bassariden von Hans Werner Henze: Der Weg eines Mythos von der antiken Tragödie zur modernen Oper – Eine Analyse von Stoff, Libretto und Musik." Ph.D. diss., University of Hamburg, 1992.
- Schubert, Giselher. "Erste Schritte. Henzes Frühwerk." In *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth, 39-52. Mainz: Schott, 1986.
- Schuch, Willi, ed. *Richard Strauss, Stefan Zweig: Briefwechsel*. Frankfurt am Main: S. Fischer, 1957.
- Schwinger, Wolfgang. "Aus Herzenlust. Im Übermass. Marginalien zur Urfassung von Henzes *König Hirsch*." In *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth, 102-106. Mainz: Schott, 1986.
- Serpa, Franco. "Henze und die mediterrane Kultur." *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth, 273-287. Mainz: Schott, 1986.
- Sheffler, Anne C. "Ideologies of Serialism: Stravinsky's *Threni* and the Congress for Cultural Freedom." *Music and the Aesthetics of Modernity: Essays*, ed. Karol Berger and Anthony Newcomb. Cambridge: Harvard University Press, 2005.
- Simon, John. "Henze's Dance of Death." *The New Reader* (November 2005): 62-64.
- Spinner, Leopold. "The Abolition of Thematicism and the Structural Meaning of the Method of Twelve-Tone Composition." *Tempo* 146 (September 1983): 3-9.

- Spinola, Julia. "Das Schöne ist nicht als des Schrecklichen Anfang: Perspektiven des Henze'schen Musiktheaters." *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans-Klaus Jungheinrich, 77-86. Mainz: Schott, 2002.
- Stefani, Gino. "The Voice of the Heart: A Progressive Semiotics on the Interval of the Sixth." In *Musical Signification: Essays in the Semiotic Theory and the Analysis of Music*, 199-207. Berlin: Mouton de Gruyter, 1995.
- Stenzl, Jürg. "Hans Werner Henze und Luigi Nono: eine besondere Freundschaft." In *Im laufe der Zeite: Kontinuität und Veränderung bei Hans Werner Henze*, ed. Hans Klaus Jungheinrich, 23-33. Mainz: Schott, 2002.
- Stepan, Rudolf. "Hans Werner Henze." *Die Reihe* 4, (1958): 32-37.
- Straus, Joseph N. *Post-Tonal Theory*, 2d ed. London: Prentice-Hall, 2000.
- Stuckenschmidt, Hans Heinz. "Hans Werner Henze - seine Werk und sein Aufstieg in der heutigen Musik." *Universitas* 24 (October 1969): 1031-1038.
- \_\_\_\_\_. *Twentieth Century Composers: Vol. II Germany and Central Europe*. New York: Holt, Rinehart and Winston, 1970.
- \_\_\_\_\_. *Schöpfer der Neuen Musik*. München: Deutscher Taschenbuch Verlag, 1962.
- \_\_\_\_\_. *Oper in dieser Zeit*. Hannover: Erhard Friedrich Verlag, 1964.
- \_\_\_\_\_. *Die Musik eines halben Jahrhunderts: 1925-1975, Essay und Kritik*. München: R. Piper und Co. Verlag, 1976.
- \_\_\_\_\_. "Textdichterin Bachmann und Regisseur Sellner: beteiligt im großen Erfolg von Jungem Lord." *Melos* 32 (1965): 169-173.
- \_\_\_\_\_. "Romantischer Opern-Surrealismus: HENZES *König Hirsch* in den Berliner Festwochen." *Melos* 23 (1956): 289-290.
- \_\_\_\_\_. "Eine neue Kulturepoche," *Melos* 26 (1959): 281-287.
- \_\_\_\_\_. "Der junge Lord – ein Meisterwerk restaurativer Musik." *Opern Welt* 5 (May 1965): 26-28.
- Schwinger, Wolfgang. "Aus Herzenlust. Im Übermass. Marginalien zur Urfassung von HENZES *König Hirsch*." In *Der Komponist Hans Werner Henze: Ein Buch der Alten Oper Frankfurt*, ed. Diether Rexroth, 102-106. Mainz: Schott, 1986.
- Symons, David John. "Hans Werner Henze - the Emergence of a Style." *Studies in Music* 3 (1969): 35-52.

Theilacker, Jörg B. "Grazie und Härte, Kühle und Feuer: Gegensätze in Henzes Oper *Der Prinz von Homburg*." In *Theater ist ein Traumort: Opern des 20. Jahrhunderts von Strauss bis Widmann*, ed. Hanspeter Krellmann and Jürgen Schläder, 213-217. Berlin: Henschel, 2005.

Treichel, Hans Ulrich. "Die Schule des Librettisten." *Neue Zeitschrift für Musik* 157 (July 1996): 22-25.

Unger, Anette. "Lüge und Wahrheit: Reflexionen zur Kunstästhetik Ingeborg Bachmanns und Hans Werner Henzes am Beispiel ihrer *Der junge Lord*." In *Jahrbuch der Bayerischen Staatsoper 1994/95*, ed. Hanspeter Krellmann, 83-92. München: Bruckmann, 1994.

Webern Anton. *Der Weg zur Neuen Musik*. Vienna: Universal Edition, 1933.

Webster, James. "Understanding opera buffa: analysis = interpretation." *Opera Buffa in Mozart's Vienna*, ed. by Mary Hunter and James Webster, 340-377. Cambridge: Cambridge University Press, 1997.

## Musical Scores:

Henze, Hans Werner. *Il Re Cervo oder die Irrfahrten der Wahrheit*. Libretto by Heinz von Cramer after Gozzi. Vocal Score by Heinz Moehn. Mainz: Schott, 1966.

\_\_\_\_\_. *Der Prinz von Homburg*. Libretto by Ingeborg Bachmann after Heinrich von Kleist's play with the same name. Vocal score by Walter B. Tuebben. Mainz: Schott, 1991.

\_\_\_\_\_. *Der Prinz von Homburg*. Revised orchestral score. Mainz: Schott, 1991.

\_\_\_\_\_. *The Bassarids*. Libretto by W. H. Auden and Chester Kallman after Euripides's *The Bacchae*. Revised vocal score by Carlos Berner. Mainz: Schott, 1992.

\_\_\_\_\_. *Der junge Lord*. Libretto by Ingeborg Bachmann after a parable in *The Sheik of Alexandria and his Slaves* by Wilhelm Hauff. Vocal score by Peter Hartman. Mainz: Schott, 1966.

## Recordings:

Henze, Hans Werner. *Hans Werner Henze, Memoirs of and Outsider*. Produced by Dennis Marks. Directed by Barrie Gavin. 89 min. Arthaus Musik, 2004. DVD.

\_\_\_\_\_. *Il Re Cervo*. Conducted by Bryden Thomson. From the private collection of Dr. Stephen Hall in Northern Ireland (not available commercially).

\_\_\_\_\_. *Der Prinz von Homburg*. Conducted by Wolfgang Sawallisch. 105 min. Arthaus Musik, 1994. DVD.

\_\_\_\_\_. *Der junge Lord*. Conducted by Christoph von Dohnányi. 139 min. Deutsche Grammophon, 449 875-2, 1996. CD (1968, LP).

\_\_\_\_\_. *The Bassarids*. Conducted by Gerd Albrecht. Koch Scwann, 314 006, 1994. CD.