BEETHOVEN'S SKETCHES FOR THE FIRST MOVEMENT OF OP. 14, NO. 1: A STUDY IN DESIGN

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The musician who wants to deepen his understanding of Beethoven's Piano Sonata, op. 14, no. 1, has available to him a good deal of material to supplement the printed score. Beethoven's autograph—like those of the other early sonatas—has disappeared, but by way of compensation there is his unique recomposition of the sonata as a string quartet. In addition an unusually large and highly fascinating body of sketches has survived; those for the first movement form the subject of this article. I do not intend to discuss these sketches in anything approaching complete detail. Instead I shall concentrate on some significant features that have not been dealt with very much in the rather extensive literature about op. 14/1. These features suggest interesting insights into the finished movement and even provide a basis for some cautious generalizations about Beethoven's compositional technique and about the relation of sketch study to analysis.

The surviving sketches (which seem to be fairly complete) are now to be found in four different cities: London, Berlin, Stockholm, and Washington. Most of them form part of the "Kafka" miscellany owned by the British Library. One very important sketch is found in the "Fischhof" miscellany in the Staatsbibliothek Preussischer Kulturbesitz in West Berlin. Finally there are three fragments divided up among two

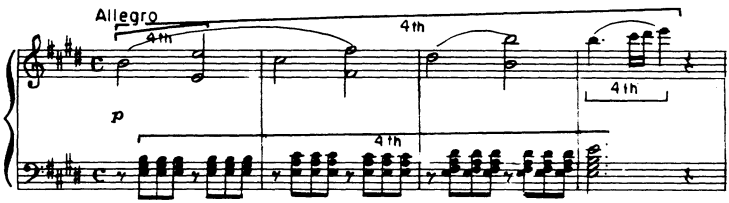
Stockholm collections and the Library of Congress. Douglas Johnson has shown that these fragments originally belonged to a single leaf.[1] Musicians with an interest in sketches have known about the Fischhof and Kafka sketches for a long time, ever since Gustav Nottebohm transcribed and published the greater part of them more than a century ago.[2] For the last decade the complete London source has been available in both facsimile and transcription in a splendid publication by Joseph Kerman.[3] Douglas Johnson's remarkably comprehensive study and reconstruction of Fischhof contains not only the Berlin sketch of op. 14/1 in transcription but also the Stockholm and Washington fragments.[4] Photocopies of all the extant sketches (as well as transcriptions) are included in a carefully done thesis by Jennifer Gild.[5]

The sonata was published (together with its companion in G major) by Mollo of Vienna in December, 1799. Nottebohm believed that it had been composed much earlier, in 1795. There is compelling evidence, however, for the view that Beethoven composed it in 1798; Johnson gives a very clear summary of this evidence.[6]

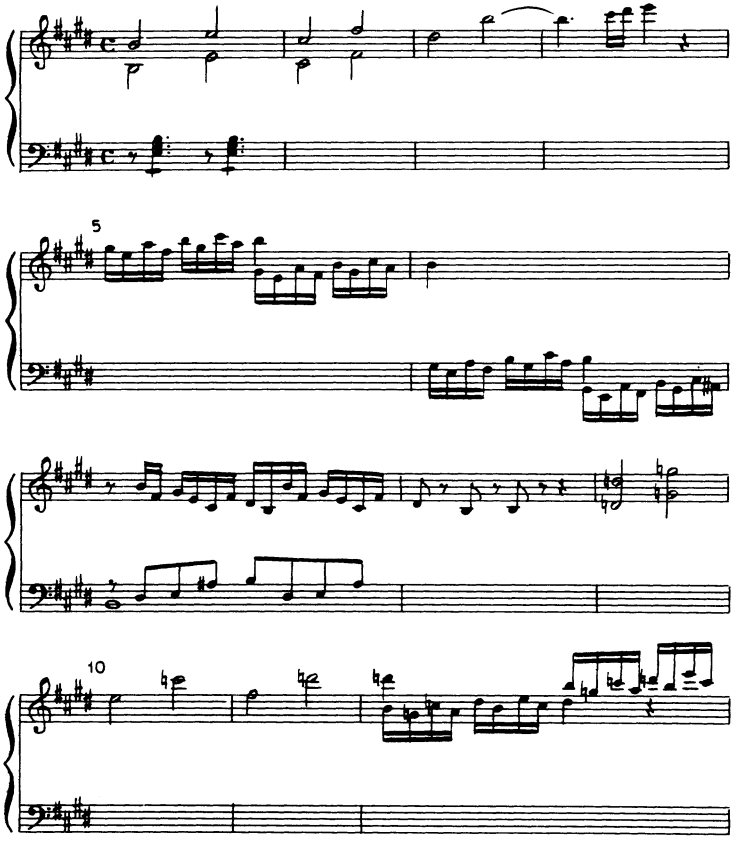
THE RISING FOURTH

Working back from the finished composition to the sketch is often as helpful as working forward from the sketch to the composition. In the case of op. 14/1, the first four measures of the sonata (Example 1) provide the best initial vantage point for viewing many important features of the sketches. The idea that fills these four measures is a most remarkable one: both the larger shape and its most prominent component figure echo the rising fourth between the first two notes, b^1 and e^2. Thus the entire soprano line rises from the b^1 of measure 1 to the e^3 of measure 4; the line, therefore, represents the initial fourth expanded in time from one bar to four and in size from a simple interval to a compound one. This expanded fourth is filled in by two passing tones, $c\sharp^2$ and $d\sharp^2$, that fall on the downbeats of measures 2 and 3; because of the passing tones, the expanded fourth is expressed as a stepwise linear progression, b^1–$c\sharp^2$–$d\sharp^2$–e^3. Nested within this overarching linear progression is a smaller filled-in fourth (m. 4), emphasized by a new and characteristic rhythm. The small fourth helps to transfer the goal tone up to the three-line octave; through motivic association it also strengthens its connection to the initial tone, b^1.

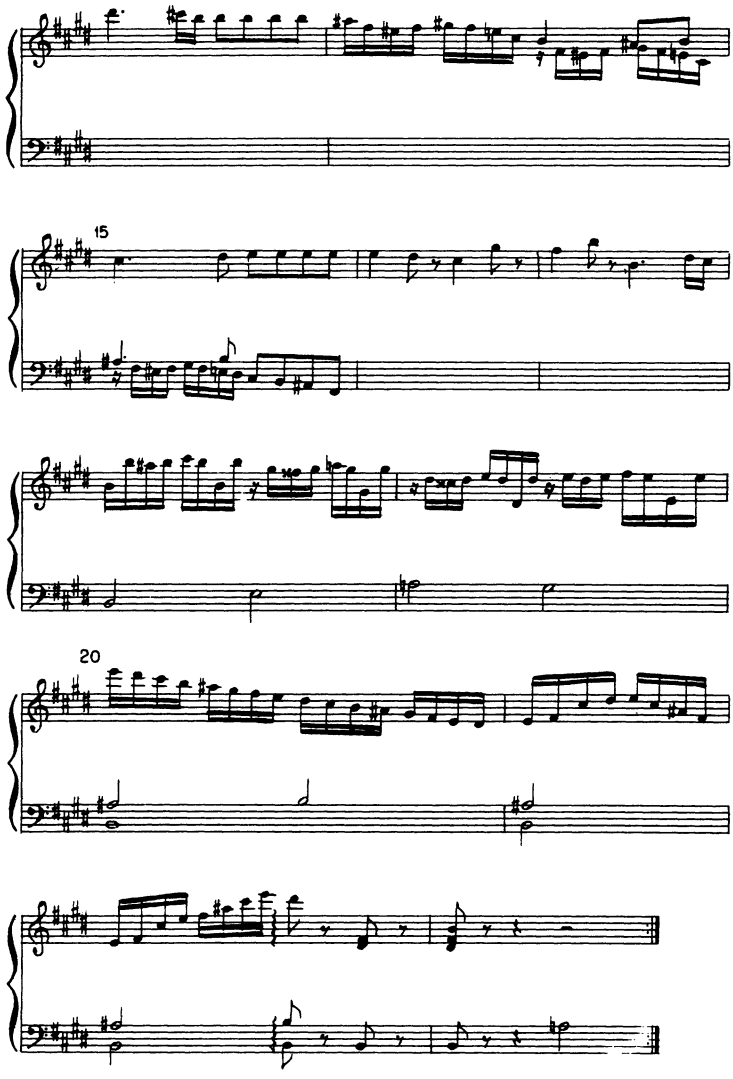
Note how the large fourth-progression of the right-hand part is reinforced by the uppermost notes of the left hand, which double it at the lower octave. In addition, Beethoven's slurs help the player project both the large and the small fourth progressions. The new slur at the head of measure 3 emphasizes $d\sharp^2$ and thus helps to connect it to e^3 (measure 4), which is separated from it both in register and in temporal sequence. The slur over measure 4 isolates and defines the small fourth-progression.



Example 1. Op. 14/1, 1st mvt., m. 1–4



Example 2. Berlin sketch



Example 2. Berlin sketch (continued)

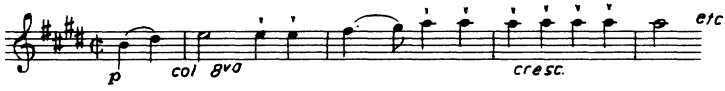
These first four measures (and the two that follow them) appear in almost their final form in the earliest extant sketch—the one in the Fischhof miscellany. Example 2 shows this sketch. For the most part it follows Nottebohm, who transcribed the first twenty measures, but I have added the last three bars, using Johnson's transcription and the photocopy of the original in Gild.[7] The sketch shows a complete miniature exposition, twenty-three measures long. The definitive appearance of measures 1-6 is all the more striking in that the rest of the exposition bears little outward resemblance to the finished work and is, in some ways, rather crudely put together. The tonic group ends with a strongly articulated half cadence (mm. 7-8). With astonishing abruptness the bridge begins in G major (m. 9); it leads, through the V of B major, to a dominant group containing two ideas, a "second theme" (mm. 14-18) and a codetta, (mm. 18-23), which is the unmistakable ancestor of the corresponding part (mm. 57-60) of the published piece.

The guiding idea of this sketch is most immediately evident in the second theme, which begins the dominant group. The first phase of this idea is based on a stepwise line rising from b^1 (middle of m. 14) to e^2; Beethoven emphasizes this latter pitch by its position as goal of the ascent, by its duration, and by its insistent repetition. The boundary tones of this line, b^1 and e^2, represent the rising fourth of measure 1, but now transplanted into a B-major environment; the stepwise motion from b^1 to e^2 recalls the linear composing-out of the fourth in measures 1–4. Even the register in which the fourth occurs is the same as that of measure 1. In its new context, however, the fourth takes on a very different meaning; the e^2, in particular, no longer functions as a stable element, for it forms a dissonance with the local tonic triad, and it is constrained to resolve to the $d\sharp^2$ that follows it.

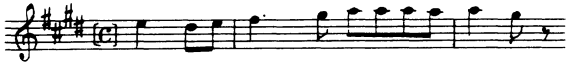
Except perhaps for general features of texture and contour, very little of this thematic idea found its way into the corresponding part of the completed movement. The sixteenth notes that lead into it—falling from $f\sharp^2$ to b^1—have the contour of the upbeat to the final version of the "second theme." In both the sketch and the sonata the descent is followed by a rising line, but in the sonata this line does not evoke the initial rising fourth, for it does not lead to e^2. Although he did not incorporate it into the completed first movement, Beethoven may not have discarded this sketched idea, for it is strikingly similar to the opening of the *third* movement of op. 14/1 (Example 3); this sketch, then, may well be the source for the Finale's opening theme.

Of the two remaining parts of the Berlin sketch—the bridge and the codetta—the latter is by far the less problematic. It begins, as does the corresponding part of the completed movement, with a quotation of the fourth, B-E, of measure 1, in its original half-note rhythm but in a bass register. The bridge, however, is much more difficult to understand. The turn to G major is so abrupt and seemingly unmotivated that one

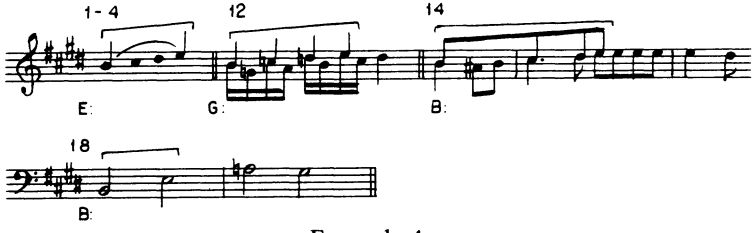
a. Rondo theme



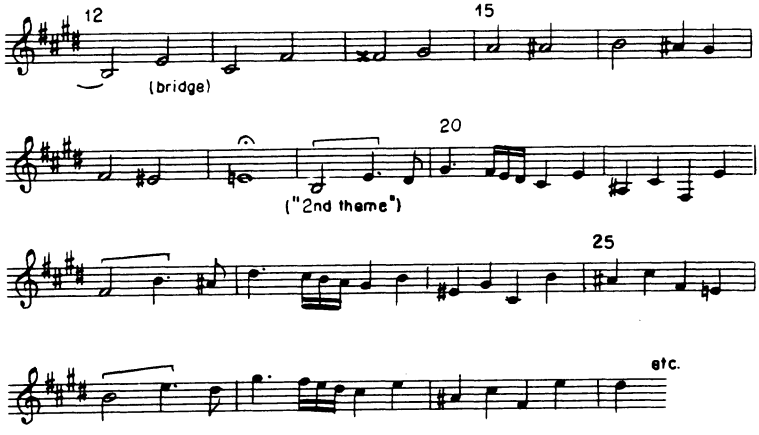
b. Sketch for 1st movement, transposed to E



Example 3



Example 4



Example 5. London 1

wonders what Beethoven had in mind. Part of the answer surely lies in the sixteenth-note figuration of measure 12, for the emphasized notes are B, C♮, D♮, and E, yet another transformation of our rising fourth. The G-major context leads to the substitution of C♮ and D♮ for C♯ and D♯. And as in the coming B-major theme, the E lies outside the local tonic chord; here it functions as upper neighbor to the following D♮. Despite these differences the connection, both to the beginning and to the B-major theme that follows, is undeniable.

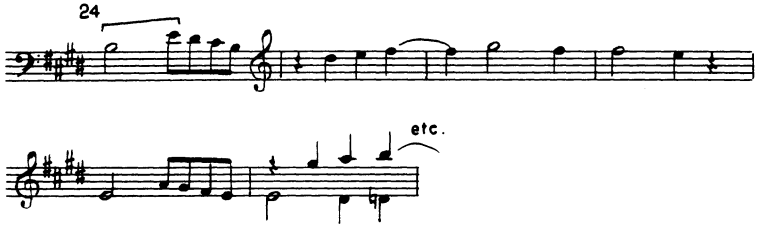
In this draft, then, the four segments of the exposition–tonic theme, bridge, dominant theme, and codetta–are linked by the prominent appearance in each of them of the initial rising fourth. The fourth remains at the same pitch level, from B to E, even though it appears in three different keys: E, G, and B (Example 4). It was evidently Beethoven's intention to pursue this fourth throughout the course of the entire tonal progress of the exposition.

As the sketches in the London source indicate, Beethoven continued trying to connect the various strains of the exposition by using the fourth, B–E, as a common element. But is was an enterprise in which he was not fated to succeed. Among the London sketches are three drafts of the entire exposition, which I shall call London 1, 2, and 3. London 1 leaves out the first eight bars of the final version; the other two drafts are complete.[8] Example 5 shows the bridge and the opening strain of the dominant group from London 1.

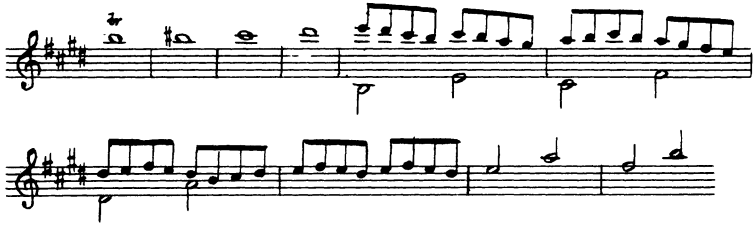
The bridge is aleady very close to its final version; the shift to G major and the transformation of the B–E motive have disappeared never to return in any subsequent sketch. The second theme, however, is even further away from its eventual form than was the one in the Berlin sketch. It consists of a point of imitation with three entrances, arranged more or less like a fugal exposition. And the "subject" of this fugato begins with our rising fourth, B–E (Example 5, m. 19). With its rhythmic angularity and "learned" character, this theme seems almost totally out of keeping with the rest of the sketched exposition; the notion that Beethoven was trying out various ways of transforming the motivic fourth accounts at least partially for the strange appearance of a fugato at this point in the exposition.

In the London 2 draft, the bridge is so close to its definitive form that I shall not quote it in Example 6. As the example shows, the second theme now begins to resemble the final version. In the sketch, however, the melodic line breaks up into two segments, each in a different register. The first segment begins with our fourth, expressed as b–e^1 (the same as the corresponding notes in London 1 and in the same register). And although the second note in London 2 is shorter than in London 1, the rhythm of attacks is the same in both sketches and, for that matter, the same as that of measure 1.

London 3 differs significantly from the published exposition only in

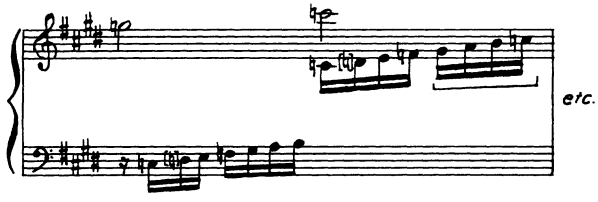


Example 6. London 2

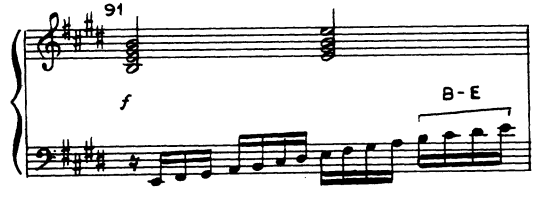


Example 7. First sketch for development

a. Sketch for recapitulation



b. Final version: beginning of recapitulation



Example 8

the six bars that precede the codetta; by this time Beethoven has finally abandoned his attempt to make the rising fourth a prominent feature of the first B-major theme. It is perhaps not altogether fanciful to see a trend toward this abandonment in the sequence of earlier sketches, for E, the upper note of the fourth, has dwindled from five notes filling three beats (Berlin) to a dotted quarter note (London 1) and then to an eighth (London 2) before we reach this version, where the fourth disappears altogether.

Neither the development nor the recapitulation went through as many stages as the exposition. Almost all of the extant sketches for the development are in the London source; Example 7 shows the earliest, a sketch for the opening of the section.[9] It appears on the page where the first B-major theme received its more or less final form. Just before and obviously connected with it is a sketch for the dominant group; this sketch, which contains the definitive second theme, was incorporated into London 3, further down on the same page. Thus Beethoven almost certainly wrote the first sketch for the development after having completed most of his work on the exposition and, in particular, after having given up his attempt to begin the second theme with the B-E motive. As if to compensate for this sacrifice, the first five measures of this sketch for the development contain yet a new transformation of the motive, placed in a high register and probably animated by a chain of trills. Beethoven was soon to abandon this new effort on behalf of the motive. The next sketch begins much like the final version and breaks off with the words "ohne das Thema durchzuführen" ("without developing the theme").[10]

Recapitulations obviously offer less scope for new transformations of a basic motive than expositions and developments. However one small detail of this recapitulation may represent such a transformation. The London source contains one complete draft of the recapitulation and coda together with a few smaller sketches. The draft begins with just the soprano line and would appear to represent an unchanged quotation of the opening. The bridge takes the theme to C major and accompanies it with two-octave scales in the left-hand part.[11] In a later sketch, Beethoven transferred these scales to the opening of the recapitulation; this change was retained in the published movement.[12] Example 8 suggests a possible reason for the change: the culminating notes of the scales (see brackets) might be viewed as another manifestation of the B-E motive. Although the possibility of coincidence cannot be ruled out in a case like this, it is certainly conceivable that the revision was made in order to state the motive at its primary pitch level—between B and E.

Beethoven's attempts to maintain the original pitch level of the B-E motive did not at all prevent his using the motive in a less rigorous way.

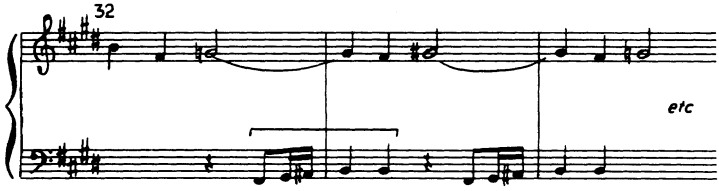
Indeed measures 5-6 of the Berlin sketch (and of the completed movement) contain figuration whose accented notes, G♯-A-B-C♯, form a rising fourth (see Example 2). This pattern certainly grows out of the B-E motive even though the goal tone, C♯, is simply the upper neighbor of the main tone, B, that follows.

Transposing a tonic-key motive to the dominant in the exposition's second group can take on a special meaning in sonata-form movements, for in the recapitulation, the transposed motive will reappear in its original tonic form. Beethoven introduced such transposed fourths at four different points in the dominant group and at four different stages of the compositional process. The first instance occurs in London 1 in a part of the sketch that corresponds to measures 46–49 of the finished movement; note the similarity of the left-hand figure to the rhythm of measure 4 (Example 9).

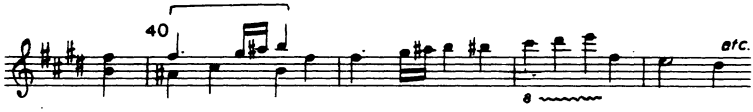
A more prominent transposed fourth makes its appearance in London 3, at the second strain of the dominant group (Example 10). In the sketch the rhythmic shape is identical to that of measure 4, but in the final version (mm. 39–40) a turn replaces the two sixteenth notes, so that the figure no longer conforms exactly to its model. Nottebohm commented on this change, speculating that Beethoven preferred to avoid a thematic correspondence in order to preserve the light, graceful character of the work. Neither he nor Tovey, who makes much the same point, seems to have noticed just how much thematic correspondence Beethoven was trying to introduce into this light, graceful work.[13]

The closing strain of the B-major group in London 2 contains a rising fourth that does not relate so obviously to any previous statement (Example 11). Indeed in the sketch itself this fourth does not seem to express any strong motivic connection with earlier ones. In the finished movement (m. 50), however, the idea occurs soon after the similar figure quoted in Example 10; the proximity gives it a more explicitly motivic character. Interestingly, Beethoven discarded this idea in London 3, only to bring it back in the Washington and Stockholm draft—probably the last sketch for the exposition.

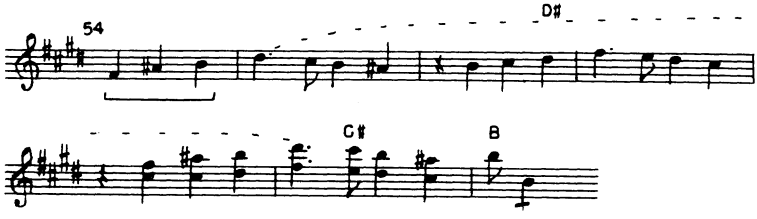
The Washington fragment of this draft introduces the last, and in some ways the most interesting, manifestation of the transposed fourth (Example 12). It occurs in the last big cadence, just before the codetta (mm. 54-57 of the exposition), and it is characterized by a most expressive register transfer, a downward leap of almost two octaves that prepares the low register of the codetta.[14] This beautiful transformation of the fourth takes on particular significance when it reappears in the recapitulation, as we shall see presently.



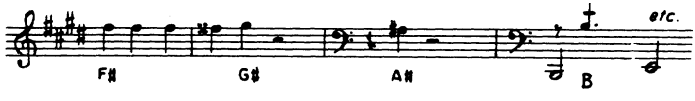
Example 9. London 1



Example 10. London 3



Example 11. London 2



Example 12. Washington/Stockholm sketch

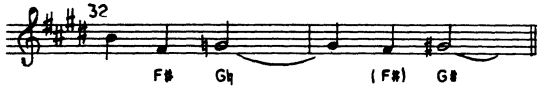
The rising fourth is not the only important recurring element in the design of this movement. Any perceptive and attentive performer or listener must be struck by the frequent use throughout the exposition of G♮ and its enharmonic equivalent, F𝄪. The persistent introduction of this chromatic sound is all the more striking since the exposition is otherwise very diatonic. Example 13 shows the most important appearances of G♮/F𝄪 in the three London drafts and in op. 14/1. The altered note usually functions as a chromatic passing tone; even where it is literally a neighbor (13a and m. 46 of op. 14/1), the continuation of the line to F♯-G♯ suggests a passing motion, F♯-F𝄪-G♯, a motion that becomes explicit in the climactic measures (54–55) of the exposition.

In a sense the chromaticism formed part of Beethoven's conception from the very beginning. The surprising turn to G major in the bridge section of the Berlin sketch fits into a larger motion from E major (with G♯ as third) to F♯ as V of B. In its simplest form, the chromatic progression inherent in this plan would constitute a passing motion in one voice: G♯-G♮-F♯. This can be seen in Example 14, which attempts to reconstruct the larger harmonic and voice-leading implications of the Berlin sketch. It is partly conjectural, as must be any analysis of a sketch that lacks the articulative elements—including many of the notes—that would clarify the structure of a finished composition. But I believe that the conjectures are well founded—especially the assumption that the G major prepares an augmented sixth chord that derives by voice exchange from the initial tonic and that resolves to the V of B. (If I am correct, the C major that becomes an augmented sixth in the parallel part of the recapitulation could be an outgrowth of this idea.)[15]

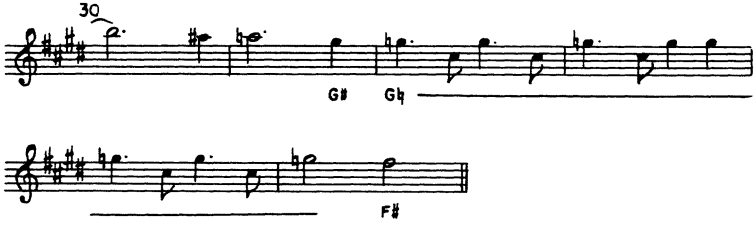
In the Berlin sketch, as represented in Example 14, the G♮ forms part of a large middleground progression and is not in any sense a "motive." It is fascinating to observe how Beethoven transforms this hidden pitch succession into the foreground motive shown in Example 13.

The progression F♯-F𝄪-G♯ cannot function as a self-contained melodic entity; it traverses only a second rather than a chordal interval, and its goal tone, G♯, lies outside the local tonic. Therefore the motive mostly serves to ornament a larger melodic line, the G♯ functioning as the upper neighbor of F♯. At its final and climactic appearance in measures 54–55, however, the chromatic progression continues on to A♯ and B (Example 12); it becomes absorbed into the basic figure of the rising fourth and thereby leads at last to a goal. It is an important goal, for this B functions as the melodic resolution (î) of the dominant group, the top-voice note of its main cadential I. What Beethoven has achieved here is not merely a mechanical combination of motives, but rather a profoundly beautiful integration of the motivic design into the larger tonal structure.

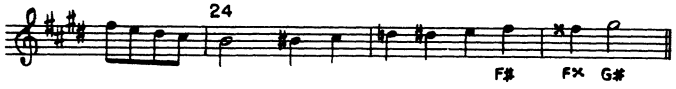
a. London 1 and all later versions



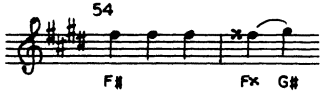
b. London 2



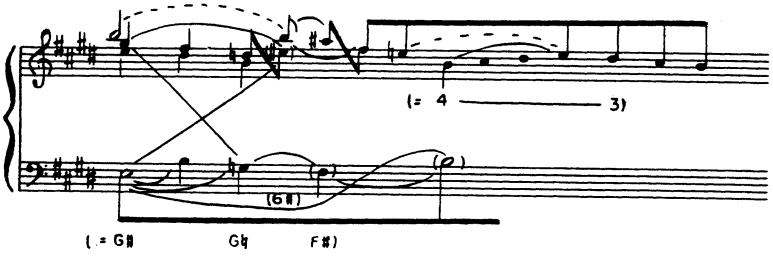
c. London 3 and op. 14/1



d. Washington/Stockholm and op. 14/1



Example 13. The chromatic motive



Example 14. Berlin sketch: voice-leading graph

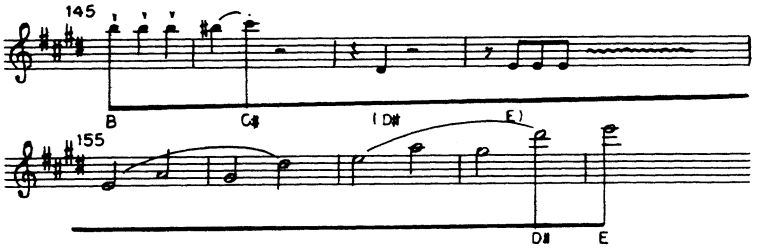
The downward register transfer of measures 55-56 ($g\sharp^2$-$a\sharp$) leaves a residue of tension at the end of the exposition, for the $g\sharp^2$ is not continued and resolved in its own register. Such tension would be less appropriate at the end of the movement. In the coda, therefore, Beethoven introduces $d\sharp^3$ and e^3 in a very prominent way; these notes connect in register with the chromatic motive (b^2-$b\sharp^2$-$c\sharp^3$) of measures 145-146. Thus Beethoven leads the chromatic motive to a goal in its own register and closes the movement with a wonderful final transformation of the rising fourth, B-E (Example 15).

The appearance of the chromatic motive at the climactic cadences of the exposition and the recapitulation (measures 54-55 and 145-146) is a feature of the last extant drafts for these sections, those in Stockholm and Washington. From internal evidence it is clear that the two drafts were written around the same time and that both are later than the draft of the recapitulation in the London source, where the closing theme is the same as in the last London sketch of the exposition.[16] Thus the subtle and expressive transformation of the fourth that bridges recapitulation and coda may well represent Beethoven's last important piece of compositional work on the movement.

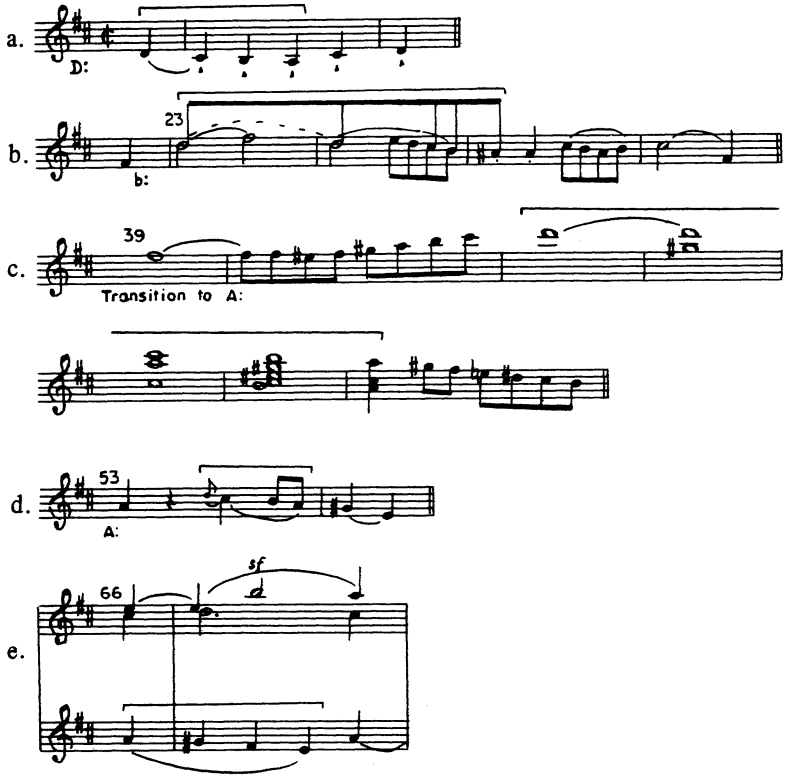
Implications of the Sketches

Probably the most striking aspect of these sketches—especially the ones for the exposition—is the tenacity with which Beethoven struggled to retain the motivic B-E at its original pitch level even where the foreground key changes. I find it impossible to believe that this was not a fully conscious process; if I am correct, then one must conclude that Beethoven attached a positive value to the tightly unified design he would have achieved had he succeeded in these efforts. And, indeed, many benefits accrue to a piece in which an important motivic element persists untransposed through changes of key. For listeners with good ears, the familiar pitches serve as a measure of the tonal distance that the piece has traversed, for any change is best measured in relation to a constant. Or to put it another way, since these patterns project into new key areas pitches originally associated with the tonic key, they serve to remind the listener of the tonic at the very time when other tonal areas are being explored. In addition, repeating a pattern of pitches while changing its tonal meaning helps to elaborate the fabric of internal associations from which any great piece of music derives so much of its fascination.

The use of untransposed pitch successions in new keys has received little attention in the published literature, but it occurs in very many pieces. Beethoven must have observed it in works by his great predecessors, for one can find marvellous examples by such masters as Handel, Haydn, and Mozart. Beethoven himself employed this technique in many works, including some written around the time of op. 14/1; the



Example 15. Op. 14/1, recapitulation and coda



Example 16. Op. 10/3, 1st mvt.

first movements of the Piano Sonata, op. 10/3, is an outstanding example that suggests what Beethoven might have been trying to accomplish with op. 14/1. The first four notes of the movement, D-C♯-B-A, form an important motive whose pitches are maintained intact (or almost intact) through two changes of key (Example 16a). The motive forms an important part of the highly original bridge theme in B minor; the only change in pitch is a chromatic adjustment of A to A♯ (Ex. 16b). A striking augmentation marks the climax of the harmonic transition from B minor to A major (Ex. 16c). A diminution begins the first strain of the dominant group (Ex. 16d); later on the motive is transposed to A-G♯-F♯-E (Ex. 16e). A comparison of these events with the Berlin sketch of op. 14/1 is most revealing (Examples 2 and 4).

One wonders why Beethoven was unable to achieve in op. 14/1 what he accomplished so brilliantly in op. 10/3. My hunch is that he was stymied more by the way he eventually wanted to use the fourth-motive than by the motive itself, though an untransposed fourth does not easily change its tonal habitat. If we compare the B-major theme of Berlin with those in London 1 and 2, we see that Beethoven first expanded the fourth and filled it in with passing tones, whereas the later themes begin with skips from B to E, exactly like the beginning of the movement. In addition the expanded B-E of the Berlin draft unfolds over a polyphonic accompaniment whereas the two London sketches (and the final version) have an unaccompanied melody at the beginning of the B-major section.

Now a melodic fourth, like the fifth of which it is the inversion, functions as the defining interval of a triad. Thus the fourth from B to E projects E as a triadic root and—in the absence of contrary information—suggests E as the tonic of a key. Only if the E functions as a non-harmonic tone will it stop sounding like a root and, perhaps, a tonic. But in the second themes of the two London drafts, Beethoven introduces the B-E in an unaccompanied setting and before any B-major chord has been heard as a local tonic. In these circumstances it is very difficult—if not impossible—to define the E as non-harmonic. That is why the Berlin sketch—the earliest of them all—curiously enough is the most successful at integrating the fourth into a B-major context. In the London sketches, the E still retains too many of its earlier triadic associations and thus seems to contradict the modulation to V that Beethoven had prepared in the bridge section.

One must remember that Beethoven, unable to carry through his original plan, did not abandon the piece but adopted a different sort of design, one characterized by a looser web of motivic relationships. Furthermore he thought enough of the sonata to rework and publish it as a string quartet. This suggests that one should view with caution any approach to analysis that makes thematic or motivic uniformity determinative of the structure of tonal music. Rudolph Reti's discussion of

op. 14/1 is worth a glance in order to show to what irrelevancies—occasionally interrupted by a genuine insight—such an approach can lead.[17]

In view of how difficult it is to decipher Beethoven's sketches, it is small wonder that transcriptions by different scholars will sometimes vary. In Douglas Johnson's transcription of the Berlin draft, for example, the first note of the B-major theme (measure 14) is $c\sharp^2$ rather than the b^1 that I have shown in Example 2. And in Kerman's reading of London 1, the second note of the second theme (Example 5, m. 8) is $f\sharp^1$ rather than e^1 as in my example. If one follows Kerman and Johnson, the B–E motive vanishes from the beginning of the exposition's B-major part; with it vanishes the basis for much of what I've written about the meaning of these sketches.

I am convinced that the readings I have presented are the correct ones, for they alone permit a coherent picture to emerge from a comparison of sketch to sketch and of sketch to completed movement. Of course there is a circularity in my reasoning: I use the sketches to discover a compositional idea, and then reverse myself and use the idea to decide how to read the sketches. But there is no way to avoid such circles in this kind of study; one can only proceed warily along them armed with common sense. A. E. Housman made much the same point in discussing a similar problem that arises in evaluating the sources of classical literary works.

> The paradox is more formidable in appearance than in reality, and has plenty of analogies in daily life. In a trial or lawsuit the jury's verdict is mainly based upon the evidence of the witnesses; but that does not prevent the jury from making up its mind, from the evidence in general, that one or more witnesses have been guilty of perjury and that their evidence is to be disregarded.[18]

In the opus 14 sketches the "evidence in general" suggests that Beethoven was attempting to use B–E as a basic motive; and in this case, as it happens, there is no conflicting testimony to be disregarded. To my eye, the notes in question look more like b^1 and e^1 than like $c\sharp^2$ and $f\sharp^1$. They looked that way to Nottebohm also; he transcribed the two passages just as I have shown them, and he was certainly not trying to prove an analytic point. To be sure, Beethoven wrote the sketches for himself alone and did not bother with calligraphic niceties. His marksmanship is often inexact, and notes sometimes fall on lines or in spaces that cannot possibly be the intended ones. If a literal transcription produces nonsense, the transcriber has the right to offer an emendation, as long as he indicates that he is doing so. As it happens, both Johnson and Kerman are careful to show the conjectural nature of their readings; Johnson has a question mark under his $c\sharp^2$, and Kerman cites Nottebohm's conflicting transcription in an explanatory note.[19] In the note he explains that his $f\sharp^1$ is more "orthodox" than Nottebohm's e^1; by

this he presumably means that the imitative entrances in his version alternate fifth and fourth in the manner of a fugue exposition with a tonal answer. But surely the pervasive use of the B–E motive through almost the whole sequence of sketches represents a far more compelling clue than whether or not the fugato resembles an orthodox fugue exposition.

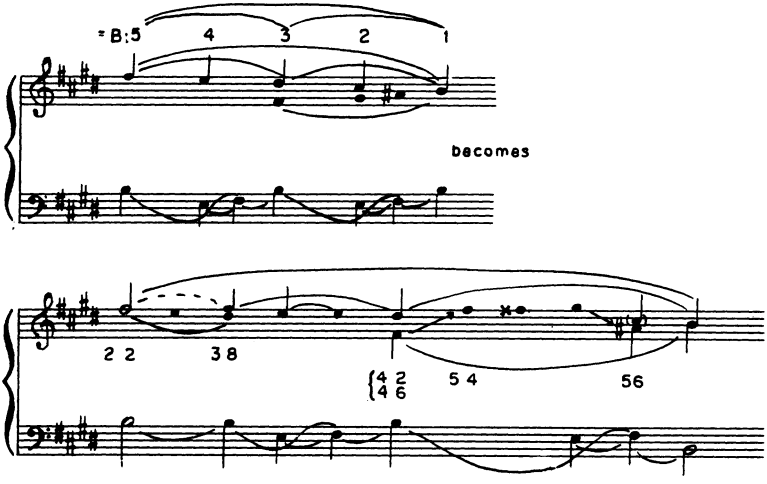
The ability to transcribe sketches and the ability to analyze finished pieces are related, for to do either one well requires a knowledge of composition. Every good transcriber of Beethoven's sketches is, at least potentially, a good musical analyst. This surely includes Nottebohm, whose approach was far from analytical in today's sense of the word, but whose astonishing achievements must have resulted as much from his superbly developed musical skills as from his ability to read Beethoven's handwriting. The sketches for op. 14/1 reveal particularly clearly one of the things that a transcriber or analyst should try to discover in the course of his work: the presence of one or more compositional ideas–features like the rising fourth or chromatic motive of op. 14/1–that help give a piece its individual character. If he is fortunate enough to find such features, he may be able to deal successfully with problems that cannot be solved on the basis of the sometimes very inconclusive graphic evidence in the sources.

I do not think that many people would dispute the suggestion that training in analysis will help develop the ability to transcribe and study Beethoven's sketches; if it doesn't do so, something is probably wrong with the training or with the analytic approach. Most analysts and scholars seem to feel that the reverse is also true, that studying the sketches is helpful to the analyst. However a very important Beethoven scholar takes issue with this idea. In the Introduction to his study of the "Fischhof" miscellany, Douglas Johnson elaborates a very negative view of the value of sketch study for the analysis of Beethoven's compositions.[20] He maintains that anything in a sketch that bears on a piece must also occur in the piece itself and must therefore be available to the analyst without the help of the sketch. Apart from their indisputable value as biographical data, the sketches merely confirm what the analyst could discover without them. But surely this reasoning is wide of the mark. Finding confirmation for one's ideas is a large and highly important part of the analytic process and ought not to be dismissed as of negligible value. Besides, studying sketches may very well generate ideas about the piece. Of course one can analyze music without recourse to sketches. But where sketches are available, it would be foolish to ignore them.

Johnson suggests, only to reject, the notion that large-scale voice-leading connections might emerge more clearly in a sketch than in the completed piece with its complex fabric of tonal relationships.[21] His

doubts on this score are partly justified; the sketches do not constitute structural levels leading from background to foreground. (It will be remembered that Schenker explicitly denied that his analyses reproduce the chronology of composition; he maintained that a composer might begin at any level or combination of levels.) And as I suggested earlier, sketches–even relatively complete drafts–do not always present a foreground that is developed and articulated well enough to permit a clear sense of background to emerge.

Nevertheless sketches do sometimes clarify the larger tonal connections of a piece; in closing this article I should like to cite an instance from op. 14/1. In the B-major part of the exposition, the upper voice certainly descends from F♯ (m. 22) to B (m. 57), but the path from F♯ to B is by no means obvious, largely because the strongest cadence (mm. 54-57) lacks a stepwise descending connection to B in the soprano. (The situation is the same in the corresponding part of the recapitulation.) In the sketches, the material of bars 50–57 first appears in London 2, where the cadential soprano clearly represents D♯-C♯-B (Example 11). The simple soprano line of the sketch illuminates the final version in which it undergoes an elaborate transformation. The basis of this transformation is the suppression of C♯ ($\hat{2}$ of B), which allows B ($\hat{1}$) to be approached through a motion from the inner voice: F♯-F𝄪-G♯-A♯-B. This motion is none other than the climactic and beautiful combination of the rising fourth and chromatic motive discussed above (see p. 12). Recognizing the underlying structure of this cadence would lead to an interpretation of the B-major group like the one shown in Example 17.



Example 17. Op. 14/1 exposition, graph of second group

NOTES

1. Douglas Porter Johnson, *Beethoven's Early Sketches in the 'Fischhof Miscellany'*, 2 vols. (Ann Arbor: UMI Research Press, 1980), 1:348.
2. Gustav Nottebohm, *Zweite Beethoveniana* (Leipzig: C. F. Peters Verlag, 1887; reproduced photographically, New York: Johnson Reprint Corporation, 1970), pp. 45–59. The material on op. 14/1 in *Zweite Beethoveniana* was reprinted posthumously from two articles that had appeared in *Musikalisches Wochenblatt* on 9 and 16 April 1875.
3. Joseph Kerman, ed., *Beethoven. Autograph Miscellany from Circa 1786 to 1799*, 2 vols. (London: British Museum, 1970), 2:25–33. Facsimiles of the op. 14/1 sketches are in 1: ff. 65v, 121r, 121v, 122r, and 122v.
4. Johnson, *Beethoven's Early Sketches*, 2:57–61.
5. Jennifer Gild, *Beethoven's Piano Sonata Op. 14, No. 1: an Analysis of the Sketches* (M. A. thesis, Bar-Ilan University, 1977).
6. Johnson, *Beethoven's Early Sketches*, 1:350.
7. Johnson, *Beethoven's Early Sketches*, 2:57; Gild, *Beethoven*, Appendix 1, unpaged. Also see Nottebohm, *Zweite Beethoveniana*, pp. 45–46.
8. Nottebohm, *Zweite Beethoveniana*, pp. 47–51; Kerman, *Beethoven*, 2:25–27.
9. Kerman, *Beethoven*, 1:f.122v, 2:28; the passage is not in Nottebohm.
10. Nottebohm, *Zweite Beethoveniana*, p. 51; Kerman, *Beethoven*, 2:28.
11. Nottebohm *Zweite Beethoveniana*, pp. 53–54; Kerman, *Beethoven*, 2:28–29.
12. The sketch is on one of the Stockholm fragments: transcription in Johnson, 2:59.
13. Nottebohm, *Zweite Beethoveniana*, p. 51. Also see Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: The Associated Board of the Royal Schools of Music, 1931), p. 71. A more perceptive discussion of this passage occurs in Paul Mies, *Beethoven's Sketches*, trans. Doris L. Mackinson (Oxford: Oxford University Press, 1929, reproduced photographically New York: Dover Publications, 1974), p. 115.
14. Transcribed in Johnson, *Beethoven's Early Sketches*, 2:58.
15. Johnson makes the same point in *Beethoven's Early Sketches*, 1:349.
16. Nottebohm, *Zweite Beethoveniana*, pp. 50–51 (exposition) and pp. 54–55 (recapitulation); Kerman, *Beethoven*, vol. 2, 2:27 (exposition) and 2:29 (recapitulation).
17. Rudolph Reti, *Thematic Patterns in Sonatas of Beethoven*, ed. Deryck Cooke (New York: Macmillan, 1967), pp. 192–195.
18. A. E. Housman, "The Application of Thought to Textual Criticism," in John Carter, ed., *A. E. Housman. Selected Prose* (Cambridge: Cambridge University Press, 1961), p. 145.
19. Johnson, *Beethoven's Early Sketches*, 2:57; Kerman, *Beethoven*, 2:278.
20. Johnson, *Beethoven's Early Sketches*, 1:12–18. The greater part of this Introduction appears in "Beethoven Scholars and Beethoven's Sketches," *19th Century Music* 2 (1978): 3–17. Also see Johnson's response to comments elicited by this article in *19th Century Music*, 2 (1979):276–279.
21. Johnson, *Beethoven's Early Sketches*, 1:14.