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### **THE SKETCHES FOR ALFRED SCHNITTKE'S SYMPHONY NO. 3, AND WHAT THEY (DON'T) TELL US\***

**Abstract:** The analysis of Alfred Schnittke's Symphony No. 3 that I present in this paper is based on my study of Schnittke's sketches from the Juilliard Manuscripts Collection. The importance of these manuscripts, which (to my knowledge) are discussed in a peer reviewed publication for the first time, is twofold. On the one hand, the sketches make it possible to correct errors found in earlier analyses of this symphony; in particular, they provide plenty of information on Schnittke's manipulation of thematic material and the overall constructive principles. On the other hand, although the sketches fail to broach a coherent narrative, they do hint at Schnittke's hidden intentions and provide clues for an informed reading of this idiosyncratic work and its possible meanings.

**Key words:** Alfred Schnittke, symphony, Juilliard Manuscript Collection, sketches, catalogue, polystylism, monograms, German music

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Born to a Jewish father and German Catholic mother, but raised in the Soviet Union and hailed as the foremost Russian composer since Dmitri Shostakovich, Alfred Schnittke<sup>1</sup> (1934–1998) often problematized his complex national, cultural and religious identities. Being of German extraction, and having spent some of his formative years in Vienna, Schnittke felt that he should have been a part of the great German/Austrian musical tradition; but his life circumstances forced him to approach it as an alien observer instead. Schnittke's Symphony No. 3 for large orchestra (1981), commissioned for the inauguration of the new Gewandhaus concert hall in Leipzig (Köchel 1994: 87), seemingly offers a straightforward narrative – the composer searches in vain for his own “lost” Germanness and attempts to establish a link between himself and the “pantheon of greats” who he considers his predecessors, by including references to landmark German composers from J. S. Bach to Karlheinz Stockhausen. However, is it really so?

I will present an analysis of Schnittke's Symphony No. 3 based on my study of his sketches from the Juilliard Manuscripts Collection.<sup>2</sup> The importance of these manuscripts, which (to my knowledge) will be discussed in a peer reviewed publication for the first time, is twofold. On the one hand, the sketches make it possible to correct errors found in earlier analyses of this symphony; in particular, they provide plenty of information on Schnittke's manipulation of thematic material and the overall constructive principles. On the other hand, although the sketches fail to broach a coherent narrative, or to give a definite answer to the imminent question “But what does it all mean?”, they do hint at Schnittke's hidden intentions and provide clues for an informed reading of this idiosyncratic work and its possible meanings. While it is generally considered that the work represents a celebration of German music and culture, while its finale is an expression of “a soul yearning for the lost world of wonderful music” (Kholopova and Chigarëva 1990: 178), I will

<sup>1</sup> Russian text is transliterated using a simplified version of the Library of Congress Romanisation system. Exceptions have been made for Russian names that are well known in the West and have taken on conventional spellings (for example Dmitri Shostakovich, Igor Stravinsky, etc.) As for Alfred Schnittke's own name, it is presented in its “German” form except when referencing a Russian publication, in which case it is transliterated as Al'fred Shnitke.

<sup>2</sup> <http://www.juilliardmanuscriptcollection.org/> accessed 31 May 2013.

argue that Schnittke's homage to German musical tradition is rather ambivalent and disturbing, and that Schnittke here "narrates" two related stories, the first one being of the development of German music and its "degeneration" into serialism, and the second – of the decline of the entire German nation and its culture in the twentieth century.

Although my reading of the symphony will be partially based on the hermeneutical method which is nowadays considered somewhat "outmoded",<sup>3</sup> I believe that it is still an irreplaceable tool for the analysis of all music written in the Soviet era. Whilst "program music" lost credibility with the ascent of modernism in the West, in the Soviet Union it continued to thrive within the methodology of socialist realism. As discussed by Peter J. Schmelz, Schnittke and a host of other Soviet "non-conformist" composers who rose to prominence in the 1960s were keen to learn the long-maligned techniques of the Western avant-garde; thus they initially departed from realist gestures and showed affinity for abstract, "formalist" compositional models (Schmelz 2009). However, already by the late 1960s they returned to the concept of dramatic music and began to explore the expressive and associative possibilities of the most diverse compositional techniques (Schmelz 2009: 12). And while they continued to resist the dogma of socialist realism, they often employed similar narrative strategies and musical symbols, thus inspiring Richard Taruskin to aptly label their style as "socialist realism minus socialism" (Taruskin 1997: 99). Hence, I find Lawrence Kramer's concept of "close reading" (Kramer 1993: 25) entirely appropriate for the analysis of Soviet music, saturated as it is with various types of "intonatsiia", which is Asaf'ev's term for the smallest semantic unit in instrumental music that can function as a "minimal bearer of meaning" (Taruskin 2009: 780).

Schnittke's extravagant polystylistic scores have often been criticized because of his (over)employment of the "narrative", "realist", "programmatic" method, resulting in the "near suppression of purely musical argument" (Moody s.a.). Some critics have bluntly dismissed Schnittke's trademark polystylism:

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<sup>3</sup> See, for example, the infamous exchange between Lawrence Kramer and Gary Tomlinson on the pages of *Current Musicology* 53 – *Approaches to the Discipline* (Tomlinson 1993: 18–24, 36–40; Kramer 1993: 25–35).

“Throw in a sardonic yet arbitrary snatch of Haydn, Beethoven, Johann Strauss, subvert with more baleful rent-a-crowd expressionism, juggle all these ingredients for half-an-hour or so till everyone is convinced that they’ve undergone a deeply pulverising and meaningful experience...” (Holloway 2003: 301). Or: “After identifying the musical influences much as you might spot the hidden words in a puzzle book (a post-modern game for post-modern music), clocking the use of electric guitars and harpsichord in a symphony orchestra (gosh!) and agreeing with the composer’s extensive argument that B against C is discordant (double gosh!), I found nothing. Take away the quotations and the page is bare” (Picard 2001). Even a less “appalled” critic has complained that Schnittke’s structures are often “the most basic of designs, thematic techniques appear unsophisticated (transformations, canons, simple heterophonic devices). Climaxes are achieved by extravagant instrumental gestures, long pedal points are used to unify paragraphs... and serial devices amount to the simplest chromatic formations” (Rice 1989: 12). However, my encounter with Schnittke’s sketches from the Juilliard Manuscript Collection has confirmed that his seemingly random, redundant and chaotic scores actually unfolded according to elaborate designs and precise calculations. Recent studies of Schnittke’s string quartets and piano concerts (Schick 2002; Durrani 2005; Storch 2011) have proved Schnittke’s careful attention to detail throughout his career; and a close reading of the musical transformations and developments in the Symphony No. 3, based on the study of sketches from the Juilliard Manuscript Collection, will hopefully put an end to arbitrary and unfounded assessments that Schnittke was a talentless hack.

### *Schnittke’s Manuscripts from the Juilliard Manuscript Collection*

In February 2006, The Juilliard School of Music, New York City, obtained a precious collection of autographs and working manuscripts, drafts, sketchbooks, engravers’ proofs, letters, printed editions with extensive composers’ markings and other musical treasures. The entire collection was donated to The Juilliard School by its Board Chairman, Bruce Kovner, who obtained a majority of materials from Sotheby’s and other auction houses.

Since November 2009 the entire collection has been available in the Scholars' Reading Room at the Juilliard School, and a majority of photographed manuscripts are also available via the Juilliard Manuscript Collection website.<sup>4</sup> In the company of Bach, Beethoven and other musical greats, a large batch of Schnittke's manuscripts did not garner much publicity. Still, these sketches, autographs and scribbles are guaranteed to gain significance over the years because they add substantially to the otherwise quite small number of Schnittke's manuscripts that are currently available to researchers. As of 2013, some sketches are available at the Alfred Schnittke Archive (Centre for Russian Music, Goldsmiths College, London). These include mostly incomplete sketches for the following works: Concerto No. 1 for violin and orchestra (1957), Concerto for piano and orchestra (1960), Music for chamber orchestra (1964), Concerto Grosso No. 1 (1977), *Passacaglia* for orchestra (1980), String Trio in honour of Alban Berg (1985), Transcription of Alban Berg's Canon, for nine strings (1985), Sonata No. 2 for cello and piano (1994) and Sonatina for piano four-hands (1995).<sup>5</sup> As to the materials available in Schnittke's Moscow archive, these include the composer's letters, essays, analytical texts, published scores with various dedications, but very few musical sketches and drafts (Dolinskaia 2011: 158–172).

After finishing my doctoral dissertation in 2010, I embarked on cataloguing Schnittke's manuscripts from the Juilliard Manuscript Collection. This was by no means an easy task, since the sketches were undated, unnumbered and, in most cases, without any indication as to which works they had been planned for. After many months of comparing the sketches to finished scores I published a preliminary catalogue of Schnittke's manuscripts from the Juilliard Manuscript Collection (Medić 2011: 109–157). Although the catalogue will undoubtedly undergo revisions in the near future, I hope that, even in its present form, it will help lay ground for a better understanding of Schnittke's creative process. However, it is unlikely that these manuscripts

<sup>4</sup> The website features a "zoomify" technology which enables the visitors to view the photographs in high resolution. However, as of August 2013 Schnittke's manuscripts have not been uploaded.

<sup>5</sup> Alfred Schnittke Archive, <http://www.gold.ac.uk/crm/schnittke-archive/>, accessed 30 July 2013.

will enable a complete overhaul of the common knowledge on Schnittke because they are, regrettably, incomplete. For example, some large-scale works – such as Schnittke’s late operas *Life with an Idiot* (1991) and *The History of Dr Johann Faust* (1994) – are represented by a mere handful of sketches, insufficient to create a clear idea of the genesis of these works. Other works are relatively well represented – among them, Eight songs from incidental music to Friedrich Schiller’s *Don Carlos* (1975), *Moz-Art à la Haydn* for 2 violins and 11 strings (1977), Symphony No. 2 *St Florian* for soloists, chamber chorus and symphony orchestra (1979), *Passacaglia* for orchestra (1980), *Lebenslauf* (“Course of Life”) for 4 metronomes (tape), piano and 3 percussionists (1982) and last but not least, the Symphony No. 3.

### *Polystylism and historicism*

By 1981, the year in which the Symphony No. 3 was completed, Schnittke’s style had already undergone several major changes and incorporated many different influences. Schnittke’s infatuation with the techniques of the Western avant-garde only lasted about five years (1963–1968). As the 1960s neared the end, Schnittke realised “the necessity to desist from any kind of ‘technological enthusiasm’ (including that for the twelve-tone technique)” (Hakobian 1998: 273), and later assessed his serial scores from the early 1960s (such as *Music for Chamber orchestra*, *Music for Piano and Chamber Orchestra*, *Improvisation for piano*, *Fugue and Variations on a Chord for piano*) as “dead music” (Schmelz 2009: 241). As a skilled composer of film and theatre music, Schnittke explored the expressive and associative possibilities of the most diverse compositional devices and their potential to convey meaning and transmit political, philosophical and ethical messages. His eventual return to the concept of dramatic music was a return to an essentially Shostakovichian idiom, embroidered with allusions, quotations, hidden messages craving for hermeneutical interpretation, the difference being that Schnittke used a much wider variety of contemporary compositional techniques and often juxtaposed them in a deliberately crude manner.

Even as Schnittke minimized the employment of collages of quotations in his works from the mid-1970s onwards, he still refused to conform to a single creative ideology and continued to combine ready-made styles. What distinguishes his works from earlier historical examples of proto-polystylism (as in, for instance, Mahler, Berg or Stravinsky) is that the stylistic interaction itself provides the basis and the main constructive tool for a new work. Furthermore, the compositional techniques of various provenances are assigned different programmatic roles. In other words, the samples or simulations of various styles are selected according to their mimetic and dramatic potential. Although the Symphony No. 3 does not contain outright quotations, it still qualifies as a polystylistic work, due to the range of styles alluded to, in particular in its second and third movements. These styles have enabled Schnittke to execute his historicist idea and to demonstrate how the tradition that is the subject of his symphony was changing during the centuries of its development. Hence, there is no point in treating this symphony as an abstract work of absolute music; the very context in which it was written, as well as its musical structure and dramaturgy, encourage us to indulge in attempts to decode its “meaning(s)”. Since the Symphony No. 3 has already been discussed by several authors (Kholopova and Chigarëva 1990; Tiba 2004; Dixon 2007; Barash and Urbakh 2009), I will focus on correcting the errors and omissions found in the earlier analyses.

In spite of its wealth of stylistic references, the symphony is essentially conceived as a whole, following the mainstream four-movement design based on the principle of recurring themes and motifs. An overtone-based theme serves as a primary thematic material and unites all the other themes. Schnittke has said:

I imagined music related to the scale of natural overtones, achieved by building up the overtone spectrum, where groups of notes derived from higher overtones appear and then free themselves from the gravity of their original note and pass into an acoustic modulation. This was a Utopian plan. [...] A part of this idea could, however, be realized in the final version of the symphony (which was to be my Third), namely in the first movement, although only in tempered approximation (Köchel 1994: 87).

Aside from this main theme, the composer also incorporates paraphrases of German and Austrian music, as well as thirty-four “monograms” – twenty-eight composers’ names and six symbolic words: “Erde”, “Deutschland”, “Leipzig”, “Thomaskirche”, “Gewandhaus” and “das Böse” (“evil”; rendered as “das Boese”). The use of a monogram to represent a composer’s name (or any other noun) is a device widely used by composers from J. S. Bach via the Second Viennese triumvirate to Shostakovich; however, never have the monograms been used with such an abundance and flamboyance and with such a straightforward narrative purpose as in Schnittke’s Symphony No. 3. In order to increase the number of available notes, Schnittke not only employs the nine Latin letters that can be “converted” to notes – C, D, S (i.e. E ♭), E, F, G, A, B (i.e. B ♭) and H (i.e. B) – but also E# (i.e. Eis, as in “Eisler”), D ♭ (Des, as in “Dessau”), A ♭ (As, as in “das Boese”), F as Ph (in “Joseph”) and D as R, i.e. “re” (in “Erde”). The monograms are treated differently in each movement; Schnittke does not use them mechanically, but treats them as true musical (leit-)themes.

According to my preliminary Catalogue (Medich 2011: 114–157), there are 62 sketches for the Symphony No. 3: Nos. 183–208, 213, 235, 459–490 and 497–498. There are just a few sketches for the first movement, while the other three movements are well represented. Although the available sketches are not numbered, and only a few of them are dated, they still reveal numerous details as regards Schnittke’s compositional process. Sketches Nos. 480, 497 and 498 show that Schnittke drafted the monograms of some of his Soviet compatriots (and his own too), furthermore, monograms of musical greats from earlier epochs, the twentieth-century modernists, and even some writers (**Table 1**). Although these sketches do not present a firm evidence that these monograms were drafted for the Symphony No. 3, it is almost certainly so, because the type of paper and handwriting are consistent with a majority of other sketches for this work, and because the monograms of Hindemith, Orff, et al. are the same as the ones that Schnittke did include into the finished score (**Examples 1a, 1b**).



**Table 1.** Sketches from the Juilliard Manuscript Collection – Schnittke's preliminary plan for the monograms to be included in the Symphony

SKETCH NO.	MONOGRAMS	NAMES
498	Schnittke's Soviet contemporaries (including himself)	Dmitrii Shostakovich, Sergei Prokofiev, Alfred Schnittke, Edison Denisov, Alemdar Karamanov, Andrei Volkonskii, Aleksandr Rabinovich, Sergei Slonimskii, Boris Tishchenko, Arvo Pärt (Paert), Roman Ledenev, Sofia Gubaidulina, Rodion Shchedrin, Boris Chaikovskii, Moses (Moisei) Weinberg, Georgii Sviridov, Aram Khachaturian, Evgeni Golubev, Valentin Sil'vestrov, Leonid Grabovskii and Boris Schnapper.
480 497	European composers from 15 <sup>th</sup> to 19 <sup>th</sup> centuries	Wolfram von Eschenbach, Walter von den Vogelweide, Gottfried von Strassburg, Hartmann von Aue, Heinrich von Ofterdingen, Neidhart von Reuenthal, Heinrich von Morungen, Konrad von Würzburg, Hans Sachs, Adam Puschmann, Michael Behaim, Hans Rosenblüt, Hans Folz, Heinrich Isaac, Ludwig Senfl, Michael Praetorius, Hans Leo Hassler, Johann Hermann Schein, Samuel Scheidt, Heinrich Schütz, Dietrich Buxtehude, Johann Pachelbel, Johann Jacob Froberger, Johann Kuhnau, Johann Mattheson, Georg Philip Telemann, Johann Adolf Hasse, Frescobaldi, Josef Matthias Hauer, Claudio Monteverdi, Domenico Scarlatti, Alessandro Scarlatti, Francois Couperin, Antonio Vivaldi, Wilhelm Friedemann Bach, Carl Philip Emanuel Bach, Johann Christian Bach, Antonio Salieri, Franz Lehar, Frederic Chopin and Franz Liszt.
497 498	20 <sup>th</sup> -century modernists and avant-gardists	Igor Stravinsky, Béla Bartók, Edgar Varèse, Claude Debussy, Charles Ives, Heinz Holliger, Witold Lutosławski, Henryk Mikołaj Górecki, Friedrich Cerha, John Cage, György Ligeti, Krzysztof Penderecki, Henri Pousseur, Claus Huber, Bogusław Schaeffer, Pierre Schaeffer, Luc Ferrari and Heinrich Schubel.
498	Writers and other artists	Franz Kafka, Thomas Mann, Paul Celan, Margareta Malyschewa, and Schnittke's own grandmother Thea Schnittke, who was an editor of German-language books for the Moscow publishing house <i>Progress</i> .





These sketches suggest that Schnittke's "museum of greats" initially had room for many more artists; however, as the idea of homage to the Gewandhaus crystallized in his mind, he eventually narrowed the scope down to German/Austrian composers from J. S. Bach and G. F. Handel to Bernd Alois Zimmermann and the naturalized German Maurizio Kagel. The fact that Schnittke employs 28 composers' monograms, but not his own, serves to emphasize a distance between him and the "pantheon of great Germans": he admires his heroes, but he cannot entirely self-identify with them.

Sketch No. 190 shows that Schnittke initially intended to use 28 monograms based on composers' surnames only; he worked out the melodic shape of the monograms, but also their rhythmical profiles, instrumental colours, possible harmonizations etc. However, Schnittke probably realized that some monograms based on surnames would have limited thematic potential (for example, "Mozart" would consist of a single note A), so he decided to expand them by using the composers' full names. The elaborate calculations of rhythms, intervals, durations and instrumentation prove that the need for rational planning prevailed even at this stage of Schnittke's career and that he by no means succumbed to the "intuitive" compositional method in the mid-1970s, as argued by several authors (Kholopova and Chigarëva 1990; Hakobian 1998).

### *First movement*

The movement opens with a tide of strings playing the "overtone" theme, dubbed by Richard Taruskin as "Wagner's *Rheingold* prelude cubed and cubed again" (Taruskin 1997: 102); the theme is indeed a paraphrase of the beginning of *Das Rheingold* (**Examples 2a** and **2b**).<sup>6</sup>

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<sup>6</sup> All music examples from the Symphony No. 3 are based on the autograph score (in Schnittke's own handwriting) published in 1983 (Leipzig/Frankfurt/New York: Edition Peters, C. F. Peters, No. 10340; E.P. 13203), reproduced with permission.

**Examples 2a and 2b.** A. Schnittke, Symphony No. 3, beginning of the first movement:

comparison between the “overtone theme” and Wagner’s “Rhine” motif

**2a.** the “overtone theme”

**Moderato**

Contrabass

5 *ppp*

Cb. 5 *ppp*

**2b.** R. Wagner, beginning of *Das Rheingold*: “Rhine” motif

**Ruhig heitere Bewegung.**

Horn in Eb

*p*

The first monogram is “Erde”, possibly another reference to *Das Rheingold* (although Wagner’s character is called “Erda”), but also to Mahler’s *Das Lied von der Erde*. There are other analogies with *The Ring* tetralogy: apart from the role of first movement as the “prelude” to the rest of the cycle, Schnittke treats the monograms as “leitmotifs” representing the symphony’s protagonists, i.e. the great German and Austrian composers. These leitmotifs will undergo significant changes throughout the symphony. When designing the monograms, Schnittke tried not to repeat letters / notes within a certain monogram, unless it was necessary (for instance, if a monogram was too short, like “Erde”). The reason for not repeating the letters will become clear in the finale.

The first movement unfolds in four “phases”; each of the first three phases comprises a rising wave based the overtone theme, a series of monograms, and a transition which announces the key of the next phase (the keys being C major, D major and B major respectively). One could argue that at the beginning of the movement, “Mother Earth” (“Erde”) gives birth to a new German nation (“Deutschland”) which, in turn, gives birth to successive generations of talented offspring, as the three tides of composers’ monograms are presented on the background of the primordial, major, ascending “overtone” theme. The monograms are aurally almost indistinguishable, because the “overtone” theme in deep strings dominates the musical course. After a steady “ascent”, the final phase is based on the inverted, declining theme in C minor, dubbed by Kholopova and Chigarëva as the “undertone theme” (1990: 174). Characteristically, in Schnittke’s previous two symphonies the most important segments of form also unfolded in C major/minor; in particular the transition that anticipates the “undertone” theme, with its prominent C minor chord in brass accompanied by the ubiquitous bells, resembles the first theme of Schnittke’s maverick Symphony No. 1. And while it is possible to interpret the Symphony No. 1 (just like any other Schnittke’s work) in many ways, in my opinion this work deals with the chaos of contemporary life, decline of moral values, loss of faith in art, realization of futility of being an artist and trying to write “beautiful”, orderly music (Medić 2008: 243–258). By establishing this auto-reference in the first movement of his Symphony No. 3, Schnittke prepares ground for the overtly pessimistic narratives of the third and fourth movements. Also, the pattern of rise-and-fall, established in the first movement, is perpetuated throughout the symphony in different ways.

The three “waves” of monograms are performed by different instrumental groups; most notably, the third phase, dedicated to the twentieth-century composers and starting with Schoenberg’s monogram, is assigned to a combination of keyboard instruments, electric guitars and percussion, which has been frequently used by Schnittke (**Table 2**).

**Table 2.** A. Schnittke, Symphony No. 3: three “waves” of monograms in the first movement

[Compare to: Kholopova and Chigarëva 1990: 174, footnotes 26, 27 and 28.]

WAVE	MONOGRAMS	INSTRUMENTS
1	Erde (E-D-D-E, Fig. 5), Deutschland (D-E-Eb-C-B-A, Fig. 6), Leipzig (E-G, Fig. 7), Thomaskirche (B-A-Ab-Eb-C-B-E, Fig. 8), Bach (Bb-A-C-B, Fig. 9), Georg Friedrich Handel (G-E-F-D-C-B-A, Fig. 10), Josef Haydn (Eb-E-F-B-A-D, Fig. 11), Wolfgang Amadeus Mozart (F-G-A-D-E-Eb, Fig. 11 <sup>4</sup> ).	Woodwinds, from flutes ('Erde') and piccolos ('Bach') to bassoons ('Georg Friedrich Handel'), and paired with marimba, vibraphone and celesta ('Joseph Haydn' and 'Wolfgang Amadeus Mozart')
2	Ludwig van Beethoven (D-G-A-Bb-E-B, Fig. 17), Anton Bruckner (A-Bb-C-E, Fig. 18), <sup>7</sup> Franz Schubert (F-A-Eb-C-B-Bb-E, Fig. 19), Johannes Brahms (B-A-E-Eb-Bb, Fig. 20), Robert Schumann (Bb-E-Eb-C-B-A, Fig. 21), Richard Wagner (C-B-A-D-G-E, Fig. 22), Felix Mendelssohn Bartholdy (F-E-D-Eb-B-Bb-A, Fig. 23), Johann Strauss (B-A-Eb-[A-Eb], Fig. 24).	Brass, starting from the tuba ('Ludwig van Beethoven') and moving upwards in register towards clarinets ('Richard Wagner') and high strings ('Robert Schumann,' 'Felix Mendelssohn')
3	Gustav Mahler (G-Eb-A-B-E, Fig. 30), Richard Strauss (C-B-A-D-Eb, Fig. 31), Max Reger (A-E-G, Fig. 32), Arnold Schoenberg (A-D-Eb-C-B-E-Bb-G, Fig. 33), Alban Berg (A-Bb-E-G, Fig. 34), Anton Webern (A-E-Bb, Fig. 35), Paul Hindemith (A-B-D-E, Fig. 36), Hans Eisler (B-A-Eb-E, Fig. 37), Paul Dessau (A-Db-E-Eb-A, Fig. 38), Carl Orff (C-A-F, Fig. 39), Karl Amadeus Hartmann (A-D-E-Eb-B-A, Fig. 40), Karlheinz Stockhausen (A-B-E-Eb-C, Fig. 41), Hans Werner Henze (B-A-Eb-E, Fig. 42), Bernd Alois Zimmermann (Bb-E-D-A-Eb, Fig. 43), Mauricio Kagel (A-C-E, Fig. 44).	Keyboard instruments, electric guitars and percussion

*Second movement*

The second movement temporarily obscures Schnittke's pessimistic predicament. In this movement Schnittke recounts the last two centuries of German/Austrian classical music by pouring numerous stylistic allusions into a stable sonata frame. The two sonata themes are modelled on Mozart (the first movement of his Piano concerto in A major K 414 /Peterson 2000:

109/; another plausible model is the first movement of Mozart's Piano Sonata in C major K 545, which only becomes apparent in the Coda) and Wagner (the already used *Rheingold*-inspired "overtone" theme) respectively. These two themes are mutually related, since both begin with a rising broken major chord.

The sketch No. 185 indicates that Schnittke was working on this movement in July 1980; however, by the time he drafted No. 200 (dated 3 September 1980) he still did not have a clear idea of the disposition of themes within the sonata form. He intended to use the Mozart theme as the "Hauptthema" (main material), the medley of monograms (from Bach to Schumann) as the "Nebenthema" (subsidiary theme), and the overtone theme as the closing section of the exposition. The development would then have been based on the remaining monograms (from J. Strauss to Stockhausen); Schnittke intended to employ three-part counterpoint here, with an unspecified cantus firmus. The draft also shows that Schnittke was unsure of the structure of recapitulation and Coda and whether they were necessary at all; moreover, he wrote: "The [sense of] fulfilment (false-fulfilment) must be brought to absurdity – or [left to be] dramatically desired (but not too short, or the third movement will not be anticipated)" (**Example 3**).

Finally, Schnittke found a fine solution, eliminating the monograms from the exposition and recapitulation and reserving them only for the relatively "free" sections of the sonata form – i.e. the development and Coda. As a result, the movement does not sound like a disjointed corpus of randomly appearing monograms, but as a rounded whole – thanks to melodic links among the themes and a strict hierarchy of thematic materials. Sketches for this movement (and for many other orchestral works, for example Symphony

<sup>7</sup> The available sketches do not indicate why Schnittke interpolated Bruckner's monogram to disrupt the more-or-less chronological order. Also, Schnittke omitted Carl Maria Weber's monogram from the first movement, perhaps because his monogram is very similar to Anton Webern's. As for Bach's monogram, by presenting it in its "surname only" form, Schnittke possibly referred to the entire Bach family, and not just to Johann Sebastian Bach.



No. 2 *St Florian* and *Passacaglia*) also reveal that Schnittke usually began by sketching rhythmic values and calculating rhythmic variations and canons. Then, he planned harmonies and pitches, and the instrumentation was the very last element to be determined – Schnittke would simply scribble the intended instrumentation in the margins (**Example 4**).

**Example 3.** Sketch No. 200 from the Juilliard Manuscript Collection

3.09.90 | II Satz:

~~Exp. 1~~ Hauptthema - ist fertig

Nebenthema - Anfangs (tonal), aber noch nicht 12-Ton  
stilisierte Themen (bis Schumann)

Schlusssatz - Neben Thema von J. Strauss bis Mahler, oder bis Stockhausen?

Durchführung - Monophon Thema - als Kontrapunkt  
Cantus firmus - Dreiklangste?

Reprise - ist überhaupt eine Reprise möglich?  
vielleicht - mit neuem Material? Oder eine  
Scheinreprise (vielleicht nur Code was schon  
skizziert ist)? Oder statt Reprise - sofort III. Satz?

Entweder gleich Code - oder  
des III. Satzes) und danach Code-Variante-  
Neues Material - als Fortsetzung des Alten?  
Oder ganz Neues?

Ähnlich wie muss die "Durchführung" (Scheidendurchführung)  
ad absurdum geführt werden - oder dramatisch werden  
(aber nur ganz kurz, um den III. Satz nicht  
vorwegzunehmen). Absend kann das Zusammenstoßen  
von quasi-serieller Monophon-textur und quasi-  
tonalen stilisierten Zitaten wirken.

Example 4. A. Schnittke, Symphony No. 3, second movement – Sketch No. 486 from the Juilliard Manuscript Collection

*Tollmet unvollendet* *Plumet*

CM 1  
Clar = 3  
Trp = 1  
Tuba = 1  
Tromp = 1  
Pau = 1  
Cell = 2  
- - - - -

Cl 1  
2/16  
Pau 1  
Cl 1  
Cl 2  
vc = 2  
Cb = 2

ad libitum  
Zirkeln  
G-moll  
Vcllo  
Clarin  
P. Sub  
Vcllo  
Vcllo  
Cb

4 Esp. U. (Cm) 15  
Sax.  
Vcllo  
Cb

6 Cm

14 Tm. G. 1  
13 P. 1

1  
2  
3  
4  
5  
6

mit Marsch-Form  
nach Rhapsodie  
dann als Reprise

Marche Helling  
- - - - -  
fächerförmig  
Bläser (Bläser)

The “Mozart” theme begins in D major – the key of the second “phase” of the first movement – and consists of several segments: ‘a’, ‘b’ (Fig. 2), ‘c’ (Fig. 3), ‘c1’ – ‘chorale’ (Fig. 4), ‘b1’ (Fig. 5). Mozart’s style is simulated by the elegant melody in strings; however, the swiftly modulating harmonic content of Schnittke’s theme is alien to Mozart’s style and actually akin to Wagner’s “endless” melodies and harmonies (**Example 5**).

**Example 5.** A. Schnittke, Symphony No. 3, beginning of the second movement: “Mozart” theme

**Allegro**

Vni. I  
p

1

1 Fl. solo  
mp

The second theme begins at Fig. 12; it is presented both in its “overtone” and “undertone” outfits. It ends abruptly two bars before Fig. 16, to make way for – Bach: the development begins with Bach’s monogram followed by a paraphrase of Bach’s C major prelude from *Well-Tempered Clavier I* (transposed to G minor) in the harpsichord part; conveniently, the motif is also based on the broken chord. It is coupled with the “chorale” announced in the first theme, which has by now morphed into the monogram of G. F. Handel. What follows is a series of monograms, dubbed by Taruskin “a potted history of classical music” (Taruskin 1997: 102). Thus, Schnittke casts Bach as the originator of the long line of great German composers, ending with Zimmermann (at least in this movement). The monograms, which are constantly supported by the Bach paraphrase in harpsichord, occupy the largest portion of the development; as in the first movement, they unfold more or less chronologically.

The earlier analyses of the employment of monograms in this movement (including my own) are not entirely accurate, because several monograms in this “medley” that are presented as chords have not been identified (Kholopova and Chigarëva 1990: 176; Dixon 2007: 103–104, figure 3.10; Medić 2010: 171–172). The sketch No. 488 from the Juilliard Manuscript Collection has enabled me to locate the missing monograms (**Table 3**).

**Table 3.** A. Schnittke, Symphony No. 3, second movement: The correct order of monograms in the Development and Coda

SEGMENT OF FORM	MONOGRAMS
Development	Bach (B $\flat$ -A-C-B, Fig. 15 <sup>+2</sup> ), Georg Friedrich Handel (G-E-F-D-C-B-A, Fig. 16 <sup>+4</sup> ), Joseph Haydn (E $\flat$ -E-F-B-A-D, Fig. 17), Wolfgang Amadeus Mozart (F-G-A-G-A-D-E-E $\flat$ [ <i>some letters are repeated</i> ], Fig. 17 <sup>+4</sup> ), Ludwig van Beethoven (D-G-A-B $\flat$ -E $\flat$ -B, Fig. 18 <sup>+3</sup> ), Carl Maria Weber (C-A-E-B $\flat$ , Fig. 19), Felix Mendelssohn Bartholdy (F-E-D-E $\flat$ -B-B $\flat$ -A, Fig. 19 <sup>+2</sup> ), Johann Strauss (B-A-E $\flat$ , Fig. 19 <sup>+4</sup> ), Franz Schubert (F-A-E $\flat$ -C-B-B $\flat$ -E, Fig. 19 <sup>+6</sup> ), Robert Schumann (B $\flat$ -E-E $\flat$ -D-B-A, Fig. 20 <sup>+2</sup> ), Richard Wagner (C-B-A-D-E [ <i>should be g; e is probably an error</i> ]-E, Fig. 20 <sup>+3</sup> ), Brahms (B $\flat$ -A-B-D $\flat$ [ <i>surname only</i> ], Fig. 20 <sup>+3</sup> ), Anton Bruckner (A-B $\flat$ -C-E, Fig. 20 <sup>+6</sup> ), Gustav Mahler (G-E $\flat$ -A-B-E, Fig. 21), Richard Strauss (C-B-A-D-E $\flat$ , Fig. 21 <sup>+1</sup> ), Max Reger (A-E-G-E [ <i>E is repeated</i> ], Fig. 21 <sup>+3</sup> ), Arnold Schoenberg (A-D-E $\flat$ -C-B-B $\flat$ -E-G, Fig. 21 <sup>+4</sup> ), Alban Berg (A-B $\flat$ -E-G, Fig. 25), Anton Webern (A-E-B $\flat$ , Fig. 25 <sup>+2</sup> ), Paul Hindemith (A-B-D-E, Fig. 26), Karl Amadeus Hartmann (A-D-E-E $\flat$ -B, Fig. 28 – repeated at 29 and 30), Carl Orff (C-A-F, Fig. 28 <sup>+3</sup> ), Karlheinz Stockhausen (A-B-E-E $\flat$ , Fig. 29), Bernd Alois Zimmermann (B $\flat$ -E-D-A-E $\flat$ , Fig. 31).
Coda	Georg Friedrich Handel (Fig. 49 <sup>+4</sup> ), Joseph Haydn (Fig. 49 <sup>+6</sup> ), Wolfgang Amadeus Mozart (Fig. 49 <sup>+7</sup> ), Ludwig van Beethoven (Fig. 50 <sup>+1</sup> ), Carl Maria Weber (Fig. 50 <sup>+3</sup> ), Franz Schubert (Fig. 50 <sup>+5</sup> ), Brahms (Fig. 50 <sup>+7</sup> ), Richard Wagner (Fig. 51), Robert Schumann (Fig. 52), Anton Bruckner (Fig. 52 <sup>+7</sup> ), Gustav Mahler (Fig. 53), Arnold Schoenberg (Fig. 53 <sup>+2</sup> ), Alban Berg (Fig. 54), Anton Webern (Fig. 54 <sup>+4</sup> ), Karlheinz Stockhausen (Fig. 55), Hans Werner Henze (Fig. 55 <sup>-2</sup> ), Bernd Alois Zimmermann (55 <sup>+3</sup> ).



monogram appears in the recapitulation. Also, some monograms have been altered or repeated; Schnittke was following his musical intuition rather than strictly obeying the self-imposed rules.

Kholopova and Chigarëva argue that “the recapitulation starts in the zone of culmination [at Fig. 49] with the main theme in bells and piano” (Kholopova and Chigarëva 1990: 176); however, I agree with Dixon that the recapitulation begins at Fig. 32 (Dixon 2007: 97–98). In the Coda (Fig. 49), almost all monograms from the development reappear against the background of the “Mozart” theme and “Bachian” arpeggios. However, they do not reappear in the exact same succession; a few monograms are omitted, and almost all of them are rhythmically compressed (see **Table 3** above). Schnittke again follows his musical imagination, instead of mechanically repeating the monograms as they appeared in the development. Sketch No. 488 shows that Schnittke intended to interpolate Kagel’s monogram between Zimmermann’s and the final cluster before the recapitulation, but it is missing from the finished score.

The final surprise is a reappearance of the first theme, which has been “rewritten” in an ersatz late eighteenth-century style (**Example 7**). This image of untainted beauty and harmony reveals the full extent of Schnittke’s admiration for the classics. The theme is joined by the “cubed” overtone theme in quiet canon, from Fig. 57 until the end.

**Example 7.** A. Schnittke, Symphony No. 3: Coda of the second movement

**Tempo I**

56

*Third movement*

The beginning of this movement instantly crushes the idealized picture that the second movement has ended with. Once again Schnittke presents the historical succession of styles, in chronological order. However, while in the second movement the monograms were modelled in such a way that they resembled their composers' styles, in the third, Schnittke creates diverse stylistic allusions on the basis of a single theme / monogram: "das Böse". The harsh, apocalyptic theme with its prominent tritone is initially presented in tuba, with every note amplified in the rest of brass, against the background of the organ and fuzzy electric guitar (**Example 8**).

This theme bears some generic kinship with the "beautiful" themes from the previous two movements, based on broken major chords; as observed by Dixon, it sounds like a "distorted and cruelly mutated" version of the overtone theme (Dixon 2007: 118–119). While serving as a basis for stylistic allusions / variations, the "evil" theme also acts as *cantus firmus* throughout the movement; Schnittke preserves the material of the previous variation(s) while constantly piling new layers onto it. This procedure closely resembles the fourth movement "Crucifixus" from Schnittke's Symphony No. 2 *St Florian*, where the 12-note series serves as an ostinato / *cantus firmus* to which new layers are constantly added. However, while the "Crucifixus" unfolds as a steady linear build-up, in the "evil" movement of his Symphony No. 3 Schnittke applies a more complex procedure.

None of the authors who have analyzed this symphony have noticed that, when it comes to the disposition of thematic material, the third movement is almost entirely symmetrical. Moreover, I have found errors in analyses of the formal scheme of the movement, the number of stylistic "layers" in the moment of culmination, etc. Fortunately, the sketches from the Juilliard Manuscript Collection have proved very useful here and enabled me to uncover Schnittke's actual intentions.

**Example 8.** A. Schnittke, *Symphony No. 3*, beginning of the third movement: the “evil” theme

**Allegro pesante**

The musical score is for Tuba in 3/2 time, marked *ff* and *Allegro pesante*. It consists of three systems of music. The first system (measures 1-6) begins with a D major chord and features a melodic line with a fermata. The second system (measures 7-12) starts with an (e)S chord and includes an [AS] section. The third system (measures 13-18) begins with a B chord, followed by (o) E, (e)S, and E chords, and includes a change in time signature to 3/2 and then 7/4.

The “evil” theme is transformed throughout the movement in order to create allusions to various historical styles, as well as to some landmark composers’ personal styles, or even to their particular works. If one were analyzing a work by a composer less obsessed with the dichotomy of good and evil, one could argue that Schnittke is playing with various musical tools for representing evil forces, and that his stylistic allusions actually parody various “scenes of doom” from the history of music. The available sketches do not reveal which styles Schnittke intended to allude to; however, according to Kholopova and Chigarëva (who possibly discussed this issue with the composer himself) they unfold in the following order: organum (Fig. 2), hoquetus (Fig. 6), faux-bourdon (Figs. 7–8), Lutheran chorale (Figs. 9–10), military march (Fig. 12), Bach (Fig. 17), Mozart (Fig. 18), Beethoven (Fig. 19), Wagner (Fig. 20), jazz (Fig. 21), Hindemith and Weill (Fig. 22), Mahler (Fig. 24), and the avant-garde (Fig. 27). Kholopova and Chigarëva also observe that Schnittke “borrowed” this idea from Henri Pousseur: in the “Fantastic Gallop” from his opera *Votre Faust* Pousseur tried to represent the developmental path of European harmony – from Gounod to Pousseur himself (1990: 171–172). Kholopova and Chigarëva correctly observe that some of the transformations of the “evil” theme are actually paraphrases of certain



works (for example of Mozart's Piano Concerto in D minor K 466 at Fig. 18, or Beethoven's *Egmont* at Fig. 19); however, they do not relate the order of appearance of these stylistic layers to the higher structure of the movement. Sketches Nos. 469-476 suggest that Schnittke conceived the overall form of the movement as an alternation of segments marked with 'A' and 'B' (**Table 4; Example 9**).

**Table 4.** A. Schnittke, Symphony No. 3: form of the third movement

SEGMENTS OF FORM	A1*	B1	A2	B2	A3	B3	CODA
REHEARSAL NUMBERS	1	2	17	21	24	28	37

*\*marked as A1, B1 etc. (not A, B, etc.) by Schnittke himself*

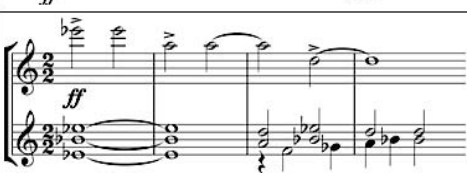
The 'A' and 'B' segments are not distinguishable by their thematic content, because the entire movement is based on various transformations of the "evil" theme; instead, they simply indicate different stages of the variational/developmental process, which unfolds in several "waves". The A1 segment contains the exposition of the main theme; B1 denotes the wave of pre-tonal styles, which is interrupted by the first appearance of a military drum; A2 is dedicated to landmark German/Austrian composers – Bach, Mozart, Beethoven and Wagner; B2 signifies the infiltration of the popular / jazz idiom into "serious" music; A3 draws a line from Mahler to the avant-garde; and B3 marks the axis of thematic symmetry.


Kholopova and Chigarëva (and those authors who rely upon their analysis) argue that there are 18 different layers of stylistic allusions, and that they appear simultaneously for the first time at Fig. 37 (Kholopova and Chigarëva 1990: 177), and Dixon identifies no less than 32 "themes", i.e. transformations of the main theme (Dixon 2007: 122–127). However, my study of the sketches has revealed that Schnittke actually intended to have 15 different stylistic layers; I have summarized the order of appearance of these layers and the transformations of the evil theme in a table (**Table 5**). As the movement progresses, some of the stylistic layers are merely repeated, with or without modifications. For example, the B2 segment is entirely based on layers that have already been introduced previously – only at this point



they are transformed / distorted. There is also one unnumbered “layer”, the martial rhythm in percussion; Schnittke probably left it unnumbered because it is not based on the “evil” theme and because, once introduced, it does not stop until the end of the movement. Therefore, this rhythm is not dependent on the symmetrical pattern established by the “numbered” layers.

**Table 5.** A. Schnittke, Symphony No. 3, third movement: transformations of the “evil” theme

LAYER NO.	MUSICAL CONTENTS – VARIATION OF THE ‘EVIL’ THEME (beginnings only)	STYLE ALLUDED TO	SEGMENT OF FORM	FIRST APPEARANCE (REH. NO.)	SYMMETRICAL APPEARANCE (REH. NO.)
1		‘Evil’ theme	A1	[1]	[36]
2		Organum	B1	[2]	[35]+2
3		Hocketus		[3]	[35]
4		Faux-bourdon		[7]	[34]+3
5		Chorale		[9]	[34]
6		Chorale		[9]	[33]
7		Chorale		[10]	[33]-2
--	Martial rhythm in drums	March		[12]	--
8		Bach	A2	[17]	[32]

9		Mozart		[18]	[31]
10		Beethoven		[19]	[30]+2
11		Wagner		[20]	[30]
--		Jazz	B2 (based on 'old' material)	[21]	--
--		Hindemith Weill(?)		[22]	--
12		Mahler	A3	[24]	[29]+3
13		? (maybe Hindemith and Weill here)		[26]	[29]+1
14				[26]	[29]
15		Avant- garde (serialism)		[27] – continues until the end of the movement	
All themes/layers return in reverse order, from 15 to 1			B3	[28] = AXIS	
All themes/layers reappear simultaneously			Coda	[37]	

The logic of exposition of the layers leads me to conclude that at Fig. 26 Schnittke intended another stylistic allusion. I would suggest that this is actually where the allusion to Hindemith and Weill takes place, rather than at Fig. 22 (as argued by Kholopova and Chigarëva), because the two layers at Fig. 26 are based on syncopated ragtime and martial rhythms, both of which could evoke certain aspects of Hindemith's and Weill's styles. The

last layer to appear is No. 15 at Fig. 28; from that point onwards the layers are piled onto one another in reverse order, from No. 15 to No. 1. While some of the layers are almost identical to their original presentations, others are heavily transformed; this is in line with Schnittke's already mentioned habit to construct a firm frame first, but then allow occasional deviations.

As we can see from the **Table 5**, the process of reverse repetition of all 15 "numbered" layers ends at Fig. 36 where all of them (plus the martial rhythm) appear simultaneously for the first time. Then, at Fig. 37 – the culminating point of the entire movement – they are simply rearranged, and some of them duplicated, while other layers revert to their original "outfits" i.e. as they appeared in the first half of the movement. The Fig. 37 indicates the beginning of the Coda, in which all layers are repeated *ad libitum* in fortissimo dynamics until they grind to a halt on a single B flat – the first note of the finale's initial (and main) monogram, "Bach".

While Schnittke has explored the potential for the musical representations of evil in numerous works, this is the first time that he has employed an explicitly named "evil" theme. Since the evil theme is presented within a symmetrical formal frame and used to represent almost ten centuries of music history, from medieval monody to present-day avant-garde, perhaps Schnittke's moral here is that evil can be found even in the noblest of times and the noblest of arts, that it has always existed and always will. In addition to this theme, Schnittke employs martial rhythms emphasized by a "military" drum as signifiers of war-related evil. On the other hand, the inclusion of jazzy rhythms and of electric and bass guitars – instruments commonly associated with pop music – brings to mind Schnittke's (essentially Adornian) negative opinion on popular music which, in his view, promoted conformism and subservience (Ivashkin 2005: 192–193). Taruskin emphasizes the role of popular music here: "Absolute evil is represented by references to raucous popular music: its apotheosis comes in the third movement of the Symphony No. 3 [...] where a platoon of anarchic rock guitars spewing feedback distortion attacks a panorama of German classics..." (Taruskin 2005: 467). However, the instruments that actually dominate this movement are the noisy low brass and Schnittke's trademark

combination of keyboards, percussion and guitars that has been coded in some of his earlier works – most notably in the Symphony No. 2, which immediately predates the Symphony No. 3 – as related to the sphere of evil. (For example, in the “evil” fourth movement of the Symphony No. 2, the theme of the passacaglia, which depicts Christ’s crucifixion, is performed by 2 vibraphones, 3 tamtams, bass guitar and harp, accompanied by strings.) If we now recall that in the first movement of the Symphony No. 3 Schnittke employs this instrumental combination to represent the avant-garde composers from Schoenberg to Kagel, it is possible to argue that Schnittke makes a drastic statement: namely that classical tradition has degenerated into “evil” serialism and self-destructed.

Moreover, Schnittke’s narrative on the rise-and-fall of German music and culture, presented in the first and third movements of this symphony, displays a kinship with his favourite literary work, Thomas Mann’s *Doctor Faustus*, which deals with the corruption and decline of German culture and society in the twentieth century. Schnittke has confessed to being “obsessed” with *Doctor Faustus* since his early teenage years: “I have read Thomas Mann’s *Doctor Faustus* at least five times. The first time – in 1949–1950 – it had only just come out, and somehow my father had acquired it, not permanently, but just to read. Since then, although I read it all the time, I’ve never fully grasped it” (Ivashkin 2002: 38). It is possible to argue that Schnittke wrote his Symphony No. 3 as an echo of Mann’s critique of Germany, the country that had “sold its soul to the Devil”. Being half-Jewish, half-German, Schnittke must have contemplated the horrors of the twentieth century, in particular the World War II and the crimes against humanity. Since the Nazis (ab)used Schnittke’s beloved classics for the purpose of war propaganda and demonstration of German alleged superiority, it is plausible to argue that Schnittke used the “evil” third movement of the symphony – with its references to German classics, but also to military marches and popular music as symbols of tyrants and their blind followers respectively – to recall the country’s tragic past and “lost” greatness, and to remind his listeners that the horrors of the World War II and Holocaust must never be repeated.

### *Fourth movement*

The finale is structured freely, as a series of variations based on the monograms and a number of related themes. The sketches from the Juilliard Manuscript Collection have proved very useful here, because they reveal how Schnittke converted the original monograms into 12-note rows and how he manipulated them. The first monogram is “Bach”: Schnittke again casts Bach in the role of the originator of the entire German tradition. While Kholopova and Chigarëva and other authors argue that Schnittke included the monograms of Bach's three sons in the violin parts which complement the Bach monogram in lower strings (Kholopova and Chigarëva 1990: 179), a comparison of the opening lines in Violins I and II to Schnittke's sketch No. 468 proves that there is no similarity between these lines and Schnittke's intended monograms for Bach's sons (Johann Christian B-A-C-B-E ♭ -A; Philip Emanuel B-E-A-E; Wilhelm Friedemann B-E-F-E-D-E-A). Instead, the violin lines complement the Bach monogram until it completes the 12-note row (**Example 10**).

Throughout the exposition, the monograms are either presented as 12-note rows, or paired with contrapuntal lines which help complete the 12-note aggregate (**Table 6**). Now it becomes clear why Schnittke avoided repetitions of notes in monograms used in previous movements: in a 12-note row no note can be repeated, so Schnittke evidently wanted the monograms to stay similar to their original versions even after they are extended into rows in the finale. Several motifs that are deliberately left shorter, such as “Bach” (B-A-C-B ♭ ), “Wagner” / “Kagel” (A-G-E) and “Brahms” (B ♭ -A-B-E ♭ ), also serve as accompanying figures throughout the exposition, and fill the “gaps” between monograms.

In the light of the fact that Schnittke all but disowned his serial scores from the early 1960s, one could argue that Schnittke here trivializes 12-note music by demonstrating that it is possible to derive rows from something as arbitrary as musical monograms. At the same time, the transformation of monograms into 12-note rows deindividualizes and dehumanizes the composers, because the rows no longer bear any similarities to the composers' personal styles.

**Example 10.** A. Schnittke, Symphony No. 3: beginning of the fourth movement

**Adagio**

Violin I

Violoncello

1 *pp sub.*

2

3

4

B A C H

6

9 10 11 12 [ ]

Vln. I

Vc.

**Table 6.** A. Schnittke, Symphony No. 3 – Exposition of monograms at the beginning of the fourth movement

NAME	FIGURE	INSTRUMENT
Bach*	beginning	in Vcelli, with counterpoint in Vni I
Georg Friedrich Handel	2	in Vni I, with counterpoint in Ob. 1
Joseph Haydn	3	in Ob. and Fg. 1
Wolfgang Amadeus Mozart	3 <sup>+3</sup>	in Vni II, as a 12-note row
Beethoven*	4	in Vni I and II, paired with rows in Cl. 1 and Ob. 1
Schubert*	5 <sup>+2</sup>	in Cl, paired with a row in Vn. solo
Robert Schumann	6	in Fl, as a 12-note row
Wagner*	7	in Arpa, paired with rows in Vni I and II
Brahms*	7 <sup>+2</sup>	in Tbn. 1
Richard Strauss	9	in Fl. 1, as a 12-note row
Gustav Mahler	10	in Vni II, as a 12-note row
Max Reger	11	in Fl. 2, as a 12-note row
Arnold Schoenberg	12	in Fl. 1 and 2, as a 12-note row
Carl Orff	15	in Vni. II, as a 12-note row
Hartmann*	16	in Fg. 1, with counterpoint in Vib.
Stockhausen*	17	in Tbn. 1, with counterpoint in Vni. II
Kagel*	17+4	in Ob. 1, with counterpoint in Vni. II
Zimmermann*	18	in Tbn. 1
Anton Bruckner	18	in Harp. and Cel.

\* surname only



From Fig. 19 the second stage of the movement begins. All 28 composers' monograms are now extended into 12-note rows and presented in a stretto-like multi-layered texture. They are supported by a succession of alternate major and minor chords in organ, arranged according to the circle of fifths. At Fig. 27 sixty orchestral parts participate in the culmination, among them all 12-note rows derived from monograms. Sketches Nos. 191, 192, 194, 199, 201 and 206 reveal how Schnittke planned the order of monograms, harmony and rhythm, as well as the instrumentation, all on the basis of the similarities between the composers' names and surnames (**Examples 11a, 11b, 11c, 11d**).

**Examples 11a, 11b, 11c and 11d.** A. Schnittke, Symphony No. 3, fourth movement – Sketches Nos. 199, 191, 194 and 206 from the Juilliard Manuscript Collection

**11a.** Sketch No. 199 from the Juilliard Manuscript Collection

28.08.80

Umsätze Zusammenstellung der 28 Komponisten - Tonfolgen:

① J.S. Bach → J.S. Bach  
 J. Brahms → J. Brahms  
 J. Strauss → L. v. Beethoven  
 A. Bruckner  
 A. Berg  
 ② A. Bruckner  
 A. Weber

③ A. Berg  
 B.J. Zimmerman  
 ④ A. Berg  
 A. Schubert

⑤ F. Schubert  
 R. Schumann  
 A. Schenkler  
 K. H. Stockhausen  
 J. Strauss  
 R. Strauss

⑥ R. Wagner → R. Wagner  
 R. Strauss → R. Strauss  
 C.H. Widor  
 A. Weber  
 C. Haydn  
 F. Mendelssohn  
 v.d. Meer  
 W.A. Mozart  
 (Frisierung) K.A. Hummel

⑦ C.H. Widor  
 C. Haydn  
 K.A. Hummel  
 K.H. Stockhausen  
 H. Henckell  
 ⑧ G.F. Handel  
 J. Haydn  
 K.H. Stockhausen  
 H. Henckell  
 ⑨ G.F. Handel  
 J. Haydn  
 K.H. Stockhausen  
 H. Henckell  
 ⑩ W.A. Mozart  
 F.F. Schubert  
 E. Nielsen  
 ⑪ W.A. Mozart  
 F.F. Schubert  
 E. Nielsen  
 ⑫ W.A. Mozart  
 F.F. Schubert  
 E. Nielsen  
 ⑬ M. Ravel  
 M. Ravel

C s D a E h F# c# A s B f

Auf welcher Basis diese Kammer aufbauen? Oder ihre Basis?

Mögliche Basis:  
 Dreiklangfolgen (diatonisch oder chromatisch) oder 12-Tonreihen  
 Polipharmonischer Cantus firmus (o.d. Anschlag von Programmen - kanonisch)  
 oder Harmonisation der Monogram-Tonreihen

Bei jedem Wechsel - ein Dreiklang (calle part)

11b. Sketch No. 191 from the Juilliard Manuscript Collection

27.08.80/

1) Parallelen v.m. verwandten i. Molltonarten  
 C.M. Weber, R. Wagner, F. Schumann

2) A. Wehner, R. Thalow, R. Schumann, A. Schoenberg

3) J.S. Bach, K.H. Stockhausen

4) L.v. Beethoven, J. Brahms, D. Buxtehude, A. Beol

5) G.F. Haendel, J. Haydn, P. Hindemith, K.A. Hartmann, H.W. Henze

6) Wolfgang Amadeus Mozart, Karl Amadeus Hartmann

7) C.M. Weber, C. Orff, K.A. Hartmann, K.H. Stockhausen

8) Paul Hindemith, Paul Dessau

9) Hans Eisler, Hans Werner Henze

10) A.H. Bruckner, A.H. Wehner, J. Brahms, D. Thalow

Handwritten notes and markings include: "4 Pos + Trp", "4 Trombe", "2ob", "2cl", "2tr", "2ob", "2cl", "2tr", "2ob", "2cl", "2tr".

11c. Sketch No. 194 from the Juilliard Manuscript Collection

11.07.80

Baumform ; bestimmend mit BACH, mit Ästen,  
 dabei jeder Ast wachsend d. h. sich frei entwickelnd  
 (mit Verwendung anderer Töne aber motiviert)  
 Schema der Verbindungen: d.h. [Lokale Sequenz]

J.S. BACH - J.C.H. BACH - W.F. BACH - Ph. E. BACH.  
 G.F. HÄNDEL (?)  
 J. J. HAYDN  
 W.A. MOZART - WOLFGANG AMADEUS MOZART CARL MARIA WEISSER  
 LUDWIG VAN BEETHOVEN  
 FRANZ SCHUBERT ROBERT SCHUMANN RICHARD WAGNER  
 JOHANNES BRAHMS ANTON BRUCKNER  
 JOHANN STRAUSS RICHARD STRAUSS MAY RAGER  
 GUSTAV MAHLER  
 ARNOLD SCHOENBERG PAUL HINDEMITH CARL ORFF  
 ALBAN BERG HANS EISELER PAUL DESSAU  
 ANTON WEBERN  
 KARL AMADEUS HARTMANN  
 HANS WERNER HENZE KARLHEINZ STOCKHAUSEN BERND ALDIS ZIMMERMANN  
 MAURICIO KAGEL

## 11d. Sketch No. 206 from the Juilliard Manuscript Collection

1.09.00  
28 Hauptstimmen (für Explosion des Klaviers)

1	Bach	b	cis	1a	Tuba
2	Mendell	g	b	2a	Pos. 1
3	Haydn	es	c	4a	Pos. 2
4	Mozart	f	c	3a	Pos. 2
5	Beethoven	d	as	2c	Pos. 1
6	Wolff	c	f	9c	Cor 6
7	Schubert	f	as	4a	Cor 5
8	Schumann	b	g	5a	Cor 4
9	Mendelssohn	f	c	6a	Cor 3
10	Brahms	b	cis	3c	Cor 2
11	Wagner	c	es	7a	Cor 1
12	Bruckner	a	as	10c	Tuba
13	J. Strauss	h	b	1c	Ob 3
14	Mohr	g	b	8a	Tuba 2
15	R. Strauss	c	g	9a	Tuba 1
16	Reger	a	b	10a	Corn
17	Schubert	a	fis	5c	Fag 3
18	Berg	a	c	11c	Fag 2
19	Wolff	a	c	11a	Fag 1
20	Kindersley	a	as	6c	Cl 1
21	Orff	c	fis	12a	Cl 3
22	Dessau	a	c	13a	Cl 2
23	Bieder	h	fis	14a	Cl 1
24	Kantmann	a	c	7c	Ob.
25	Kaese	h	d	12c	Ob 3
26	Stoekmann	a	as	15a	Ob 2
27	Zimmermann	b	f	8c	Ob 1
28	Kugel	a	es	16a	Picc.

16 Kdr  
15 Blech

The final version of the movement deviates to an extent from the structure outlined in the sketches; nevertheless I have located all the monograms used in the culmination (**Example 12**) and summarized the structure of this segment of form in **Table 7**.

**Example 12.** Schnittke, Symphony No. 3, fourth movement: all 28 monograms as 12-note rows

The image displays 14 horizontal musical staves, each representing a different composer's monogram as a 12-note row. The composers listed on the left are: (Johann Sebastian) Bach, Georg Friedrich Handel, Joseph Haydn, Wolfgang Amadeus Mozart, Ludwig van Beethoven, Carl Maria Weber, Franz Schubert, Robert Schumann, Felix Mendelssohn Bartholdy, (Johannes) Brahms, Richard Wagner, Anton Bruckner, Johann Strauss, and Gustav Mahler. Each staff contains a sequence of 12 notes, with various accidentals (sharps, flats, naturals) and stems (upward and downward) indicating the specific pitch and articulation of each note. The notation is presented in a clean, black-and-white format on a white background.

(continues on the next page)

**Example 12.** A. Schnittke, Symphony No. 3, fourth movement: all 28 monograms as 12-note rows (continued)

The image displays 14 musical staves, each representing a 12-note monogram by a different composer. The composers listed on the left are: Richard Strauss, Max Reger, Arnold Schoenberg, Alban Berg, Anton Webern, Paul Hindemith, Carl Orff, Paul Dessau, Hans Eisler, Karl Amadeus Hartmann, Hans Werner Henze, Karlheinz Stockhausen, Bernd Alois Zimmermann, and Maurizio Kagel. Each monogram is written on a single staff in treble clef, showing a sequence of 12 notes with various accidentals (sharps, flats, naturals) and some double accidentals (double sharps, double flats). The notes are connected by stems, and each staff ends with a double bar line.

**Table 7.** A. Schnittke, Symphony No. 3, fourth movement: all 28 monograms as 12-note rows

NAME	FIGURE	INSTRUMENT	HARMONY	REASON FOR GROUPING
Alban Berg	19	<b>Woodwind:</b> Cl. 1	C major g minor	name begins with A
Bernd Alois Zimmermann	19	Fl.		
Arnold Schoenberg	19+2	Ob.	D major	
Alban Berg (2)	19+2	Cl. basso		Berg & (Schoen)Berg
Alban Berg (3)	19+3	Fg. 2	a minor	surname begins with B
Anton Bruckner	19+4	Cl. 2 & Cl. basso		
Brahms (Johannes)	19+4	Fg. 1	E major	
Ludwig van Beethoven	19+4	Cor. ing.	b minor	
Anton Bruckner (2)	20	Cor. 1	F# major c# minor A flat maj.	name Anton
Anton Webern	20+3	Cl. 2	e flat min.	surname begins with W
Carl Maria Weber	20+3	Tr. 1 (brass)	B flat maj.	
Richard Wagner	20+3	Ob.		
Richard Wagner (2)	20+5	<b>'basso' instr.:</b> C. fag.	f minor	name Richard
Richard Strauss	21	<b>Strings:</b> C. basso	C major	
Johann Strauss	21+1	Vle.	g minor	surname Strauss name Hans, Johann(es)
Richard Strauss	21+2	Vni. II	D major	
Hans Werner Henze	21+3	Vcelli	a minor	
Bach (Johann Sebastian)	21+4	Vni. I	E major <i>from b min. to B flat major</i>	
Brahms (Johannes) (2)	21+4	Vla. solo	f minor	
Hans Werner Henze (2)	21+6	Vni. II	C major	
Richard Strauss (3)	21+6	Vcello solo		surname begins with S
Robert Schumann	22	Vni. II	g minor	(initials RS)
Karlheinz Stockhausen	22+1	Vni. I	D major a minor	
Franz Schubert	22+1	Vni. I	E major	

(continues on the next page)

**Table 7.** A. Schnittke, Symphony No. 3, fourth movement: all 28 monograms as 12-note rows (continued)

Karlheinz Stockhausen (2)	23	Vcelli	b minor	name Carl, Karl(heinz)
Karl Amadeus Hartmann	23	Vcelli		
Carl Orff	23	Vle.		
Carl Maria Weber (2)	23+1	Vle.	F# major	
Karl Amad. Hartmann (2)	24-1	Vni. I	c# minor	surname begins with H
Paul Hindemith	24	Vni. II	A flat maj.	
Joseph Haydn	24+1	Vni. II	e flat min.	
Hans Werner Henze (3)	24+2	Vni. I	B flat maj.	
<i>Paul Hindemith (2)</i>	24+2	Vni. II	f minor	<i>name Paul</i>
Hans Werner Henze (4)	25	Vle	C major	name Hans
Hans Eisler	25	<b>Woodwind:</b> Cl.		
Hans Eisler (2)	25+1	<b>'basso' instr.:</b> Cl. Basso	g minor D major	
<i>Paul Dessau</i>	25+1	C. basso		
		<b>strings+wood:</b> <i>Vni. I and Fl.</i>	a minor E major	middle name Amadeus
Karl Am. Hartmann (3)	26-1			
Wolfgang Am. Mozart	26/01/11	<b>Brass:</b> Cor.	b minor	
Wolfgang Am. Mozart (2)	26+1	<i>Vni. II, Ob., Cl.</i>	F# major	surname begins with M
Gustav Mahler	26+1	Cor.		
Wolfgang Am. Mozart (3)	26+2	Cor., <u>Tbn.</u> , Tuba	c# minor	
Felix Mendelssohn	26+3	Tr. 1	A flat maj.	
Max Reger	26+3	<i>Vni. II and Fl.</i>	e flat min.	name begins with M
Maurizio Kagel	26+4	Piccolo (the 'foreigner'!)	B flat maj. f minor	

At Fig. 28 this mass of sound “returns to the source” i.e. to the “Bach” theme in the unison of 32 violin parts. Schnittke had already utilised the idea of “returning to Bach” (Shul’gin 2004: 89) in his *Prelude in Memory of Dmitri Shostakovich* (1975); moreover, he employed Bach’s monogram in a host of other works including his Violin Sonatas No. 1 (1963) and No. 2 (1968), the music for *Glass Accordion* (1968), Piano Quintet (1975), Symphony No. 2 *St Florian* (1979), Concerto Grosso No. 3 (1985), etc. Just like in a majority of these works, in his Symphony No. 3 Schnittke casts Bach as a saving grace against dissonant evil forces. This reference to Bach is followed by reminiscences to several motifs from previous movements, including “Deutschland”, the “Mozart” theme and “Erde”, paired with the somber, resigned, descending “undertone” theme. But just as it seems that the symphony is about to end on



a pessimistic note, Schnittke repeats the “Deutschland” motif, followed by the initial, ascending “overtone” theme, played by a solo flute, while the strings perform the row of harmonics up to the 16<sup>th</sup> partial. After the “overtone” theme, the flute turns again to the “Bach” motif, and finishes on the note C# – the 17<sup>th</sup> partial of the overtone row, which, as Kholopova and Chigarëva have observed, had not been a part of this theme before (1990: 180). Hence, the composer’s message here might be that the end is at the same time a new beginning, and that the only way for German/Austrian music (and culture in general) to regain vitality and credibility is to return to its primordial state and to start completely anew.

### *Conclusion*

The study of available sketches for Alfred Schnittke’s Symphony No. 3 provides a new insight into the composer’s creative process and the types of creative decisions that he was making at different stages of writing this symphony. The sketches from the Juilliard Manuscript Collection reveal the genesis of this work, from the vague initial idea of working with the overtone series, through the development of themes and “monograms” and the overall design of individual movements, to the finished work. The sketches help reveal the hitherto hidden structure of the third and fourth movements and demonstrate that Schnittke carefully planned even the minutest details of this complex work. Additionally, they suggest that, although the work was supposedly written as a celebration of a German orchestra, it contains a clandestine critique of German culture, because Schnittke regards it as a culture that has reached its pinnacle and has been in the state of decline since the onset of modernism and avant-garde. While the diachronic disposition of monograms and the pattern of gradual ascent and decline are reiterated throughout the symphony, the work is not repetitive because Schnittke constructs all movements differently and transforms the monograms in various ways. The possible reason why Schnittke did reiterate some facets of the work is his desire to strengthen the communicative power of his musical symbols and to ensure that all listeners have grasped his message.

While in a host of Schnittke's works the Apollonian ideals of balance and beauty played a subordinate role to the political and moral statements that he wanted to make – which often led him to leave his works without a sleek finish – in the Symphony No. 3 Schnittke's overzealous communicative urgency is tempered by a clear yet ingenious constructive principle. And while a brilliant conception cannot guarantee value in a work of art, my analysis of Schnittke's sketches (as well as the finished work), has hopefully demonstrated that the symphony is by no means hackwork, as it demonstrates a high level of sophistication at the intentional level. As to the definitive meaning of the symphony, it remains elusive and ambiguous, but at least it is certain that Schnittke's admiration for the "great Germans" was by no means unconditional, and that he saw German culture as being in a state of *malaise* that could only be "cured" by returning to its roots and starting anew.

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СКИЦЕ ЗА СИМФОНИЈУ БР. 3 АЛФРЕДА ШНИТКЕА,  
И ШТА НАМ ОНЕ (НЕ) ОТКРИВАЈУ  
(Резиме)

У овом раду анализирам Симфонију бр. 3 (1981) Алфреда Шниткеа (1934–1998) на основу скица које чине део Џулијардове рукописне колекције (*The Juilliard Manuscripts Collection*). Значај ових скица, које се, према мом сазнању, први пут разматрају у научном часопису, јесте двострук. С једне стране, скице су ми омогућиле да исправим бројне грешке присутне у ранијим анализама ове симфоније, а посебно је значајно што оне пружају обиље информација о Шниткеовим начинима рада са тематским материјалом и конструктивним принципима. С друге стране, мада на основу скица није могуће одгонетнути недвосмислено „значање” Шниткеових музичких симбола, оне ипак указују на композиторове скривене намере и пружају довољно „упутстава” за ново читање ове, по

много чему необичне, симфоније. Према ово дело наизглед представља Шниткеов омаж немачко-аустријској музичкој традицији, мој кључни аргумент јесте да је тај омаж крајње проблематичан и двосмислен. Наиме, Шнитке спроводи два паралелна и међусобно повезана наративна тока, од којих се први тиче историјског развоја немачке музике и њене поступне „дегенерације”, док се други односи на суноврат читаве немачке нације и њене културе у XX веку.

