

Lulu: The Sketches

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In the summer of 1975, I was able to study those sketches for *Lulu* which Frau Helene Berg had deposited in the Musiksammlung of the Österreichische Nationalbibliothek in Vienna. Although circumstances were such that I was not able to examine the manuscripts in as great detail as they merit, the following preliminary observations on the material may be of some interest.

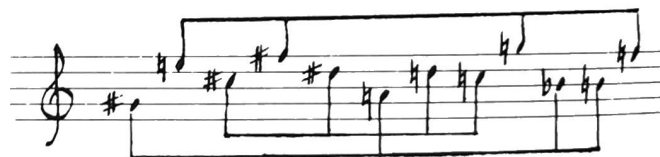
The *Lulu* sketches were amongst a collection of 812 pages contained in eight parcels (the parcels being numbered Ph.A 2168 I to VIII). Of these 812 pages, 726 were concerned with *Lulu* while the remaining eighty-six were devoted to sketches for the Violin Concerto.¹ Although the collection includes music from all three acts of the opera, many sections of the work (such as the ensemble scene of Act II, scene 1) are not represented in the sketches. It seems probable, therefore, that other, as yet undiscovered, sketches exist.

A large number of pages in the collection consist of short scores, in varying degrees of completion, which show the music in something like the form in which it appears in the opera itself. Other, and perhaps more interesting, pages represent a much earlier stage in Berg's work on the opera. Consisting of row

charts, diagrams, and rough sketches or jottings, these pages trace the gradual evolution and development of Berg's preliminary ideas on *Lulu* and afford a unique insight into his working methods. It is upon these sketches that I shall concentrate in this article.

Most of these preliminary sketches are concerned with pitch organization, with the derivation of the subsidiary sets from the basic series of the work, and with exploring the harmonic and melodic relationships between the different subsidiary sets thus produced. There are, for example, a number of pages devoted to an investigation of the relationships between the series associated with Schön and Alwa (including an exhaustive demonstration of the different ways in which the two series can be stated simultaneously, as they are in Act II, scene 1, of the opera), and to showing the way in which two of the basic cells of the work (the five-note cell A-B-C-E-F and the four-note cell B flat-D flat-E-A) are contained within all the sets employed in the opera. One sketch in this group explores the possibility of compositionally relating Alwa's series to Schigolch's chromatic set in the way shown in Example 1 below, a possibility exploited at the beginning of Act III, scene 2, of the opera when these two characters are alone together on stage:

Example 1



Another sketch shows two methods of forming a perpetual four-part canon from the series associated with Dr. Schön. In both methods, the series is stated as notes of equal duration and is at the same transpositional level in each voice. The first method (in which the canonic parts enter on the fourth, seventh, and tenth notes of the leading voice) has next to it the comment "very consonant"; the second (in which the canonic voices enter on the third, fifth, and seventh notes of the leading voice) has the comment "dissonant". Neither is employed in the opera.

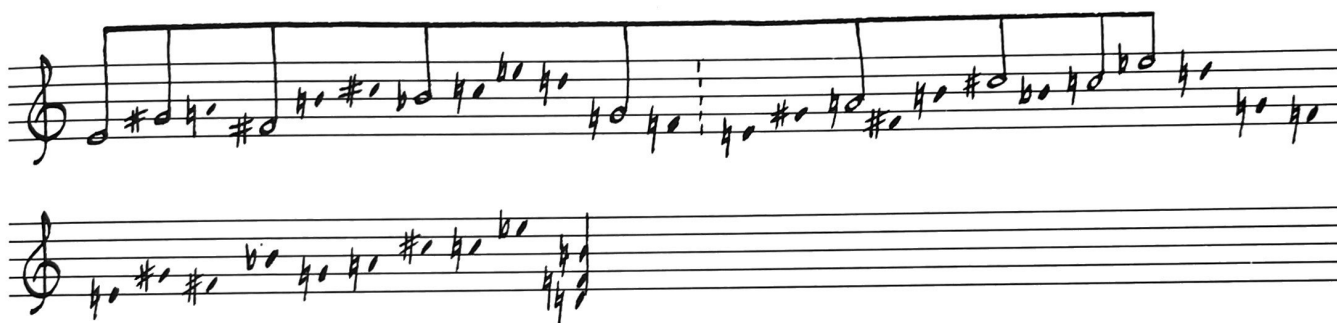
It is quite clear from Berg's row charts and sketches that he did, indeed, arrive at the various subsidiary sets employed in *Lulu* by the kind of derivational procedures described by Reich and later writers; it is equally clear from the sketches (as, indeed, it is from the opera itself) that Berg himself was fully aware that the derivational procedures did not, in themselves, guarantee

1. I am aware that the above account of the *Lulu* sketches does not accord with that given in Helene Berg's will (*Österreichische Musikzeitschrift* 32 (April 1977): 169-179) according to which the sketches for *Lulu* and a number of other (unspecified) works are contained in a packet consisting, in all, of 508 pages. While working on the Berg manuscripts in the Nationalbibliothek in 1972 and 1975, I discovered that the titles on the various folders in which the material was kept (titles which were, presumably, written at the instigation of Frau Berg) were frequently incorrect. According to the titles on the folders, the collection consisted at that time of: two volumes of Early Songs; the Particell of Acts I, II and III of *Lulu*; two packets of sketches; the Particell of *Wozzeck*; Partiturskizze of the Chamber Concerto; the Particell and other material (poems, proof corrections for vocal score etc.) relating to *Der Wein*; the Particell of the Orchestral Pieces Op. 6; the Clarinet Pieces Op. 5; the *Lyrical Suite*; the String Quartet Op. 3; the Particell of the Violin Concerto. The collection did not, at that time, include the eight parcels of *Lulu* sketches discussed above nor did it include the second autograph score of the *Lyrical Suite* mentioned in Helene Berg's will. The collection had not been catalogued by the Nationalbibliothek and some idea of the confusion created by the folder titles may be gathered from the fact that the folder entitled "Kammerkonzert" proved to contain a copy of the accordion part of Act II, scene 4 of *Wozzeck*, and sketches for the second setting of "Schliesse mir die Augen beide" and the *Lyrical Suite*, but nothing that related to the Chamber Concerto. It may be that some of the mistakes made when titling these folders have been carried over into Frau Berg's will.

that the resulting sets had any significant musical relationship to the basic series. On one of the sketches showing the way in which Dr. Schön's series is derived from the basic series, Berg has himself wryly remarked that the procedure is "wilfully complicated." Discussing Reich's description of the way in which Dr. Schön's series is derived (starting with the second note of the basic series, by successively omitting notes according to the pattern 1,2,3,3,2,1), George Perle has observed that "obvious and, in principle, equally valid variations of this procedure which

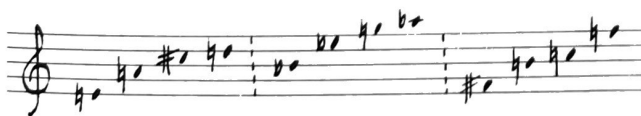
will generate other, quite different, twelve-tone sets — for example, the commencement of this same pattern of omissions with Order Number 0 of the basic series — will occur to the reader, as they undoubtedly must have done to Berg."² Such variations did indeed occur to Berg and one is investigated in the Nationalbibliothek sketches. The variation applies a pattern of omission following the sequence 0,1,2,3,3,2,1,0, beginning on the first note of the basic series, to produce a nine-note series and a three-note chord thus:

Example 2



Another, less systematically derived, subsidiary series which appears in the sketches but not in the opera is shown in Example 3 below. The first four-note group is identical with the first four notes of Dr. Schön's series. The other two four-note groups seem to be freely derived. The sketch is headed "Manservant."

Example 3



that can be obtained by applying a uniform pattern of omissions to the basic series. Thus, the first derivative series on the page is produced by extracting alternate notes from the basic series (a process which produces the series associated with the Athlete), the second by extracting every third note of the basic series (producing the set associated with the Schoolboy), the third by extracting every fourth note, the fourth by extracting every fifth note and so on. Berg seems to have become so fascinated by the complementary relationships between the resulting derivative sets that he not only extends his investigations as far as the series produced by extracting every sixteenth note from repeated statements of the basic series but also adds a comment on these relationships on a subsequent page. Heading his remarks with a music example which shows the series produced by extracting every fifth note and the series produced by extracting every

Particularly interesting are two pages of sketches on which Berg has systematically worked out all the subsidiary series

2. George Perle, "Lulu: Thematic Material and Pitch Organization," *Music Review* XXVI (1965): 294

seventh note of the basic series (that is, the series which are associated with Countess Geschwitz³ and Alwa), Berg comments:

If one takes every fifth note of the first row one has the original row; if one takes every seventh note one has the retrograde of the original row. Similarly with the second new row derived in this way. So that, if one produces new rows [from the original] by singling out every second, third, or fourth note (that is fewer notes are omitted [than produce the above rows]) sooner or later one has these rows again — singling out the eighth, ninth, or tenth note produces the retrograde of those rows produced by singling out the second, third, or fourth.

On September 20, 1929, Berg wrote to Webern:

I think that I have recently found a good solution to the problems of using rows for such a lengthy work. (Apart from the different forms which I have long since already derived from them.) You'll see what I have discovered from the attached sheet of paper. From the mathematical point of view, it is something that is self-evident. But, in the musical technique of row-composition, it is something that, perhaps, no-one has yet discovered and that — as said — is applicable to any twelve-note row

Replying, on September 28, Webern wrote:

Your discoveries in the field of row construction seem very significant to me for the possibilities of obtaining from the the basic row through permutation (I believe that is what one calls in mathematical terms the kind of derivations that you have proposed) rows which seem to be new and yet stand in demonstrable relation with the basic row. In cases where the four forms of the row and its transpositions don't answer the purpose — as they clearly don't with you — to be able to obtain such thorough derivation seems to me to present possibilities for connections which have far reaching use

It seems unlikely that Berg is here only talking about the fact that he has evolved various subsidiary series from the basic series. He had already employed similarly derived subsidiary sets in *Der Wein*, which he had completed in July 1929, and, over a year before writing the above letter to Webern, he had informed Schoenberg of the kind of row techniques he was employing in *Lulu*.⁴ The "attached sheet of paper," which Berg mentions in his letter, has been lost but it may well have contain-

ed some examples and comments very like those which appear in the sketch discussed above.

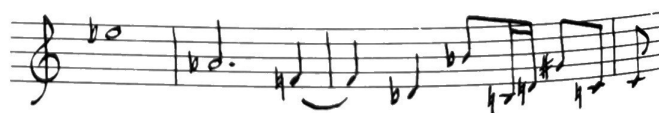
Many of the sketches are concerned with the rhythmic and metric organization of *Lulu*. A number of charts demonstrate the ways in which the relationships between the metronome marks of the different sections of the Monoritmica, the Sonata movement of Act I, and the final scene of the opera are to be effected. A further group of sketches explores the way in which each of the variations in the orchestral interlude between scenes 1 and 2 of Act III imposes a different meter on the melody of the Wedekind "Lautenlied." Other sketches in this group deal with the more detailed rhythmic elements such as the association of different meters and rhythms with the various characters in Act II, scene 1, and the isorhythmic structure of Dr. Schön's "Das mein Lebensabend."

Amongst the sketches dealing with rhythmic organization, as amongst those which deal with pitch organization, there appear a number of ideas which Berg eventually abandoned. Headed simply "The Rhythms," the following sketch, for example, suggests that Berg at one time considered extending the kind of rhythmic procedure employed in Act II, scene 1, by allotting a particular rhythmic pattern to each of the main characters in the ensembles of Act III, scene 1:

Company
Casti⁵
Lulu
Banker
Rodrigo⁵
Schigolch

Another page has on it the figuration shown in Example 4 below, a figuration which does not appear in the opera itself but which brings together the melodic line sung by the Countess Geschwitz at the end of Act III, scene 2, and the accelerando/ritardando rhythmic pattern with which this character is associated throughout the work:

Example 4



A number of pages of the sketches consist of charts which demonstrate the relationship between musical and textual struc-

3. The ordered series associated with the Countess Geschwitz (see Willi Reich, *The Life and Work of Alban Berg*, London: Thames and Hudson, 1965) appears in the Ostinato interlude of Act II (flute bar 673) and at various points in the Adagio of the *Lulu* Suite.

4. Mosco Carner, *Alban Berg: The Man and his Work* (London: Gerald Duckworth and Co., Ltd., 1975), p. 205.

5. Berg's intentions regarding the names of the characters in the opera are discussed below.

tures of Dr. Schön's Sonata Movement in Act I, Alwa's Rondo in Act II, the Chorale Variations in Act III, the Monoritmica and the Prologue. On one (presumably very early) sketch, Berg has jotted down a list of the forms which he was, at that time, thinking of using in the opera. Whereas, with the exception of the Sonata of Act I, the Rondo of Act II, and the Variations of Act III, *Lulu* is largely built of traditional vocal forms, Berg's preliminary list consists almost entirely of instrumental forms suggesting that he may, initially, have thought of the formal design of *Lulu* as being much closer to that of *Wozzeck*. Amongst the forms mentioned on the sketch are a chaconne, a passacaglia, (which seems to have been intended for Act II, scene 2), a gigue, a gavotte, a fugato, and, for the Casino scene of Act III, scene 1, a suite consisting of "old and new dance forms."

On one sketch of Dr. Schön's "Das mein Lebensabend," the number is entitled "Ballade"; a sketch of the scene in Act II, scene 1, in which, disturbed by Alwa's arrival, the Athlete, the Schoolboy, and Schigolch attempt to escape, has the heading "Burleska." Neither of these numbers bear titles in the published score of the opera.

As is well known, Berg left behind on his death a short score of Act III which, with the exception of twenty-eight bars in Act II, scene 2, in which the subsidiary vocal parts are missing, is complete in every detail. As George Perle has shown, only some two-fifths of the Act remain to be scored, the rest having been orchestrated by Berg himself.⁶ Unfortunately, the *Lulu* sketches in the Nationalbibliothek do not include anything that throws light on the twenty-eight incomplete bars of Act III, scene 2, nor do they provide any indications as to the way in which Berg planned to score the unorchestrated sections. The only sketch which could have any bearing on the orchestration of Act III is a page on which Berg has jotted down some of the chamber ensembles which could be associated with the figure of Schigolch. The page reads:

Chamber Music: String Quartet, Wind Quintet, Chamber
Symphony-type, Piano Trio.
Schigolch always....(illeg.)
Wind Quintet: Act I

In the finished opera, the figure of Schigolch is associated with a wind nonett (rather than a quintet) in Act I and with a small string ensemble (rather than a string quartet) in Act II. Berg probably abandoned the idea of using a piano trio in association with Schigolch since the piano and violin are associated with the Athlete and the Marquis elsewhere in the opera. It is tempting to think that the term "Chamber Symphony-type" refers to Schoenberg's

first Chamber Symphony and that the Lulu-Schigolch duet in Act III, scene 1, was to be scored for the same ensemble as the Schoenberg work. The Particell score of this duet, however, specifically indicates a part for trumpet (along with parts for horn, clarinet, bass clarinet, and pizzicato strings) and there is no trumpet employed in the ensemble of the Schoenberg Chamber Symphony.

Of immediate practical importance (especially in view of the recent announcement that a performance of the complete opera is to take place in February 1979) are the insights which the *Lulu* sketches afford into Berg's final intentions regarding both Act III and the opera as a whole.

In the published score of Acts I and II of the opera, the character of Alwa is identified as "a writer." It is clear from the two published acts and from the libretto of Act III that the Alwa of Berg's opera was to be a composer and further evidence of this is provided by the sketches in which Berg has specifically identified him as such. In the published score of the opera, the proper names of Wedekind's Dr. Goll, Schwarz, Prince Escerny, and Hugenberg are omitted and the characters identified, in accordance with Berg's intentions, simply as "the Medical Specialist," "the Painter," "the Prince," and "the Schoolboy." The Athlete is, however, given his proper name "Rodrigo." Berg seems to have changed his ideas about the importance of the character of the Athlete during the course of his work upon the opera and only at a relatively late stage did he decide to relegate him to the stature of a secondary character by omitting his proper name from the score. There are, therefore, a large number of sketches in which the name "Rodrigo" appears. That Berg did, eventually, decide that the part should be simply entitled "the Athlete" is, however, clear from the same page of the sketches on which Alwa is identified as a composer, where Berg has noted down some preliminary ideas on the way in which the different roles in Act III, scene 2, were to be doubled. The note reads:

Medzin. (ohne Name)
letzter Gast (Jack)
Der Maler (ohne Name)
3 Gast (Dr. Schneider)⁷
Dr. Schön
2 Gast (Neger)
Der Athlet
1 Gast

Although Berg sometimes forgot this decision (and the name "Rodrigo" appears in a number of sketches made after he had

6. George Perle, "A Note on Act III of *Lulu*," *Perspectives of New Music* (Spring/Summer 1964): 8-13.

7. The doublings indicated in this sketch are those which Berg mentioned to Schoenberg in his letter of August 7, 1930. The name of the third client (Dr. Schneider) does not appear in the Wedekind and seems to be Berg's own invention.

written the above note) the character is always identified as "the Athlete" in the Particell of Act III and there can be no doubt that Berg would have removed the name "Rodrigo" entirely had he lived to supervise the publication of the score.

Perhaps the most interesting and significant sketch in the collection is a single page on which Berg has typed out a copy of the *Dramatis Personae* of the opera. The sketch, which is reproduced below, was made at a later stage of Berg's work on the composition, though probably before he actually began work

on Act III, since the doubling of the roles of the Banker and the Police Commissioner (who appears in Act III not, as Berg mistakenly writes, in Act II) is not practically possible. Once the role of the Banker has been allotted to form the third of the parts played by the performer who plays the Medical Specialist in Act I and the first client in Act III, scene 2, Alwa has been identified as a composer and the names in brackets have been removed, the list shows Berg's final thoughts on the disposition of roles in the work and the form which the *Dramatis Personae* should take in the published score:

DRAMATIS PERSONAE

Lulu	High Soprano*
Countess Geschwitz	Dramatic Mezzosoprano
A Wardrobe Mistress in Act I	
A Schoolboy (Hugenberg: Hosenrolle) in Act II	} Contralto
A Groom (Bob) in Act III	
Medical Specialist	} Silent Role
1st Visitor in the last scene	
Artist (Schwarz) in Act I	} Lyric Tenor
2nd Visitor in the last scene	
Dr. Schön, Chief editor in Acts I and II	} .. Heroic Baritone with a touch of Lyric
3rd Visitor in the last scene	
Alwa, Dr. Schön's son	Young Heroic Tenor
Schigolch	High Character Bass
Animal Trainer (singer in the Prologue to Act I)	} Heroic Bass with touch of Buffo
Rodrigo, an Athlete	
African Traveller (Prince Esczerny) in Act I	} Tenor Buffo
Manservant in Act II	
Procurer (Casti Piani) in Act III	} Basso Buffo
Theater Director in Act I	
Police Commissioner in Act II	
Banker in Act III	
Others in the ensemble scene of Act III:	
A fifteen-year-old (Kadidja)	Soubrette
Her mother (Magelone)	Contralto
A designer (Bianetta)	Mezzosoprano
Journalist (Heilman)	High Baritone
A Servant	Deeper Baritone
* Able to reach two or three ledger lines, somewhat coloratura and not without [illegible].	
Three Acts: Act I, 3 scenes; Act II, 2 scenes (same set); Act III, 2 scenes. Together: 7 scenes, 6 sets.	
The director of this opera must be a drama director.	

For many years, George Perle has argued that Berg intended to double and treble certain roles in the opera and that the published score of the work misrepresents Berg's intentions in this and many other important respects. The *Lulu* sketches in the Österreichische Nationalbibliothek provide concrete and incontrovertible evidence that Perle's conclusions and the *Dramatis Personae* which he published in a number of articles⁸ precisely

reflect Berg's intentions—intentions which must be taken into account in any authentic score of the complete opera which might be published.

8. George Perle, "Lulu: The Formal Design," *Journal of the American Musicological Society* 17 (1964): 179-192; "Lulu: Thematic Material and Pitch Organization," *Music Review* 26 (1965): 269-302; "Die Personen in Alban Berg's 'Lulu'," *Archiv für Musikwissenschaft* 24 (1967): 283-290; "Inhaltliche und formale Strukturen in Alban Bergs Oper 'Lulu'," *Österreichische Musikzeitschrift* 32 (1977): 427-441.

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