



1980

An analytical study of Hans Werner Henze's Fifth symphony

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AN ANALYTICAL STUDY OF HANS WERNER HENZE'S FIFTH SYMPHONY

A Thesis
Presented to
the Graduate Faculty
of the
University of the Pacific

In Partial Fulfillment
of the Requirements for the Degree
Master of Arts

by
Belinda Gascon
April 1980

This thesis, written and submitted by

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Dated April 21, 1980

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Hans Werner Henze: Symphony No. 5

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ACKNOWLEDGMENTS

Gratefully acknowledged is the help given me by Professor Stanworth Beckler, Dr. David Goedecke, and Dr. Mary Lee Scoville, whose valuable advice and suggestions aided me in the completion of this thesis.

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Chapter 1

INTRODUCTION

Hans Werner Henze was born in Gutersloh, Westphalia on July 1, 1926. He is a well-known German composer who has assimilated many stylistic traits of Stravinsky, Schoenberg, Webern, and Bartok in his own personal style. Henze became acquainted with serial techniques through study with Wolfgang Fortner, but he does not conform to principles of strict and total serialism. His style is one in which both serial and polytriadic relationships emerge. According to Henze:

The twelve-tone problem does not play a great part in my music; it was always an exclusively technical means. I have always been concerned with musical substance, particularly with melody.¹

For Henze, musical expression is always a primary consideration through which melodic expansion and lyricism become very important elements within a work.

Hans Werner Henze's Symphony No. 5 was commissioned by the New York Philharmonic for the opening of the Lincoln Center for the Performing Arts. It was composed

¹Wolf-Eberhard Von Lewinski, "The Variety of Trends in Modern German Music," The Musical Quarterly, LI (January, 1965), 166.

in 1962 and received its premiere by Leonard Bernstein and the New York Philharmonic in 1963.²

Symphony No. 5 is written in three movements, with Italian markings: I Movimentato, II Adagio, and III Moto perpetuo. According to Henze, the first movement is in sonata form, and the second is a song with variants. The Finale could be regarded as a Rondo, but Henze intended it to be a set of thirty-two variations on the Arioso material from the second movement.³ In this work, Henze shows a preference for traditional forms in which he creates abrupt textural changes and extreme dynamic contrasts.

Purpose and Procedures

This thesis will be based upon the study of six major areas of analysis within each movement of the symphony. These areas include the following: form, texture, melodic material or series, orchestration, rhythm and meter, and harmony. Various combinations of vertical sonorities as well as the free treatment of pitches in the series will be discussed. Special attention will be given

²"Symphony No. 5 . . . Hans Werner Henze, "Kansas City Philharmonic Program Notes, (March 19, 1967), 16.

³Hans Werner Henze, "Thoughts on my Instrumental Compositions," Fünf Symphonien, Deutsche Grammophon Gesellschaft (1966). Record pamphlet with Henze's discussion of his instrumental compositions at a lecture given at the Technical University, Berlin, in January 28, 1963.

to discussion of individual instruments and a variety of instrumental combinations. Different meters and ways of emphasizing or altering rhythmic pulse will also be described. The first movement, in particular, will be analyzed in depth. Although discussion of the second and third movements will be less detailed, occasional comparisons and references to earlier movements will be made in order to help show Henze's different stylistic and compositional approaches in the six major areas listed above.

The purpose of this thesis is to present a systematic view of Henze's stylistic characteristics in areas of form, melodic material and series, rhythm and meter, harmony, texture, and orchestration. The wide range of styles exhibited by Henze will be brought to light in this study. Mention of certain stylistic traits in common with other well-known composers, such as Schoenberg, Webern, Stravinsky, and Bartok will be made. Finally, the thesis will show that Henze does not adhere to any strict principle of music composition but allows rather his own innate musical sense and desire for expression to guide him.

Chapter 2

FIRST MOVEMENT

Form. The first movement is in sonata form and has a short Introduction, an Exposition, a Development, Recapitulation, and Coda. The introduction states all the pitches of the tone row as well as important motives which are used throughout the movement. The Exposition consists of a principle subject, a secondary subject, and a closing section. The Development is divided into two parts. Part I begins with the first lyrical statement of the tone row, and Part II opens with material derived from the secondary subject. The Development as a whole is characterized by a free treatment of counterpoint as well as the free invention of new material. The Recapitulation is not a literal restatement of the Exposition but is rather a varied presentation of the first and second subjects. The last section, the Coda, consists of material presented in the Introduction.

Introduction	1 - 6	6 measures
Exposition	7 - 72	66 measures
Development	73 - 111	39 measures
Part I	73 - 91	
Part II	92 - 111	
Recapitulation	112 - 204	93 measures
Coda	205 - 214	10 measures

Table 1.

The first movement could also be perceived in a form consisting of alternating long and short sections in which the middle section or Development is shorter than either of the outer sections, the Exposition or Recapitulation. Through such an alternation of long and short sections, Henze achieves a balance between the sections at each side of the Development. The short Introduction is balanced by the ten measure Coda at the end of the movement; whereas the two longer sections, the Exposition and Recapitulation are balanced at each side of the Development.

Divisions between sections are occasionally indicated by double bars. At other times, abrupt changes in texture, orchestration, and thematic material, help to mark the beginning or end of a section. Divisions within a major section, such as the Exposition, are also indicated by one or more of the above. The double bar at measure 35 followed by an abrupt change of texture, for example, is used to indicate that the first statement of the second subject⁴ is about to begin (example 1).

⁴Jacques Viret, "La cinquième symphonie de Hans-Werner Henze," Revue Musicale de Suisse Romande, v. 21, No. 5 (1968), 10.

Example 1. Measures 35-38.

Handwritten musical score for measures 35-38. The score is written on multiple staves, with the following instruments and parts indicated:

- Fl., Ob., Eng. Hrn.**: Flute, Oboe, and English Horn. The part for the Flute and Oboe is marked *p* and the English Horn part is marked *ppp*.
- Tpts. sff**: Trumpets, *sff* (sforzando).
- Trb. I**: Trombone I.
- Timp. I, II**: Timpani I and II, *sff*.
- Pno. I**: Piano I, *sff*.
- Pno. II**: Piano II, *sff*.
- Vla., Vcl., Cb.**: Viola, Violoncello, and Contrabass.
- VI. I, II.**: Violins I and II, *P* (piano).
- SECOND SUBJECT**: A section of the score marked *P* (piano).
- con. sord.**: *con sord.* (con sordano).
- pp**: *pp* (pianissimo).

The score includes various musical notations such as notes, rests, and dynamic markings. The tempo is marked *♩ = 1* (quarter note equals 1 beat). The key signature is one flat (B-flat).

Texture. Although changes of texture are important in all three movements, the first movement more than any other seems to be in a state of metamorphosis due to its constantly changing textures. Texture in this instance refers to the number of instruments and the density and spacing of pitches, as well as the layering of melodic and rhythmic patterns. Henze's use of texture has two purposes. Changes of texture not only help to delineate sections but also provide a means of varying the recurrence of themes and motives without having to alter the thematic material.

Henze is fond of combining an ostinato, repeated chords, sustained pitches, and short motives into a dense, layered texture. The following excerpt taken from measures 4-5 of the Introduction illustrates this procedure: (see example on page 8):

Example 2. Measures 4-5.

The musical score for measures 4-5 of Example 2 consists of five staves. The first staff is for Flute (Fl.) and Alto Flute (Alto Fl.), with a dynamic of *p* and a triplet of eighth notes. The second staff is for Timpani (Timp.) and Piano I (Pno. I), with dynamics of *mf* and *sf* respectively. The third staff is for Harp I and II (Harp I, II), with a dynamic of *f*. The fourth staff is for Piano II (Pno. II), with a dynamic of *f*. The fifth staff is for Violins (Vla.) and Cellos (Vcl.), with dynamics of *sf* and *p* respectively. The score includes various musical notations such as triplets, eighth notes, and rests.

In example 2, the repeated eighth-notes of the woodwinds and second piano, the harp ostinato, and string activity, combine to produce a very complicated texture consisting of several layers. This layered texture, however, comes to an abrupt halt for a quarter-note rest prior to the first statement of the principle subject in measure 7. Thus, the sudden breaking off of a certain texture is often an indication of something important to come.

One means by which Henze varies texture is the use of counterpoint. According to Henze, "In my instrumental compositions there is a constant alternation

between counterpoint and a harmonized cantabile line."⁵ In the passage in measures 32-34, the timpani, trombone, and strings are involved in free counterpoint, and are punctuated by chords from the trumpets and pianos.

Example 3a. Measure 34.

The musical score for Measure 34, Example 3a, is presented across six staves. The staves are labeled as follows: Tpts. (Trumpets), Trb. I (Trombone I), Timp. I. (Timpani I), Pno. II. (Piano II), Vln. (Violin), and Vcl. (Violoncello). The score includes various musical notations such as triplets, slurs, and dynamic markings like *sf* and *sfff*. The key signature is one flat (B-flat), and the time signature is 3/4. The measure is marked with a '3' at the beginning, indicating a triplet or a specific measure number. The notation is handwritten and includes many accidentals and slurs.

⁵ Henze, Record Pamphlet.

The passage reaches a climax in the form of an eleven-pitch fff cluster chord which has pitches distributed over four octaves. Example 3 from measures 36-39 shows an abrupt change of texture in which the first statement of the second subject is played by violins accompanied by slow-moving harmonies in the woodwinds. The dynamic level of this passage ranges from p to ppp.

Example 3b. Measures 36-39.

Through the sudden change of texture from polyphony to homophony, Henze clearly defines the beginning of the second subject. Henze further heightens the delineating effect of textural changes by using extreme dynamic contrasts.

Not all textural changes in the first movement occur as abruptly as in the above examples. There are passages in which overlapping textures begin and end at

different times. The varied texture of the passage from measures 160-165, for example, illustrates the almost constant movement from one texture to another (example 4).
 Example 4. Measures 160-165.

The musical score for measures 160-165, Example 4, is written for a woodwind and brass ensemble. The score consists of six staves, each with a different instrument or section:

- Fl. I, II.**: The first staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.
- Tpt. I.**: The second staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.
- Tpt. II.**: The third staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.
- Tpt. III.**: The fourth staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.
- Tpt. IV.**: The fifth staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.
- Vl. I, II.**: The sixth staff, featuring a treble clef and a key signature of one flat. It includes a dynamic marking of *f* and a phrasing mark above the first measure.

The score is characterized by frequent changes in texture and dynamics, with various articulations and phrasing marks. The music is written in a style that suggests a high level of technical skill and a deep understanding of the instruments.

Example 4 continued.

Handwritten musical score for "The Swan" by Maurice Strakosky. The score is for a full orchestra and includes parts for Piccolo, Flutes I & II, Alto Flute, Oboes I & II, English Horn, and Pedal. The music is in 3/4 time and features a key signature of one sharp (F#). The score is divided into measures by vertical bar lines. The Piccolo part is marked "p" and "8-". The Flutes I & II part is marked "p". The Alto Flute part is marked "p". The Oboes I & II part is marked "p". The English Horn part is marked "p". The Pedal part is marked "ppp" and "(Ped. II)". The score includes various musical notations such as notes, rests, and dynamic markings.

picc. P

Fl. I, II. p

Alto FL p

об. I, II р

Eng.
Iron.
L. A.

Red.

PPF

(Prod. II)

It should be mentioned that the excerpt from measures 160-165 is part of a longer passage which began at measure 156. The flutes and violins at the beginning of the passage both played a melody based on the second subject and were accompanied by a rhythmic ostinato in the trumpets. At measure 160, the violins and rhythmic ostinato drop out, leaving only a solo flute to carry the melody. The violins and rhythmic ostinato return at measure 162 and a measure later, a sustained polychord in the piano is added. When the polychord drops out, all woodwinds join in a free counterpoint against the melody in the violins. The one element which is constant throughout the passage is the melody. Even the melody, however, contributes to the changing textures when it is played by different instruments and by varying numbers of instruments.

Series. The first movement is based on a twelve-tone series in which motion by thirds and half steps predominates (example 5). There are four major thirds and three half steps within the series. In example 5, the series is divided into three groups, each of which contains four pitches. It will be noted that the last note of each group is a major third away from the first pitch of the next group. Thus, pitch 4 ends a major third away from pitch 5; and pitch 8 ends a major third away from pitch 9. An additional third, a minor third, is formed

The melody illustrates Henze's departure from serialism in order to create a new and expressive melody. There is, however, a similarity between the melody and the series. The melody, as in the series, is constructed of half steps, thirds, fourths, and tritones. Although sixths occur with frequency in Henze's melodies, they are nevertheless related to the series as inversions of thirds. Other larger intervals such as fifths, sevenths, and octaves occur more rarely in the free cantabile melodies of the first movement.

The serial order of pitches, for the most part, is preserved in four-note motives or tetrachords found throughout the movement. The use of motives derived from the series is illustrated in the motivic material of the Introduction. Motive "a," found in the timpani of measure 1, consists of the tetrachord Bb-D-Eb-A.

Example 7. Measure 1.



In the piano of the next measure, motive "a" is inverted as pitches C-Ab-G-D; these are the last four pitches in the series. Motive "b" occurs in the pianos of measure 1 and consists of pitches Bb-F-F#-B, the first, fifth, sixth, and

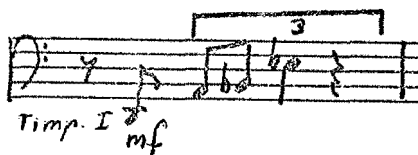
and seventh pitches of the series.

Example 8. Measure 1.



It is interesting to note that motive "b" transposed as pitches D-A-Bb-Eb is also a reordering of the pitches from motive "a."

Example 9. Measure 4.



Motive "c," consisting of pitches F#-B-E-C, is found in measure 6 in the timpani and is derived from the sixth, seventh, eighth, and ninth pitches of the series. Thus the series, which at first glance is not easily detected, is nevertheless present in the unfolding of important motives.⁷

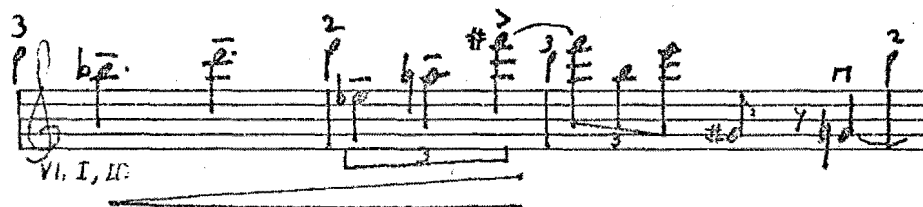
It will be noticed that every pitch is accounted for in these motives (see example 10 on page 17):

⁷It will be noticed that the B flat of motive "a" is repeated in motive "b". The harp ostinato in measures 2-6, however, consists of pitches A-F-F# and confirms the order of pitches 4, 5, and 6 in the series.

Example 10.

1 2 3 4	5 6 7	
Bb-D-Eb-A	(Bb)-F-F#-B	
"a"	"b"	
		8 9
		F#-B-E-C
		"c"
		10 11 12
		C-Ab-G-Db
		"a"(inverted)

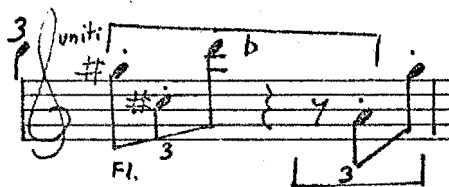
The series rarely occurs in its entire form with all twelve pitches in serial order. The violin melody at measure 78, however, omits only three pitches; and the rest are presented in the order which they occur in the series. Example 11. Measures 78-80.



With this exception, the series for the most part is presented in short motives which occur in transposition, inversion, retrograde, and retrograde inversion. The octave transposition of certain pitches in a motive may

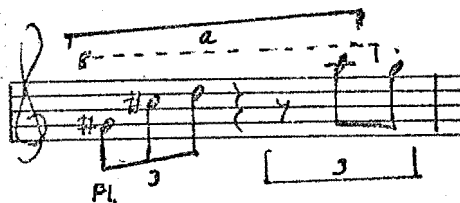
make retrograde inversions difficult to detect. In the following example from measure 74, the pitches G \sharp -C \sharp -D-A are recognizable as a form of motive "b" from the similarity of interval structure rather than from the contour of the pitch grouping.

Example 12. Measure 74.



Through octave transpositions, Henze has made the motive barely recognizable. If, however, the pitch C was transposed up an octave, and A was transposed up two octaves; the result would be a retrograde inversion of motive "b" (example 13).

Example 13.



Henze often treats the motives with great freedom; pitches might be repeated, rearranged in different order, or omitted. It is a method by which Henze develops motivic material. The excerpt from measures 11-13 which appears on page 19 shows how motive "c" is extended over two bars (example 14).

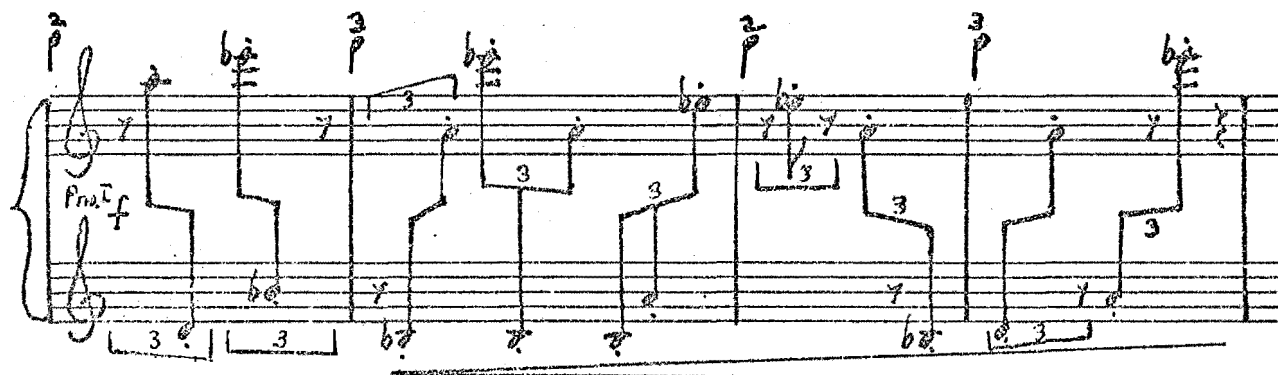
Example 14. Measures 11-13.



The first three pitches of the motive, F#-B-E, are played in order; but the expected fourth pitch, C, is omitted. Before C is played, the first two pitches F#-B are repeated twice. When C is reached, it is followed by pitch B, which represents a departure from the F#-B-E-C pitch sequence of motive "c."

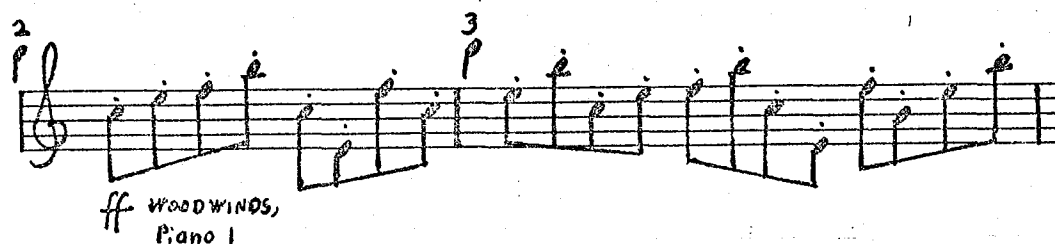
Henze is also fond of placing the pitches of a motive in an ostinato pattern. The following excerpt from measures 171-174 shows this technique applied to the pitches of motive "a."

Example 15. Measures 171-174.



At other times, Henze will create ostinatos from pitches of a motive with interpolations. For instance, the following example shows the three pitches, B-E-C, of motive "c" combined with the interpolated pitch, F, into a four-note ostinato.

Example 16. Measures 194-195.



As mentioned before, Henze treats the series with great freedom. There are instances in which the series is presented as a free horizontal and vertical arrangement of pitches. The following example from measures 132-133 illustrates this procedure.

Example 17. Measures 132-133.

Henze's use of the series follows no strict set of rules or principles. Pitches are repeated, rearranged, and omitted. The series is fragmented into short motives which recur throughout the first movement. At other times, serialism is totally abandoned in favor of creating free cantabile melodies. Henze's series, rather than being an unchanging succession of twelve pitches, represents a point of departure from which new material can be invented and developed.

Orchestration. The orchestra used by Henze in this work is scored for piccolo, three flutes, also flute in G, two oboes, four horns in F, four trumpets in C, four trombones, timpani, two harps, two pianos, and strings. Henze rejects the use of the more mellow sounds of the clarinet and bassoon in favor of a larger brass section. All instruments are used in the first movement.

The separate choirs of instruments are associated with certain characteristics. For instance, the first movement has an incisive quality which might be attributed in part to the aggressiveness of the brasses. The brasses are rarely given lyrical material or slow moving, supportive harmonies. They are often given short motivic material, usually played sforzando, or sharp, accented chords used for rhythmic punctuation. The excerpt of the first subject illustrates Henze's use of the brass (example 18).

Example 18. Measures 7-9.

Handwritten musical score for measures 7-9, featuring four staves for Trombones (Trbs.). The score is divided into three measures. Measure 7 has a dynamic of *sf*. Measure 8 has a dynamic of *sf*. Measure 9 has a dynamic of *sf*. The notation includes various notes, rests, and slurs, with some notes marked with *sf* (sforzando) and *ff* (fortissimo).

The first subject, rather than being a melody, is a set of short motives played by each of the four trombones. It is the brasses which state each appearance of the first subject. Other statements of the subject in the Exposition occur in measures 17-19 and in measure 20 in the trombones; the trumpets state the first subject at the beginning of the Recapitulation in measure 112. The brasses, which are always associated with each appearance of the first subject, become an integral part of the first subject. As a part of the first subject, the brasses represent a fusing of orchestral color with thematic material..

In general, the brasses are rarely given melodies or lyrical material. The horns, however, will occasionally play melodic lines. The following excerpt taken from measures 150-156 shows a melody played by Horn I.

Example 19a. Measures 150-156.

Handwritten musical score for Horn I. The notation includes various dynamics (ppp, pp, mf, sf), articulation (accents, slurs), and fingerings (3, 2, HS, 3, 1, 3, 1, 3). The score is written on a single staff with a treble clef.

Another example taken from measures 42-46 shows Horn I playing an augmentation of the first four notes of the second subject.

Example 19b. Measures 42-46.

Although Horn I is playing only four pitches, the rhythmic augmentation of these pitches creates the lyricism characteristic of most melodies.

Henze's special effects in his scoring for brasses includes the use of muted and stopped notes..

Muting is used in the horns, trumpets, and trombones, and

is indicated by the direction con sordino. Muting of the horns occurs in measure 92. Muted trombones are used in measures 44 and 94; but in measure 94, the mutes are optional and are so designated by the directions con sord. followed by ad. lib. In addition, the trombones at measure 92 are directed to play con vib. or with vibrato. This is the only instance in which the use of vibrato in the brasses is indicated during the first movement. Wooden mutes are used in the trumpets in measure 141. At no other time does Henze specify which type of mute is to be used.

The stopped effect is indicated most often by a small cross placed above a note. There is, however, an instance where Henze departs from this method and uses the term bouché instead. This occurs in measures 143-144 in Horn I. Stopping of the horns is used in measures 10, 47, 128, 138, and 149, and occurs more frequently in the horns than does muting.

Extreme ranges are exploited in most of the brasses; trombones have a range from C sharp to d flat"; the trumpets' range is from e to C sharp"; and the range of the horns extends from G to e".⁸ In the brasses, changes in register are rarely abrupt and are usually achieved

⁸The horn is the only brass instrument in which the extreme upper range is not exploited.

through gradual ascent or descent. The following example taken from measures 73-78 of the Development shows the gradual ascent of Horn I to reach e".

Example 20. Measures 73-78.

Strings

In contrast to the brasses, the strings are given a variety of material. They participate in contrapuntal passages, are given solos, are used to provide harmonic support, and are even used in an ostinato. Many different articulations and special effects are indicated in the scoring for strings: sul ponticello (examples 21 and 23), pizzicato (example 21), con sordino (example 4), marcato (example 24), detache' (example 22), tremolo and staccato (example 25), and battuto col legno (example 23). The terms pizzicato secco and pizzicato vibrato also appear in the first movement.

Example 21. Measures 14-15.

Handwritten musical score for measures 14-15. The score is written for four staves: Violin I (Vl. I), Viola (Vla.), Violoncello (Vcl.), and Double Bass (Cb.).

- Violin I (Vl. I):** Treble clef. Measure 14 starts with a triplet of eighth notes (B \flat , A, G) marked *pizz.* and *mf*. Measure 15 continues with a triplet of eighth notes (B \flat , A, G) marked *mp*.
- Viola (Vla.):** Alto clef. Measure 14 has a single eighth note (B \flat) marked *pontic.* and *mf*. Measure 15 has a single eighth note (B \flat) marked *mp*. A dashed line connects the two notes.
- Violoncello (Vcl.):** Bass clef. Measure 14 has a triplet of eighth notes (B \flat , A, G) marked *div. pizz.* and *mf*. Measure 15 has a triplet of eighth notes (B \flat , A, G) marked *mp*.
- Double Bass (Cb.):** Bass clef. Measure 14 has a triplet of eighth notes (B \flat , A, G) marked *pizz.* and *mf*. Measure 15 has a triplet of eighth notes (B \flat , A, G) marked *mp*.

Example 22. Measures 194-196.

Handwritten musical score for measures 194-196. The score is written for two staves: Violin I (Vl. I) and Violin II (Vl. II).

- Violin I (Vl. I):** Treble clef. Measure 194 starts with a triplet of eighth notes (B \flat , A, G) marked *detache'* and *mf*. Measure 195 continues with a triplet of eighth notes (B \flat , A, G) marked *mp*. Measure 196 continues with a triplet of eighth notes (B \flat , A, G) marked *mp*.
- Violin II (Vl. II):** Treble clef. Measure 194 has a single eighth note (B \flat) marked *detache'* and *mf*. Measure 195 has a single eighth note (B \flat) marked *mp*. Measure 196 has a single eighth note (B \flat) marked *mp*.

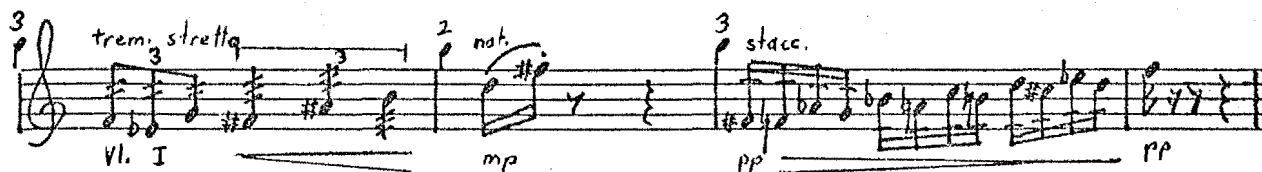
Example 23. Measure 10.

3
pontic.
Vla. *b sf sub. p*
Vcl.
battuto col legno
cb. *p*

Example 24. Measures 188-191.

2
3
2
3
cb. marc.

Example 25. Measures 46-49.



Ranges exploited are as follows: violin I, g - b''; violin II, g - a flat''; viola, c - g''; cello, C - f'', and contrabass, written D - e''. Very low registers are exploited in the strings. The violin, viola, and cello are each required to play their lowest possible pitch. The demands made on the contrabass are even greater. The lowest note possible on a four-string bass is written E. In measure 45, however, the contrabass must play D, one pitch lower than the lowest possible pitch. In order to play this low, the instrument must be equipped with an extension to the fingerboard. With the exception of the cello, the upper registers used in the strings are not extreme. The cello, in measure 149, is required to play f'' which is only one pitch below its highest note possible.

Unlike the brasses, changes in register in the strings are frequently abrupt. This is often a result of octave transpositions of pitches within a motive. The following excerpt from measures 24-26 illustrates abrupt changes in register resulting from the octave transposition

of pitches from motives "a" and "b."⁹

Example 26. Measures 24-26.

The image shows a musical score for two instruments: Viola (Vla.) and Violoncello (Vcl.). The Viola part is on a single staff with a treble clef, and the Vcl. part is on a single staff with a bass clef. The score covers measures 24, 25, and 26. In measure 24, the Viola has a triplet of eighth notes starting on d'', followed by a wide leap down to C sharp' in measure 25. The Vcl. has a triplet of eighth notes starting on c, followed by a leap up to e' in measure 25. Both parts continue with various musical notations, including triplets and slurs, across measures 25 and 26.

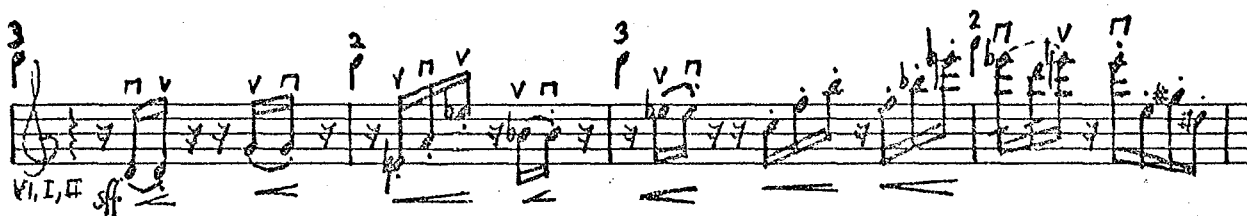
In motive "b," in the viola, the leap from d'' down to C sharp' is a result of octave transposition. The leap of a major tenth from c to e' in the cello is also a result of octave transposition with a motive. As shown in the above example, much of the material written for strings consists of disjunct intervals and wide leaps.

Henze is fond of starting in the lower register of an instrument and reaching a much higher register by means of a series of leaps.

⁹It is interesting to note that motive "b" consists of pitches D-A#-A-D, but pitches A and D are also the first two pitches of motive "b" transposed as A-D-C#-G#. In other words, the pitches of one motive overlap into another.

The following example taken from measures 84-87 shows a series of rising and descending fourths and tritones.

Example 27. Measures 84-87.



Many melodies written for strings are characterized by such an upward soaring or descending contour brought about by the use of consecutive leaps in the same direction (examples 6 and 4).

String parts are sometimes doubled at the unison by the flutes. Doubling, however, occurs most often within the stringed instruments themselves. Violins I and II are frequently doubled at the unison, and the viola is sometimes doubled by the cello, also at the unison. When the viola doubles the violins at the unison, it often omits some pitches. Similarly, the contrabass seldom doubles every pitch in the cello. Unison passages with more than two different types of stringed instruments at one time do not occur in the first movement.

Divisi string passages are used only occasionally in the first movement. An interesting example occurs in measures 175-181, in which violins I and II, viola, and cello, are required to play divisi and are also separated

into two choirs. The violins form the upper choir, with violas and cellos forming the lower choir (example 28).

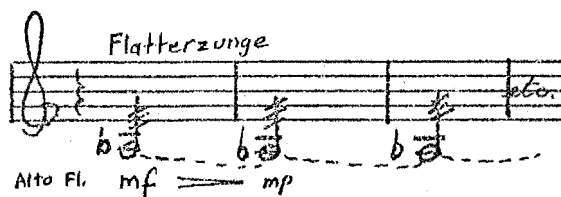
Example 28. Measures 175-181.

Handwritten musical score for measures 175-181. The score is written for four staves: Violins I (Vl. I), Violins II (Vl. II), Violas (Vla.), and Cellos/Double Basses (Vcl.). The notation is in treble clef for the upper staves and bass clef for the lower staves. The key signature is one flat (B-flat). The time signature is 3/4. The score includes dynamic markings such as *ppp* (pianissimo) and *pp* (piano). The notation is handwritten and includes various musical symbols such as notes, rests, and slurs. The score is divided into measures by vertical bar lines. The first measure (175) shows a triplet of eighth notes in the Violins I staff. The second measure (176) shows a half note in the Violins I staff and a half note in the Violins II staff. The third measure (177) shows a half note in the Violins I staff and a half note in the Violins II staff. The fourth measure (178) shows a half note in the Violins I staff and a half note in the Violins II staff. The fifth measure (179) shows a half note in the Violins I staff and a half note in the Violins II staff. The sixth measure (180) shows a half note in the Violins I staff and a half note in the Violins II staff. The seventh measure (181) shows a half note in the Violins I staff and a half note in the Violins II staff.

Although the contrabass joins the violas and cellos as part of the lower choir in measure 181, the instrumental part is not played divisi. Of all the stringed instruments, the contrabass is the one which is never called upon to play divisi.

Woodwinds

The woodwind instruments are used to double the strings or piano, to provide supportive harmonies, play melodies, and participate in contrapuntal passages. The woodwinds are not used aggressively but are used rather for their ability to blend well with other instruments and to provide an unobtrusive background for the strings, brasses, and piano. Woodwind textures in most of the first movement tend to be thin, often not using more than two or three different instruments at one time. The scoring for the woodwinds also tends to be less brilliant than that of the brasses and strings. For instance, only one special effect is used in the woodwinds during the first movement. This occurs in measures 14-21 in the alto flute and is indicated by three lines through the stem and the term Flatterzunge. Example 29. Measures 14-16.



The woodwind instruments occur in various combinations. The flutes, alto flute in G, with sometimes English horns or oboes combine to play repeated chords serving to subtly underline the rhythmic pulse within a measure. The following example from measures 192-193 shows the repeated eighth-note chords formed by the flutes, alto flute, and oboes.

Example 30a. Measures 192-193.

Sustained harmonies are often played by flutes, oboes, and English horn (example 3b) or by the same three woodwinds along with the alto flute, as in the passage from measures 175-181.

Example 30b. Measures 175-177.

Fl. I, II, III. *pp*

Alto Fl. *pp*

Oboe I, II. *pp*

Eng. Horn I, II. *pp*

etc.

Frequently, woodwind instruments are paired in the following combinations: alto flute and English horn; flute and alto flute; and oboe and English horn. The following example from measures 42-46 shows the pairing of alto flute and English horn. Each instrument, however, remains distinctly individual in that each has different melodic material.

Example 31. Measures 42-46.

Alto Fl. *f*

mf

pp

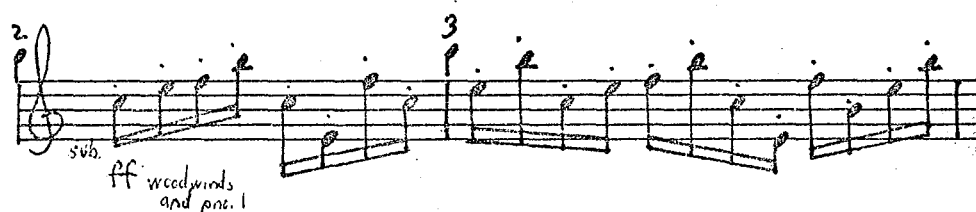
HS

f

Eng. Horn I.

As mentioned before, the woodwinds occasionally double other instruments. This happens most frequently with the flutes doubling strings (example 4). The woodwind instruments, however, do not normally double one another. The only instance in the first movement in which all woodwinds are doubled at the unison occurs at measures 194-201. It is the most aggressively scored passage for woodwinds in the first movement (example 32).

Example 32. Measures 194-195.



In measures 194-201, the woodwinds not only double each other at the unison but also double the material in the piano, which is based on motive "a." The ranges of the woodwinds used in the first movement are as follows:

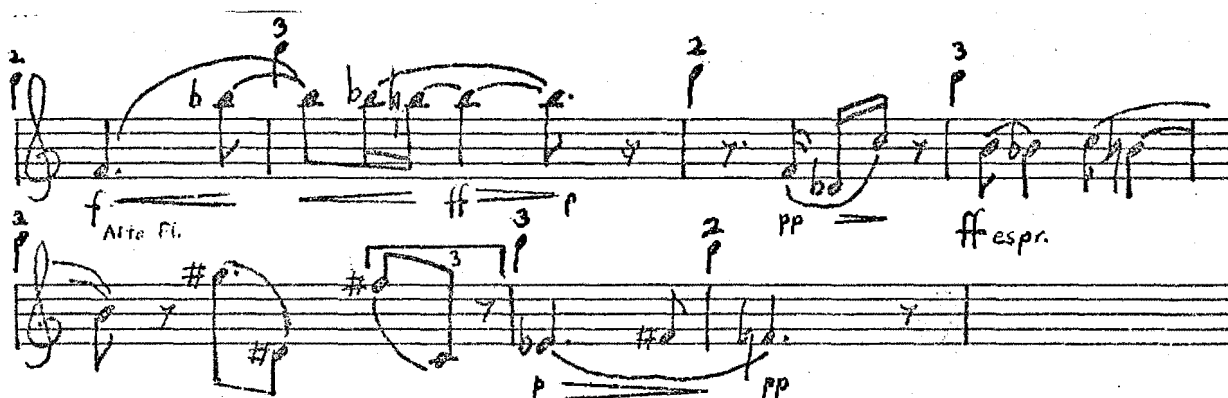
piccolo, e' - a''; flute d' - b''; alto flute g - b''; oboe, e flat' - d''; and English horn, e - g sharp''.

The ranges, for the most part, are reasonable for the professional orchestral musician. Although the alto flute and English horns are required to play their lowest possible pitches, the darker tone color of the lower registers of these two instruments is very effective in both homophonic

and melodic passages.

The melodies found in the woodwinds consist of many disjunct intervals and wide leaps. As a result, abrupt changes of register do occur. The following example from measures 47-53 illustrates the many abrupt changes of register caused by leaps of more than a tenth.

Example 33. Measures 47-53.



The abrupt changes of register and leaps in opposite directions contribute to the wandering effect characteristic of many melodies found in the woodwinds.

Timpani

Two timpani are used in the first movement and are tuned to thematically important pitch groups.¹⁰ It is unusual that the timpani are used often for the purpose of stating important motives and variations of these motives

¹⁰ Tim Souster, "Henze's Fifth Symphony," Musical Times, v. 106 (May, 1965), 340.

and are used less for the rhythmic reinforcement of the orchestra (example 7). Because their tone quality is very different from that of other instruments, the timpani help provide a unique change of tone color which might otherwise be lacking if the strings, woodwinds, and brasses were the only instruments used to state motives.

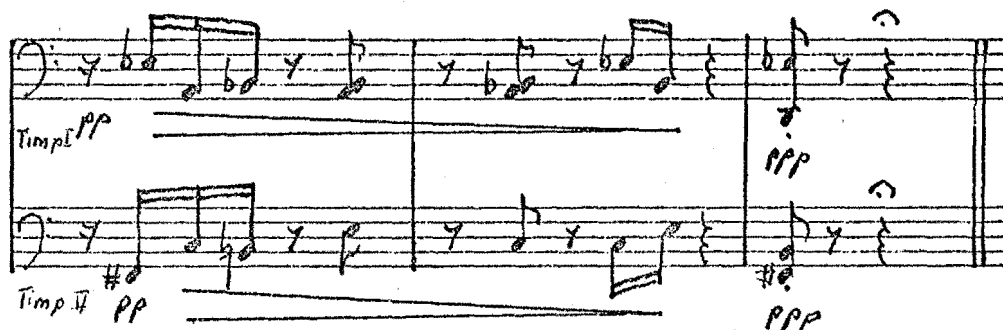
Although the timpani do not play in every measure, they are present in the Introduction and in the Exposition up to measure 35. They are absent from the first statement of the second subject and do not appear again until measures 94-96 in Part II of the Development (example 34).

Example 34. Measures 94-96.

The musical score for Example 34 shows two staves for timpani. The top staff, labeled 'pppp Timp. I.', has measure numbers 3, 2, and 3 written above it. The bottom staff, labeled 'pppp Timp. II.', also has measure numbers 3, 2, and 3 written above it. The notation includes various rhythmic values such as eighth and sixteenth notes, and rests, with dynamic markings like 'p' and 'pppp'.

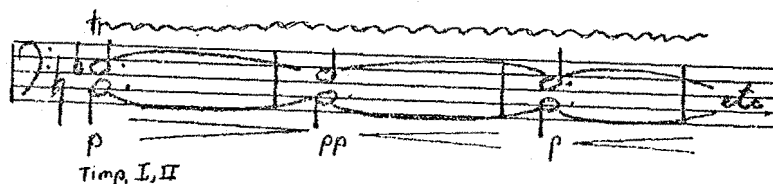
The timpani are used only twice in the Recapitulation but appear in several measures of the Coda to restate motives from the Introduction. These motives are restated in their original form in measures 205, 207, and 209. Melodic pitch order, however, is abandoned in the last three measures of the first movement (example 35).

Example 35. Measures 212-214.



The ranges of Timpani I and Timpani II are as follows: Timpani I, D - e flat; and Timpani II, D - e. Special effects are not used extensively in the Timpani. A roll is used in measures 142-145 in both timpani, but this is the only instance in which a roll occurs in the first movement (example 36).

Example 36. Measures 142-144.



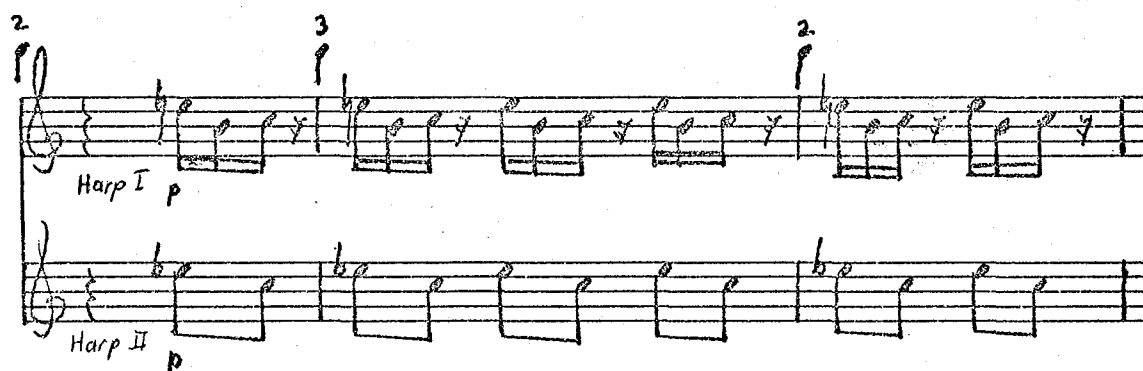
Wooden sticks are not used by either timpani in the first movement. In the first measure of the movement, Timpani I is directed to use sticks with heads of skin by the instruction bacchette di pelle. In measure six, the direction bacchette di feltro or sticks with heads of felt

is given for Timpani II.

Harps

As is necessary when writing for music outside the tonal realm, Henze uses two harps in the orchestration of his fifth symphony. They are used extensively in the Introduction, Exposition, Recapitulation, and Coda but are not used at all in the Development. Employing a range from A flat - b", a span of over four octaves, the harps are frequently used in ostinatos which serve to produce a barely audible rhythmic pulsation. The following example from measures 123-125 illustrates such an ostinato.

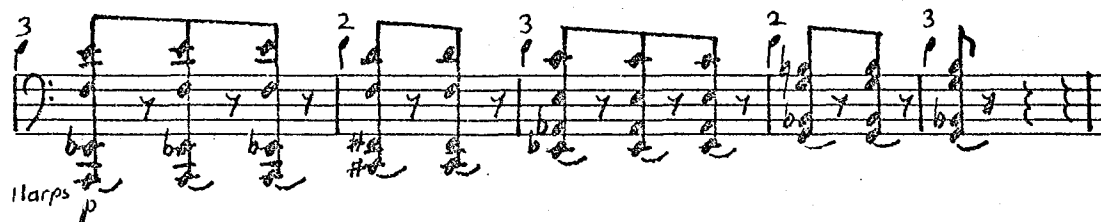
Example 37a. Measures 123-125



Although the dynamic level of the harps ranges from pp to ff, the harp never overshadows other instruments. It does not have the power to compete with large masses of instruments and is used primarily for special color and for rhythmic accentuation in the first movement. A more obvious example showing the use of the harp to provide a

steady rhythmic pulse occurs in measures 58-62.

Example 37b. Measures 58-62.

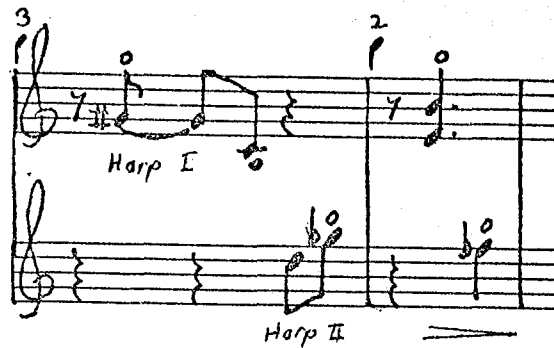


In measures 58-61, the orchestral scoring is light. As the harps are playing, the strings play a ppp dynamic level with the English horn at a pp to mp dynamic level. The orchestra, in this instance, does not overpower the harps.

At other times, however, the orchestral scoring is considerably heavier and sometimes threatens to overpower the harps. Such a passage occurs in measures 17-21. The harp, again playing a rhythmic ostinato, is forced to compete against the alto flute, English horn, timpani, strings, and the aggressiveness of the brasses stating the first subject.

The harps occasionally play short figures and even sustained pitches. The example on page 42 from measures 152-153 shows several pitches in harps I and II, many of which are also played with harmonics.

Example 38. Measures 152-153.



This is the only instance in the first movement that the harps are required to play harmonics.

Special effects for the harps are not used extensively in the first movement. One special effect used in both harps in measures 142-146 and 68-72 is that of playing close to the sounding board. This is indicated by the French direction, près de la table. In addition to playing close to the sounding board in measures 68-72, Henze also wishes the harps to play staccato and indicates this through the direction stacc., près de la table.

Piano

The orchestration of the Fifth Symphony includes two pianos. Like the timpani, the pianos are sometimes used to state motives (example 8). The piano, however, is used less for motivic or melodic purposes and more for purposes of color and special effect. The pianos frequently play short, freely rhythmic passages which often culminate in a sforzando chord. The example on the following page

from measures 139-140 illustrates this type of passage.

Example 39. Measures 139-140.

The musical score for measures 139-140, Example 39, is written for two pianos, Pno. I and Pno. II. The key signature is one flat (B-flat) and the time signature is 3/4. The music is marked with 'martellato' and 'sff' (sforzando) in measure 139, and 'fff' (fortissimo) in measure 140. The score includes various rhythmic patterns, including triplets and sixteenth notes, and a dynamic shift from 'sff' to 'fff' in measure 140. The notation includes various accidentals and articulation marks.

These passages do not occur regularly but are spaced at irregular intervals in order to provide unexpected changes of tone color. As indicated by the *martellato* direction in measure 39, Henze often wishes to have a hammered effect from the pianos. As in Bartok's *Allegro Barbaro*, Henze often treats the piano in a harsh, percussive manner. The repeated, accented chords in both pianos from measures 105-106 illustrate how the composer treats the pianos as percussion instruments which are used to provide rhythmic reinforcement, either on the beat or off the beat (example 40).

Example 40. Measures 105-106.

The musical score for measures 105-106 shows two piano parts. Pno. I is in the upper register, and Pno. II is in the lower register. Both are marked *sf*. The notation includes various note values and rests, with some measures featuring a half note. The key signature has one flat (B-flat).

The use of the upper register in piano I adds a bright clang to the passage. Like the brasses, the pianos add an incisive quality to many parts of the first movement.

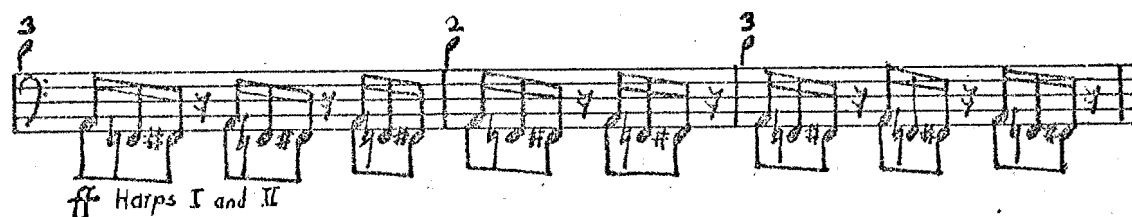
Rhythm and Meter

One feature of the first movement is the alternation of duple and triple meters. With the quarter note used as the unit of pulse, the duple and triple meters are indicated by the following figures: $\frac{2}{\text{p}}$; and $\frac{3}{\text{p}}$. In measures 35-39 and 175-181, only triple meter is used, and the unit of pulse becomes the half note ($\frac{3}{\text{p}}$). The elongation of the quarter note unit of pulse to the half

note represents a slowing of the rhythm and creates a quieter mood. The quiet mood is further emphasized by the sustained harmonies which occur in both passages. In contrast to the rhythmic energy of alternating duple and triple meters, the two passages help provide a moment of calm and relaxation.

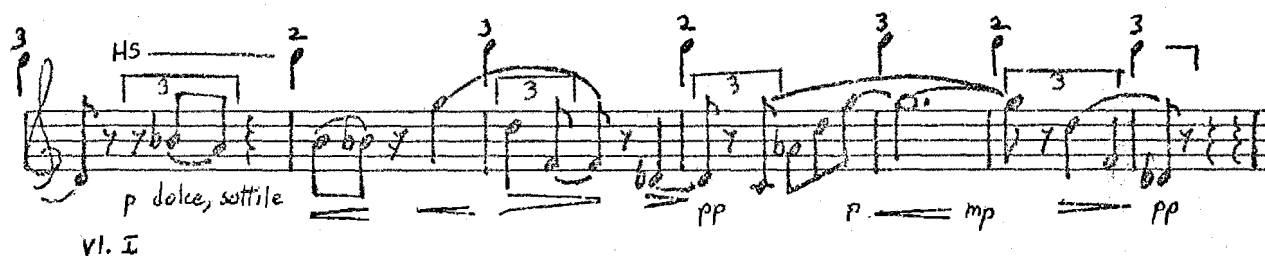
One rhythm which occurs frequently in the first movement consists of an eighth note followed by an eighth-note rest, usually repeated for two or more measures (example 30a). This rhythm, which occurs in different parts of the first movement, helps to define the rhythmic pulse in a measure. Many ostinatos in the first movement also help to define rhythmic pulse. The harp ostinato beginning at measure two, which consists of successive repetitions of three sixteenth notes followed by a sixteenth note rest, not only helps to define the quarter-note pulse within each measure but also helps to define an eighth note pulse. This is further emphasized by the repeated eighth notes in Harp II (example 41).

Example 41. Measures 2-4.



Rhythmic pulse in the first movement is not always regular and is sometimes altered through syncopation. Syncopation is defined as the deliberate disturbance or shifting of regular pulse, accent, or rhythm.¹¹ In other words, the rhythmic pulse in the first movement is often altered and hidden by numerous tied notes as well as rests occurring on the beat. The following example of the third subject in the closing section in measures 62-68 illustrates how tied notes are used to shift the accents which would normally occur on downbeats.

Example 42. Measures 62-68.



"Cross rhythms" or the simultaneous use of contrasting rhythms within the same meter¹² does not occur too often in the first movement. The one cross rhythm which is used in several instances is that formed by four sixteenth notes against three eighth-note triplets.

¹¹Willi Apel, The Harvard Dictionary of Music, 2d ed. rev. and enl. (Cambridge, Mass.: The Belknap Press of Harvard University Press, 1972), p. 827.

¹²Ibid., p. 688.

The most striking example occurs in measures 194-200 in the two pianos (example 43).

Example 43. Measure 194.

The musical score for Example 43, Measure 194, is presented for two pianos. PIANO I (Pno. I) is written on a grand staff with two staves. The upper staff begins with a '2' and an '8' above it, indicating a 2-octave range. The lower staff of PIANO I has a treble clef and contains several chords. PIANO II (Pno. II) is written on a single staff with a treble clef. It features a triplet of eighth notes in the first measure, followed by a half note, and then another triplet of eighth notes in the second measure. The notation includes various accidentals (sharps, flats, naturals) and stems, with some notes beamed together to indicate simultaneous sounding.

Harmony

Although the first movement is based on a twelve-tone series, only a few vertical sonorities are based on the series. These occur when Henze takes a group of pitches from the series and places them in chords or when horizontal sonorities, containing pitches from the series, occur simultaneously. The first and last measures of the movement provide examples of both. The first measure contains the first seven pitches of the series, which occur as the result of stating motives "a" and "b" simultaneously (example 44).

Example 44. Measure 1.

Handwritten musical notation for the song "The Rose Tree". The notation is written on two staves. The first staff is a bass clef with a key signature of one flat (B-flat). It contains a melody starting on B-flat, moving to C, then D, and finally E. A bracket labeled "3" is placed over the first three notes. Below the staff, there is a box labeled "Tempo" with a bracket underneath it. The second staff is also a bass clef with a key signature of one flat. It contains a melody starting on B-flat, moving to C, then D, and finally E. Below the staff, there is a box labeled "Pno. I, II" with a bracket underneath it.

In example above, the motives move so quickly that their combination produces a low rumble which could easily pass for a chord. Thus, the combination of horizontal sonorities can result in a sound which is similar to a verticle arrangement of the same pitches.

The first seven pitches of the series are used simultaneously in the same register. The same vertical arrangement of the first seven pitches from the series does not occur regularly within the movement but only when a sense of return is wished.

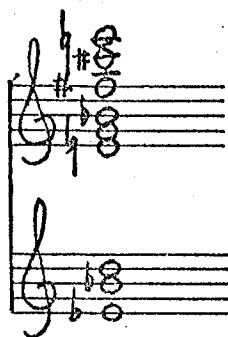
The Recapitulation, beginning at measure 112, does not return with the first subject at the same pitch level as in the first statement (example 18). The first subject returns at a pitch level a fourth higher, but an attempt is made to return to the original pitches of the series at measure 121. As in the final cadence of the movement, the first seven pitches of the series are combined

in a chord played by the brasses. An additional pitch, A flat or pitch 10 of the series also occurs in the brasses. Beginning also at measure 121, the same pitches are sustained for several measures in the strings (example 45).

Example 45. Measures 121-122.

Sometimes ostinatos as well are based on pitches from the series (example 15). Other harmonies, however, are often based on half steps from the chromatic scale. Henze is fond of using a large number of half steps simultaneously. At measure 35, for instance, as many as eleven pitches are combined vertically. Very often these half steps are combined with major or minor thirds and sometimes whole steps. The example on page 50, from the pianos and woodwinds at measure 105, shows a chord formed from half steps and a minor third (example 46).

Example 46. Measure 105



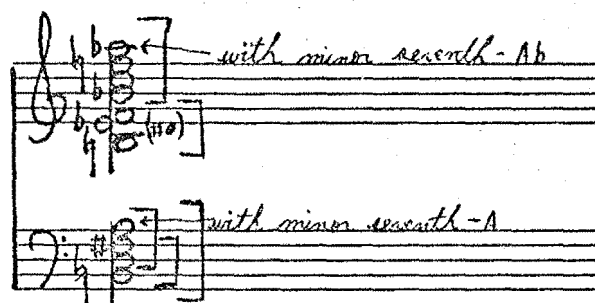
B flat) *minor third*
 G
 E
 E flat
 D
 C sharp

Upon examining the chord, one can see that an E flat major triad is also present.

From such a combination of half steps, thirds, and sometimes whole steps, a polychord will often result. A polychord is defined as the simultaneous presentation or combination of triads.¹³ The example on page 51 from measure 121, which was also used to illustrate vertical sonorities created by serial pitches, also demonstrates the different triads which can result from a vertical arrangement of thirds, half steps, and whole steps.

¹³Richard Delone, et al., Aspects of Twentieth-Century Music (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1975), p. 324.

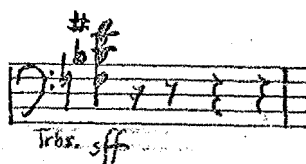
Example 47.



As shown in the example, the B flat major triad has also an added minor seventh.

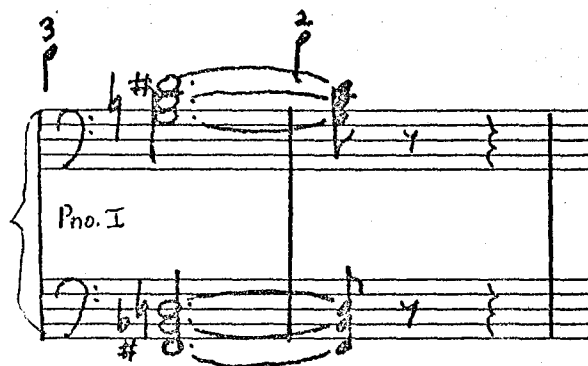
Henze, like Stravinsky, is fond of adding notes to the pitches of a triad. Added pitches often include major and minor sevenths, but may also include pitches which are a half step distant from the root or fifth of a triad. The following example from measure 14 illustrates this technique by showing that an augmented fifth is added to the B flat major triad.

Example 48. Measure 14.



Very often, triads with both major and minor thirds will occur in the same polychord. The example on page 52 from piano I in measures 14-15 includes a B triad with both a major and minor third.

Example 49. Measures 14-15.



While the use of pure triads is rare, it is interesting to realize that the blurring effect caused by adding minor seconds to triads helps the harmony to blend well into textural layers consisting of two or more of the following: counterpoint, melody, ostinatos, chords, and sustained harmonies. The dissonance created by the technique of adding notes to triads fits particularly well with the clashes of dissonance which occur as a result of different textural layers moving at the same time.

Chapter 3

SECOND MOVEMENT

Form

The second movement is more free in its formal order than the first movement. Being only 45 measures long, it is considerably shorter in length and consists of three cadenza-like, unaccompanied melodies alternating with short orchestral ritornelli. The movement begins and ends with the orchestra, and the solo passages are played by alto flute, viola, and English horn respectively. The mood of the movement is rather melancholy and provides a sense of calm and relaxation from the tense energy of the first and third movements. The movement is supposedly based on William Blake's poem, O Rose, thou art sick.¹⁴

Melodic Material

The cadenza played by the alto flute at measure 10 is transposed at measures 25-32 in the viola and inverted at measure 37 in the English horn. The cadenza is not only varied in this manner in the second movement but is also the basis for the 32 variations of the third movement. The alto flute cadenza is shown in example 50.

¹⁴Klaus Geitel, Hans Werner Henze (West Berlin: Rembrandt Verlag, 1968), p. 111.

Example 50. Alto flute cadenza.

liberamente

Alto Fl.

pp p pp

pp mf p pp ppp mf f

ff f mf p mf pp mf accel.

As in many melodies of the first movement, the cadenza consists of many disjunct intervals and large leaps in opposite directions. The cadenza remains still lyrical, however, primarily through the smooth flow of its rhythm.

Although pitches are frequently repeated in the alto flute cadenza, a series can be derived from the cadenza if pitch repetitions are disregarded. The following example shows the series which was drawn from the alto flute cadenza by writing each new pitch as it occurred. The transposition and inversion as they are used in the second movement are also shown in the example.

Example 51.

Handwritten musical notation on three staves, each with a treble clef. The notes are written in a series of whole and half notes, with accidentals (sharps and flats) indicating pitch changes.

- series:** The first staff shows a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5, D5, E5, F5, G5, A5, B5, C6, D6, E6, F6, G6, A6, B6, C7, D7, E7, F7, G7, A7, B7, C8, D8, E8, F8, G8, A8, B8, C9, D9, E9, F9, G9, A9, B9, C10, D10, E10, F10, G10, A10, B10, C11, D11, E11, F11, G11, A11, B11, C12, D12, E12, F12, G12, A12, B12, C13, D13, E13, F13, G13, A13, B13, C14, D14, E14, F14, G14, A14, B14, C15, D15, E15, F15, G15, A15, B15, C16, D16, E16, F16, G16, A16, B16, C17, D17, E17, F17, G17, A17, B17, C18, D18, E18, F18, G18, A18, B18, C19, D19, E19, F19, G19, A19, B19, C20, D20, E20, F20, G20, A20, B20, C21, D21, E21, F21, G21, A21, B21, C22, D22, E22, F22, G22, A22, B22, C23, D23, E23, F23, G23, A23, B23, C24, D24, E24, F24, G24, A24, B24, C25, D25, E25, F25, G25, A25, B25, C26, D26, E26, F26, G26, A26, B26, C27, D27, E27, F27, G27, A27, B27, C28, D28, E28, F28, G28, A28, B28, C29, D29, E29, F29, G29, A29, B29, C30, D30, E30, F30, G30, A30, B30, C31, D31, E31, F31, G31, A31, B31, C32, D32, E32, F32, G32, A32, B32, C33, D33, E33, F33, G33, A33, B33, C34, D34, E34, F34, G34, A34, B34, C35, D35, E35, F35, G35, A35, B35, C36, D36, E36, F36, G36, A36, B36, C37, D37, E37, F37, G37, A37, B37, C38, D38, E38, F38, G38, A38, B38, C39, D39, E39, F39, G39, A39, B39, C40, D40, E40, F40, G40, A40, B40, C41, D41, E41, F41, G41, A41, B41, C42, D42, E42, F42, G42, A42, B42, C43, D43, E43, F43, G43, A43, B43, C44, D44, E44, F44, G44, A44, B44, C45, D45, E45, F45, G45, A45, B45, C46, D46, E46, F46, G46, A46, B46, C47, D47, E47, F47, G47, A47, B47, C48, D48, E48, F48, G48, A48, B48, C49, D49, E49, F49, G49, A49, B49, C50, D50, E50, F50, G50, A50, B50, C51, D51, E51, F51, G51, A51, B51, C52, D52, E52, F52, G52, A52, B52, C53, D53, E53, F53, G53, A53, B53, C54, D54, E54, F54, G54, A54, B54, C55, D55, E55, F55, G55, A55, B55, C56, D56, E56, F56, G56, A56, B56, C57, D57, E57, F57, G57, A57, B57, C58, D58, E58, F58, G58, A58, B58, C59, D59, E59, F59, G59, A59, B59, C60, D60, E60, F60, G60, A60, B60, C61, D61, E61, F61, G61, A61, B61, C62, D62, E62, F62, G62, A62, B62, C63, D63, E63, F63, G63, A63, B63, C64, D64, E64, F64, G64, A64, B64, C65, D65, E65, F65, G65, A65, B65, C66, D66, E66, F66, G66, A66, B66, C67, D67, E67, F67, G67, A67, B67, C68, D68, E68, F68, G68, A68, B68, C69, D69, E69, F69, G69, A69, B69, C70, D70, E70, F70, G70, A70, B70, C71, D71, E71, F71, G71, A71, B71, C72, D72, E72, F72, G72, A72, B72, C73, D73, E73, F73, G73, A73, B73, C74, D74, E74, F74, G74, A74, B74, C75, D75, E75, F75, G75, A75, B75, C76, D76, E76, F76, G76, A76, B76, C77, D77, E77, F77, G77, A77, B77, C78, D78, E78, F78, G78, A78, B78, C79, D79, E79, F79, G79, A79, B79, C80, D80, E80, F80, G80, A80, B80, C81, D81, E81, F81, G81, A81, B81, C82, D82, E82, F82, G82, A82, B82, C83, D83, E83, F83, G83, A83, B83, C84, D84, E84, F84, G84, A84, B84, C85, D85, E85, F85, G85, A85, B85, C86, D86, E86, F86, G86, A86, B86, C87, D87, E87, F87, G87, A87, B87, C88, D88, E88, F88, G88, A88, B88, C89, D89, E89, F89, G89, A89, B89, C90, D90, E90, F90, G90, A90, B90, C91, D91, E91, F91, G91, A91, B91, C92, D92, E92, F92, G92, A92, B92, C93, D93, E93, F93, G93, A93, B93, C94, D94, E94, F94, G94, A94, B94, C95, D95, E95, F95, G95, A95, B95, C96, D96, E96, F96, G96, A96, B96, C97, D97, E97, F97, G97, A97, B97, C98, D98, E98, F98, G98, A98, B98, C99, D99, E99, F99, G99, A99, B99, C100, D100, E100, F100, G100, A100, B100, C101, D101, E101, F101, G101, A101, B101, C102, D102, E102, F102, G102, A102, B102, C103, D103, E103, F103, G103, A103, B103, C104, D104, E104, F104, G104, A104, B104, C105, D105, E105, F105, G105, A105, B105, C106, D106, E106, F106, G106, A106, B106, C107, D107, E107, F107, G107, A107, B107, C108, D108, E108, F108, G108, A108, B108, C109, D109, E109, F109, G109, A109, B109, C110, D110, E110, F110, G110, A110, B110, C111, D111, E111, F111, G111, A111, B111, C112, D112, E112, F112, G112, A112, B112, C113, D113, E113, F113, G113, A113, B113, C114, D114, E114, F114, G114, A114, B114, C115, D115, E115, F115, G115, A115, B115, C116, D116, E116, F116, G116, A116, B116, C117, D117, E117, F117, G117, A117, B117, C118, D118, E118, F118, G118, A118, B118, C119, D119, E119, F119, G119, A119, B119, C120, D120, E120, F120, G120, A120, B120, C121, D121, E121, F121, G121, A121, B121, C122, D122, E122, F122, G122, A122, B122, C123, D123, E123, F123, G123, A123, B123, C124, D124, E124, F124, G124, A124, B124, C125, D125, E125, F125, G125, A125, B125, C126, D126, E126, F126, G126, A126, B126, C127, D127, E127, F127, G127, A127, B127, C128, D128, E128, F128, G128, A128, B128, C129, D129, E129, F129, G129, A129, B129, C130, D130, E130, F130, G130, A130, B130, C131, D131, E131, F131, G131, A131, B131, C132, D132, E132, F132, G132, A132, B132, C133, D133, E133, F133, G133, A133, B133, C134, D134, E134, F134, G134, A134, B134, C135, D135, E135, F135, G135, A135, B135, C136, D136, E136, F136, G136, A136, B136, C137, D137, E137, F137, G137, A137, B137, C138, D138, E138, F138, G1

The alto flute cadenza begins on pitch A, the transposition in the viola is a major third lower beginning on pitch F, and the inversion in the English horn also begins on F. It will be noted that all three cadenzas are rhythmically different and include numerous octave transpositions. The melodies, however, are essentially the same up to the time that pitch 9 of the series is repeated. After this point, the first nine pitches of the series are played in different combinations in all three cadenzas. Pitches 10, 11, and 12 occur amid the different pitch combinations in each cadenza.

Texture

The texture of the orchestral ritornelli is primarily homophonic. There is no counterpoint, but a melody is occasionally interspersed among the chords and sustained harmonies (example 52).

Example 52. Measures 1-5.

The musical score for measures 1-5 of Example 52 is presented in a system of six staves. The top staff is for Flute (Fl.) and Alto Flute (Alto Fl.), with a dynamic marking of *pp*. The second staff is for English Horn (Eng. Hrn.), with a dynamic marking of *pp*. The third staff is for Horns (Hrns.), with a dynamic marking of *ppp*. The fourth staff is for Viola, with a dynamic marking of *pp*. The fifth staff is for Violoncello (Vcl.), with a dynamic marking of *pp*. The sixth staff is for Violoncello (Vcl.), with a dynamic marking of *ppp*. The score includes various musical notations such as notes, rests, and dynamic markings. A handwritten '4' is above the first staff, and a handwritten '2' is above the second staff. A handwritten '+' is above the third staff. The score is in 4/4 time, as indicated by the time signature at the beginning of the first staff.

Texture, in terms of the number of instruments used at a given time, fluctuates from being dense with a large number of instruments to being very thin with only a few instruments. At one time, in measure 14, the only instrument left playing is the alto flute.

The texture during the cadenzas is usually thin because there is normally no accompaniment. The second cadenza played by the viola, however, is an exception. The melody of the cadenza begins in measure 25 while the cello and contrabass are still playing. During the rest of the cadenza, the woodwinds and strings accompany the viola for a short time. The cadenza then remains unaccompanied until the next orchestral ritornelli begins in measure 33.

The dynamic levels used in the second movement range from pppp to ff. The softer dynamic levels of pppp to p are the ones which are maintained for most of the movement. The softer dynamics can sometimes diminish the ordinarily dense textural effect created by the use of a large number of instruments. This happens in the last three measures of the movement, measures 43-45. The two flutes, alto flute, four horns, two harps and strings play together; but the density of texture is somewhat diminished by the pp to ppp dynamic level.

Orchestration

The second movement is scored for piccolo, two

harps, and strings. The trumpets, trombones, timpani, and pianos are not used. As a result, the orchestra lacks the harshness and percussive quality that was present in the first movement.

The scoring for orchestra is not aggressive. Most of the instruments are played at a soft dynamic level; and with the exception of the strings, extreme ranges are not used. Violin I plays as high as a b flat''; this is not an extreme range, but it is in the upper register of the instrument. The cello reaches its highest possible pitch, g''; but the upper register used in the viola is not at all extreme and goes only up to g''. Both the viola and contrabass, however, are required to use very low registers. The viola must play its lowest possible pitch, which is c; and the contrabass plays E, the lowest pitch possible on a four-string bass without the use of an extension to the fingerboard. Harmonics are used both in the strings and in the harps.

Many of the special effects used in the first movement are also used in the second movement. They include flutter-tonguing in the flute, stopping in the horns, muting of the strings, as well as playing "with the wood" or the back of the bow. The direction at measures 42-43 in the cello, sul ponticello, alla punta, signifies that playing near the bridge of the instrument is to be done at the point of the bow. With the exception of the

alla punta direction, the other indications for special effects which were used in the first movement occur in the second movement.

Rhythm and Meter

The second movement begins with three measures in 4/4 ($\frac{4}{4}$). The rest of the movement continues in 3/4 ($\frac{3}{4}$) with occasional meter changes in the cadenzas. Despite Henze's indications of meter, it is difficult to detect any rhythmic pulse within the movement. The cadenzas are of an improvisatory nature; and consequently, rhythmic regularity is not a major concern. The orchestral ritornelli are made up of successive points of tone color in the tradition of Webern's concept of Klangfarbenmelodie in the first of his Five Pieces for Orchestra. The varying tone colors overlap and move from one to another without regard for changes of meter or rhythmic pulse. Example 53 from measures 1-6 illustrates several changes of tone color.

Example 53. Measures 1-6.

4 II. Adagio

Fl. pp

Alto Fl. pp

Eng. Hrn. pp

Hrns. pp

Vlins. pp

Vla. pp

Vcl. pp

Cb. pp

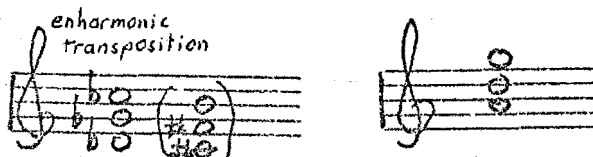
Harmony

The second movement is unified not only by the series which is used in each cadenza, but also by the harmonic similarities in each orchestral ritornello. The

harmony used in the orchestral ritornelli consists primarily of four chords with three notes in each chord (example 54).¹⁵
 Example 54.



It will be noted that chord "d" is a transposition of chord "a." Both chords appear with frequency in the second movement. Other transpositions of these chords which occur less often include the following:



Whereas chords "b" and "c" are composed of intervals of a third, fourth, and diminished fifth, chords "a" and "d" are formed only from fourths. Quartal harmonies which are based on the interval of the fourth occur in each orchestral ritornello. Example 56 from measures 19-24 shows quartal harmony in the viola and cello.

¹⁵Souster, p. 341.

Example 56. Measures 19-24.

3
3 soli

vla. ppp

Tutte, div.

vla. ppp

Vcl. ppp

pppp

Tertian harmony or harmony based on the third is also found in the second movement. This occurs often when two or more of the chords shown in example 54 are combined vertically. In the following example taken from measures 7-8, a polychord is formed by the vertical combination of chords "b" and "d."

Example 57. Measures 7-8.

3

vi. II. pp — ppp

cb. pp

Two triads, an E major triad and a B major triad, can be derived from the pitches in the polychord. The E major triad and the B major triad are based on the interval of a third; but the roots of these two triads, B and E, are a fourth apart. Thus, the harmonies found in the second movement are not purely quartal or tertian but rather a mixture of the two.

Chapter 4

THIRD MOVEMENT

Form and Melodic Material

The third movement, according to Henze, is a set of thirty-two variations on the arioso material from the second movement.¹⁶ The variations range from six to twelve measures long. A small number of variations return in slightly varied form; each varied recurrence, however, is counted as a new variation. With a few exceptions, many of the variations have little relation to the second movement and are rather a series of short, contrasting sections which differ from one another by way of abrupt changes of orchestration and texture.

Some variations, such as Variations 1 and 5, are based on the series which was used in the cadenzas of the second movement. Variation I, for instance, develops the pitches of the series in a free counterpoint. The excerpt on page 63, taken from the first two measures of Variation 1, is composed of pitches 1-9 of the series beginning on A sharp.

¹⁶Henze, Record Pamphlet..

Example 58. Measures 1-2.

The musical score for measures 1-2 of Example 58 is written for Viola div. and Vcl div. parts. The score is in 3/4 time and features a series of pitches marked with 'con sord.' (sordano) and 'ppp' (pianissimo). The Viola part (top two staves) and the Vcl part (bottom two staves) both play the same sequence of pitches, with some doubling. The pitches are indicated by numbers 1 through 8, and the fingerings are indicated by numbers 1 through 8. The Viola part starts with a whole note in measure 1 and a half note in measure 2. The Vcl part starts with a whole note in measure 1 and a half note in measure 2. The fingerings for the Viola part are 2, 5, 7, 8, 5, 2. The fingerings for the Vcl part are 3, 4, 2, 8, 9, 7.

As shown in the example, both the cello and viola participate equally in presenting the pitches. At times, the different instruments double on a single pitch.

In Variation 5, pitches 1-8 of the series, beginning on B flat, occur repeatedly in the timpani. The pitches in the two harps are taken from the series in random order and formed into patterns which repeat after four measures. The three patterns are as follows: harp I, 11-10-1-4; and harp II, 11-12-12-7, and 7-1-7-9. Each number corresponds to a pitch in the series. The patterns are shown in example 59, an excerpt taken from measures 29-32 of Variation 5.

Example 59. Measures 29-32.

bacch. di feltro morbido

Timp. I *ppp sempre* b_4

bacch. di feltro morbido

Timp. II $\frac{5}{11}$ *ppp sempre*

Harp *p sempre*

1, II b_7

Occasionally, material which is used in one variation will return and be expanded in a subsequent variation. The last two measures of Variation 9, for instance, provide the idea for material used in the pianos throughout Variation 18. Example 60 shows the ascending line and accented eighth notes alternating with eighth note rests occurring in measures 64-65 of Variation 9.

Example 60. Measures 64-65.

The musical score for Example 60, Measures 64-65, is written for two pianos, Piano I and Piano II. The key signature has one sharp (F#). The time signature is 8/8. In measure 64, Piano I has a whole rest in the treble and a whole note in the bass. Piano II has a whole note in the bass and a whole note in the treble. In measure 65, Piano I has an ascending eighth-note line in the treble and a whole note in the bass. Piano II has an ascending eighth-note line in the bass and a whole note in the treble. The notation includes various accidentals (sharps, flats) and dynamic markings like 'non legato'.

With some intervallic differences, the ascending line and accented eighth notes occur again in Variation 18; but this time, the two measures are expanded to seven. In addition, both hands in piano I double the ascending line in octaves while piano II doubles in octaves the accented eighth notes (example 61).

Example 61. Measures 141-142.

Pno. I
non legato

Pno. II
ped sf

The passage is not only expanded in length, but is expanded also in volume with each line being doubled at the octave. Whereas the pianos were unaccompanied in the last two measures of Variation 9, the woodwinds, brasses, and strings are all used in Variation 18. Thus, Variation 18 as a whole is done on a considerably larger scale.

The third movement ends with a long, fifty-one bar Coda which is separated from the rest of the movement by a rest lasting a full measure. The Coda is the climax of the movement and contains several ideas used in the variations. Example 62 taken from measures 262-263, for instance, is derived from the material used in Variations 9 and 18 which was discussed earlier.

Example 62. Measures 262-263.

An important motive which was used in Variation 20 as well as in the first movement occurs also in the Coda. This motive is formed from the first four pitches of the second subject from the first movement and consists of two half steps and one whole step. Example 63 shows the motive used in measure 148 of Variation 20 and in measure 278 of the Coda.

Example 63. Measures 148, and 278.

The appearance of the motive in the Coda might help to explain the reason for the numerous half steps within the Coda. The half steps represent an attempt to develop the short motive.

Although the Coda contains ideas presented in the Variations, it is also undeniably linked to the first movement. It is a very exciting section which builds gradually in density through thickening textures. Because of its great length and intensity, its clear one-bar break with the variations, and its relation to the first movement, the Coda could be considered an ending not only to the variations but an appropriate ending to the entire movement as well.

<u>Variation</u>	<u>Measures</u>	<u>Variation</u>	<u>Measures</u>
1.	1-7	25.	189-196
2.	8-14	26.	197-203
3.	15-21	27.	204-211
4.	22-28	28.	212-217
5.	29-35	29.	218-229
6.	36-42	30.	230-236
7.	43-49	31.	237-242
8.	50-56	32.	243-250
9.	57-65	Coda	252-302
10.	66-72		
11.	73-80		
12.	81-89		
13.	90-96		
14.	97-105		
15.	106-116		
16.	117-123		
17.	124-131		
18.	132-140		
19.	141-147		
20.	148-154		
21.	155-161		
22.	162-170		
23.	171-179		
24.	180-188		

Table 2.

Texture

As in the first movement, textures often consist of one or more layers of the following: ostinatos, melody, counterpoint, sustained harmonies, and repeated chords. Textures may range from being very thin with as few as two different instruments, as in measures 38 of Variation 6, to being very dense with all instruments employed. Such a dense texture occurs in the very last measures of the movement. Although changing textures do occasionally overlap, abrupt changes of texture occur more frequently in order to help delineate the many different sections within the movement.

An interesting use of texture in the third movement occurs in Variation 6 in which texture is gradually increased by the addition of an instrument with each passing measure (example 64).

Example 64. Measures 37-39.

The musical score for measures 37-39 of Variation 6 is presented in four staves. The key signature is one flat (B-flat), and the time signature is 3/4. The texture is built up measure by measure:

- Measure 37:** Features a Violoncello (Vcl.) part in the third staff, marked *pp* (pianissimo), and a Contrabass (Cb.) part in the fourth staff, also marked *pp*. The first two staves are empty.
- Measure 38:** A Viola (Vla.) part is added in the second staff, marked *p* (piano). The Vcl. and Cb. parts continue from the previous measure.
- Measure 39:** A Violin (Vla.) part is added in the first staff, marked *mp* (mezzo-piano). The other three parts continue from the previous measure.

The notation shows various melodic lines and sustained harmonies, with dynamic markings indicating the gradual increase in volume and density of the texture.

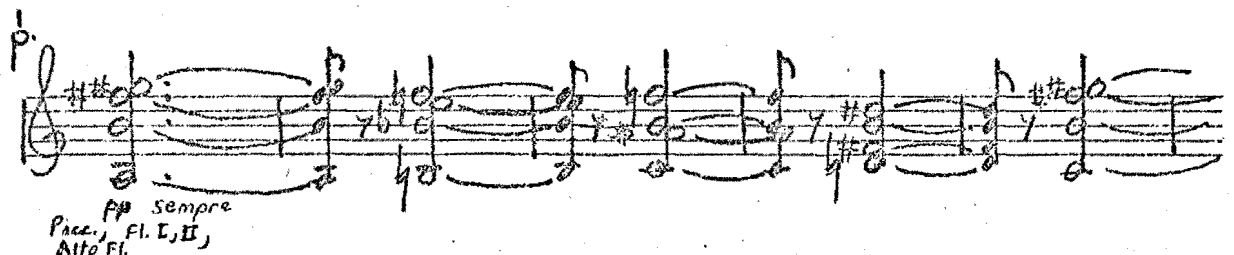
The Variation is unique in that it marks the first time that the process of thickening texture is done so gradually and with such complete control and regularity.

Rhythm

A $3/4$ meter is used throughout most of the movement and is indicated by the following figure: $\overset{1}{\underset{\cdot}{p}}$. This figure differs from the triple meter figure used in the first movement ($\overset{3}{\underset{\cdot}{p}}$) in that the quarter note is no longer indicated as the unit of pulse. The change from the quarter note to the dotted half note probably occurred because there was no further need of a common quarter-note pulse between alternating $2/4$ and $3/4$ meters. There are occasional changes of meter involving $2/2$ ($\overset{2}{\underset{\cdot}{p}}$) or $3/2$ ($\overset{3}{\underset{\cdot}{p}}$), but these do not occur with any regularity.

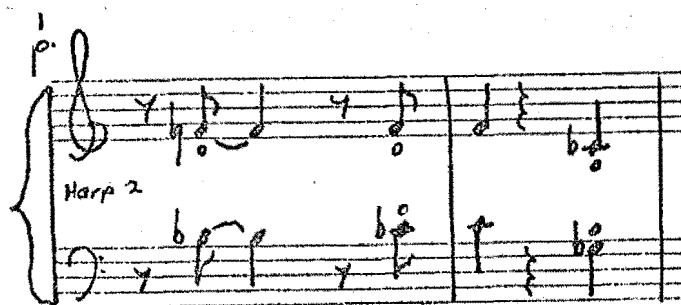
As in the first movement, syncopation created by tied notes is used frequently. In the following example from measures 29-33, the tied notes give the feeling of the absence of movement on the first beat of each measure.

Example 65. Measures 29-33.



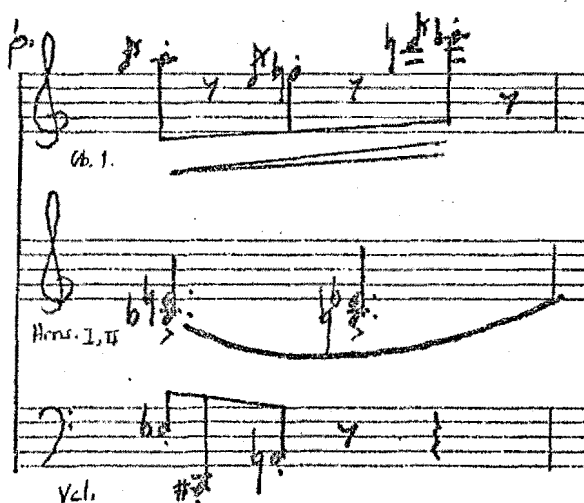
Another example of syncopation involving the use of tied notes and rests occurs in measures 34-35.

Example 66. Measures 34-35.



Cross rhythms or contrasting rhythms within the same meter occur less frequently than do syncopations. One example, found in measure 280, involves a conflict between rhythms suggesting $3/4$ and $6/8$ meters (example 67).

Example 67. Measure 280.



Although $3/4$ and $6/8$ may both be considered triple meters, the conflict arising from the different accents in each rhythm adds a feeling of tension to a part of the movement which is gradually building in intensity.

Another rhythmic conflict, this time with meter, occurs in measures 148-154. This particular conflict with meter, sometimes called a hemiola, involves a 3:2 relationship between the triple meter and a rhythm suggesting $2/4$ meter. The following example from measures 148-151 shows the timpani ostinato which creates a feeling of $2/4$ within a $3/4$ meter.

Example 68. Measures 148-151.

With the exception of Variation 6, there are no other variations in which each instrument plays the same rhythm. Very often, however, instruments belonging to a certain orchestral choir will share the same rhythm. As a result, different choirs will often play different rhythms. Thus, many of the rhythmic devices discussed above occur usually as one of two or more different rhythmic layers

within a variation.

Orchestration

In the thirty-two variations, a great variety of instrumental combinations and different kinds of scoring exist. Instruments capable of producing a harsher, more percussive sound, such as the brasses and pianos, are very often combined. Other instruments, such as woodwinds, harps, and strings, are sometimes reserved for quieter and more delicately scored passages. Variations 12 and 13 provide an excellent example showing the juxtaposition of the contrasting types of scoring which were mentioned above.

In Variation 12, the combination of violins I and II, the harps, flutes, and alto flutes, produce a very thin and light texture. Furthermore, the material in the different instrumental choirs is not at all aggressive and tends to be rather delicate. The harps play sustained harmonies, the strings play harmonies which are repeated at regular intervals, and the woodwinds are given successive eighth note triplets which descend to a pp dynamic level by the end of the variation (example 69).

Example 69. Measures 86-88.

The musical score for measures 86-88, Example 69, is written for three flutes (Fl. I, Fl. II, Alto Fl.), two harps (Harp. I, Harp. II), and a string section (VI. I, II). The music is in 4/4 time and features complex triplet and sixteenth-note patterns. Dynamics include *p*, *sub. p*, and *f*. The string section has a fermata in measure 88.

Although Variation 13 consists of trombones and two pianos, the instruments are treated more aggressively and at a louder dynamic level. Each instrument plays at an *f* dynamic level. The trombones include several accent and sforzando markings, while the pianos are made to sound percussive by being played staccato (example 70).

Example 70. Measures 90-93.

Trb. I. *f* *sff*

Trb. II. *f* *sff*

Trb. III. *f* *sff*

Trb. IV. *f* *sff*

Pno. I *f*

Pno. II is an octave lower

Many instruments serve the same function for which they were used in the previous two movements. The woodwinds and strings, for example, continue playing sustained harmonies and melodies. The pianos are still treated percussively, with notes often played as if they were punched on the keyboard. In the Coda of the third movement, the brasses are used very aggressively, frequently providing rhythmic punctuation when playing chords. As in the second movement, however, sustained harmonies are sometimes played by the brasses during the Variations.

The timpani, which were not used at all in the second movement, are used rather sparingly in the third movement. They appear in only five of the thirty-two variations and also in the Coda. Instead of being used to state motives, as they did in the first movement, the timpani in the Variations and Coda are used for more rhythmic purposes. They rhythmically reinforce the other instruments often by playing chords or ostinatos (example 68). In the Coda, however, they return to their former function by repeatedly stating the first four pitches of the series from the second movement Bb-Db(C#)-D-Eb, as well as an inversion of the first four pitches of the first movement's second subject. The following example from measures 276-280 shows the material played by the timpani.

Example 71. Measures 276-280.



Most of the instrumental ranges used in the third movement are not extreme and present few problems to the professional orchestra musician. Some instruments, however, such as the flute, viola, and violin, are required to play

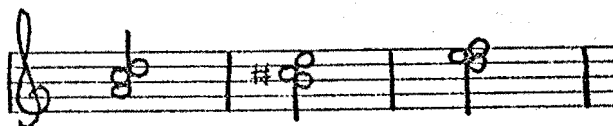
down to their lowest possible pitch; the cello must play both its lowest and highest possible pitches. As in the first movement, the contrabass must have an extension to the fingerboard in order to play the written E flat, which is required in measures 189-190.

Many of the special effects used in the first two movements occur again in the third movement. There are, however, a few additional special effects which were not included in the other movements. Harp glissandos occur in the third movement. Sticks with cork heads, indicated by the Italian direction, bacch. di sughero, are used; and metal mutes, sord. di latta, are required for the trumpet.

Harmony

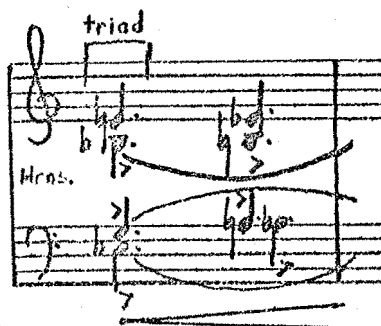
The harmony in the third movement is similar to that used in the first movement. Chords built from half steps, thirds, and whole steps occur frequently. The whole step is, however, used more often in the vertical sonorities of the third movement. Whereas chords of the first movement were sometimes composed of only half steps and thirds, the whole step is less likely to be omitted in the third movement. In Variation 15, for example, the whole step is present in each of the three chords found in the strings throughout the variation (example 72).

Example 72.



Polychords do occur in the third movement, but not as frequently as in the first movement. Although a triad will occasionally be formed within vertical sonorities consisting of half steps, whole steps, and thirds, such triads occur less frequently in the third movement. Much of the harmony is formed from vertical combinations of half steps, whole steps, and thirds, which do not form triads. When triads do occur, the blurring effect of adding pitches a minor second distant from the root or fifth is often used. The following example from measure 280 shows an E flat major triad with an added pitch E, a minor second distant from the root of the chord.

Example 73. Measure 280.



Triads with both major and minor thirds also occur in the third movement.

SUMMARY

Henze's Fifth Symphony is a work in which both traditional and modern features are combined. The symphony is written in traditional forms, sonata and theme and variations, in which sections are clearly delineated. The first movement is written in sonata form, and the thirty-two variations of the third movement are based on a theme first stated in the second movement. The long Coda at the end of the third movement includes material presented in the Variations as well as material from the first movement. Thus, ideas from the three contrasting movements are brought into a synthesis at the end of the Symphony.

Although the first and second movements are based on two different twelve-tone series, Henze's approach to serialism is very free. Much of the melodic material has no relation to the series, and notes or groups of notes are often repeated. Henze is particularly fond of dividing the series into groups of four pitches or tetrachords which are used as recurring motives. Octave transpositions are frequent, and even melodies having no relation to the series are characterized by wide leaps and disjunct intervals. Thus, a free use of modern serial technique is found within a framework of traditional forms.

In his harmonic language, Henze combines both modern and traditional elements. The harmony may include

serial, quartal, chromatic, and tertian sonorities. Very often, two or more different kinds of sonorities will occur simultaneously, sometimes resulting in polychords. Ambiguous harmonic relationships often arise from the practice of adding pitches which are chromatically adjacent to the root or fifth of a triad. Sometimes triads will also include both a major and minor third. This practice of adding notes to triads creates a blurred, out-of-focus effect in the harmony. Pure triads are rarely found in the Fifth Symphony.

By the time he wrote the Fifth Symphony, Henze had already been influenced by many stylistic characteristics of other composers such as Stravinsky, Schoenberg, Webern, and Bartok. Some of these stylistic traits are exhibited in the Fifth Symphony. Many of his melodies have a fragmentary quality with wide leaps and disjunct intervals found in works by Schoenberg and Webern. The orchestration, at times, has a pointillistic effect created by the numerous changes of orchestral color also associated with Schoenberg and Webern. Like Bartok, Henze writes clusters of minor seconds and treats the piano in a harsh, percussive manner. As previously mentioned, he often adds notes to triads and writes triads with both major and minor thirds. This tonally ambiguous effect was exploited frequently by Stravinsky.

Henze, however, does not merely copy the stylistic

characteristics of other composers but rather assimilates them into his own aesthetic approach to composition. Henze's approach to composition is one in which technical principles of composition, such as serialism, are subordinated to other means of expression among which freely invented melody is a primary consideration.

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