

Learning by Doing: Ives's developing conception of Sonata Form in the first movement of his First Symphony

The first extant sketch page for Ives's First Symphony tells a story which will be familiar to anyone well-versed in the scholarship surrounding the man often hailed as the father of American art music. Down the page we see an austere and serious melody punctuating the page at regular intervals, accompanied by occasional contrapuntal accompaniment, with key areas and harmonic progressions that guide the music's motion and notes for orchestration written on and around the staves. In the top right corner of the page we find a later addition: two curious chords, which on closer examination comprise three stacked dominant seventh chords, whose roots are each separated by a single semitone, arranged to form a continuous chain of eleven alternating major and minor thirds. Next to these chords an annotation reads "Sun Rise Chord over East Rock I last time up I in 1896 I Amos sings".¹ The parallels that this juxtaposition encapsulates are a paradigm of the competing cultural forces that Ives encountered throughout his early musical life – European vs. American, programmatic vs. formal, experimental vs. regulative, orthodox vs. eccentric, diligent student vs. creative artist. We can only wonder if Ives himself appreciated the self-contradiction and creative dualism that his scribbling implied.

The question of American vs. European musical identities and all the dichotomies this entails underpins the study of Ives's music. Burkholder, through a series of publications, takes to task those who claim that Ives is a quintessentially American composer, a composer that we might understand as the progenitor of an American avant-garde and instead places

¹ Sinclair 1999: 580

² Burkholder 1996b: 14

the European tradition on center stage. That Ives was a “national” composer is indisputable, but the nature of the relationship of Ives as a member of the cultural periphery, (America) to the cultural center, (Europe) is still a question in need of additional clarification. In redressing the perceived imbalance in Ives reception Burkholder sweeps with a wide brush as he constructs a chronology of Ives’ interaction with European music as follows – Ives began by studying and imitating the works of the European tradition and then gradually asserted himself within these genres, before finally rebelling against them entirely in true fulfillment of his own creative impulse.² Within this chronology Burkholder identifies the First Symphony in the second phase as “it proves his ability to work within the *forms* and *procedures* of his forebears”.³ My italics highlight a confusion of form and genre. Although Ives adopted a European genre by writing a four-movement symphony, Burkholder provides sparse evidence for Ives’ manipulation or modeling of existing formal schemes. Burkholder’s insights, whilst substantial and perceptive, are almost entirely limited to melodic procedure with his development of the concept of “paraphrase” providing a stylistic lynchpin for Ives’ oeuvre whilst reaffirming Ives’ status as an innovator and ultimately a modernist.

As all students of composition know, it is usually not the construction of melody which instills terror when faced with the blank page, but the extension of these themes through *form* and *procedure* that allow us to transform simple melodies into complex musical narratives capable of navigating large musical spaces. Whilst it is plausible that Ives deliberately sought out and then referred to themes from Dvorak or Tchaikovsky, the idea that Ives’s first movement is modeled on the form of the first movement of the New World Symphony is

² Burkholder 1996b: 14

³ Burkholder 1995: 102

highly speculative if not simply incorrect. Formal discussion in general has proved a difficult area for Ives scholars – particularly the relationship of Ives’s work with European forms. Morgan, Alexander and Burkholder suggests “spatial form”, “systems and cycles” and “cumulative form” to help us understand Ives’s music – but all three are united in their consideration of just one side of the numerous dichotomies above - the affirmation of Ives the experimenter, the eccentric, the innovator and ultimately Ives the American.⁴ Despite Burkholder’s insistence that Ives learnt and adopted a European style in his early composition, Ives’s use and distortion of European forms, specifically sonata procedure as the defining formal prototype of the European tradition, has not been part of this discussion. By conducting a close examination, analysis and comparison of musical material from the sketches through to the final score, we will better understand the process of Ives composition in these early stages the way he defined his relationship with the European traditions that preceded him.

f0001 – monothematic sonata form or free fantasy

This movement was written for assessment by Horatio Parker, and we might briefly consider the kind of expectations that Ives would have encountered. The Yale music syllabus for the year 1894 describes the 6 courses that made up the new music program – all taught by Parker. “Free Composition” was the sixth and final class in the music program and admission required special permission from Parker himself – it was for this class that Ives wrote the first movement of the First Symphony. Form is mentioned twice – firstly Parker specifies that the result of the free composition program should be “an extended work,

⁴ Morgan 1977, Alexander 1989, Burkholder 1995

probably in sonata form”⁵ and secondly *The History of Music* course aimed to cover “the growth and development of musical forms up to their culmination in Beethoven. Practical illustrations of the lectures on musical form will be given in the classroom.”⁶ This confirms Parker’s status as a traditionalist and nuances the expectations for Ives’s free composition – presumably students should aspire to treat sonata form in its highest form and take a conservative early nineteenth-century scheme as their model. Little survives of the content of Parker’s lectures or classes and the only text that Ives mentions in relation to Parker and his time at Yale is *A Manual of Harmony* by S. Jadassohn, which had been translated into English soon after its publication in 1883. Although Jadassohn included a brief chapter titled “Subject-matter and Form”, musical “form” is explored only in an abstract and metaphysical sense – “just as any conception which is full of meaning and true to art is a spontaneous one, in the art of music, too, subject-matter and form spontaneously coalesce, and can therefore not be disunited”⁷ – and the book would have been of practical little use to Ives his compositional endeavors. Parker’s expectations, if not his pedagogy, were quite explicit and the idea of “sonata form” must have been in the back of Ives’s mind as he began writing, but exactly what this meant to Ives is a different matter, and one which the sketches will illuminate.

The sketches for the first movement of Ives’ first symphony divide into four categories and compositional stages. The earliest extant material for the work is a single page of manuscript

⁵ Magee 2008: 43, taken from K. Kearns “Horatio Parker (1863-1919): A Study of His Life and Music”, Ph.D diss, University of Illinois, Urbana-Champaign, 1965, pp. 110-11.

⁶ *ibid.*: 42

⁷ Jadassohn 1895: 246. Ives may also have used Jadassohn’s book to aid his son’s musical education. (Baron 1993: 195).

with a relatively extensive continuity sketch of roughly 100 measures (f0001). There is a second much more extensive sketch of almost 30 pages written out in short score of either 5 or 7 lines, covering almost the entire movement (only the very end if missing) which was obviously a working draft with constant crossings-out, scribbling, notes, comments etc., (f0002-0030). The third layer is a collection of patches (f0031-40, f6558, f3084) that we can group musically and chronologically between the short score continuity draft and the fourth stage – the final fair copy of the entire movement, possibly not in Ives’s hand, that was the copy submitted for assessment (f00421-84).⁸ We can disregard this final copy as “sketch material” as the modern published edition is based on this copy and is identical. We have to assume that a large amount of sketch material has been lost to account for the musical transformation we encounter between stages one and two, but the array of extant documents is considerable and the voyeuristic windows they offer into isolated moments in the movement’s conception make this case particularly appropriate for a study of formal development.

f0001 is probably the single most interesting document in the miscellany of sketches for the First Symphony and, I might venture, in the Ives collection as a whole. We might expect that the very first sketch material for a symphony would be short thematic doodlings, written out in piano score – born out of quasi-improvisatory explorations at the keyboard. On the contrary f0001 is a bold statement of youthful, full-blooded compositional ambition, a continuous sketch covering the whole page, rich in detail, with double barlines, orchestra and a tempo marking all included. Just like Mahler, Ives obviously valued continuity even at

⁸ These numbers refer to the labeling on the copyflo versions of the documents, rather than the originals, as used by Sinclair 1999.

this early stage, resulting in a page that is remarkably empty with stretches of blank measures and a bass staff that is almost entirely empty, just a gesture towards a much grander musical conception. There is only one theme present in the sketch, recognizable from the opening of the symphony and this is repeated throughout as a generative incipit. In its first iteration the theme appears not in Dm as in the symphony, but instead in Gm, with 10 bars that are a perfect transposition of the later theme, and a sequential continuation that will later appear in **S** space without alteration.

Ex. 1: Original sketch for the P theme in G minor.⁹ (f0001)

The image shows two staves of musical notation. The first staff is labeled 'mm. 2-11' and contains ten measures of music in G minor. The second staff is labeled 'mm. 237-141' and contains ten measures of music, which is a sequential continuation of the first staff. The notation includes various accidentals and rests, with some accidentals in brackets.

By the second entry this same theme has modulated to Dm, the tonic key retained throughout the rest of the sketch. Although this modulation is punctuated by the interpolation of the “Sun Rise Chord” we must assume that this was included later. Given that the 6 empty bars on the second staff are followed by more continuation of the same sequence and that the third staff is labeled as m. 24 it must be possible that this modulation was conceived continuously. It is odd to say the least, to have an introduction in Gm followed by a much more extensive exploration of the same theme in Dm, but Ives gives no indication that the Gm section was a musical false start – it would have been easy to strike out these bars as we will see him do on many other occasions. However, the music from the

⁹ I have added additional accidentals, indicated in brackets, which are required frequently to make sense of the melodies, as Ives did not bother to include a key signature even in the first staff.

Ex. 2: Ives' first sketch for Symphony No. 1/i (f0001)

Handwritten musical notation on a single staff, featuring various rhythmic patterns and notes.

Handwritten musical notation on a single staff with annotations "Sun Rise Chant" and "East Rock".

Handwritten musical notation on a single staff with annotations "Down Down" and "A".

Handwritten musical notation on a single staff with annotations "50" and "Down".

Handwritten musical notation on a single staff, showing dense rhythmic patterns.

Handwritten musical notation on a single staff with annotations "Piano" and "Cm Eb Dm G Ab Db".

Handwritten musical notation on a single staff with annotations "3" and "2".

Handwritten musical notation on a single staff, including a large scribble at the end.

Go by first score p. 2 near
send book - 76 So - mosh

third staff onwards is clearly differentiated not only by the increased strength of the pencil work, implying that it was written at a later date, perhaps after more work at the piano, but also by the initiation of a much more detailed and thorough approach to the sketch with additional technical details betraying and a more holistic view of Ives's symphonic conception.

In Table 1 blue arrows mark the four successive entries of **P**, the first in Gm and the following three in Dm. The first three present the complete 10 bar **P** theme as it currently stands, while the final one only reaches the sixth bar before breaking off. In all four cases the incipit is followed by various kinds of melodic continuation, normally characterized by ascending or descending sequences derived from the theme.

Ex 3: Ives' attempt sequential attempts to continue the **P** theme, with thematic and transformational labels. (f0001 staves 3-4.)

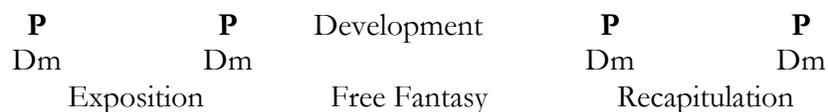
The image displays five staves of musical notation in treble clef. The first staff contains the initial 10-bar theme, with labels 'A' and 'A+1' placed below it. The second staff continues the theme with labels 'B' and 'B(-1)'. The third staff shows further development with labels 'B'' and 'B'(-2)'. The fourth staff continues with labels 'B'(-2)'. The fifth staff concludes with labels 'C' and 'C'. The notation includes various rhythmic values, accidentals, and phrasing slurs.

Who knows what Parker thought when confronted with these awkward, repetitive and inevitably deflationary passages – something Ives himself seems to have noticed as on more than one occasion they trail with increasingly vague penmanship before **P** is stated again in order to provide an initiatory “kickstart” to begin the process again. Ives had a theme that he felt had potential for development and restatement but there is no evidence he knew how to construct a sonata from it – if indeed that was his goal. To claim that Ives had sonata form in mind based only on the Yale course guide may seem a reckless move, but there is other evidence that corroborates this assertion. On f0039, taped to a later patch, we find a second scrap of manuscript with a curious collection of numbers and divisions complete with various additions in the right hand margin. We can safely say that Ives was not calculating his rent, but instead calculating something that, by taping it to a musical sketch, he wanted to associate directly with Symphony 1/i.

Ex 4: Ives’s numerical sketches showing the adhesive tape in upper right and left corners, with a transcription below. (f0039)

36	68	 8	 41	 68	 70	
Ist trp+horns	Ist trb		I horn	II trb	Coda	
Expos		free fantasy	recapitulation			

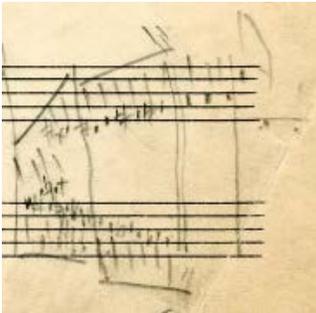
It is the first line of numbers with its annotations in matching pencil that are particularly intriguing. Deciphering Ives's hand we discover the labels for a conventional tripartite sonata form with Coda, and we can reasonably assume the numbers refer to numbers of measures used to determine the proportions of this form through the sums in the margin. Both the exposition and recapitulation are divided into two sections that are obviously related: "36, 68" and "41, 68". This structure would map perfectly a sonata form in which **P-TR** space was remodeled and slightly expanded with a crux occurring before a straight transposition of the entire **S** theme. The question is whether this formal map reflected an existing sketch or was created in order to guide the trajectory of his composition. Turning back to f0001 we find some striking parallels. If we ignore the aborted Gm opening and instead look at the beginning of the third stave we find the label "horns D min" – potentially analogous to "1st trp+horn" in f0039. Counting on 35 measures, (one fewer than the 36 that f0039 indicates) we reach another entry of **P** marked "trombone" in f0001 and analogous to "Ist trb" in f0039. Counting another 67/68 measures, depending on how we interpret the ambiguous barlines in the last stave, we find an extended double barline with yet another adjusted statement of the theme that appears to continue off the page. Admittedly there are aspects of f0001 that are not reflected in f0039 such as the double bar and "Presto" marking but the level of agreement suggests that the formal map either applies to this page – or at very least the two documents might be roughly contemporaneous. The implications of this are startling, as although both exposition and recapitulation are divided into two subsections, by this account they would both be monothematic and monotonal giving a totally unrecognizable "Sonata Form" like the one below.



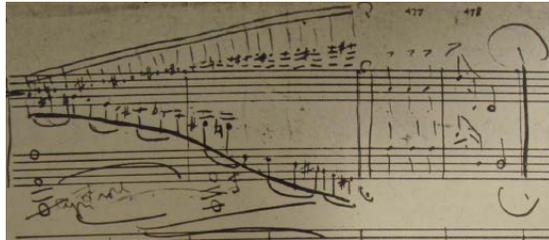
There is an alternative interpretation of this first page as the final two measures, while looking like they could continue onto a new page, are actually the final two bars of the entire movement in the published score. In addition the two previous bars which outline an expanding wedge from a unison A3 to a double bar or caesura are almost identical to the ending of the symphony that we find on patch f0037, written considerably later. (Ex. 5). Frustratingly Ives does not clarify the status of this conclusion as he finishes neither with a double bar or any other definitive gesture. It could just as plausibly be the end of the exposition as the end of the entire movement, but in the latter, the “form” would be even more peculiar – consisting of four developing cycles of one theme that accumulate textural intensity.

Ex. 5: Comparison of the final 4 measures in f0001 and f0035.

f0001



f0035



However, even if we leave these two formal options open and privilege neither, our divergent interpretative avenues remain the same – was Ives deliberately subverting European norms and expectations to assert his own creative self-expression, or in fact did he have very little understanding of the rhetorical norms of sonata space beyond a simplistic ternary form, if that? Whilst the latter is unappealing to the positivist, surely it seems more likely given the static and mundane nature of the much of the musical material that Ives

produces. Even by his Yale years Ives had produced numerous experimental works (for instance the bitonal psalm 67 from 1894) and if he had intended to make a statement and break the mold we can be confident he would have done something less staid and reserved. If anything, this sketch betrays quite how rigid, inflexible, and ultimately uncomfortable, Ives was in his initial foray into the symphonic genre.

The Continuity Draft – Cycles, Transitions and the problem of S

To pinpoint more precisely the issues at hand in the rest of the sketch material we should first briefly consider the form of the movement as it appears in the published version. The first statement of **P** is 24 bars long and forms a grand antecedent, starting in Dm, moving to A major in m.10 and then continuing through to a i:HC in m. 25.¹⁰ A consequent phrase begins in the same fashion, but rather than lead to a stronger cadence, the repetition is exact, leading to another half-cadence in m. 49 and yet a third of **P** begins, this time taking on more obvious **TR** function with the introduction of the **P** theme on V in m. 53. Thematic sequencing and fragmentation ensues - typical **TR** rhetoric and we expect some moment of musical stasis (an MC) to herald the entrance of **S** space. This stasis seems to be provided in mm. 75-82 and is followed by a new lyrical theme in A major, suggestive of an entry into **S** space. However, we quickly lapse back to the **P** theme and after the supposition of the two themes we drive to V/III in m. 110 which prepares the arrival of another new theme, firmly stated in a secure F major. This 15 bar theme cadences in m. 126 and is followed by a repetition of the earlier lyrical theme, now in Bb major, another close cousin of Dm, and also cadences in 142. At this point the entire cycle of F-Bb is repeated again, and a third

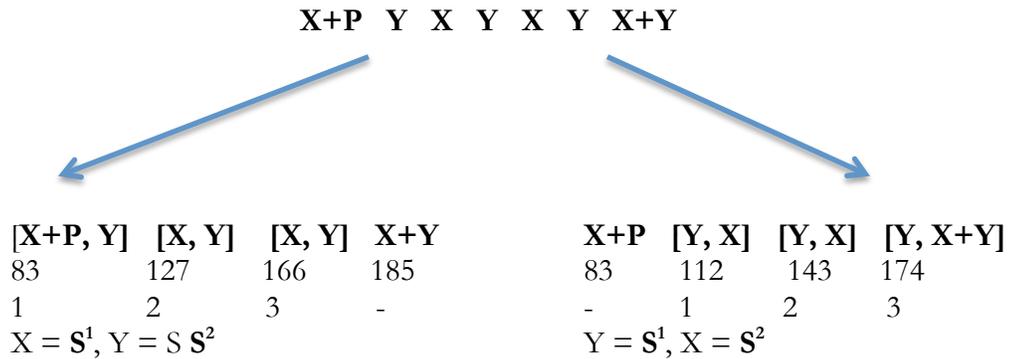
¹⁰ All measure numbers used throughout refer to the Peer International Edition rather than any sketch material.

cycle begins in m. 174 only to break off and fragment without achieving the **EEC**. A comma marks a caesura and a coda (a rhetorical postface if not technically post-**EEC** material) that is dominated by the sequencing of **S** material follows. The problems for sonata space are twofold. The first is one of closure, as neither **P** nor **S** achieves any sort of satisfactory cadence and secondly, we have two themes with **S** potential, the first which “sounds like **S**” due to its languid lyricism, but initially appears in truncated form in the wrong key while still muddled with **P** material, and the second which is in the right key and adequately prepared, but is rather rumbunctious to be typical of **S** space. To avoid confusion and choosing a definitive **S** at this stage, let us call the Bb major theme **X** and the F major theme **Y**. Obviously uncertainty surrounding **S** space and closure have significant ramifications for the recapitulatory rotation and we can now turn to the continuity draft to try and understand how Ives constructed this dysfunctional sonata space.

A huge amount of work must have occurred in lost sketch material between f0001 and the continuity draft f0002-f0030. By this second stage we have an entire movement that bears a relatively strong resemblance to the published score, with long periods of exact correspondence. We can safely assume, given both the musical transformation and also the large number of corrections and comments, that by this stage Parker was guiding the compositional process. The first 50 measures appear exactly as in the published version and we could easily reconstruct a performing score from the sketch. Initially Ives did not envisage moving to V at m. 53, but he erased his first thought and continued with almost exact correspondence through until m. 104 where the conclusion of the third cycle of **P** differs, reconnecting with the published score again at the onset of the F major theme in m. 112. Through the third **P** cycle there are increasing large discrepancies of musical detail in

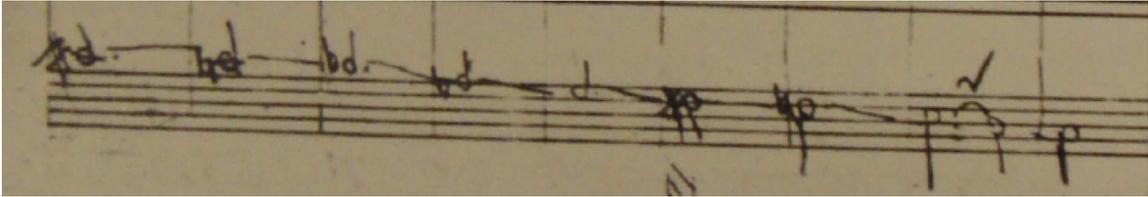
instrumentation and accompanying figuration, as well as more fundamental alternations. Initially Ives included an additional measure between m. 97 and m. 98 which he then erased, and the confusion of **P** and **X** throughout is even more comprehensive, with additional entries of **X** corresponding to m. 79 and m. 94 and an additional **P** entry in m. 77.

Looking forward, choosing **S¹** or **S²** from **X** and **Y** might seem an arbitrary decision. From m. 83 we have a thematic sequence **X/P Y X Y X Y** which could be parsed as either three thematic cycles of **XY**, thus privileging the initiatory nature of **X**'s appearance but denying the importance of the exact repetition of **YX** in mm. 143-174 and the strong preparation and closure of **Y** that would suggest that **X** prefigures two complete and one incomplete cycle of **YX**.



Both options are perceptually available, dependent largely on the competing claims of melody and harmony in a given hearing, but the sketches do betray Ives's thinking. Ives's markings that connect the bass tones leading down to the C pedal before **Y**, as reproduced in Ex. 6, suggest a kind of teleological descent towards V/III as if this harmonic progression is the goal of the third **P** cycle – supporting the status of **Y** as the “real” **S**.

Ex. 6: The attainment of V/III before X from f0005.



In a later patch f0031 labeled “trans to II theme Expos” Ives sketches from m. 102 again and attains a C pedal which is twice as long at a full four measures – the stronger sense of dominant lock reaffirming the rhetorical importance of this moment.¹¹ Finally, after cycling through **Y** and **X** for the first time Ives does not bother to notate the second cycle from m. 143, instead marking the score with an extended double bar, like the one near at the end of f0001 surely implying the formal significance of this moment. Coupled with the attainment of V/III this definitely suggests that for Ives **Y** was the rhetorical moment of arrival.

The F major theme is unusual, not only in character, but also for its modulation to Gb, as an upper neighbor, in the middle of a 15 bar theme. In the sketch Ives writes a more normative theme with two balanced 8 bar sub-phrases, 16 bars in all, which never leave the security of III. More fundamentally, the second cycle of **S** is erased entirely. It is not impossible that Ives intended the big double bar at the end of the first cycle to indicate that the entire previous section should be repeated, but he is only explicit about this in the analogous section in the recapitulation. Either way, after this point the correlation with the score loosens. Just as **S** space disintegrates in the score, so it does in the sketches but in a slightly different manner – the music blends seamlessly into the coda, without a comma, and this coda is entirely different apart from the final four measures despite being built on the same

¹¹ Curiously Ives follows this V/III with **Y** not in F, but in Gb, m. 119 rather than m. 112.

Presumably this was a

short theme from **X**. If we take **Y** to be **S**¹, my preferred reading, comparing the discrepancies between the sketch and the score allows us to schematize the areas that Ives had difficulty with. The first two rotations of **P** and the first rotation of **S** are essentially intact, but in the final rotations of each where some sense of musical progress is required through the use of developmental procedures we find more significant recomposition. The patches document the work that went into these areas, with f0032, f0034, f6423, f0035 and f0038 all containing sketches, in no obvious chronological pattern, for the exposition coda - f0035 alone contains two lengthy and quite different versions. We can also identify something recursive here about Ives' compositional process. On a local level in f0001 we saw that Ives was comfortable with the repetition of a small theme but struggled to engineer coherent continuation despite his numerous attempts. In the continuity sketch for the exposition we see exactly the same frustrations and difficulties as in f0001 but composed out on a much larger scale, with the cycling of thematic material proving impossible to break satisfactorily.

We can leave the development as it does not impact our reading of sonata space, mentioning only that although the continuity sketch and score differ radically, both diligently develop existing material through numerous keys and show no evidence of the "free fantasy" Ives initially planned. Ives saved himself the bother of fleshing out the recapitulation in full, starting out with three voices but quickly dropping to just one in order to keep track of the correspondence with the exposition. At the beginning of the second **P** cycle Ives crosses out his exact repetition of the exposition, scrapping the second cycle entirely and effectively skipping from m. 29 to m. 53. Correspondence measures take up again until m. 88/376 where we modulate down a minor third and achieve the crux point so that an exact

transposition from this point will take us not to F major, but D major, the assumed tonal goal for **S**¹. However, despite the availability of a straight transposition Ives, who we can assume was unhappy with this area in the exposition, takes the opportunity to rewrite the passage, while still retaining the premature entry of **S**².¹² In the score we discover that this entry of **S** disappears, as if suppressed, or normalized when compared to the referential layout of the exposition. Coupled with the disappearance of the cyclical **P** we are left with a much more traditional trajectory without blurring or confusion, adding significant weight to the reading of **X** as premature **S**², rather than misplaced **S**¹.

P	TR	(dissolving P restatement)							
i	i	-	-	-	-	-	-	-	V/I

Thus far non-normative procedures have mainly involved the clouding of formal boundaries and the lack of clarity in the middle ground, rather than explicit departures from sonata norms at the most fundamental level but at this juncture comes one of Ives’s most bizarre moments. Having moved to V/I Ives marked this moment with a thick double bar down the page and scribbled through the final bar allowing himself to start decisively on a new page. Having turned the page he wrote “II D major” at the top of the page, but instead of starting to sketch **S**, sketches in the **P** theme, correcting the Bbs, (put not the C♯s) to smooth the theme’s progression in the parallel major. We have seen the “II” marking before, both on f0039 and also on f0006.¹³ In each case Ives refers to the second portion of the expository or recapitulatory rotation but with this final example Ives confirms that his definition of the

¹² The inclusion of **S**² contradicts Burkholder’s argument that the eventual absence of S in recapitulatory **TR** is evidence for a formal link with Dvorak’s New World Symphony/i. (Burkholder 1995: 94)

¹³ On f0039 it refers to the second part of the recapitulatory rotation, and on f0006 it is marked as a reminder over the second rotation of **S** where Ives just leaves empty bars due to the repetition.

secondary area “II” and his understanding of sonata form more generally is not thematic, but tonal, rhetorical and proportional. From the perspective of any textbook, it is a moment of formal madness, a throw-back to the original *idée* of the monothematic sonata form. Whether Parker stepped in or Ives thought better we shall never know, but these 7 measures were comprehensively obliterated almost immediately and Ives continues instead with what looks on first viewing like entirely new material, still in D major and retaining some of the orchestral textures from the abandoned return of **P**. We recognize the downward scalic flourishes from **S**¹ but the theme itself is nowhere to be seen. However the woodwind chorale, which moves from D to Bm, G, Em and finally E through intermediary diminished and augmented chords, could support the **S** theme and therefore what we are seeing is a reorchestration and recomposition of **S**¹ that imbues it with a more serious character. At m. 412 the score and continuity sketch again coincide with the arrival of **S**² which proceeds through 16 measures of exact transposition to a repeat mark which frames the entire whole of **S**¹-**S**² cycle, again suggesting that Ives conceived of this rotation as a discrete formal segment. Here we have to wonder whether Ives really intended that the recapitulation have two complete cycles of [**S**¹-**S**²] while the exposition only has one, or whether he would have retrospectively applied this repeat having taken the opportunity that the recapitulation affords to recast and revise earlier material without physically having to go back and make amendments.

Closure inevitably causes the young composer problems. As mentioned previously neither **P** or **S** achieve a satisfactory cadence and an exposition without an **EEC** prepares an analogous, and obviously intolerable, absence of **ESC**. The end of this **S** cycle (the 2nd in the score, and 3rd in the sketch due to the repeat mark) marks the end of correspondence with

the expository rotation, and therefore we should consider m. 427 to be an elision into coda space. Although often lacking musical detail, the sketch tracks the score relatively accurately until m. 483 where all synchronic similarity ceases, even if isolated areas do seem familiar. In the end Ives actually gave up on the sketch on f0030, scribbling a line across the page without obviously having finished. Therefore it is unsurprising that this coda, just like that in the exposition, received additional attention in the patches. f0036, f0037, and f0040 all contain sketches starting at m. 489 with f0036-37 corresponding the final version. The only significant change Ives made was to exorcise the contrary motion scale - a rare relic from f0001.

Conclusion

Ex. 7 shows the development of the formal scheme through the three phases that we have considered from the peculiarities of the two possible schemes in f0001 through an intermediary sketch phase to a final version. Areas highlighted in red are those that were entirely removed in the final score and those in blue were significantly recomposed. All those areas in blue are either transitional or closing zones, (TR, development and Coda) and coupled with similarly problematic areas on a smaller scale in f0001 they betray the limits of Ives's compositional technique in this idiom at this stage. Ives was a competent melodist and themes, with the exception of the small adjustment of S^1 , caused no problem as they all survive intact throughout the entire process, but their interrelationship is continuously redefined and refined. The continuous cycling and circling of **P** material also persists throughout all stages of the composition, but Ives discover that this process is fundamentally irreconcilable with sonata space and so works through a process of successive formal

Ex. 7: The development of Ives's formal scheme

Exploratory Sketch (f0001+f0038)

P	P	Development	P
Dm	Dm		Dm
Exposition		Free Fantasy	Recapitulation
	p¹	p^{1.1} p^{1.2}	p^{1.3}

Continuity Sketch (f0002-0030)

Exposition	P	P	P – TR (S ² /P)	[S ¹ S ²]	?	S ¹ S ¹ /S ²	Coda (S ²)		Development
	Dm	Dm	Dm - - - V/III	F Bb		F - - - - - V/I			
	P		TR	S			C		
Recapitulation	P		P – TR (S ² /P)	[S ¹ S ²]	[S ¹ S ²]		Coda (S ² /P)		
	Dm		Dm - - - - V/I	D G	D G		D - - - - Dm		

Published Score

Exposition	P	P	P – TR (S ² /P)	[S ¹ S ²]	[S ¹ S ²]	S ¹ S ¹ /S ²	Coda (S ²)		Development
	Dm	Dm	Dm - - - V/III	F Bb	F Bb F	F - - - - - V/I			
	P		TR	S			C		
Recapitulation	P		P – TR (P)	[S ¹ S ²]			Coda (S ² /P)		
	Dm		Dm - - V/I	D G			D - - - - Dm		

normalization. Reading down the page, it is only the very final recapitulatory rotation in the published score that is relatively conventional, at least until the conclusion of **S**. Thus the final score itself, in which sonata space is normalized from the exposition to the recapitulation, mirrors the progression of the movement as a whole from its generative stages to its completion. Whether this tendency to more normative formal procedure was the result of Parker's guidance and/or interference rather than the Ives's own initiative we will never know. What we can say, despite Burkholder's insistence, is that the sketches show no evidence that Ives had a single work in mind as a formal model throughout his creative process and Dvorak's *New World Symphony* did not provide the "answer" to Ives's formal issues, which all stem from more fundamental compositional insecurities. Ives may have managed to say something "new and individual" in this movement but he does not appear to be "announcing and demonstrating his command of the European symphonic tradition" any more than he proves "his ability to work within the forms and procedures of his forebears".¹⁴ To call it mere "homework" ignores the scale of Ives's achievement, yet Burkholder willfully ignores the compositional missteps and meanderings that the sketches make all too evident and which Ives himself must have been painfully aware of. Rather than document the willful deformation, manipulation, assimilation and eventual sublimation of European form and process, the sketches, and the gradual emergence of normalized sonata space are the evidence of learning by doing. Sonata form was not a teutonic principle of musical regulation to be grappled with and triumphantly overcome, but a dynamically (and loosely) conceived musical framework whose boundaries and implications were only realized through the act of composition itself. In this sense, the sketches for the *First Symphony* seem less like an act of mediation between the two competing components of Ives's musical

¹⁴ Burkholder 1995: 101-2

world, but a much more naïve and apolitical process of exploration, education and musical discovery in which Ives, for the first time, began to appreciate the scale of the challenge that awaited the “American” composer navigating a foreign musical world.

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