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THOMAS MANN'S "DOCTOR FAUSTUS" — A CONTRIBUTION TO THE STUDIES OF MUSICAL FACTS IN LITERATURE

There are in science some subjects touching which ranks at least as imprudence. Such is the case of what we call the interdependence of different arts, or else — the problem of the analysis of all symbolical representations and of the transposition of elements of different media and of peculiar ways of expression.

Without going into details we must state, that apart from the question of effectiveness of research and its consequent value, the purposefulness of this kind of scientific endeavour cannot be called in question merely because of anticipated risks and difficulties. May the conviction of the usefulness of such studies be the justification and the reason of this work's existence. It will consist of detailed remarks and generalizing reflections which grew on the margin of *Doctor Faustus* while reading the book, and of some observations inspired by a few essays on Th. Mann's masterpiece¹.

On account of a distinct dualism of the scope and character of reflections, we have applied a bipartite structure of our work. In the first, theoretical part we shall try to specificate the principal attitudes in research, which may be assumed by a theoretician of literature, when facing limitrophe phenomena of literature and music.

We shall be mostly concerned with relations depending on the author's conscious creative attitude, which is so characteristic of an author in a symbolic frame of mind, inclined to complex forms of expression.

The second part discusses particular problems, such as limitrophe questions of the parallelism of the musical and the literary structures², musical symbolism and inspiration in Thomas Mann's *Doctor Faustus*³.

¹ First of all the article of Z. Wachowicz, *Muzyka w twórczości Tomasza Manna* (*Music in Th. Mann's Work*) and R. Karst, *Sztuka, parodia i diabeł* (*Art, Parody and the Devil*) and also P. Hinton Thomas's *Thomas Mann. The Mediation of Art*, Oxford 1956.

² Structure is meant here rather elastically, according to classical definitions, as the total of constructive aggregations and functions. A precise definition of the scope and the content of this notion would lead us indeed into the very centre of methodological problems, but it would also lead us astray towards side notations and digressions annihilating the basic subject of this work.

³ The epilogue is a poetical quotation which completes and concludes metaphorically our considerations.

First of all we must explain what is the meaning of the term "musical fact", which will be often used in the course of this work. It is understood very broadly. It signifies every musical phenomenon, i.e. a concrete musical work, a group of works, a graphic record, or recorded sound. It also signifies facts, events, and processes connected with the history of music, its creation, reproduction, classification and interpretation, as well as the impressions music evokes in the listeners. By "musical fact" we also understand the framework of the musical composition, its structural elements and general musicological notions performing peculiar literary functions.

It would be inadmissible to set arbitrarily so vast limits to a term, were it not for the existence of a certain value running through all the range of those significances. This integrating factor is the value we intentionally apply to musical notions, or notions connected with music, like "musical facts" that are in some way elements of a literary work.

We shall speak later on about the interdependence of different musical facts, about their expressive, semantic and structural function in a literary work. For the present we only stress the fact, that in view of many different semantic interpretations of the musical fact, the perceptible relations between music and literature must vary, and therefore the scholar must apply different methodological instruments when trying to formulate relations and connections.

PART I

When handling the studied object in a narrower sense, it seems possible to divide the research standpoints into three groups. The object of the studies, in a broader meaning, consists of all the bonds linking some literary compositions with musical works, or even with all the musical and theoretical problems, as specified above.

The object in a narrower sense is a certain aspect of existing relations, which has been acknowledged by the scholar as the most essential one. It seems, that taking into account explanations of this kind, we can individuate the following standpoints:

1. The study of structural relations.
2. The study of functions under heteronomic and autonomic aspects.
3. The study of external relations and inspirations.

It is necessary to justify this classification as practical. In studies of the limitrophe events of literature and music, the above-mentioned points do not appear in pure form, they cross and complement each other, and if you generalise upon a tendency or type of studies, you can do it only on the basis of objective and methodological dominants.

This kind of proceeding seems very good to apply if it is fully realised, if it is due to the intention of showing the problem in all its aspects, and if it does not imply unwished-for consequences, that would break the rules of research and bring confusion.

1. One may imagine some kind of research that would approach the above-mentioned problem in metastructure cathegories, where the relations between literature and music would be examined not on the ground of a specific theory, but in terms of formal logic or of general theory. Musical compositions as well as literary ones may be represented as aggregation of elements with definite properties, and then one may examine these properties finding out parallel, or uniform sub-sets. By means of superposing unitary structures that are in some way connected, we shall obtain types of characteristic structural relations.

Structure is meant here, of course, according to the concepts of the theory of sets⁴, i.e. as a set "A" partly ordered relatively to ration "R", and each pair x and y, the elements of this set, has a top limit and a bottom limit⁵.

Before proceeding with this research, we ought to solve essential questions. First, a limit must be drawn defining the notions of a literary and of a musical work as complexes of features, forming elements of a set. Secondly, some constitutive elements of sets have to be arbitrarily assigned, and their relations will be later on objects of comparative analyses.

Difficulties connected with these studies are therefore not only methodological, but also ontological. In order to justify properly the choice of definite elements, we need a circumstantial phenomenological analysis of the literary and the musical work. And as we are concerned with their mutual connections, such an analysis cannot be restricted to statements on autonomous harmonized set, but it must contain a wider domain of artistic expression, and consequently it leads to meta-aesthetic studies, or at least hypotheses. But relations of this kind are rather distant

⁴ I have drawn this definition of structure from K. Kuratowski's *Wstęp do teorii mnogości i topologii* (An Introduction to the Theory of Sets and Topology), Warszawa 1963. It may be consistent with G. Birkopf's *Lattice Theory*.

⁵ The possibilities of a study of structures of this type, when singled out in a work of art, are broadly described by M. Porębski in his dissertation *Teoria informacji a badania nad sztuką* (Theory of Information and Art Studies) in the 3rd yearbook of "Estetyka". Let us quote only an interesting analysis: "In the methodology of studies in art there are many well known structural »levels«, every »lower level« being contained in the »higher« one, so that they result in a superior structure, a structure of structures, covering all the available informational documentation.

The first level is the technological one. It consists of elementary states spatially and quantitatively ordered, that are in many ways antithetical, being linked by a network of nearer and farther oppositions.

The second level is the typological one. It is not concerned with the particular elements themselves, but with their sequences and their dispositions varying in shape.

The third level should be defined as the morphological level. It determines relations and correlations, arising sequences and disposals of different types".

and complex, and trying to outline them even roughly would be out of place here.

Using logical symbolism, and also elements of mathematics, for instance transformations and probability mathematics, we can describe the characteristics of musical-literary constructions, in their static form, as well as in the form of a dynamic process in time and closely associated with perception. The theory of information could be here of great assistance, thanks to its universal and precise conceptual apparatus⁶.

A study of this kind must, however, become a functional analysis of the semantic system, and it would lead the scholar into another sphere of problems than those hitherto discussed.

As we are chiefly concerned with the problem of the connections between a literary and a musical work, or with the sphere of musical expression, after an introductory definition of particular structural features we can proceed to find out the intentional analogies of composition in all the work or in its sections.

We must be well aware of the fact, that there are lots of literary pieces of work composed "in a musical way". Let us quote lyric poems of French symbolists, novels by Romain Rolland, Werfel and especially Thomas Mann, whose *Tonio Krüger* has been intentionally written by its author in the form of an allegro of a sonata and *Doctor Faustus* which has been intended to reproduce the essence of polyphonic construction.

2. But one may take another point of view and proceed with the study of broadly conceived functions performed by a musical fact existing in one way or another in a literary piece of work. This is evidently possible only after having accepted the thesis of a real penetration of these facts into literary construction. The previously described method of investigation consisted in finding and determining more closely the analogies of formal conclusive proofs — it was a metastructural study. On the contrary, the analogies postulated now are approached rather intuitively, and their basis consists of premises of qualitative relations which may be considered under many aspects. Such analogies can be defined as semantic-expressive ones⁷.

It seems that this method allows for two different approaches to the problem. On the one hand one can study the connection of the piece of music and all the sphere of musical expression with the literary work from the point of view of general theory of signs — it will be an attitude analogous to the above-mentioned metastructural study⁸.

⁶ Porębski discusses it circumstantially in *Sztuka a informacja (Art and Information)*, "Rocznik Historii Sztuki", vol. 3.

⁷ Cf. I. Dąbska, *O metodzie analogii. Dwa studia z teorii naukowego poznania (On the Method of Analogy. Two Essays on the Theory of Knowledge)*, Toruń 1962.

⁸ J. Kotarbińska, *On the Theory of Sign and Many Standpoints Concerning It*, "Studia Logica", vol. 6.

On the other hand, one can examine, as exemplified in a definite literary work, the functioning of particular musical facts as elements constructing and expressing the action. This is also a kind of analysis of a literary composition and its problems.

The principal difficulty of both methods is the problem whether the introduction of a semantic principle into an investigation on music is methodologically and ontologically justifiable⁹. In our opinion it is possible only on the principle of a special deformation of the object, for instance by transferring the argumentation into the sphere of the psychology of reception, or basing it entirely on linguistic metaphor, or by accepting conventions implied in cultural tradition.

A functional analysis of this kind appears very often in the considerations of the critics, and yet methodological reflection has very seldom a say here, although it may allow to define the degree of identification of the cognitive principles with the language which the author uses.

Functions performed by musical facts in a literary work may be different, and their knowledge will depend on what we may actually mean by musical fact and to what level of the literary work we may assign it. As we said, our study of the functions of composition may be founded on structural connections of a musical and a literary work. But we must bear in our minds the fact, that first of all we must accomplish a qualitative differentiation of the musical material on the one hand, and the literary one on the other hand, in order to obtain definite elements which may be coordinated univocally with the course of the comparative analysis.

The differentiated wholes like the theme in music and the plot in literature constitute starting points for analogy. By virtue of a similar parallelism one can integrate such notions of composition as: counterpoint, harmony, accord, transcription, series, and try to find out whether an attempt has been made to use them in a literary way¹⁰.

⁹ Cf. J. Pelc, *Funkcje semantyczne a forma i treść w sztuce. Charaktera (Semantic Functions and Form and Matter in Art)*. Philosophic dissertations offered to W. Tatarkiewicz.

¹⁰ Johannes Mittenzwei presents a very interesting work on "literary musicality". The title of the book is *Das Musikalische in der Literatur. Ein Überblick von Strassburg bis Brecht*, Halle 1962. In the chapter "Die Beziehungen zwischen Musik und bürgerlicher Dekadenz in den Werken von Thomas Mann" besides many other questions, the author tries to define the musical way of composing *Doctor Faustus*, and to determine the principal elements of the composition pointing at the basic functions accomplished by these elements. E.g. in his polemics with Klein he describes the capital problem of the *Leitmotiv*:

"Dieser Begriff und seine Anwendung auf die Dichtkunst ist aber nicht mit der Bedeutung des *Leitmotivs* in der Musik zu verwechseln. Klein möchte mit der Bezeichnung nur das sich wiederholende Grundthema von den Untergeordneten Motiven der Novelle unterscheiden. Allerdings geht das *Leitmotiv*, wie Klein feststellt, in meistervollen über die charakterisierende Absicht hinaus und besitzt gleichzeitig Symbolwert. «Ein besonderer Fall sind die *Leitmotive* bei Thomas Mann» — so führt er dann fort, «denn man wird an den gleichlautenden musikgeschichtlichen

The musical fact also performs some functions of expression in many dimensions of the literary work. From this angle we may also examine the matter of the language, its phonic level: the onomatopoea, the phrasing, the rhythm, and according to another meaning of the musical fact: — the problems of this piece of work. Taking into account yet another meaning, one may speak about a "musical atmosphere" which may affect the reader's sensitiveness and thus enhance the impact of the plot's dramatical tension. Defining the musical atmosphere is a very difficult task. The scholar has not only to solve the above-mentioned essential problems, but he has also to tackle the general aesthetic problem of symbolism and the mutual correspondence of different kinds of art¹¹.

This task has often been undertaken, the problem widely examined, a huge growth of literary work has encrusted it, and yet it is still a pioneer's work for the scholar, because it takes roots in cultural and scientific tradition, and that is equivalent with an obliteration of contour and a diffusion of the content into divergent interpretative transformations. One should remember that the problem of the myth, its different incarnations and meanings, is one of the most important problems in the research work of modern humane studies¹². Modern functional sociology, ethnology, aesthetic and the theory of literature are forming their methodology while striving with this problem, that is why we emphasize here the necessity and purposefulness of general solutions.

3. Another commonly used analysis of the functions of musical facts is the analysis of their external relations with the literary. External relationship is meant here as connections existing between various musical facts embodied in some way in the literary work, and — on the other hand — the social context of their origin, duration, development and transformations in metaliterary reality. The scholar, who represents this standpoint, will be concerned, first of all, with the complex problem of the author's musical inspiration, the more complicated because of its connection with the whole wealth of significance of the musical fact. The semantic

und musiktheoretischen Begriff erinnern». Sie vertreten hier eine musikalische Tonfolge, und «die Motive haben ihre bildliche Funktion verloren» (s. 352).

«Das heisst wenn sich der einzelne überhaupt dieser differenzierten Empfindungen bewusst wird, denn zunächst lässt ja die wiederholte Anwendung des Motivs nur eine allgemeine, leicht elegische Stimmung entstehen, die eben auch deshalb eine musikalische genannt werden kann, weil sie gar nicht danach drängt, aus den seelischen Bezirken ins Logisch-Begriffliche erhoben zu werden» (p. 356).

We must state — admitting how correct and manysided Mittenzwei's observations and judgements are — that we cannot abstain from calling in question the methodology he represents. His unconcern in the case of terminology is especially shocking, as well as the lack of a precise definition of the musical and the literary spheres, which are the object of the analysis.

¹¹ Cf. the entry "Correspondence" in the *Dictionnaire de Poétique et de Rhétorique* (Dictionary of Poetic and Rhetoric), Paris 1961.

¹² Myth and myth-making is the subject of the Spring issue of the "Journal of the American Arts and Science".

differentiation of this notion makes it possible to distinguish direct and indirect inspiration, the degree of correspondence being a function of the spontaneously perceived expression of the inspiring fact.

The moments of direct inspiration will be, of course, musical facts *sensu stricto* (associated with the phonic level). The indirect inspiration, according to our concept of musical facts, in produced by every musical fact the creative energy of which can be resolved into gradually increasing quanta of the author's musical experience.

Elements of historical and theoretical knowledge come here into play, as well as correlations of impressions and past aesthetic experiences, associated with listening to a piece of music. A precise definition of a qualitative differentiation of inspiration leads to the next sphere of problems to be solved, namely the way and the form in which inspiring musical facts are being embodied in the literary, i. e. it leads to the solution of the mechanism of inspiration.

Let us simplify — that may be possible under two aspects: the first one based on the psychology of creation shows the interdependence of the author and his work as of a dialectic unity of the creative act. What falls here under observation are transpositions of different musical facts and the mechanism of reflection in the artist's consciousness and sensibility as all the biographic circumstances which make the inspiring situation possible¹³.

The second aspect of research may be called, not very exactly, a formal one, because it takes into account the shape and the means of the strictly literary embodiment of a musical fact. It embraces only the text of the work, giving up the interpretations which can be maintained in the field of the author-work relationship, but offers, instead, elucidations that may be possible when confronting: a musical fact in its own genetic, historical, and non-literary sense and the same fact as an element of a definite literary work.

This would result in different kinds of allusions, quotations, formal features of some metaphors which make the musical fact present in the literary text and would provide an object of our study.

The contents of such metaphors, their connections with the dramatic knots and the global conception of the work, constitute a study that borders on the above — mentioned aspects of research. On the one hand the work may express, by a metaphorically transformed music, the philosophical and aesthetic views of the author and on the other hand we have to consider the word itself which is the element from which the action is built and has, therefore, to be examined as an autonomous entity.

That division is a theoretical operation, it is an attempt to point at the potential

¹³ Cf. M. Naksianowicz-Gołaszewska, *Twórczość a osobowość twórcy* (Creation and the Author's Personality). Lublin 1958.

moments of research, and it is not summing up of the actual situation of studies or critics.

At last I want to draw the reader's attention to the incomplete and schematic character of the problems under discussion. A consistent examination of the possibilities of research would lead us towards philosophical implications, and would land us in the middle of the object and the methods of aesthetic research¹⁴. This problem exceeds the limits intended by us and therefore, although we are conscious of the inadequacy of our definitions, we shall proceed with our inferences, this time on the ground of concrete, individual literary phenomena.

PART II

Thomas Mann's *Doctor Faustus* can be considered as variations of one basic motif of the diabolical stigmatization. The conversation of the modern Faust with Satan is the climax of the book, and although as a dramatic aspect of the plot it has only a value of a complementary situation, yet as a genetic aspect of the theme it constitutes the seed and the nucleus round which the story grew, the growth masking its provenience.

While this consistent pattern can be easily grasped in the whole by means of the reader's intuition and cognitive sensitiveness, it is difficult to discover its individual realizations chiefly because of the purposeful construction of the plot the course of which is made acceptable to all kinds of readers because of the use of realistic, consecutive, ordered narration, the term used in the sense accepted in philosophy.

This is only the first stage of difficulty, and also the first moment of the counterpoint, maybe the most subtle one. The matter, in which the counterpoint is manifest, has been formed of some heterogenic elements — the plot, the author's design, and the metaphors of individual ideological philosophical interpretations. Of course, here we are speaking again about a special, strictly semantic type of counterpoint, fully acknowledging the metaphorical character of this statement. Having briefly signalled the contrapuntal stratifications of Mann's work, we may speak about the antitheses of strictly fabular character, for instance about the shape of Leverkühn's life as opposed to the outline of the lives of the narrator and of other characters. We may also examine such contrasting situations as the collisions connected with the anticipation of the principal thread of haunting and stigmatism.

We may unite this kind of counterpoint with another one, where verbal semantic elements are interwoven with structural elements which determine the harmonization of the composition. It is the same with different sorts of dimensions of time, which are thanks to their many functions something more than one of the ontological categories. We can virtually speak about three different times: the retro-

¹⁴ This problem has been presented in a very interesting way by J. Gałęcki in his *Problematyka estetyki. Przedmiot i metoda* (Problems of Aesthetics. Subject and Method), Kraków 1962.

spective time of the narrator, its countercurrent — the time of the plot, and the time outside of the novel, the historic time penetrating all the literary work under the form of the narrator's digressions.

Let us anticipate the objection to a hypostasis¹⁵ and make it clear that the term "time" is used as a relative determinant of the sequence and of the mutual setting of the facts which constitute the content of the literary work. When speaking about three kinds of time, we have in mind three different orders of consecutive representations of the subject and their layout in the general literary structure.

The last-mentioned problem is of particular concern for us, because it deals with the counterpoint form of all the work. The counterpoint consists here in the opposition of particular sections of time, in which the elements of the subject are located. For instance: the essential dualism of the subject which reflects, according to reader's choice, either the fate of an individual genius and the fate of a nation, or the personal vicissitudes of a musical composer and the revolutionary trends of modern music, or the confrontation of the traditional humanistic model of creation with a creation born from revolt and disillusion, full of ambition to integrate, or lastly, any possible way of a general interpretation of the contents realised through a dynamic contrapunctally composed continuum of fabular and digressive themes. Thus the counterpoint of the functions of time is given its existential parallel and a vital basis provided by the above-mentioned forms of existence present in the story.

On the strenght of the same semantic liberty which allows us to apply the notion of musical counterpoint in literary analysis, we may speak about harmonic features too. It is of interest that when studying the interdependence of theme and time in *Doctor Faustus* we can speak in both ways about the events, treating them once as a harmonic accord, and next as a counterpoint juncture. A possible interpretation may be as follows: harmonic elements are designated by spans of time, while the counterpoint appears in the whole of the linear course of the theme. Digressions and secondary motifs may be treated as ornamentation or variations of the main theme. One must also be attentive to the fact that the multifunctionality of several elements of the subject matter is the counterpart of enharmonic, and that in the sphere of the three above-mentioned aspects of time, the interpretative solutions are proper only to this one aspect, but it is possible to pass another aspect and to another cognitive configuration. All that is far more complex than it seems at first glance.

The author makes use of enharmonic properties in two ways. Sometimes he uses a simple transition, keeping the unity of designations of the basic motif; in this manner he represents, for instance, the birth in Leverkühn's mind of the idea of a strictly musical phrase, or of the embodiment of Satan, and other themes in different contexts.

¹⁵ By hypostasis we mean divergence of the designation and the real object.

Another type of solution is to be found in the enharmonically involved transformations, where the transition takes place between one thematic motif and another, and a unity is obtained by the performance of similar constructive or dramatical functions, and not by means of constitutive designations. Here belong all the parallels where several elements of literary structure are referred to a non-literary reality, like the contemporary historical context political and social as well as abstract systems of reference like science, arts and philosophy.

It would be difficult to explain the immense multivocality, the conceptual symbolism and the symbolism of situations with which Mann has impregnated his work otherwise than by applying enharmonies. He uses an uncommonly complicated technique of composition. Not only does he build a musical structure of the novel, but he also takes advantage of a vast range of notions that we have defined as musical facts, he tries to reconstitute, or rather to create elements of semantic musical expression. That is most easily perceived in the parts that contain a transposition of musical facts *sensu stricto*, e.g. in the descriptions of musical pieces of work performed and commented by Kretschmar, and in the masterly descriptions of Adrian's childhood and youth, where even the slightest fact of life is equivocal — at onetime it constitutes painting matter, a fragment of a picture in the making, at another it is a sign, a symptom which determines the inevitable fate of the hero. The narrator, by continuous anticipations, reflections, and digressions makes the fatality of vocation and perdition present to us. This antinomy creates the principal dramatic construction and it manifests itself in countless transformations, and modifications of the stages of fabled matter. We see the birth, the shaping, and the final form of a *stigmatized* life that tends to the utmost limits of human possibilities. This conviction of the fatal force of genius, voiced in the narrator's digressions, is carefully masked and turned into probability in the course of the action. By making the genealogy of Leverkühn known, by depicting broadly the character of his parents and of people who could influence the forming of his character, by a meticulous description of the vital circumstances of his childhood and his youth, Th. Mann has consistently rationalized the psychological phenomenon of genius and made it probable. The same can be observed in the allegorical association of the demoniacal possession with pathology and the assignment of breaks open a physiological genealogy to Satan. This kind of creation breaks open a new area of counterpoint technique and harmonic composition. We are dealing here with an interplay of a rational and empirical world with elements of transcendental and mystical reality. This shape of composition appears most distinctly in "the demoniacal dialogue".

Let us pay attention to the fact, that we cannot speak here about the harmonic accord proper in the case of a literary piece of work, because of the specific kind of the material the elements of which must be perceived successively, in a definite temporal order. This kind of change is not equivalent to a transition to the proper horizontal system, but is only a prolongation proper to literary utterance, of

univocal wholes of expression¹⁶. This peculiar verticalism is omnipresent, but it is sometimes acknowledged only in an unconventional emphatic handling of the subject, such as temporal intervals, the narrator's thematic anticipations and digressions.

The subject of musical symbolism and of the stratifications of musical problems calls for particular attention. Often we come across the opinion that Th. Mann has considered music as a subtle instrument of knowledge. There is certainly a lot of truth in this statement, but it ought not to be abused. The notion of instrument depends in that case upon what is meant by a cognitive process. It would be out of place here to analyse this problem even in an outline. That should involve all the creative work of Th. Mann. Using partly the results of a ready analysis, and partly intuitively noticed regularities we can state that an essential feature of Mann's consciousness is the pursuit of a total comprehension of the world. This peculiar universalism of Mann leads him towards music as an art of immense possibilities of expression, and therefore of great wealth of interpretative matter. The influence of Wagner was of some importance, too. Moreover, the enigmatic character of music coincides with the mysterious world of symbolic meaning and with the sphere of cabalistic beliefs, so characteristic of Mann's concept of life.

In this region of thought the cognitive role of music seems to be double, and in the sphere of artistic analysis and synthesis of the world it constitutes an essential creative element with a threefold function of the medium, the instrument, and the system of reference. The so called musicality of a literary work should be viewed in these dimensions. So far we have been speaking about a chosen operational aspect of the structural function of music in Th. Mann's hell-haunted work. Now we shall mention, just to register the problem, music as medium and a system of reference.

In the first part of this work we have defined what we mean by "musical fact". Now referring to previous assumptions we can indicate certain musical fact underlying *Doctor Faustus* and constituting both moments of inspiration and an element of the content. An enumeration of all the detectable phenomena of this kind would be of no avail because of their great number. We may, for instance, point at the author's own explanation in the commentary to the novel *How did "Doctor Faustus" come into being*. What matters for us is the way in which those facts have been transposed and how they function in the literary context.

The antinomies of modern existence have been incorporated in nonconformistic modern music. The emancipation of the construction of musical thought from the omnipotent and getting more and more petrified canons of melody and traditional harmony might have become an appropriate motive of the writer's composition.

¹⁶ Cf. the problem of time in music in two essays by Z. Lissa: *Estetyczne funkcje ciszy i pauzy w muzyce* (*Aesthetic Functions of Silence and Rest in Music*), "Estetyka", II, pp. 77-102, and *Zagadnienie czasu muzycznego* (*Problems of Musical Time in A. W. Schlegels Aesthetics*), "Estetyka", I, pp. 291-316.

I think that a closer analysis of several wholes of the composition would disclose a serial treatment of the subject. And here, according to definite rigours of the laws of composition, or putting it in a different way, according to a particular code of transformations, there exists a possibility of exceedingly subtle variations, with some necessary liberties of course.

While solving this problem, we must take into account some facts: 1) The existence of a proper code, hypothetically ascribed to the author. 2) The existence of the scholar's code, serving to decode or interpret the contents of the work. 3) Consequently we must assume the existence of a super code which covers the hypothetical interdependence of author's code and the code of the scholar analysing the work.

One may assign to Th. Mann's *Doctor Faustus* some groups of semantic bases, hierarchially ranged according to their literary and non-literary importance, the degree of their generality and their inner differentiation. For instance the groups may range from the circle of various characters of the novel to the sphere of the psychological growth of the hero, up to philosophic and aesthetic problems, conflicts, perspectives, universal meanings, and poetical generalizations.

Hypothetically we may ascribe many codes to Th. Mann, beginning with the simple ones, which can be contained in the basic formulae of classical logic, and ending with the most complicated recurrences, revolutions and manifold multilateral connections.

The investigator's code and the subcode have been mentioned before in conjunction with the presentation of potential critical principles.

In *Doctor Faustus* there is an extraordinary profusion and variety of musical element. The formerly extensive first chapter with Kretschmar's lectures has been considerably abridged, and yet it is still a huge melting pot, overflowing with musical facts through dozens of fissures on different levels and inchoating crossing motifs.

The writer is passionately fond of musical facts themselves. They are at the same time an excellent matter for creating fictive psychological and emotional reality of literary characters. Kretschmar's lectures and lessons inseminate Leverkühn's imagination, and increase his musical sensibility. The prodigious history of the reformer of religious music in the XVII century prepares ground for the conception of the strict phrase of dodecaphonic music. Before the idea of a series of emancipated sounds came into being, the deepest roots of dissonance had to appear in Beethoven's last tragic quartets, the tonalities previous to the period of major and minor systems had to reassert themselves, as well as the rules of the Cantor of St. Thomas¹⁷. Sometimes inhuman things happened to emerge from the pit of hell. The awesome terror of Leverkühn's tremendous masterpiece — *Apocalypsis cum Figuris* — inter-

¹⁷ Cf. S. Ossowski, *U podstaw estetyki (At the Base of Aesthetics)*, ch.: "Organizacja tonów w muzyce" ("The Organization of Sounds in Music"), Warszawa 1958.

nally linked with Dürer's wood engravings, and outwardly stamped with musical stigma of madness, break out into a barbarous debauch of dissonant sounds.

What appeared here, or in *Lamenti Doctoris Fausti*, as wildness and satanic diapason nearly incapable of being kept within definite registers, was indeed only an impression of the listeners used to being lulled by mild music which seemed to them the expression of world's original harmony.

Illness has brought anxiety and madness into human life, madness has borne the new music — this is tragic syllogism with a solution which is univocal and which ought not to be univocal.

Thomas Mann defends himself against accepting the thesis of a pathological quasi-infernal provenience of music, but the very fact that he did admit this possibility proves that the Olympian has been seduced. That seduction is masked by an apparent rationalism, by rejecting "the cow-sted warmth of music", by repudiating impressionism in favour of a strict mathematical construction and conscious composing discipline. It does not mean indeed that mysticism is abandoned, it takes here a Pythagorean shape.

So much be said about the novel and on its basis about the author. These questions call for a thorough examination of the whole course of Th. Mann's creative work, and of his sources of inspiration and his opinions about art, which are not contained in his literary work.

From the commentary to *Doctor Faustus* we learn about Th. Mann's intimate friendship with an original philosopher, Th. W. Adorno¹⁸. A closer analysis of that man's opinions may certainly throw a lot of light upon Th. Mann's conception of music, at least in the final period of his work. This subject ought to be studied separately.

Some attention ought to be paid to another sphere of musical problems in the novel, or rather of possibilities of research provided by musical problems. Leverkühn's composition is based on Schönbergs dodecaphonic music, this authentic event being transcribed into a literary plot. Such facts are deeply motivated in the author's aesthetic and philosophic designs.

Th. Mann's universalistic tendencies, which we have stressed many times, have got a convenient point of support in the serial music with integrative trends — as a method and ideology. Out of fragments Th. Mann builds a vision of the world. And the vision different from that of *The Buddenbrokes* and *Zauberberg* where unity is achieved by the process of organic growth.

In *Doctor Faustus* the vision of an atomised and desintegrated world retains the drastic authenticity of an unjustified dissonance, but the very lack of justification has been justified. This has been done through a transition from the convention of organic consequence to an arbitrary determination of structure as occurring

¹⁸ T. W. Adorno, *Dissonanzen. Music in der verwalteten Welt*, Göttingen 1958; *Zur Metakritik der Erkenntnistheorie. Studien über Husserl und die phänomenologischen Antinomien*, Stuttgart 1959.

in the strict musical phrase. Of course, this concerns the basic assumptions and essential consequences. Th. Mann in this novel also applies a motivation compatible with the concept of organic evolution and continuity, but he does it within an open framework, which intimates finality only by its outward fabular expression, but remains an unfinished utterance as a dramatically presented philosophical metaphor and a poetical synthesis of the world.

Thomas Mann's book has grown on the smouldering ruins of the harrassed Europe, it was born from the writer's Faustus-like reckoning with the past with his own fate and the fate of the world. The past functions as something that has actually happened, the present exists as the possibility of certain realisations (in the sense of Dürrenmatt's "still possible story"), but what will be the future?

PART III

A whimsical Appendix¹⁹

ARNOLD SLUCKI

LEVERKÜHN

Cham
son of Noah
and father of Zoroaster
the magician,
armed with stars and spears
dragging their monkey skins
from Genesis —
skins for drums, garments
and Bavarian pants
skins for the body, for the Middle Ages
Juheisa
they're singing
they're shouting Juheisa
and they fill the darkness, the vaults
Civitate
 is intoned
by theologians
musicians
and in three breaks their breviary,
and with them I
am tuning my requiems
I am laughing with tears
and I am crashing like a mirror,
in which
Adrian Leverkühn is dying from despair
a musical death of the epoch.

Translated by Magdalena Grzybowska

¹⁹ "A metaphor is bad if its meaning can be worded otherwise than by a metaphor, or, a metaphor is bad if it can be described, if its meaning can be fully expressed in other words", J. Przyboś, *O metaforze*, [in:] *Sens poetycki (Poetical Meaning)*, Kraków 1963, s. 47.

KILKA UWAG O „DOKTORZE FAUSTUSIE” TOMASZA MANNA
PRZYZYNEK DO ROZWAŻAŃ O FAKTACH MUZYCZNYCH W LITERATURZE

STRESZCZENIE

Praca niniejsza składa się ze wstępu, dwóch podstawowych części i dopełnienia.

We wstępie wspomniano o genezie pracy i trudnościach związanych z badaniami pogranicza dwóch sztuk oraz ustalono pojęcie i zakres terminu „fakt muzyczny”. „Fakt muzyczny” oznacza tu wszelkie zjawisko muzyczne, fakt z dziejów muzyki, pojęcie muzykologiczne oraz wrażenie wywołane przez określony utwór muzyczny – jeżeli wspomniane tu zdarzenia, przedmioty, pojęcia i procesy stały się w jakikolwiek sposób elementem dzieła literackiego.

Treścią części pierwszej pracy jest wyodrębnienie i przegląd potencjalnych stanowisk, możliwych do zajęcia przez badaczy literatury i muzyki.

Wyodrębniono trzy zasadnicze stanowiska:

1. Badania związków strukturalnych;
2. Badanie funkcji w aspekcie autonomicznym i heteronicznym;
3. Badanie związków zewnętrznych, inspiracji.

Pierwsze stanowisko zasadza się na badaniach metastrukturalnych przy maksymalnym spreycowaniu i sformalizowaniu przedmiotu badania i toku badawczego. Będzie to swoista analiza porównawcza struktury utworu muzycznego i literackiego. Zwrócono uwagę na możliwość zastosowania tu ogólnego aparatu pojęciowego logiki matematycznej, teorii informacji i cybernetyki.

Badanie funkcji spełnianych przez „fakt muzyczny”, istniejący w dziele literackim w ten lub inny sposób, można prowadzić, jak się wydaje, w dwóch zasadniczych kierunkach. Po pierwsze jako analizę opartą na założeniach ogólnej teorii znaku, po drugie na przykładzie konkretnego utworu literackiego – jako analizę funkcjonalną wielorako pojmowaną. Funkcje spełniane przez fakt muzyczny zależeć będą od aktualnie przypisywanych mu właściwości i od tego, do jakiej warstwy utworu literackiego będziemy go odnosić.

Trzecie możliwe do zajęcia stanowisko polega na wykrywaniu i badaniu relacji istniejących między różnymi „faktami muzycznymi” wcielonymi w utwór literacki a szeroko pojętym kontekstem społecznym ich genezy, trwania i przekształceń w rzeczywistości pozaliterackiej.

Wyodrębnione tu postawy badawcze nie występują na ogół w postaci czystej.

Część druga pracy wypełniona jest rozważaniami na temat niektórych funkcji spełnionych przez fakty muzyczne w *Doktorze Faustusie*, a także uwagami o muzycznej strukturze tej powieści.

Mowa jest o różnych przejawach kontrapunktu, który uwzględniając pewną licencję semantyczną, uzewnętrznia się raz w spięciach czasowych (retrospekcyjny czas narracji, przeciwbieżny mu czas fabularny i pozapowieściowy czas historyczny), to znów w zderzeniach i kontrastach treściowo-fabularnych, czy też objawia się interwałami spięć w sferze generalnej interpretacji utworu, jego wymowy filozoficznej i ideowej.

Na podobnej zasadzie mówi się o harmonii i enharmonii, która stanowi jakby formalny aspekt wieloznaczności i symbolizmu treściowego. Wyróżniono tu przetworzenia enharmoniczne proste i uwikłane i określono ich specyfikę, a także stopień przyjętej licencji semantycznej. Wskazano również na możliwość ujęcia w kategoriach kompozytorskich pewnych zabiegów autorskich, jak np. procesu racjonalizacji i uprawdopodobnienia psychologicznego fenomenu genialności. Zwrócono także uwagę na sprawę symbolizmu muzycznego i nawarstwień problematyki muzycznej. Dzieło Manna zyskało tu ogólną interpretację uwzględniającą stosunek Manna do muzyki i konfliktów współczesnego świata. Dzieło to przez swą wielostronną wymowę i tragizm stało się artystycznym wcieleniem idei antynomiczności i nieustannej niedookreśloności naszego czasu. Jest konstrukcją otwartą, która nie może i nie powinna być skończona, chyba że na zasadzie gestu poety – świadomie przyjętej metafory. W tym też symbolizmie i niedookreśloności znajduje swe uzasadnienie dołączone do pracy uzupełnienie jako swobodnie pojęta część trzecia: cytowany wiersz A. Słuckiego pt. *Leverkühn* (oraz słowa J. Przybosia o metaforze).

Andrzej Starzycki