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Saateks koostajalt

Res Musica kolmas number põhineb 2010. aasta 15.–17. oktoobrini Eesti Muusika- ja Teatriakadeemias peetud kuuenda rahvusvahelise muusikateooria konverentsi valitud ettekannetel. Konverentsi üldteemaks oli muusika hierarhiline analüüs, konkreetsemalt Schenkeri analüüsimeetod. Teatavasti on mis tahes hierarhiline analüüs mõeldamatu ilma selgete eelistusteta, mis aga Schenkeri meetodi puhul pole sugugi üheselt mõistetavad. Kas Schenkeri analüüs on eelkõige teadus, kunst või ideoloogia? Kas Schenkeri analüüsi tulemi – hierarhilise häältejuhtimisgraafi – moodustamisel antakse eelisasend kontrapunktile, harmooniale, meloodiale, rütmile (meetrumile) või vormile (vormindusele)? Kas on olemas ja võimalik ainult üks Schenkeri analüüs või mitu analüüsi, neist igaüks oma eelistusega? Kas on üldse võimalik seostada Schenkeri analüüsi rakendamisel saadud tabavaid tähelepanekuid nii, et neist moodustuks loogiliselt vastuoludeta ning ajalooliselt põhjendatud teooria?

Käesoleva numbri artiklite enamik püüab eelmainitud küsimustele kas ühel või teisel viisil vastata. Positsioonid, millelt vastused antakse, võib üldistatult jagada kolme suuremasse gruppi: 1) Schenkeri analüüsist muusikateooria kontekstis aktsepteeritava teadusliku meetodi arendamine on võimalik Schenkeri sõnastatud põhieeldustest loobumata, 2) sellest aktsepteeritava teadusliku meetodi arendamine ei ole võimalik vähemalt mõningatest põhieeldustest loobumata, ning 3) Schenkeri meetodi peamine väärtus ei seisne teaduslikkuses, vaid interpreteerimisvõimes, mistõttu meetodi reformimine teaduslikel alustel võib seda pigem kahjustada.

Esimesena mainitud positsiooni esindavad peamiselt **David Neumeyer** ja **Olli Väisälä**. Neumeyeri sõnul on Schenkeri meetodile omistatud liigne ideoloogilisus ja subjektiivsus ületatav n.-ö pluralistlikus praktikas, mille puhul Schenkeri analüüs moodustab vaid ühe tüübi paljude võimalike hierarhiliste analüüsimeetodite seas. Ühe sellise praktikana võib mõista ka Väisälä väljapakutud struktuurilisi determinante, mis – kombineerituna harmoonia ja häältejuhtimisnormidega – võimaldavad veenvamat analüüsi. Erinevate analüüsitraditsioonide võrdluses (mida võib omakorda vaadelda Neumeyeri pluralistliku praktika ühe võimaliku rakendusena) demonstreerib meetodite varjatud eelistusi oma artiklis ka **Patrick McCreless**.

Teisena nimetatud positsiooni esindavad **Mart Humal** ja **Ildar Khannanov**. Kui Humala sõnul võib Schenkeri analüüsi arendada sisemiste vastuoludeta teooriaks *Ursatz*'i ja seda moodustavate liinide – *Urlinie* ja *Baßbrechung*'i – asendamisel viiehäälse häältejuhtimismaatriksiga, siis Khannanovi sõnul oleks see võimalik alles Schenkeri analüüsile omase pseudohierarhia asendamisel tegeliku hierarhiaga, mille puhul iga struktuuritasand on määratletud vaid sellele omaste tunnuste kaudu.

Kolmandat positsiooni esindavad **Poundie Burstein** ja **Stephen Slottow**. Bursteini sõnul ei kajasta Schenkeri analüüsimeetodi parimad näited mitte niivõrd empiirilist, kuivõrd hermeneutilist protsessi, mille eesmärgiks on leida teose kõige efektiivsem kuulamisviis. Nõudmine, et analüüsi käigus leitud iseärasused oleksid teosele olemuslikuna empiiriliselt kontrollitavad, tähendaks paljude sisukaimate näidete diskvalifitseerimist. Slottow' sõnul tuleks Schenkeri analüüsi mõista aga interpreteerivana, millele analoogiliselt esituskunstiga on omane subjektiivsus ning praktika suur osakaal. Mõlemad autorid rõhutavad Schenkeri analüüsi pedagoogilist aspekti näidates, kuidas see stimuleerib mõtlemist.

Lisaks eelnimetatutele sisaldub käesolevas kogumikus veel kaks artiklit autoritelt, kelle esmaseks eesmärgiks ei ole polemiseerida metodoloogia üle, vaid demonstreerida analüüsimeetodite rakendatavust. **Cecilia Oinas** näitab, kuidas Schenkeri analüüsi on võimalik siduda teose interpretatsiooniga ning **Avo Sõmer** demonstreerib, kuivõrd viljakaks võib osutuda heliteose mõningate aspektide avamisel kujutava kunsti kontekst.

Muusikateaduse suhteliselt spetsiifilisest valdkonnast tingituna on seekordse *Res Musica* numbri

põhiartiklid inglise keelses. Eesmärgiga tuua nende sisu lähemale emakeelsele lugejale on artiklid varustatud laiendatud eestikeelsete kokkuvõtetega. Kuna mainitud kokkuvõtted kommenteerivad võrdlemisi suurel määral analüütilisi näiteid, peaks ka ainult numbri eestikeelsete osade lugeja saama ülevaate lõppjäreldusteni viinud arutluskäikudest. Analoogiliselt varasemate *Res Musica* numbritega, on ka siin avaldatud artiklid anonüümselt retsenseeritud kahe vastava valdkonna tippeksperdi poolt, kellele kuulub koostaja sügav tänu. Koostaja kõige suurem tänu kuulub aga Mart Humalale, kes konverentsi ideelise juhina võttis enda kanda ka artiklite esmase ja kõige töömahukama toimetamise ning kokkuvõtete eesti keelde tõlkimise.

Kuues rahvusvaheline muusikateooria konverents Tallinnas peeti projekti „Muusika funktsionaalsed aspektid" raames ning seda rahastas Eesti Teadusfond (ETF 8497).

Kerri Kotta

Editor's Preface

The third issue of *Res Musica* is based on selected essays from the Sixth International Conference on Music Theory held in Tallinn, October 15–17, 2010. The main topic of the conference was hierarchical analysis, particularly Schenker's analytical method. As we know, any hierarchical analysis is impossible without clear priorities. However, those of Schenkerian analysis are by no means uniquely comprehensible. Is it primarily a science or an art or an ideology? Which aspect – counterpoint, harmony, melody, rhythm (meter) or form (design) – is given priority by generating its main outcome: voice-leading graphs? Is there only one kind of Schenkerian analysis, or are there several, each with different priorities? Is it possible to develop the deep insights of Schenkerian analysis in the context of a logically non-contradictory and historically well-founded theory?

Most of the articles in this issue attempt to give, in one way or another, an answer to these questions. The answers, depending on the standpoints of authors, can be divided into three large groups: 1) It is possible to develop Schenkerian analysis into an acceptable scientific method, in the context of music theory, without giving up the main premises formulated by Schenker. 2) It is impossible to develop it into an acceptable scientific method without giving up at least some of its main premises. 3) The main merit of Schenker's method is not its scientific quality but rather its capacity for interpretation; therefore an attempt to reform it on scientific grounds may only damage it.

The articles by **David Neumeyer** and **Olli Väisälä** belong to the first group. According to Neumeyer, an undue ideological emphasis and subjectivity attributed to Schenker's method can be overcome in a pluralistic practice where Schenkerian analysis constitutes but one of many possible types of hierarchic analyses. An example of such a practice can be seen in the system of structural determinants proposed by Väisälä, which – in combination with harmony and the norms of voice-leading – can result in more coherent analyses. Hidden priorities of the various methods are demonstrated through a comparison of different analytical traditions (as another possible application of Neumeyer's pluralistic practice) in **Patrick McCreless's** article.

The articles by **Mart Humal** and **Ildar Khannanov** belong to the second group. Whereas Schenkerian analysis can be developed into a non-contradictory theory by substituting, according to Humal, a five-part voice-leading matrix for the *Ursatz* and its constituent parts (the *Urlinie* and *Baßbrechung*), the same is possible, according to Khannanov, by replacing the pseudo-hierarchy typical of Schenkerian analysis with the "real" hierarchy where each structural level is determined by features uniquely inherent in it.

The articles by **Poundie Burstein** and **Stephen Slottow** belong to the third group. According to Burstein, Schenkerian analysis, in its best manifestations, is not an empirical but rather a hermeneutic process that endeavours to describe how a composition might be heard most effectively. To insist that the features cited in the analysis should be empirically verified as inhering in the composition itself, would disqualify many of the most substantive examples of Schenkerian analysis. According to Slottow, analysis is not only a theory but also a practice; like performance, it is interpretive, characterised by a great deal of subjectivity. Both authors emphasize the pedagogical aspect of Schenkerian analysis, its thought-stimulating power.

In addition to the aforementioned articles, this issue contains two more essays by the authors whose aim is not to polemize about methodologies but rather to demonstrate their applicability. **Cecilia Oinas** shows how Schenkerian analysis can be combined with the performance of a composition. **Avo Sõmer** demonstrates how a context of the visual could be fruitful in discovering some aspects of a musical composition.

Due to the specificity of their topics, the main articles in this issue of *Res Musica* are in English. In order to make the readers of Estonian acquainted with their content, the articles are provided with extended summaries in Estonian. Since these, to a high degree, consist of commentaries on musical examples, they should give the reader an idea of an

article even without following discussions leading to their conclusion. Like those of the previous issues, articles published here are reviewed by two anonymous readers. I would like to express my gratitude to them, as well as to Mart Humal, who, in addition to being one of the initiators of the conference, helped me in editing the texts and translating the summaries.

The 6th International Conference on music theory in Tallinn, held in the framework of the project "The Functional Aspects of Music", was funded by the grant of Estonian Science Foundation (ETF 8497).

Kerri Kotta
(translated by Mart Humal)

Themes and Lines: On the Question of Hierarchy in the Practice of Linear Analysis

David Neumeyer

Introduction

Reviewing the critical literature on Schenkerian theory and analysis from the 1980s and 1990s, Nicholas Cook offers this optimistic assessment of the current state of practice: "Rethinking the *Ursatz*-dominated synthesis of *Der freie Satz* […] has opened up possibilities within a broadly Schenkerian practice, and in its relationship to other analytical approaches, that were progressively foreclosed during the final decade of Schenker's life." Referring specifically to a published analysis of a Brahms song by Charles J. Smith, Cook says that it "need not be seen as a replacement for Schenker's [own analysis], but can rather stand alongside it as a construal of the music from an alternative perspective, with difference between the two representing […] the tension of musical coherence, [to use Schenker's phrase]" (Cook 2007: 296).

For those of us who were involved in the early stages of this disciplinary transformation, it is satisfying to observe this consolidation of a pluralistic attitude, not simply because it counters the authoritarian idealism of *Der freie Satz,* as Cook has it, but more so because it stands in rebuke of the ideological hardening of the well-known "Americanization of Schenker" after World War II (Rothstein 1990; Snarrenberg 1994; see also Cook 2007: 274–280). And it was a particular pleasure to observe this pluralism in action during the recent Sixth International Conference on Music Theory sponsored by the Estonian Academy of Music and Theatre (Tallinn, October 14–16, 2010), where a range of views and methods of analysis were acknowledged, discussed, and debated.

This article revises and expands on my keynote address for the conference (Neumeyer 2010) to make a number of historical and methodological observations relevant to this welcome historical change. My central argument is that a contemporary practice of linear analysis, if it is to continue to unfold and develop in the most effective way, must place a high priority on consciously separating hierarchy *in* the text from hierarchical modeling in the *interpretation*, or, more specifically, from what Jonathan Culler calls an inevitable teleology in the *process* of interpretation (Culler 1975: 200).

My recent article in *Music Theory Spectrum* explores the idea of hierarchy as a common mode in interpretative practices (Neumeyer 2009a). I came to the topic, however, not directly from music but indirectly through literature and film. While engaging with the historical aspects of literary theory in relation to film criticism, in support of my ongoing work in film music studies, I became interested in the history of interpretation in the arts more broadly. In the course of this I explored the relationship of musical analysis to the Anglo-American school of New Criticism and the traditional method of thematic reading in literature. The quote from the article below makes an explicit comparison between the priorities and methods of the New Critics and Schenkerian analysis as it was understood and practiced in the United States in the 1960s and 1970s. In particular, "theme" as a general statement of what a poem or story is about is aligned with the background in Schenkerian analysis:[1]

> Understanding theme as the equivalent of the contents of the background, last stage of reduction, or other "summary," aligns musical analysis with practices in literary interpretation current when Schenkerian analysis was in process of being adopted in the United States. The New Critics believed in the autonomy of the artwork and in its integrity as an organic unity, they emphasized the critic's task as demonstrating that unity, and they put "close reading" at the center (Culler 1981: 3). They used a small group of "rudimentary models of the kind of thematic significance that the reader attempts to find" (Culler 1975: 208): a "set of reduction terms towards which the

[1] Rudolf Arnheim invokes theme with the same functional meaning as I do. Writing about architecture but making an explicit comparison both to music and to Schenker's theory, Arnheim says of a hierarchic structure that "it permits the viewer or listener to grasp a complex whole as gradual unfolding and enrichment of a theme, the bearer of the design's basic meaning" (Arnheim 1977: 252).

> analysis of ambivalence, tension, irony and paradox was to move: life and death, good and evil, love and hate, harmony and strife, order and disorder, eternity and time, reality and appearance, truth and falsity […] emotion and reason, complexity and simplicity, nature and art." As a group, these constrain the practical work of a poem's interpretation in nearly as radical a manner as Schenker's three backgrounds constrain the interpretation of a piece of music (the crucial difference being that the New Critics never insisted on their exclusiveness). (Neumeyer 2009a: 318 (edited))

I argue for the generality of the mode of reading that underlies interpretative practices: "The deployment of thematic reading cuts across theoretical and ideological boundaries. Notions of theme or thesis represent the making of abstractions that are a first step in reflection on any text one reads, a strategy that is routine in the traditional practice of reading and in its pedagogy. Interpretation tends to impose a structure mimicking the teleology of reading" – that is, the process by which one gradually makes sense of a text while reading and emerges from that reading with a general notion of what the text "is about" (Neumeyer 2009a: 320). I go one step further, however, to the reader's reaction or response and thus distinguish between theme as a descriptive statement and thesis as an assertion of truth-value. Said another way, theme is analytical, thesis is ideological. This distinction was central to the argument in the *Music Theory Spectrum* article, as it opened the contents of the background to critique: within this critique, the three *Urlinien* are ideological expressions, not exclusive or even necessary contents of the background in a hierarchical analysis.

I will now extend the discussion historically to encompass late nineteenth-century philology and pedagogy of reading, but of a particular kind, the influential French method called *explication de texte*, associated especially with Gustave Lanson and Gustave Rudler. From this discussion, I will conclude not only that the model I described in the *Spectrum* article is productive but also that, in the context of European philology and criticism, Schenker was by no means the reactionary we all assume he was, even if he came to his priorities by a unique path: he in fact shared significant contemporary concerns with Lanson and with English and American modernists such as T. S. Eliot, I. A. Richards, and the New Critics, the best known of whom are Cleanth Brooks and John Crowe Ransom. The interpretative practices of Schenkerian analysts may be unique in music, but they are not unique in the world; on the contrary, they can be readily understood by analogy with interpretative methods and priorities in literary criticism over the past century and a half. And, like the authors named above, Schenker never resolved the fundamental contradiction "between two incompatible modes of thought: on the one hand the dialectical thinking […] predicated on an interaction [of tension and balance] between foreground and background; on the other the idealism of a Platonist or Leibnizian type […], according to which ideas are abstract and eternal, removed from the generations and their times" (Cook 2007: 295).

In order to establish a conceptual framework for analytical methodology, I will invoke a four-element scheme developed by David Bordwell, an eminent film scholar. He uses the scheme to differentiate between priorities of scholarly interpreters of films (Bordwell 1989). Two classes, description and interpretation, are each divided into two categories – referential and explicit in the first case, implicit and symptomatic in the second case. The categories of interpretation – implicit and symptomatic meanings – match closely Cook's "dialectical thinking" versus "[Platonist or Leibnizian] idealism." Bordwell says that ideas of tension and balance are central to the production and assessment of implicit meanings. Symptomatic meanings are those that flow from, and serve to reinforce, the underlying ideological model; Schenker's abstract model as presented in *Der freie Satz* fits this category well. The production of both implicit and symptomatic meanings relies on thematic priorities: the evidence of implicit meanings may generate a thematic statement, and the *a priori* ideological framework, of course, supplies the symptomatic meanings that are realized or repeated through the interpretation.

In the last section of the article, a set of readings of Chopin, Prelude in A Major, Op. 28, No. 7, will serve as a case study in analysis and comparison of analyses based on different thematic priorities. The conclusion, then, asserts that we should understand Cook's "broadly Schenkerian practice"

as a field of linear or hierarchical analysis, within which traditional Schenkerian analysis should be openly regarded as a subspecies.

Historical context: *Explication de texte,* linguistic formalism and structuralism, the middle path of the New Criticism, the post-structuralist turn to the reader, the pluralistic present

Stanley Fish was one of the best-known American proponents of deconstruction and reader-response theory in the 1980s; he was heavily influenced by French structuralist and post-structuralist theory, particularly Derrida's deconstruction, by way of Paul DeMan. Yet, when Fish was interviewed in 2000, he made these surprisingly positive comments about the New Criticism, which he said had "provided a vocabulary, with its notions of tension and paradox and verbal artifacts, that [was useful for any genre and period]" (Fish 2004: 22). Fish was not criticizing the various structuralist and post-structuralist modes that followed on the heyday of the New Criticism; he was suggesting that the prevailing attitude toward that very influential movement was skewed too far to the negative side: if the New Critics' focus on the text was excessive, the reaction against close reading as totalizing and as apolitical also went too far.

Fish went on to say that "[Despite] laments that close reading is a lost art […], it still remains […] [a] powerful pedagogical tool [that] can really awaken students' interest when they begin to realize that they can perform analyses of texts that remove the texts from the category of the alien and the strange, and then begin to actually understand the mechanics of how prose and verse work." Art Berman, a historian of modernism in literature, says very much the same thing: The New Critics' seeming indifference to the political and the historical is "often part of the reason […] some recent critics vehemently reject [them], even as [these same critics] exercise a critical method that, in most instances, [is what] the New Critics have taught them, a method that was itself at one point 'revolutionary,' displacing both positivist historicism and empathetic impressionism" (Berman 1988: 86).

In the broadest strokes of a progressive historical narrative, interpretation had moved inexorably on from its beginning point in a focus on the author, represented in nineteenth century concepts of the genius (or author-as-hero), of biography, and of intention. Essential to this view is the poem, novel, or symphony as masterwork. The demonstration or illustration of genius through ever more systematic critical appreciation and analysis in the first half of the twentieth century led, however, to what one might call a competition between author and his or her own text.

This slippage shows vividly in the English critic J. A. Fuller-Maitland's critical appreciation of the C-Major Prelude from *The Well-Tempered Clavier*. For Fuller-Maitland, *The Well-Tempered Clavier* is no longer a part of everyday music making – it has been transformed into a work of heroic perfection, even more than that, into something ascetic and holy: "There are shrines that can only be approached after the worshipper has performed some lustral rite, and the need for such purification meets us at the threshold of the great temple we are now to enter" (Fuller-Maitland 1970 [1925]: 12). The severe, the serious, and the perfect go together in Fuller-Maitland's view: "The […] Prelude in C [transforms] the arpeggio prelude […] into a creation of perfect loveliness, the ethereal beauty of which is due in great measure to the subtle suggestions of its harmonies. Like many other flawless works of art, if seems as though it had sprung forth spontaneously, as though it could not ever have gone through any process of development." (Fuller-Maitland 1970 [1925]: 12) Thus, *ex nihilo*, not from the hand of J. S. Bach, in whose genius Fuller-Maitland most certainly believed, nevertheless.

From this self-contradictory position to the pedagogical juggernaut of textual analysis as espoused by the New Critics required just one simple step, to the "intentional fallacy," which asserts that it is an error to assume the author is the final authority on a text's effects. The text is thus free of its creator, to be understood on its own terms. For Cleanth Brooks and his colleagues, the assertion of the intentional fallacy meant freedom from the burden of a historically minded philology, so that one could engage with a poem or story as a self-standing organic and expressive system. As Art Berman puts it,

> The strategy for literary criticism through the early 1960s was to seek an adversarial truce with science: incorporating some of its

> methodology, by taking the literary work as an autonomous object of study, and turning to the past, following the example of Matthew Arnold, for values and outlooks that allow literature to retain importance as one looks toward the future.
>
> The gradual introduction of Romantic theory into the New Criticism […] was part of the attempt to retrieve from a past era literary […] values that could assist in counteracting what were seen by literary critics as the worst aspects of modern technological society. […] The New Criticism could assign to literature the highest cognitive as well as creative values, both elevating and defending its stature. The best available tactic was, accordingly, to retain the technique of empiricism for literary criticism by claiming that literary criticism could itself be a separate scientific-like enterprise – distinct from the reliance on "extrinsic" disciplines, such as late nineteenth century "positivism," particularly in philology or history – while at the same time incorporating values of freedom, creativity, and personal human endeavor found in a Romanticism. (Berman 1988: 84–85)

If this seems to be nine steps out of ten in the direction of the French structuralism of the 1950s and 1960s, it *was* in fact – but without the latter's explicit and intense orientation to linguistics. The New Critics were, so to speak, sitting on the fence between author and text, despite their claims for formalism. As one example, Brooks, who was a graduate of Vanderbilt University in Tennessee, played a very important role in promoting contemporary American Southern writers such as William Faulkner, Carson McCullers, and Katherine Mansfield.

At this point, I want to step back a generation to consider parallel developments in France, specifically the method called *explication de texte*. It was Gustave Lanson, who died in 1934, that introduced into literary scholarship in France the methods associated with positivism and stylistic analysis, both of which are very familiar to us in music studies through the contemporaneous work of Hugo Riemann in Germany and Guido Adler in Austria.[2] Lanson "established literary history as *the* accredited model for literary studies in French universities. In his approach [he emphasized] sources of inspiration and literary influences, cultural milieus and generational interests, biographical features and textual data" (Furman 2005).

> The particular form which nineteenth-century positivism conferred on this tendency was the belief that all manifestations of the human intellect were capable of being studied in a methodical, scientific manner by being categorized and classified according to historical principles. It is perhaps natural that, when the study of French literature was encompassed in this development, it should be the historical associations, the philosophical content, and the social relevance of a work, in short those aspects which are more obviously susceptible of objective analysis, that were stressed; the organization of the study of literature according to positivist principles was regarded as a necessary corrective to the vague impressionism of an undisciplined appreciation. (Howarth and Walton 1971: xi–xii)

Lanson's adoption of close reading as one tool in his system of stylistics had its source not in contemporary philology, however, but in a centuries'-old method of the medieval Scholastics and Renaissance humanists for reading and understanding classical Greek and Latin texts: systematic summary and paraphrase. As Howarth and Walton put it, *explication de texte* "transferr[ed] to the study of [modern] French texts a method hitherto recognized as belonging to the study of the classics" (Howarth and Walton 1971: xv). Consequently, philology gradually became both specialized and marginalized: as Karl Uitti (2005) explains, "in practice 'philology' became almost exclusively associated with textual and linguistic study of the earlier epochs. Literary historians concerned with post-medieval developments, like Abel Lefranc and Gustave Lanson in France […], evinced little interest in Old French or in Old English, and their disciples came to resent having to waste valuable time on these recondite subjects for which they felt little ideological sympathy."

In this championing of modern literature and scientific method, Lanson was certainly no

[2] The most influential of Lanson's many publications are Lanson 1898 and Lanson 1925.

conservative (even though that is how he would routinely be described in the twentieth century). Indeed:

> Positivism […] was a decidedly Republican virtue. In the literary sphere this meant the rejection of a tradition of impressionistic literary criticism that focused on questions of rhetoric and appealed to standards of taste. […] For Lanson, the only Dreyfusard in the otherwise conservative literary world of the Sorbonne, it was a question of replacing this elitist literary criticism with a literary history established on scientific grounds. In the context of the still relatively new public education system literary history was to provide a foundation upon which to establish a literary pedagogy whose task would be to foster a national democratic cultural identity. (Guerlac 2005)

Strangely, it is not his comprehensive, historically oriented approach to the study of literature that Lanson is known for now: instead, *lansonisme*, as it has been called, is associated primarily with textual analysis. The explanation lies in the overwhelming success of Lanson's student and protegé, Gustave Rudler, who not only codified the pedagogy of textual analysis as *explication de texte* but then moved to the United Kingdom, where as a professor in Oxford University he was very influential in spreading a preference for close reading over biography well beyond French classics to the study of both classical and contemporary English literature.[3]

At this point in my rough sketch of an historical narrative for interpretation, the author threatens to disappear: close reading of a text as a more or less autonomous system encouraged – in fact, enabled – the continuing search for an objective, scientific method. This search, however, diverged toward sharply different results: an empirical, linguistics-based structuralism, on the one hand, and, on the other, a deterministic, ideologically driven set of methods, of which Marxism, then feminism and Lacanism (or psychoanalysis) are the principal instances. As was typical of him, Roland Barthes could argue both sides. In "'What Is Criticism?' he objects not so much that [*lansonisme*] became an ideology but that it hid its ideological force and commitments in the name of supposedly transparent values such as truth and knowledge" (Guerlac 2005). And the overwhelmingly detailed analysis in Barthes's *S/Z* can be seen, of course, as an elaborate parody that drives the method of *explication* to the absurd (see Barthes 1974). But Barthes was also the foremost proponent of a rigid structuralist semiology in the 1960s, before he turned to psychoanalytic criticism under the strong influence of Julia Kristeva.

Structuralism took the text-as-object to the extreme, to a symptom of language, and the other methods reduced both author and text to symptoms of ideology, handy mainly for the repetition of particular cultural critiques or, more narrowly, for disciplinary critique. Symptomatic reading was particularly good for uncovering contradictions or repressed meanings. "What is repressed [became] desire [for Lacan], ideological contradiction [for the Marxist Althusser], or the subversive force of writing [for Derrida]" (Bordwell 1989: 17). No wonder, then, that the "critic [became], in effect, a 'secondary author,' reinterpreting and virtually re-creating the original" [Howarth and Walton 1971: xxx]. This result may have suited the methodological goals of the *explication de texte,* but to a very different end.

My rough sketch of an historical narrative would say that the course of criticism and interpretation over the past century or so has been a gradual movement from priority to the author (and therefore to intention and biography), toward priority to the text (and therefore to structure and effects), and then toward priority to the reader or critic (and therefore to subjectivity and ideologically-grounded determinism). To this I would add a final stage: the present situation, where the trajectory just described has played itself out, and the promise of a pluralistic practice has arisen.

Lansonisme et Schenkerisme

Several points need to be emphasized in a historical comparison of interpretation in literature and music. The first concerns a crucial aspect of method. Cleanth Brooks used "a distinctive terminology (e.g., irony, paradox) that sounds like

[3] His most important book is Rudler 1923.

the attribution of mental states to the poem itself, a most ingenious strategy to bind subjectivity into an autonomous object" (Berman 1988: 36). This is essentially the same as Schenker's attribution of agency to tones, an idea he inherited from the tradition of Viennese fundamental bass theory, specifically from Simon Sechter, and that had already been explicitly stated and developed by the "energeticist" theorist August Halm (Rothfarb 2002: 936–937). Notions of tension and balance derive directly from this.

The second point to be raised relates to the well-known "art, not science" declaration about Schenkerian analysis, an assertion that is disingenuous, in exactly the opposite direction of the New Critics in literature. The New Critics thought of themselves as grounded in empirical methods of textual analysis but were by no means reductionist in their basic outlook: they were very much focused on aesthetic considerations. On the other hand, if Schenker thought of his method as almost magical revelation of the paths of genius, as he developed this thesis he certainly assembled a large number of tools for analysis along the way, tools that remain very useful into the present.

The third point concerns the direction of analysis. The method of *explication de texte* involved a series of tasks culminating in a general statement about the text; this follows an empirical model in which the data collected from the analysis leads to the possibility of a concise statement of what it is about, or the work's theme. In their textbook, Katz and Hall change the procedure to fit contemporary circumstances of literary pedagogy in the United States in 1970. Theirs is an inductive model, where reading the text and situating it in its historical context provokes a "guess" or hypothesis about the work as a whole; subsequent description of the structure and the work's textual details confirms (or alters) and fills out the analysis. Their discussion of the thematic statement, or what they call "defining the general character of the text," describes the method succinctly:

> The student […] should [now] attempt to characterize [the work] briefly, stating what he finds its dominant theme to be. […] The aim here is to put into words the central idea of the text, its main preoccupation (though in some cases a simple statement of the subject will suffice). This is important, since the student will shortly attempt to show how the details of the text are related to the main idea. He may occasionally prefer to perform the detailed analysis first in order to insure a more accurate formulation of the essence of the text. (Katz and Hall 1970: xii)

The ease with which Katz and Hall reverse the direction of the analytical work confirms that *explication de texte*, like the methods of the New Critics, is hierarchical, and it is the general statement, the theme, that sits at the top, whether that position is reached by an inductive or deductive process.

The interplay of reductive and inductive (or generative) modes of analysis is well known to Schenkerians, as is the fact that, pragmatically in the work of reading a piece, it is unproductive to follow one or the other exclusively. Carl Schachter, among others, has written about this on a number of occasions. Here is a representative instance from the essay "Either/Or":

> I shall point out some of the kinds of clues to large structure that an examination of details can yield, though it is far from my intention to offer a "method for the reading of diminutions" […]. I strongly doubt that such methods or theories can be made to work, for I believe that the understanding of detail begins with an intuitive grasp of large structure, however imperfect or incomplete, a process that is ultimately resistant to rigorous formulation. (Schachter 1990: 166–167)

Schachter here is articulating something essentially indistinguishable from Katz and Hall's inductive method. His "large structure" is the theme in the hierarchical model of reading literature.

A fourth point to be made about the historical comparison is that we must be careful to avoid accepting too easily the criticism written by later generations about now-classical modes of interpretation. In particular, we should understand that virtually all the elements of that rough history I have outlined were present nearly from the beginning – in other words, the history of interpretation is one of shifting emphases in a broad field that was essentially defined from the outset, not a progressive history of discovery of viewpoints that were without any precedent.

I quoted Suzanne Guerlac earlier on Lanson's quite coherent ideological – indeed overtly political – goals. If Barthes later complained that Lanson's ideology was suppressed, that was only a necessary step for Barthes so that he could then feel free to interpret the *explication de texte* in symptomatic terms. I. A. Richards, as Berman (1988: 35) points out, was interested in psychological grounding for criticism in the 1920s and therefore "concentrated on the poem's effect on the reader, the establishing of 'attitudes'," a term that the New Critics adopted as well. In this sense, Richards had the same concerns as did the reader-response theorists of the 1980s. And so on.

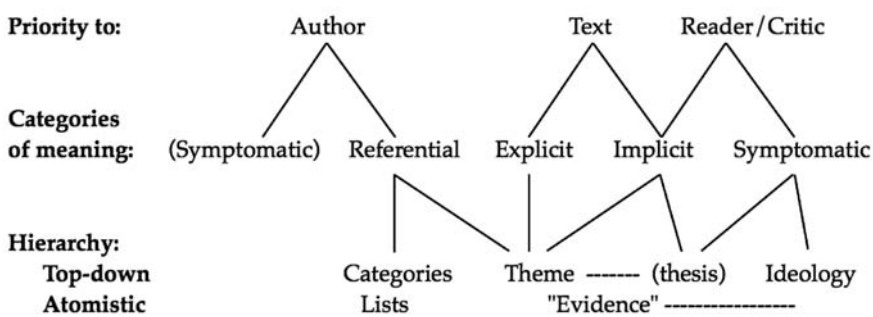
The final point to be made here also concerns criticism from later generations. I claim that Schenker, like Lanson, when considered in the context of his time, cannot be called a reactionary, at least outside the sphere of national politics. Lanson was liberal in the nineteenth century sense – he believed in education and science as progressive, and he favored the study of modern literature over classics. What Schenker did for music was to create a fully worked out analogue to close reading. William Benjamin, therefore, was wrong when he said "Schenker's pessimism is in keeping with the predominantly elegiac tone of his writings, which may be read as a magnificently sustained and passionate lament for the music which he loved and to which he was utterly devoted, the apparent death of which was visited upon him in his youth" (Benjamin 1981: 155). Eloquently stated – but Schenker was already thirty years old when Brahms passed away. Even by the early 1920s, the composer had been dead for just twenty-five years, barely a generation. A good argument could be made that what Schenker engaged in was a defense of Brahms and promotion of his music. Brahms *was* the present for Schenker, as much as were any of his avant-garde antagonists, such as Schoenberg, Hindemith, or Stravinsky. The classical past was represented by Fux and C. P. E. Bach; theirs were the aesthetic priorities and music that had to be recovered through close study, like Greek and Latin authors for the Renaissance humanists.

Theme and modes of interpretation

The table below (Example 1) aligns the historical process outlined earlier (priority to author, priority to text, priority to the reader) with Bordwell's classes and categories. At the bottom of the table are the two directional schemes for a hierarchical model – generative or top-down and atomistic or bottom-up – with some terms that correspond to Bordwell's categories above. Thus, a bottom-up approach to referential meaning would most commonly generate lists of characteristics (or style traits), whereas a top-down approach would search for information in regard to a set of given categories (such as the classic narrative elements: space, time, agency).

Referential meaning, according to Bordwell, is concerned mainly with the reader/viewer's construction of the world of the narrative, in its spatial and other characteristic aspects. The second descriptive category, explicit meaning, attempts to characterize and summarize the text's meanings as they are presented, or from the point

Example 1. Priorities, categories, and hierarchies.



of view of the text; this is essentially the paraphrase of the *explication de texte*. Reading for implicit meanings takes a step beyond paraphrase, passing from description to interpretation as it seeks to construct meanings that are "covert [or] symbolic" (Bordwell 1989: 8). These "[u]nits of implicit meaning are commonly called 'themes,' though they may also be identified as 'problems,' 'issues,' or 'questions'" (Bordwell 1989: 9). Accordingly,

> the spectator may seek to construct implicit meanings when she cannot find a way to reconcile an anomalous element with a referential or explicit aspect of the work; or the "symbolic impulse" may be brought in to warrant the hypothesis that any element, anomalous or not, may serve as the basis of implicit meanings. Furthermore, the critic may take implicit meanings to be consistent, at some level, with the referential and explicit meanings assigned to the work. Or, as in the process of irony, implicit meanings may be posited as contradicting other sorts. (Bordwell 1989: 8)

The extreme form of interpretation is built on a symptomatic bias, which always has the effect of "subsuming [a reading of a film] to a theory of cinema, of culture, or of criticism" (Bordwell 1989: 235). In this case, "[hidden, symptomatic, or "repressed"] meanings are assumed to be at odds with referential, explicit, or implicit ones. Taken as individual expression, symptomatic meaning may be treated as the consequence of the artist's obsessions. […] Taken as part of a social dynamic, it may be traced to economic, political, or ideological processes" (Bordwell 1989: 9).

Perhaps the most familiar example of interpretation by implicit meanings in the music analysis literature is Edward T. Cone's "promissory note," an anomalous E♮ near the beginning of a piano composition in A♭ major by Schubert. Cone shows that this odd pitch is rich in implications for the way the work unfolds harmonically, formally, and expressively (Cone 1982). In the traditional Schenkerian literature, analyses that focus on hidden repetition are concerned with implicit meanings. One of the most elegant examples I know is William Renwick's study of the motivic (linear) shapes that emerge from fugue expositions (Renwick 1991). When Schenkerians favor tonal structures (in the levels) over surface features, they are also favoring implicit meanings.

As an example of symptomatic meaning, in this case put forward almost in the manner of a myth-closing moral tag, is the appendix to the English translation of Schenker's Harmony, where Oswald Jonas briefly lays out the successive levels of structure in J. S. Bach, Little Prelude in F Major: this prelude "is the artistic elaboration of one single chord, projected in time. It is the expression of true tonality. Such a creation is conceivable only if it is drawn from a unitary background." (Schenker 1954 [1906]: 352)

Bordwell stresses the point that the "four categories of meaning-construction are functional and heuristic, not substantive. Used in the processes of comprehension and interpretation, they constitute distinctions with which perceivers approach [texts]; they are assumptions which can generate hypotheses about particular meanings" (Bordwell 1989: 10). The process of making an interpretation, then, requires two steps: first, having established whether the "most pertinent meanings" are implicit or symptomatic, the interpreter chooses and maps onto the text "at several levels" certain concepts or clusters of ideas (such as closely related words or oppositions) and schemata (such as genre categories or character centricity); then, he or she "articulate[s] an argument that demonstrates the novelty and validity of the interpretation" (Bordwell 1989: 40–41).

Case study: Chopin, Prelude in A Major, Op. 28, No. 7

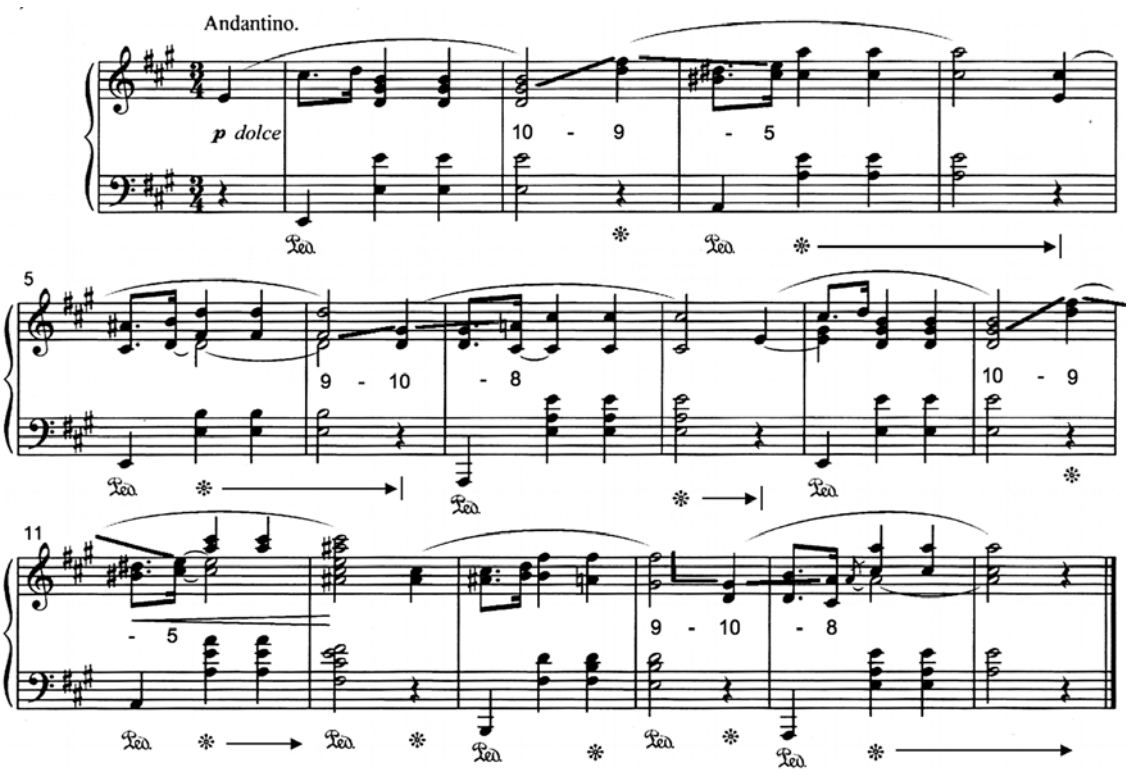
Example 2 reproduces the score of Chopin's A-Major Prelude in a modern edition, to which I have restored the pedaling of the first Paris edition (1839a) (see the arrows below the staff).[4]

[4] The pedalings in the London (1839b) and Leipzig (Breitkopf; 1839c) editions in fact vary slightly from those in the Paris edition – and also from each other. All three, however, are consistent in the main idea of generally holding the pedal down through two-bar units.

I have also indicated details relating to the ninth of the dominant. These will be of interest later on.

Example 3 is a first mapping of the hierarchy for thematic reading onto music. Bordwell's distinction between descriptive categories of referentiality and explicit meaning is roughly reflected in "elements" and "motif" but the real focus of interest is in the two upper rows, "theme" and "thesis." Here I have separated theme and thesis, as in Neumeyer 2009a, in order to distinguish more effectively between implicit and symptomatic meanings. In Example 3a, at the left, for Schachter's well-known reading of another Chopin Prelude (Schachter 1995: 153), the thesis or the symptomatic meaning is hermeneutic – that is, it represents the possibility that something like musical narrative, based in metaphor, can co-exist alongside synthesis, or organic unity (therefore specifically excluding gaps, contradictions, and the like). The theme or implicit meaning, on the other hand, is the *Ursatz*, or more narrowly here, the *Urlinie* from $\hat{5}$, along with the registral instantiation of the narrative figure. The concrete level of the motif is that of the musical motive or theme in the usual musical sense of a melody.[5]

Example 2.
Chopin, Prelude in A Major, Op. 28, No. 7.



[5] The *Urlinie* in a Schenkerian analysis is not automatically assigned the place of theme or implicit meaning. If, for example, the specific point of the analysis is to justify the *Urlinie* itself, along with the structural levels, then it becomes symptomatic. The *Urlinie* can even be understood in terms of explicit meaning in a short composition where the line is especially obvious on the surface.

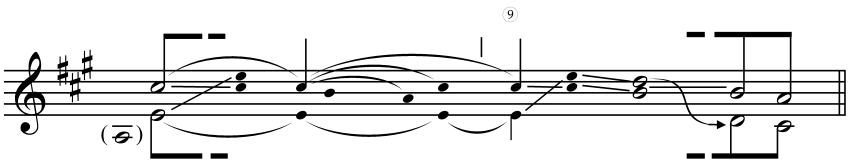
Example 3. Levels in Carl Schachter's reading of Chopin, E-Minor Prelude (a); levels in my registral reading of Chopin, A-Major Prelude (b).

(a)

thesis:	metaphor linked to design (possibility of narrative)
	synthesis
theme:	*Urlinie* from $\hat{5}$
	downward pull on register
	descriptive metaphor (vision of death)
motif:	C–B motive
	b^1 as first *Urlinie* note
elements:	harmonic functions, phrase articulation, etc. (see Schachter 1995: 153).

(b)

thesis:	opening and closing have cognitive and structural priority
	listening is strongly hierarchical (as in Lerdahl 2001)
theme:	priority to temporal frame
	strong teleology
motif:	interval of the sixth
	interval inversion as registral device
elements:	harmonic functions, phrase articulation, etc.:



In Example 3b, I have anticipated a reading of the A-Major Prelude to be discussed later in the context of several similar ones. The thesis in this case is that openings and closings have cognitive priority, based on the belief that listening is strongly hierarchical, as in Lerdahl's conception of tonal space, though of course I am not following his prolongational reduction method (Lerdahl 2001). The theme instantiates this thesis directly: the analysis gives sharp priority to the temporal frame (that is, beginning and end get the open notes) and the piece is read in terms of a strong teleology, where everything else is subordinated to beginning and end. The beginning itself is even subordinated to a prior understanding of key – the initial sixth, whose upper note $C\sharp^2$ sounds with the dominant bass, opens a register that belongs to the tonic of the underlying key expressed by that bass as dominant. The prominent recurring figures – the principal motifs – are the interval simultaneity of the sixth and interval inversion as a prolonging or elaborating device.

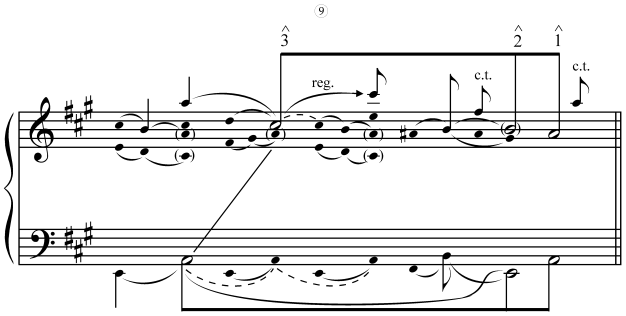
Overall, then, the meanings generated by the reading in Example 3b are symptomatic: that is, all features of the piece are subsumed under my theoretical insistence on temporal frames and intervallic-registral motions.

Let us turn now to traditional Schenkerian readings of the Prelude – see Examples 4a, b, and c. Here, "background" not only has its usual role of the initiating level in a generative hierarchy (its content being the *Ursatz* with a specific *Urlinie*) but also acts as the site of the musical-analytic theme, the concise description of what a piece is about from the point of view of its materials. The readings from $\hat{3}$ and from $\hat{5}$ work quite well; from $\hat{8}$, the line cannot be completed, but, on the other hand, the $\hat{8}$ line is the only one that is able to incorporate the $F\sharp$ as 9 over V.[6]

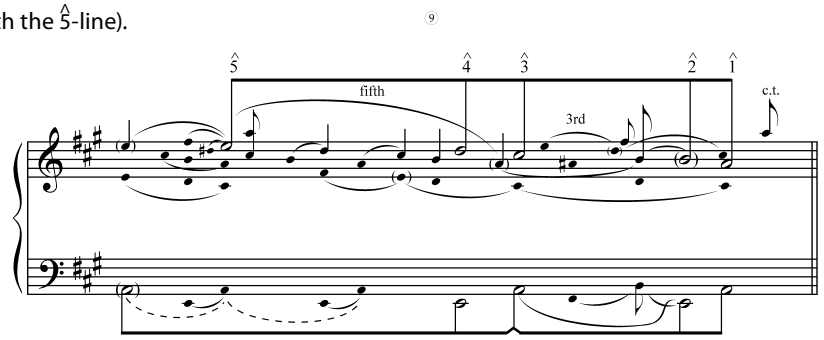
[6] See also Humal 2007, II: 10–11, where the Prelude is read from $\hat{3}$ but the $\hat{3}$ is in m. 1, displaced from the tonic bass that appears in m. 3. Ayrey 1998: 372–373 is very similar, but the $\hat{1}$ arrives in m. 11 – and we should note that the author finds fault with the reading in his subsequent deconstructive exercise. Sobaskie 2007–08: 43–44 reads the upper voice in the first phrase as in my version from $\hat{3}$ but V is prolonged till I arrives in m. 4, then in a parallel construction $\hat{2}$ arrives immediately in m. 9 over what will be a prolonged V. In Pierce 2007: 92–93, $\hat{2}$ over V is understood as enacting an almost physical momentum across the entire Prelude, relaxing only in the final tonic – a reading very similar to Lerdahl and Jackendoff 1983: 237 – see my commentary in Neumeyer 2009b: 85–90. Edlund 2003 reproduces Ayrey's analysis and adds three other, non-traditional readings.

Examples 4a–4c. Chopin, A-Major Prelude: Schenkerian readings.

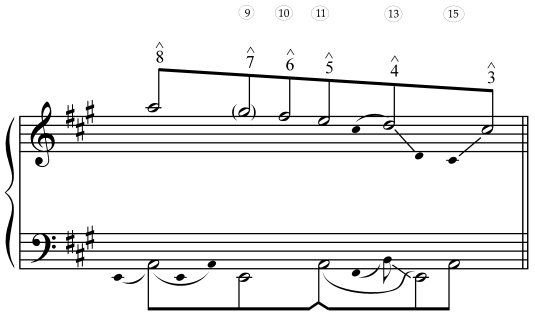
Example 4a (with the $\hat{3}$-line).



Example 4b (with the $\hat{5}$-line).



Example 4c (with the $\hat{8}$-line).



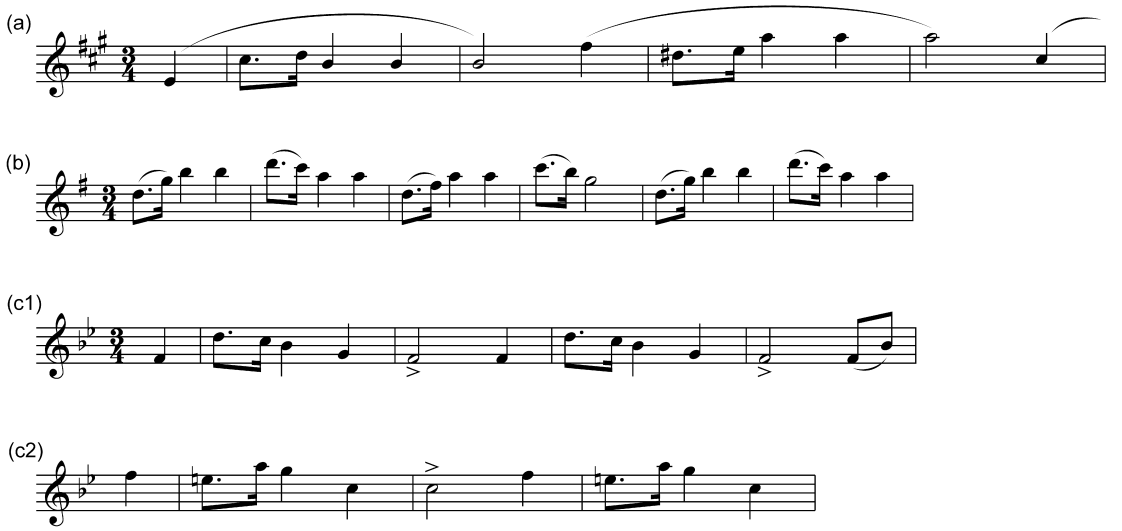
The $\hat{8}$ line is also the best suited for a Schenkerian hermeneutic reading, which is essentially an analysis that maintains the methodology but shifts attention away from the structure (text) to a hearing (reader/listener). Cook describes the motivation succinctly: "present-day Schenkerians such as Schachter have resorted to explanations that are perceptual in […] that they revolve round aural-imaginative experiences, 'hearings' of the music prompted by analysis. […] [Such a reading] might be considered postmodern in its ascription of meaning not to the music but rather to the act of interpreting it." (Cook 2007: 296) Here, the incomplete $\hat{8}$ line matches very well the affective traits of this Prelude as a *souvenir* or album leaf, more specifically a reminiscence of a dance and the environment of dancing. As Example 5 documents, the A-Major Prelude is not a compact and perfect waltz miniature or a brief mazurka, both common characterizations of this piece. In fact, it is a polka-mazurka, the characteristic music of which is the same as that for the dance later called the *varsovienne* (literally, "Young Woman from Warsaw"). As a dance, the polka-mazurka was no more than modestly popular in Paris in the 1830s and 1840s, apparently because its slow tempo was at odds with the trend toward faster speeds, as exemplified by the *valse à trois temps*

and the galop. The polka-mazurka is not a waltz[7] – instead, it combines the characteristic polka *chassée* step with a mazurka hop. For the dancers, the experience might be slightly disconcerting, like dancing a slow polka in triple meter.[8] We know that Chopin was an enthusiastic and skilful dancer (McKee 2004: 109, 118); there is little doubt that he danced the polka-mazurka himself while in Paris, if not earlier in Warsaw. Quite appropriately, the first manuscript version of this Prelude was indeed a souvenir written into a woman's album in 1836. Chopin recalls or imagines the dance at a distance, rendering it doubly nostalgic by the *piano-dolce* marking, slower-than-normal tempo, and murky pedaling.

Among the three traditional background lines, the $\hat{8}$ line, with its unusual trajectory through $\hat{7}$ and $\hat{6}$ in mm. 9 and 10 and its failure to reach $\hat{1}$, is obviously suited to the atmosphere that Chopin invokes. The lines from $\hat{3}$ and $\hat{5}$, by contrast, are as insistently teleological as was my registral reading in Example 3b: they force the piece into the perfection of synthesis against its will, as it were.

In Example 6, four additional thematic readings of the A-Major Prelude follow models originally presented as alternatives to traditional Schenkerian analyses in Littlefield & Neumeyer (1992: 61–62). In the present context, Example 6.1 is perhaps the most radical because it undermines the hierarchical structure of the analysis, indeed it thwarts reduction beyond the phrase by "democratizing" the structural levels – instead of one overarching melodic structure fanning out through a series of prolongations, this is a chain of melodic structures. It is very cautiously reductionist, assuming the equality of rising and falling lines and the appropriateness of multiple melodic structures where needed, and ignoring most implicit or hidden melodic patterning, preferring to drape the interpretation about the most obvious melodic shapes. This restrained middleground reading might be said to resemble

Example 5. Polka-mazurka melodies: Chopin, A-Major Prelude, Paris edition (a); Maxime Alkan, Polka-mazurka *Maria* (ca. 1850), music associated with the dance studio of Henri Cellarius (Paris), first strain (b); C. Elbel, *Welcome Friends Varsovienne* (Ferrero 1859, music section, p. 56), first strain (c1); *Welcome Friends Varsovienne,* second strain (c2).

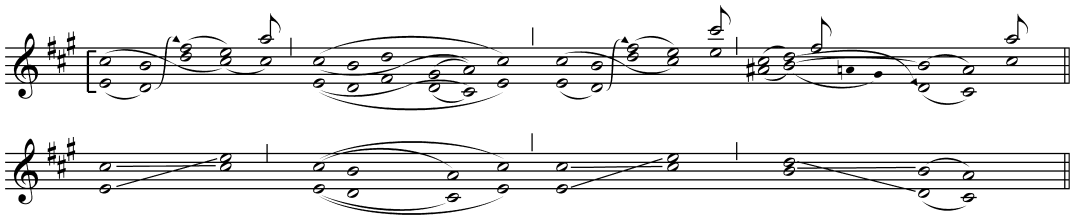


[7] I mistakenly called it a *waltz*-mazurka in my review of Alexandra Pierce's book (Neumeyer 2009b: 88).

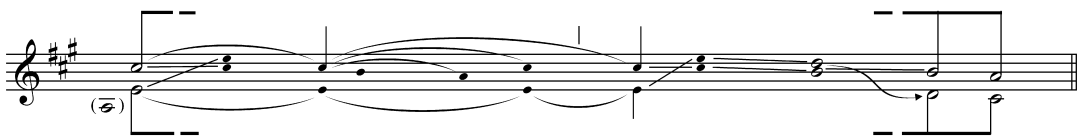
[8] The dance master Carlo Blasis gives a detailed description of the polka-mazurka figures (Blasis 1866: 40–41).

Examples 6.1–6.4. Four analyses of Chopin, A-Major Prelude (after Littlefield and Neumeyer 1992).

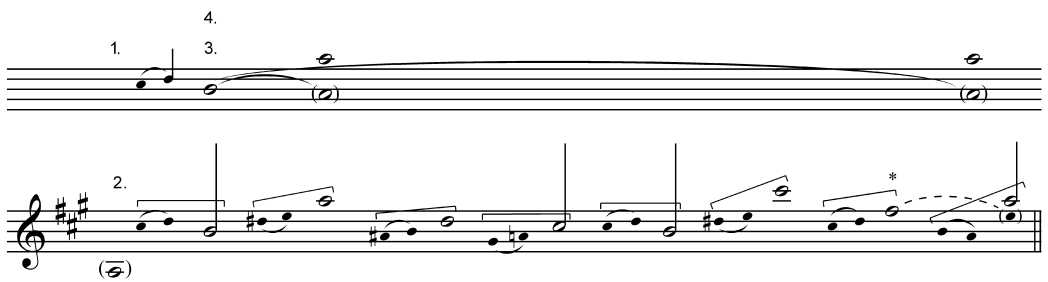
Example 6.1. Priority to melodic shape but limited hierarchy.



Example 6.2. Priority to temporal frame within a reinstated strong hierarchy.



Example 6.3. Priority to metric placement, again within a strong hierarchy.



Example 6.4. Priority to registral invariance or basic tonal space (similar to the proto-background).

some of the analytic graphs in Schenker's early *Tonwille* volumes.

Example 6.2 is the version we have already seen under Example 3b. It is a foil to Example 6.1, as it gives priority to a temporal frame within a reinstated hierarchy. This model strongly emphasizes teleology and invests considerable significance in the opening as a "generating gesture" spawning motion.

Example 6.3 shifts the theme to rhythmic/metric placement, again within a strong hierarchy. The person who prefers this reading gives first priority to the power of meter to shape perception and therefore ties its background tones to primary rhythmic/metric divisions (two- and four-bar hypermeter). The background form is both linear (B–A) and intervallic (the tonal space of the octave). No special allowance is made for cadence tones. Improbably perhaps, this reading exposes a strong pattern of hidden repetition, identified by the circled numbers: 1 for the immediate C♯–D pair, 2 for the C♯–B, 3 for B–A over the phrase, and 4 for B–A over the entire Prelude.

Priority to register in Example 6.4 generates a result similar to Example 6.2. Patterns of movement to and from the basic tonal space of e^1–$c♯^2$ work out this registral theme. Most rising or falling patterns of line either disappear or are subordinated, since the focus is on an invariant registral shape that serves as the anchor for melodic movements. Such readings from tonal space are typically hierarchical but anti-linear.

So far, then, we have seven readings available: three traditional Schenkerian analyses and four alternatives.[9] To these I add one more linear analysis: Examples 7 to 9 serve the thesis that the Prelude is indeed a reminiscence of dancing, not merely of music: it is the image of a couple dancing the polka-mazurka as heard from a temporal or physical distance. Of the seven existing readings, the incomplete *Urlinie* from $\hat{8}$ comes closest, as noted above, but its pitches and shape do not align at all well with the dance's metric design and motivic figures, an essential point if one is to imagine dancing.

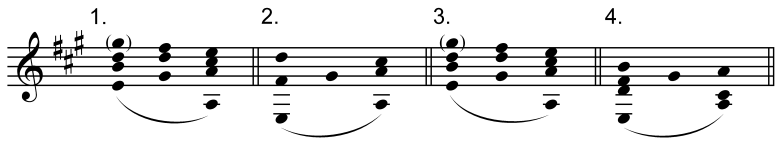
A subtle detail of Chopin's part-writing contributes expressively to the souvenir affect. Example 7 shows the essential dominant-to-tonic voice leading in each of the four-bar phrases (marked 1–4). The movements of the ninth over V were also traced in the solid lines marked on the score (refer again to Example 2). Throughout the first half of the nineteenth century, composers were as fascinated by the dominant ninth (or $\hat{6}$ of a major scale) as they were careful in their treatment of it (Day-O'Connell 2002). Direct resolutions of V^9 to I were still rare, the relevant statistic being that they occur mostly in dance music. Chopin was particularly fastidious on this point, but in the A-Major Prelude he strove to enhance the dance topos in a subtle and most expressive way using that same ninth. In the first phrase the resolution *is* direct, except that Chopin inserts between $\hat{6}$ and $\hat{5}$ the even more expressive chromatic neighbor, which continues to ring throughout the bar because of the held pedal and therefore almost completely obscures the briefly sounded resolution to e^2. In the second phrase, $\hat{6}$ "dissolves" into the leading tone $\hat{7}$ before the resolution. Phrases 3 and 4 duplicate the motions of 1 and 2, respectively.

As in most couple dances of the era, the polka-mazurka's figures are two measures long, a design that is plainly reflected in the hypermetric (sub-phrase) rhythms repeated throughout the Prelude and reinforced by the pedaling marks. In each sub-phrase unit before m. 11, dissonance slowly clears to consonance. The upper system of Example 8 shows the dissonance-to-consonance details for each of the eight two-bar units. The square brackets above the system mark the units as defined by the pedaling marks. The harmonic acceleration after m. 11 is sharply marked by the $F♯^7$ chord – this might be taken as the moment when a physical representation of the dance passes over into memory.

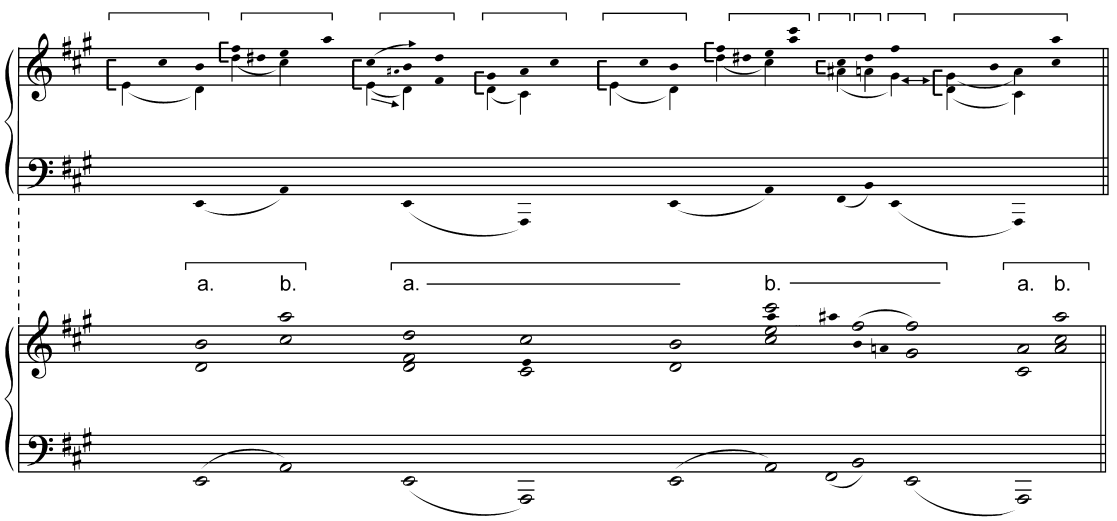
The dissonance-to-consonance process works at several levels. To illustrate, I have shown three levels of this process in the opening phrase (see Example 9): at (a) or m. 1, the immediate level in

[9] Edlund 2003: 173 offers three more alternative readings, which, however, are "not to be considered as alternatives to each other in an excluding sense; they are rather to be thought of as representations of musically vital, complementary aspects within the music" (Edlund 2003: 177): (1) a static C♯ as the "*Urlinie*"; (2) an *Urlinie* made out of double neighbor notes (so, A–B–G♯–A), where B is over ii in m. 13, G♯ over V in m. 14; and (3) an *Urlinie* rising from $\hat{5}$ to $\hat{8}$ in mm. 13–16.

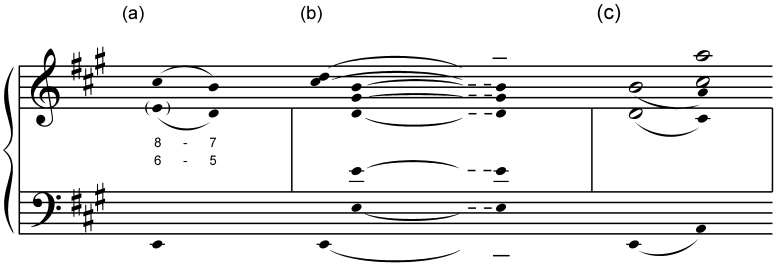
Example 7. Chopin, A-Major Prelude: dominant-to-tonic voice-leading in phrases 1–4.



Example 8. Chopin, A-Major Prelude: another reading of pitch design focusing on register.



Example 9. Chopin, A-Major Prelude: dissonance to consonance: immediate (a); at two bars, with pedaling (b); at four bars (c).



the opening "cadential dominant" figure; at (b) or mm. 1–2, the two-bar level where the V^7 harmony emerges from the earlier dissonances but is also reduced in volume; and at (c) or mm. 1–4, the four-bar level where the initial V^7 dissonance resolves to the tonic.

The dissonance-to-consonance process, essential as it is to the Prelude's affect and expression, operates alongside a second thematic element based on register. The lower system of Example 8 isolates the principal elements for each two-bar unit and positions these within a pattern of registral play that enacts its own narrative in terms of a pairing of lower/higher, darker/brighter, muddier/clearer registers. The lower register, *a* in the graph, gives way to the higher register; *b*, as V resolves to I in m. 3. The succession *a*–*b* is repeated but also greatly expanded over the next five two-bar units: the lower register *a* for three, and the upper register *b* for two. Here, however, narrative dissonance or conflict arises through positioning sonorities in the "wrong" register: the tonic of bars 7–8 in the lower and the surprising $F\sharp^7$ chord in the upper. This reversal of registers is resolved simply and compactly through the final two measures, as the tonic sixth $C\sharp$–A appears in upper and lower registers alike, both captured in the held pedal.[10]

If there is a musically revelatory element that can be said to arise from this eighth reading, it is in the organized – and, I believe, expressive – interplay of registers that is resolved by sensitive combination in the final sub-phrase of the Prelude, closing the window of nostalgia on both dance and dancers. What this suggests for performance is that the blurred pedalling is essential – without it, the Prelude is weakened, its timbres distorted like those of Bach keyboard works to which mid-twentieth century pianists applied a *non legato* performance style.

This eighth reading articulates a theme/thesis pair, as did the previous seven, but I have also highlighted an interpretative routine that links hierarchical modeling and Culler's teleology of reading, or the impulse to "make sense" of a poem or piece of music, usually as a system of tension and balance (in the New Critics) or the synthesis or rapport between levels (in traditional Schenkerian analysis). To work this out thoroughly, I might have invoked implicit meanings more directly (recall that this is the same as Cone's "promissory note") to write a story of the $F\sharp$. (The "bright" $F\sharp$ that appears suddenly at the end of measure 2 also initiates a "muddy" lower register that "clears" to $\hat{8}$ above it and the tonic triad in mm. 3–4. The $F\sharp$ finally asserts itself as the root of a chord, interrupting the two-measure dissonance/consonance patterns. Etc.)

Conclusion

With eight readings in hand – three Schenkerian linear analyses, four alternative linear analyses, and one reading modeled as an interpretation based on implicit meanings – we may proceed in any of three ways: let each stand on its own, draw comparisons between the several readings in order to make some general statement, or reject all but one, which would then stand as preferable, correct, or even true. My mode of presentation in the previous sections has, with only one or two minor deviations, followed the first of these paths: each of the eight readings was presented in the same way, identifying thematic and thetic priorities while avoiding any but the simplest comparisons. Unencumbered by a need for critique, we can appreciate what each of these offers to the act of listening to the A-Major Prelude.

In order to take the second path – drawing comparisons and aiming to reach a general conclusion – we step back to the level of theory, because it is the efficacy and efficiency of the theme/thesis pairs that are properly to be considered. These pairs exist within the same practice of linear analysis – or, more broadly, of hierarchical musical analysis – and thus there is no real consideration of a "meta-theoretical" level. What we can gain are statistics: a certain number of readings integrate the dominant ninth, some ignore or suppress it; some readings align with the hypermeter (linked, of course, to the dance) but others readings do not. And so on. Here it will be useful to have Kofi Agawu's comments as he considers different views on the essential or

[10] Please note that the lower system of Example 8 shows registral positions, not voice leading between the successive chords.

contingent nature of the relationship between strict counterpoint and free composition: "As always with debates within a binary axis, aligning oneself with [one side] is ultimately not as valuable as simply being aware of what each position enables, affirms, hides, or denies" (Agawu 2009: 115).

The last of the three paths builds on, or goes beyond, the others to state a preference. A pluralistic practice like the one Agawu proposes is inherently unstable because it is too easily undermined by the rhetoric of performance, by a teleology of presentation that engenders a subtle shift from statement of a preference to insistence on it. In terms of methodology, this means that worked-out interpretative routines always have an advantage (as readily packaging that teleology). It might seem obvious that the eighth reading is superior to the others, but I deliberately constructed it to seem so. In fact, I could have followed a similar interpretative routine for any of the other readings. Interpretation has no special brief. I argue along with Agawu, therefore, that the most productive pathways for linear analysis will be found only if constant critical attention is paid to the background and what it represents, not just in abstract terms of theory but also in the practice of analysis of individual compositions. We can establish a binary pair as a first step toward organizing and developing positions; and we can, as Agawu says, then make an effort to master those positions, or to set their contexts, by gaining as acute an understanding of their strengths and weaknesses as we can, in the service of a continuing conversation among committed views. A pluralistic practice is engaged and creative; a relativistic attitude, like an authoritarian one, shortchanges judgment and is static, uncreative.[11]

I do not, however, want to leave the impression that I am advocating a practice that does not yet exist. As is well known, alternatives to the three *Urlinien* and the *Ursatz* with I–V–I bass were invented early on in the history of Schenkerian analysis, the most familiar and influential example being Felix Salzer's "contrapuntal structure" or CS, which was originally devised for use with Renaissance music but proved very fruitful for contemporary music as well (Salzer 1962). There has been lively discussion over the years on *Ursätze* spanning multiple movements, on ascending *Urlinien*, on musical form and the background, on backgrounds for pieces that begin and end in different keys, on extensions to non-classical repertoires, and so on. The critical tradition has found its way into the recent past and present, as well, in a number of different forms. Lewin 2006 discusses modal *Ursätze* in examples from Schumann and Brahms. Willner 2007 proposes a four-part *Ursatz* (as an extension of my three-part model). Peter H. Smith has emphasized studies in which traditional Schenkerian analyses are "paired" with others that offer different but complementary insights, thus breaking down to some extent the unilateral authority of the background in interpretation without sacrificing "the explanatory power of Schenker's ideas" (Smith 2010; see also Smith 2009). Väisälä 2008 identifies "four significant structural determinants that are logically independent of the norms of harmony and voice-leading: design (including figuration), register, meter, and rhetorical/gestural devices" (Väisälä 2008 quoted in Väisälä 2009: 102, Note 2) and argues that the structural levels depend "on the fundamental principles of harmony and voice leading […], the determination of structural weight – which element belongs to which level – is largely based on quite different factors, such as figuration and register" (Väisälä 2009: 101–102).[12] Humal 2010 replaces the two-part contrapuntal *Ursatz* as the content of the background with the Voice-Leading Matrix (VLM), a five-part model of the complete harmonic cadence progression.

My goal here has been to put the existing contemporary pluralistic practice into a conceptual framework that focuses on methodology, rather than on philosophy or history as in many sources over the past decade or more (such as Eybl 1995, Blasius 1996, Snarrenberg 1997, Cook 2007, among

[11] This is in line with Joakim Tillman's comments about a contemporary pedagogy of music history: "the best solution in a pluralistic climate is an eclectic approach, which does not fall into the trap of total relativism" (Tillman 2000).

[12] Väisälä 2008 uses this approach to provide trenchant criticism of David Beach's analyses of Bach partitas, these analyses being heavily symptomatic in a style that was common 30–40 years ago. Väisälä's ideas with respect to register and motivic enlargement are creative and insightful. It is unfortunate that Beach, in his response in the same issue of the journal, chose simply to defend his outdated views along with an equally outdated notion of Schenkerian exceptionalism.

others). In this conceptual framework, traditional Schenkerian analysis is one type among potentially many modes of linear or hierarchical analysis. Given an understanding of the historical context of thematic reading, in which a top-down model of logic is combined with a teleological model that follows the path of reading or imitates its process, we can conceive hierarchical reading – and hierarchical music analysis – in a more expansive way than is implied by the traditional "Schenkerian analysis", which cannot escape the limitations of its symptomatic biases.

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Teemad, hierarhiad ja liinid: Schenkeri analüüs kui lineaaranalüüsi alaliik

David Neumeyer
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Schenkeri väljatöötatud lineaaranalüüsi meetod pärineb 20. sajandi algusest, kuid selle tänapäevapraktika moodustab laiema valdkonna, millest Schenkeri analüüs on vaid üks tüüp või alaliik. Lineaaranalüüsi võib mõista sellise muusikaanalüüsina, mis keskendub helikõrgusstruktuuri hierarhilistele aspektidele. Selles kontseptuaalses raamistikus on traditsiooniline Schenkeri analüüs vaid üks paljudest meetoditest. Temaatilise tõlgenduse ajaloolises kontekstis, kus loogiline ülalt-alla mudel kombineerub järjepideva arengu teleoloogilise mudeliga, võib hierarhilist tõlgendust – ja hierarhilist muusikaanalüüsi – mõista laiemalt, kui seda kasutab traditsiooniline Schenkeri analüüs, mida kammitsevad selle ideoloogilised eelistused. Selline pluralistlik praktika on võimalik vaid juhul, kui teadlikult eristada teksti hierarhiat tõlgenduse hierarhilisest modelleerimisest.

Ajalooliselt on Schenkeri muusikaanalüüsi mudel oma meetodite ja eelistuste poolest suguluses temaatilise tõlgendusega kirjanduses, mida esindavad näiteks *New Criticism* Ameerikas ja *explication de texte* Prantsusmaal. Kõik kolm tekkisid ajal, mil tõlgenduses leidis aset järkjärguline eelistuste nihe autorilt (viimase eluloolt ja loomingulistelt kavatsustelt) tekstile (koos selle struktuuri ja mõju uurimisega). Selles mõttes polnud Schenkeri meetod (erinevalt tema poliitilistest vaadetest) sugugi reaktsiooniline, kuid nagu ka *New Criticism* ja *explication de texte*, on ta sellegipoolest saanud viimastel aastakümnetel kriitika osaliseks, seda seoses raskuspunkti nihkumisega lugejale ja kriitikule (ning seega subjektiivsusele ja ideoloogilisele determineeritusele).

Oma artiklis "Thematic Reading, Proto-backgrounds, and Transformations" (2009) väitsin, et ka teose teemad või ained väljendavad kas otseselt või varjatult mingeid teese: teema on deskriptiivne mõtteväljendus, tees aga on tõeväärtuse kinnitus; teema on analüütiline, tees ideoloogiline. See tähendab, et Schenkeri *Urlinie* kolme kuju võib mõista kui helistiku kokkuvõtvat kirjeldust, kuid samas on need ka ideoloogilised avaldised, mis kinnitavad teatud uskumusi helistiku olemuse ja ajaloo kohta.

Ideoloogilise avaldisena võib konkreetseid *Urlinie* kujusid kas aktsepteerida või tagasi lükata; nad ei ole ainuvõimalikud ega universaalsed. Võimalike teemade suur hulk eeldab paljusid erinevaid mudeleid, millest igaüks on rakendatav strateegiana, olenevalt ideoloogilistest eelistustest. Seejuures on vaja õigesti mõista ideoloogia ja teema vahekorda.

Tüüpilise näitena erinevatel temaatilistel eelistustel tuginevatest analüüsidest on vaadeldud Chopini prelüüdi *A*-duur *op.* 28/7 (näide 2; pedaalitähistused, mis on võetud Pariisi originaalväljaandest, on pala väljendusliku sisu avamiseks väga olulised, vt. ka näiteid 8a ja 9).[1] Näide 3 kujutab pala kahte temaatilise tõlgenduse tasandit – "teesi" (lugejale sisendatavat ideed) ja "teemat" (teose abstraktset lühikirjeldust). Vaadeldava Chopini pala puhul seisneb "tees" selles, et eelistuseks on algus ja lõpp; see eeldab ranget hierarhilist muusikataju, nagu näiteks Lerdahli heliruumis (*tonal space*; vt. Lerdahl 2001). "Teema" realiseerib "teesi", andes tugeva eelistuse algusele ja lõpule.

Järgnevalt on palast esitatud kolm Schenkeri meetodil lineaaranalüüsi (näited 4a–c, vastavalt tertsi-, kvindi- ja oktaviliiniga, neist esimeses kahes on *Urlinie* lõpetatud ja kolmandas lõpetamata, kuid see-eest sisaldab heli *fis*^{2} kui dominantakordi nooni) ja neli alternatiivset lineaaranalüüsi (näited 6.1–6.4), kus Schenkeri "teema" – *Ursatz* või *Urlinie* – on asendatud teistsuguste mudelitega. Näites 6.1 on ühtse meloodiajoonise asemel rida tõusvaid ja laskuvaid liine ilma selge hierarhiata. Näites 6.2 (= näide 3), mis algab samuti, nagu näite 6.1 alumine süsteem, on hierarhia taastatud. Näites 6.3, mis on samuti rangelt hierarhiline, on muudetud helide rütmilist paigutust ja näidatud varjatud motiivikordusi *cis*^{2}–*d*^{2}, *cis*^{2}–*h*^{1}, *h*^{1}–*a*^{1} või *h*^{1}–*a*^{2}. Näide 6.4 tugineb korduvale registrivahetusele *e*^{1}–*cis*^{2}, kuid annab sama tulemuse nagu näide 6.2.

[1] Kuigi kirjanduses on kõnealust prelüüdi sageli nimetatud masurkaks, esindab see žanriliselt Pariisis 1830. ja 1840. aastail tuntud seltskonnatantsu "polka-masurka", mis on ühtlasi identne 19. sajandil levinud tantsuga *Varsovienne*. Näites 5 on võrreldud Chopini vaadeldavat prelüüdi mõningate tolleaegsete näidetega viimati nimetatud tantsust.

Näide 7 näitab varjatud tertsikäiku *gis*[1]–*fis*[1]–*e*[2] (vrd. näide 2, taktid 2–3, 6–7, 10–11, 14–15). 19. sajandi esimeses pooles kasutati dominantnoonakordi lahenemist otse toonikasse peamiselt tantsumuusikas. Chopin, kes sellist lahendust enamasti vältis, on siin selle abil rõhutanud pala tantsulist iseloomu. Näite 8 ülemises süsteemis on näidatud igas taktipaaris (taktid 1–10) dissonantsi lahenemist konsonantsi; see on ühtlasi vastavuses autori pedalisatsiooniga. Näite alumises süsteemis on igast taktipaarist võetud üks põhielement ja need omavahel ühendatud, näitamaks registrivastandusi printsiibil madal/kõrge, tume/hele, hägus/selge (tähistatuna a/b). Võrreldes esimese registrivastandusega (taktid 1–2) on järgmine (taktid 5–14) tugevasti laiendatud. Viimasel vastandusel (taktid 15–16) kõlab sekst *cis*–*a* mõlemas registris. Näide 9 illustreerib dissonantsi lahenemist konsonantsi algusfraasis kolmel eri tasandil: takti tasandil (a, takt 1), taktipaari tasandil (b, taktid 1–2) ja fraasi tasandil (c, taktid 1–4).

Kofi Agawu raamatu "Music as Discourse: Semiotic Adventures in Romantic Music" (2009) eeskujul võib väita, et kõige produktiivsem võimalus jõuda lineaaranalüüsini eeldab pidevat kriitilist tähelepanu süvatasandile, ja seda mitte ainult abstraktse teooria mõttes, vaid ka individuaalse teose analüüsipraktikas. Sellise praktika kohta on näiteid kirjanduses piisavalt; nende aluseks võib olla: "kontrapunktiline struktuur", mida kasutati esmalt renessansimuusika analüüsimisel, kuid mis on osutunud viljakaks ka nüüdismuusika puhul (Felix Salzer, 1952); modaalne *versus* tonaalne *Ursatz* Schumanni ja Brahmsi puhul (David Lewin, 2006); Schenkeri analüüsi ühendamine teiste meetoditega, mis pakuvad erinevaid, kuid vastastikku täiendavaid tulemusi (Peter Smith, 2010); struktuurilised determinandid, mis on loogiliselt sõltumatud harmoonia ja häältejuhtimise normidest (Olli Väisälä, 2009), või häältejuhtimismaatriks, viiehäälne mudel, mis asendab kahehäälset kontrapunktilist *Ursatz*'i.

Schenker's Disservice to Schenkerianism: Three Bach Examples[1]

Olli Väisälä

1. Introduction

My title may seem provocative or paradoxical: how could Schenker have made a disservice to a movement that is named after him and would not exist without him? There is nothing new, however, in that Schenker's followers, despite their indebtness to him, will not accept uncritically all aspects of his work. Schenker's individual analyses have been criticized and amended even by those who closely abide by his theoretical principles (e.g., Laufer 1981). Schenker's ideological polemics have embarrassed Schenkerians to the extent that led to efforts to dispel this aspect through downright censorship from certain editions of his works.[2] Mainstream Schenkerianism has been propelled by the notion that Schenkerian principles bear descriptive power for music in a way independent of Schenker's person or ideology. Hence the principal mission of Schenkerianism can be understood as lying in the strengthening of this descriptive power, which entails that we also recognize defects in Schenker's work.[3]

Following previous Schenkerians, I shall criticize some of Schenker's individual analyses below (concerning Bach's little Prelude in D minor [BWV 926] and Fugue in D minor from *The Well-Tempered Clavier I*). More importantly, however, I shall present a general viewpoint on what I regard as the most crucial defect in Schenker's work. This defect can be formulated in terms of the division of theoretical concerns to *systemic* and *evidential* parts:[4] Schenker cultivated the systemic but neglected the evidential. While he developed a rich systemic theory concerning the formation and relationships of structural levels, his writings are less satisfactory in explicating the evidential principles that concern the relationship between such levels and actual music.

To be more precise, we can identify two evidential questions that Schenker left largely unanswered. First, on what evidence are musical events positioned within the Schenkerian system of structural levels, *if* we assume such levels to exist? Second, what evidence is there for this assumption itself? In the present article, I shall employ the terms *first-order evidence* and *second-order evidence* for referring to these two questions, respectively. First-order evidence concerns thus, for example, the determination of harmonies' prolongational spans or the location of *Urlinie* tones in a Schenkerian analysis. Second-order evidence concerns the justification of notions underlying such analysis, such as prolongation (or *Auskomponierung*) and *Urlinie*.

In my recent work on Bach (Väisälä 2008, 2009), I have sought to approach both evidential questions on the basis of musical features such as *design*, *register*, *meter*, and *gestural emphasis*. In the following, I shall call these four features *structural indicators* and suggest that they offer not only first-order evidence, or analytical criteria, for Schenkerian readings but also second-order evidence for the underlying theoretical assumptions. Such evidence can be given by the correlation between patterns supported by such indicators, on the one hand, and those privileged by Schenkerian theory, on the other. If such correlation goes beyond chance level,

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[1] This paper is largely based on Väisälä 2010.

[2] A notorious document of such an effort is Schenker 1979, the American edition of *Der freie Satz*, in which passages removed by Oswald Jonas (the editor of the second German edition) and Ernst Oster (the translator and editor) were restored after Oster's death as a separate appendix.

[3] I use thus the word "Schenkerian" for referring to a certain kind of multilevel organization, not to Schenker's work or person *in toto*. While some authors (e.g., Cook 2007: 301) have criticized such usage, we need some term for this kind of musical organization, and "Schenkerian" has the advantage of being well established in this meaning, also paying appropriate homage to Schenker's personal accomplishment in this respect. In my view, using "Schenkerian" in this sense, without getting involved with all aspects of his work, is no more problematic than, say, calling certain physical notions "Newtonian," with no consideration for Newton's theological views. Showing that this meaning of "Schenkerian" *can* be separated from Schenker's person and ideology is one of the main aims of this paper.

[4] Brown (2005: 18 ff.) discusses such a division in connection with Schenkerian theory but has little to say about evidential questions that concern structural levels, the main topic of the present paper.

this suggests that such patterns pertained to composition.[5] While I shall thus base my discussion of second-order evidence on the compositional pertinence of Schenkerian principles, it should be added that the four structural indicators are also crucial for musical perception. Consequently, building the evidential basis of Schenkerianism on such factors will also be concordant with the endeavor to make theory and analysis pertinent to the listener's experience.[6]

None of the four indicators is by any means new or revolutionary as an analytical criterion. They all are implicitly significant for numerous existing mainstream Schenkerian analyses and have also occasionally been explicitly discussed (e.g., register in Oster 1961 and design in Rothgeb 1971). However, as part of Schenker's heritage, Schenkerian research has been characterized by more or less unsystematic approach to its evidential basis, which has made it difficult to obtain a clear picture of the descriptive power both of individual analyses and of the theory in general. To be sure, building a fully systematic evidential theory for Schenkerianism would involve several hugely complex problems, which cannot be conclusively dealt with within the present article. Nevertheless, through the following analytical examples I hope to give a preliminary idea of the direction in which to proceed in order to gain a better illumination on the relevant evidential questions and on the descriptive power of Schenkerianism.

2. How Schenker *Might* Have Justified His Theory and Analysis: Bach, Fugue in C Minor from *The Well-Tempered Clavier I*

By way of an introduction to the four structural indicators and their evidential significance, I shall first consider the two fifth-descents ($\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$) that are featured in Schenker's (1996 [1926]: 31–54) analysis of Bach's Fugue in C Minor from *The Well-Tempered Clavier I*. Example 1 reproduces Schenker's (1996: 32 [Fig. 1]) overall graph of this fugue; the first fifth-descent (mm. 3–9) is shown in parentheses, indicating that it is structurally subordinate to the second (mm. 9–20).[7] While I do not find Schenker's analysis as satisfactory in its entirety,[8] these two fifth-descents prove to be strongly supported by the four structural indicators. Hence, even though Schenker's discussion falls short of explicating a satisfactory evidential basis for these readings, hypothetically these indicators provide an implicit basis. In this sense, I begin with a positive example of Schenker's analytical practice, so as to balance the critique of his analyses to which I shall turn in subsequent examples.

2.1. The First Fifth-Descent

The first fifth-descent spans the fugal exposition (mm. 1–9), the score of which is aligned with my analytical graph in Example 2. This graph deviates from Schenker's analysis in some details, but

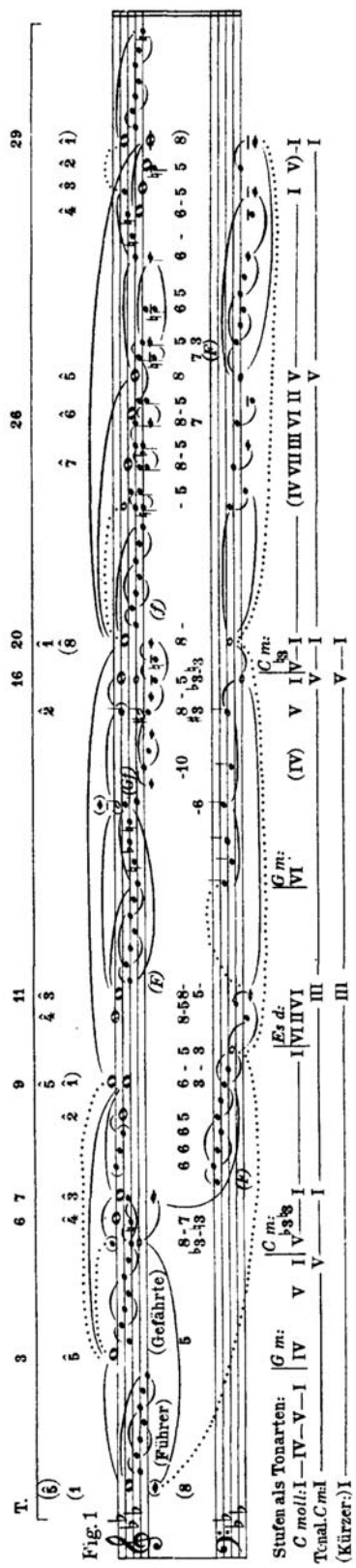
[5] Cf. the challenge that David Temperley (2007: 179) presents in his *Music and Probability*: "It seems to me to be incumbent on those whose believe in Schenkerian theory as a model of the compositional process to show how it reduces the uncertainty of tonal music." I believe the four structural indicators are crucial for illuminating how Temperley's challenge can be met, even though it would be exceedingly difficult and quite beyond the scope of the present paper to apply exact probabilistic methods to the question.

[6] Both compositional and perceptual pertinence have been identified as objectives of music theory. For example, Brown (2005: xvii) argues that Schenkerian analyses "model an expert composer's internalized knowledge of functional monotonality," whereas Lerdahl and Jackendoff (1983: 1) "take the goal of a theory of music to be a *formal description of the musical intuitions of a listener who is experienced in a musical idiom*" (original emphasis). Insofar as the communication between the composer and the listener is successful, it is, of course, natural to assume that these two types of pertinence largely agree.

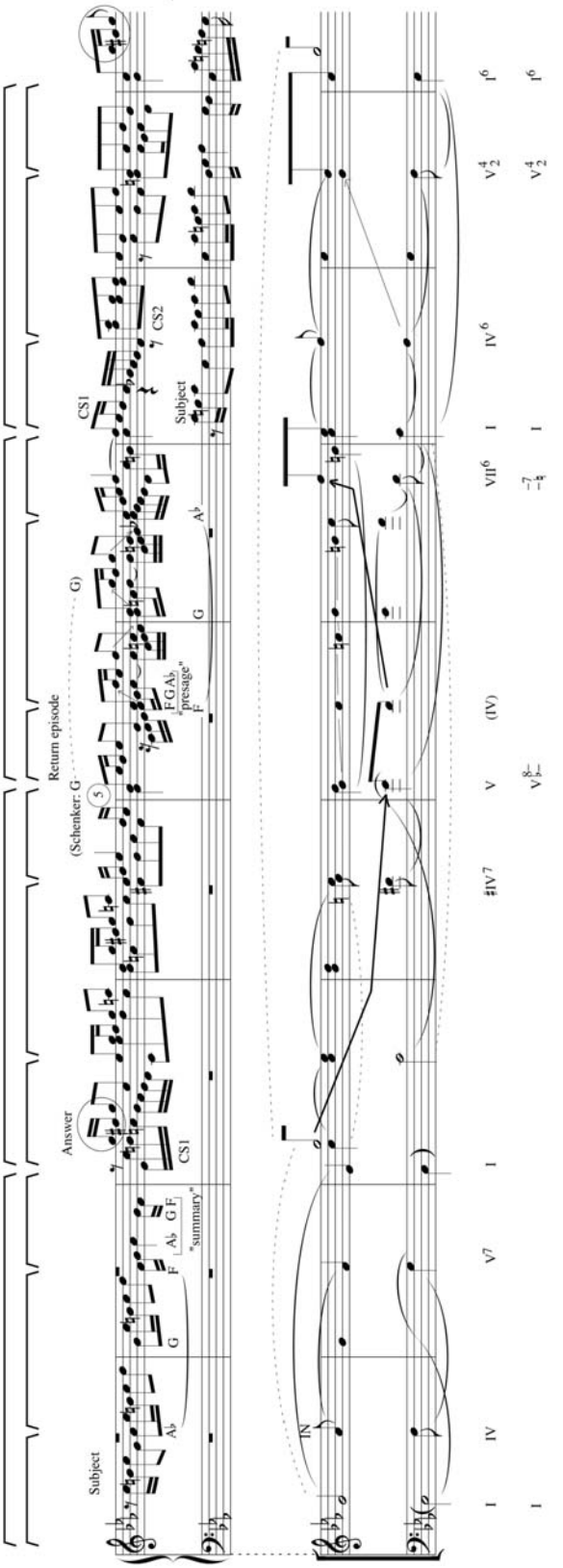
[7] Since this analysis is relatively early (1926), the analytical notation differs somewhat from more "mature" Schenker, such as that in Schenker 1979 [1935].

[8] The most significant defects in Schenker's analysis concern the subject and the overall structure. Schenker's (1996: 34 [Fig. 2]) reading of the subject allots inordinate significance to the sixteenth-note G and F at the end of m. 2 at the expense of the metrically supported G–(A♭ (–G))–F–E♭ framework. Schenker's identification of the second fifth-descent as the structurally decisive *Urlinie* is also unconvincing in view of the great gestural emphasis on the subsequent harmonic events (the V^7 in m. 25, the I^6 in m. 28, the V–I cadence in m. 29). I discuss these features in greater length in Väisälä 2010.

Example 1. Schenker's graph of Bach's Fugue in C Minor (*WTC I*).



Example 2. Bach, Fugue in C Minor, exposition (mm. 1–9): score and voice-leading graph.



draws on it with respect to the fifth-descent and its harmonic background. The brackets above the score concern the first structural indicator, *design*, demarcating units of design on two levels. The upper brackets indicate two-measure units of fugal design: entrances and episodes. The lower brackets are based on changes of surface design within these two-measure units;[9] they show a regular rhythmic pattern in which the midpoint of the first measure connects with the midpoint of the second measure, going over its downbeat. Above these two levels, one might, in principle, add a third one spanning the entire exposition, as this can be understood as a large unit in the overall design of the Fugue.[10]

While I shall address meter as a structural indicator more specifically below, it should be noted that meter is already taken into account in the brackets in Example 2 for determining the precise location of their framing points. While the elements that are determinative of design, such as the fugue subject, characteristically start at offbeat eighth-notes, these framing points are "rounded" to the nearest relatively strong metrical point, reflecting the significance of meter for short-span hearing.

The main structure-indicating significance of design is that elements of structural weight tend to occur at framing points in units of design, primarily at the beginning, secondarily at the end (that is, just before the beginning point of a new unit). In addition, structural connections can be supported by parallelisms of design; this consideration will be particularly significant for the discussion of the second fifth-descent. In Example 2, the two levels of the harmonic analysis correspond closely with the two levels of units of design. The framing points of the two-bar units display the following harmonic framework: the subject establishes the opening I, the answer leads to the tonicized V, the return episode (mm. 5–6) transforms it to V^7, and the third entrance begins with the return of I and closes with a V^2–I^6 progression, the I^6 concurrently beginning the next episode (mostly not shown in Example 2). Each harmony in the indicated framework, I–V–I–V^2–I^6 occurs at the beginning point of a two-bar unit of design, except for the V^2. As regards design, the structural weight of the V^2 is supported by the fact that the V^2–I^6 combination concludes not only the third entrance but the larger unit of design consisting of the entire exposition. It will also be easily seen that the V^2–I^6 progression is brought out by register, the structural indicator I shall address next.[11]

The support of design (and of other indicators) for the I–V–I–V^2–I^6 framework offers our first example of what I identified as first-order evidence for an analytical reading. However, this support hardly involves any significant second-order evidence for Schenkerian theory. While such a harmonic framework is, of course, consistent with Schenkerian theory, it offers no specific confirmation for the theory's predictions. The framework consists of simple tonic-dominant relationships, which might be explained through any conventional approach to tonal harmony (we do not need Schenkerian theory for predicting that fugue expositions typically proceed from the tonic to the dominant and back). Both in this and in subsequent examples, the distinctive predictive power of Schenkerian theory becomes more evident in the upper-voice events, in the study of which we must combine considerations of the structural indicators with the conventional criteria of harmonic support. As I shall be arguing below, the structural indicators offer considerable emphasis for the tones of the $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$ descent above the harmonic framework. Since this descent is an archetypal Schenkerian pattern and less likely to emerge by chance, this offers second-order evidence for the notion that Bach's composition

[9] Rothgeb 1971 is a classic article discussing the significance of changes in design for Schenkerian analysis: "changes in surface design usually coincide with crucial structural points, and accordingly such changes must be given the most thoughtful attention in deriving or verifying an analysis." (Rothgeb 1971: 231)

[10] Schenker (1996: 32–33) also points out the correspondence between his reading and the large-scale design.

[11] As evident from Example 1, Schenker does not show this V^2 as participating in the harmonic framework, which reflects, in part, his reading of the subject, in which the F at the midpoint of the second bar bears surprisingly little structural weight (cf. note 8 above).

[12] Whether Bach was aware of such archetypes is secondary for considering their compositional pertinence. Their significance can be compared to syntactic rules of speech, whose validity obviously does not presuppose speakers' awareness of them.

was guided by such an archetype[12] – even though assessing the strength of the evidence through precise probabilistics would be difficult and will not be attempted here. As regards design, it can be easily seen that the tones of the fifth-descent occur at the framing points (or close to them) of the two-bar units and are to this extent supported by design. For a more accurate picture of supporting features, however, we must enlarge our considerations to the remaining structural indicators.

The main significance of *register* is that relatively extreme register tends to indicate a relatively strong structural weight. This adds to the justification for including the V^2 in m. 8 in the harmonic framework, since the V^2–I^6 motion is underlined by a lower bass register relative to preceding events. The top-voice starting point, g^2 is brought out by its registral height, and the subsequent elements of the fifth-descent also consistently occupy the highest registral position above their supporting harmonies (except that the concluding $\hat{1}$ is immediately followed by the return of $\hat{5}$).[13] Each top-voice element receives consonant support except for the $\hat{4}$ (f^2), which stands for a passing seventh in the retransitional $V^{8–7}$ progression (in a local VII^6). As indicated by arrows in the graph of Example 2, the $\hat{5}$–$\hat{4}$ motion is clarified and reinforced by a registral coupling. The $\hat{5}$, g^2, reiterated at the beginning of the answer, leaves off towards its end, and can be understood as transferred to a lower octave (g^2–g^1). This is followed by the reciprocal transfer of $\hat{4}$ back to the high register (f^1–f^2) in the return episode. This registral coupling is a detail in my analysis that deviates from Schenker's; I shall return to its justification and implications presently.

Meter is a significant structural indicator especially for short spans, where our perception of meter is most vivid. The significance of meter at the eighth-note level is already taken into account in determining the framing points of the brackets in Example 2. At the quarter-note level, it can be noted that the elements on the first and the third beat assume greater structural weight than those on the second and fourth beat, except for two registrally supported top-voice tones (f^2 and d^2 at the fourth beats of mm. 6 and 8, respectively). Furthermore, two-bar hypermeasures show a simple agreement with two-bar units of design, thus providing additional support for the downbeats of odd-numbered measures. On the other hand, the downbeats of even-numbered measures remain in structurally subordinate roles, since they occur in the midst of units of design, as the lower brackets indicate. This is a simple example of conflicting structural indicators; in Bach, design typically overrides a weak metric accent as a structural indicator.[14] For another example of conflicting indicators, one may consider the top-voice figure in the second half of m. 8 (b^1–c^2–d^2–b^1), in which register favors d^2 and meter b^1. The former alternative is given additional support by voice leading at the half-note level, since the $e\flat^2$ of the passing downbeat $\frac{6}{4}$ moves normatively to d^2, completing the parallel-sixth pattern of outer voices (cf. the 6s in Example 1). In general, conflicting indicators pose, of course, a major problem for the formulation of an evidential basis for Schenkerianism, but within the present article, this complex problem can be considered only with respect to a few individual cases.

By *gestural emphasis*, the last item in my list of structural indicators, I refer to widely variable features, including, most significantly, cadences. This fugal exposition contains no cadences, but the melodic figure at the end of m. 6 exemplifies another kind of emphasizing gesture, whose distinctive features are its deviation from surrounding rhythms and syncopation. The evidential significance of this gesture, underlining the f^2, is noteworthy. As observed above, the f^2 occurs as a passing seventh and receives thus no consonant support from the harmonic framework. While such dissonant upper-voice

[13] I do not suggest that such consistency is always characteristic of voice-leading progressions; register is relatively easily overridden by other factors. Moreover, once a certain register is established as structural, motions to a more extreme register are less likely to indicate structural weight.

[14] This is also evident at the eight-note level in the second half of m. 7 and first half of m. 8, as well as in analogous points of other entrances. The design of the two countersubjects indicates that the C-minor chords are, despite their relatively strong metrical position, passing chords within a $VII°^7$ that governs the last three eighth-notes in each half-measure (not indicated in Example 2). The passing status permits these chords to be inverted to six-fours through triple counterpoint; see m. 11, beat 4, and m. 16, beat 2.

tones can participate in Schenkerian *Züge* (and even in the *Urlinie*), it is reasonable to assume that this presupposes that structural indicators offer especially strong support for the upper-voice tone, so as to compensate for the lack of consonant support.[15] As regards this f^2, it is strongly supported by register but less strongly by design – as it lies at the end of the two-bar unit instead of its beginning – and not at all by meter. Taken together, the first three indicators offer less than optimal support for the f^2; hence the special emphasizing gesture may explained as necessary for ensuring its position in the voice-leading pattern.

The treatment of f^2 relates with a small but illuminating difference between Schenker's reading and mine. As Example 2 illustrates, I read the f^1 at the midpoint of m. 5 as beginning a passing figure f^1–g^1–$a\flat^1$ and indirectly preparing the emphatic f^2. Schenker (1996, Fig. 8a–c), by contrast, indicates a structural connection between the Gs at the downbeats of mm. 5 and 6. In my view, Schenker's reading neglects design: the g^1 at the downbeat of m. 6 lies in the midst of a sequence, which leads onwards to the $a\flat^1$ at the third beat. As indicated by the lower brackets in Example 2, the design is also buttressed by its agreement with the regularly recurring rhythmic pattern in which units of design lead from midpoints of odd-numbered bars to midpoints of following even-numbered bars. If in the subject this pattern supports the $a\flat^1$–g^1–f^1 passing figure – which Schenker (1996: 34) described with merit – one is analogously justified to read an f^1–g^1–$a\flat^1$ figure in the return episode. It is also worth noting that this analogy links with a correspondence between surface figures denoted as "summary" and "presage" in Example 2; whereas the former summarizes the subject's A♭–G–F progression at its end, the latter points in advance to the goal of the F–G–A♭ motion.[16]

The return episode gives foretaste of the kind of situation on which I shall focus in the analyses of section 3 below: structural indicators offer first-order evidence that suggests revising Schenker's analysis, but this strengthens rather than weakens the second-order evidence for his theory. Whereas Schenker's analysis shows the $\hat{4}$ as only occurring transiently at the end of m. 6, consideration of design and register shows a much stronger support for the opening $\hat{5}$–$\hat{4}$ motion of the first fifth-descent. This, naturally, strengthens the argument that Bach's composition was affected by his urge to realize such an archetypal voice-leading pattern.

2.2. The Second Fifth-Descent

As Schenker's graph (Example 1) indicates, the first fifth-descent functions as anticipatory prolongation of the opening $\hat{5}$s of the second descent. The connection between the two $\hat{5}$ is concretized by a connection of figuration. As shown by circles in Example 2, the lower-neighbor figure G–F♯–G, which articulates the first $\hat{5}$ at the beginning of the answer (m. 3), is resumed in m. 9 for starting the second descent.

The second fifth-descent is illustrated in its entirety by the annotated score in Example 3.[17] This descent spans a large modulatory section (mm. 9–22) with tonicizations of III, V, and I, which, together with the opening tonic, form the harmonic framework I–III–V–I. As with the first fifth-descent, design offers straightforward support for the harmonic framework. As indicated by brackets, the fugal design proceeds again in two-bar units, except for the three-bar episode in mm. 17–19. The first unit, the sequential episode

[15] I discuss this issue with respect to the *Urlinie* $\hat{4}$ in Väisälä 2009 (136 ff.).

[16] To be sure, one can see a kind of conflict between structural indicators also in this case. Schenker's reading seems to have been motivated by his notion that the g^2 in the first half of m. 6 (reproducing the g^1 through a local voice exchange) is structurally connected with that of the answer (the $\hat{5}$), offering a delayed completion to its voice leading (Schenker 1996: 37–38). In support of this notion, one may cite both the high register of the g^2 and the connection of design created by the use of lower-neighbor figures (g^2–$f\sharp^2$–g^2 in the answer, g^2–$f\natural^2$–g^2 in m. 6). I would suggest, however, that in determining harmonic structure, such upper-voice associations are insufficient to challenge the implications of clearly articulated bass lines, such as the present f^1–g^1–$a\flat^1$ line, which points to a prolongation of a local F-minor chord. The re-establishment of the $\hat{5}$ in m. 6 lacks thus harmonic support, and the association between the two g^2s should rather be characterized in terms of something like an unfulfilled striving for such re-establishment.

[17] Example 3 shows some minor differences of interpretation with respect to Schenker's graph (Example 1). The comparison of these Examples is left to the reader.

in mm. 9–10, modulates rapidly to the III, which is then prolonged by the ensuing entrance. The subsequent episode (mm. 13–14) leads to a C-minor $^{6}_{3}$ chord and is thus framed by 5–6 motion above E♭ (a motion whose significance Schenker described with great merit). The next entrance, mm. 15–16, reinterprets the C-minor $^{6}_{3}$ as the IV^{6} in the dominant key and leads to the tonicized V through an authentic cadence. The episode of mm. 17–19 transforms the tonicized dominant into a V^{7} (local V^{2}), and the subsequent entrance leads from I^{6} to the root-position I through an auxiliary cadence.[18] All in all, the framing points of these units are clearly at the service of the I–III–V–I framework. In addition, this framework is reinforced by a parallelism of fugal design, as each of its constituent harmonies is marked by a thematic entrance.

The I–III–V–I framework is further buttressed by the remaining structural indicators. The progression to the III in mm. 9–10 is underlined by an unprecedented surge to the lowest register (great octave). Moreover, the bass returns to this register, after intervening higher events, to mark the V (G) in m. 17. The closing I in m. 22 involves somewhat more complex registral circumstances. The V in m. 17 and the I in m. 22 are approached through parallelistic bass parts, in which the second countersubject is modified so as to incorporate authentic cadences. This parallelism would lead us to expect a great C to complete the structure, as shown in brackets in Example 3 (m. 22), but this is replaced by an octave higher c. This replacement is insufficient to question the position of the I as the closing tonic of the I–III–V–I framework, as this is secured by other indicators, especially the parallelistic cadences to the V and the I. However, this replacement is not without significant structural implications. By attenuating the tonic, it is one of the factors that contributes to the impression that this does not yet complete the highest structural level, the *Ursatz* – one of the major points in which I disagree with Schenker's analysis (Example 1).[19]

Leaving aside the disagreement about the structural level at which it participates, there is thus plenty of first-order evidence for the I–III–V–I harmonic framework: *assuming* that Bach's large-scale organization was guided by the harmonic patterns Schenker described, structural indicators indicate that the pertinent pattern for this stretch of music was I–III–V–I. However, as with the first fifth-descent, it is questionable whether the harmonic framework involves significant second-order evidence for Schenkerian theory, since its predictions are relatively unspecific in the harmonic realm. We do not need Schenkerian theory to predict that the tonic and the dominant will play an emphasized role in tonal organization. It is also questionable, probabilistically speaking, whether the additional emphasis on the III as a "space filler" between the I and V offers significant confirmation for the theory's predictions, since it permits several alternatives for such "space fillers."[20] Besides, the emphasis on the III, V, and I might also be explained from a non-Schenkerian view on the basis of customary modulatory schemes.[21]

For illustrating the distinctive predictive power of Schenkerian theory, it is again necessary to turn to the upper-voice events. As observed above, the second fifth-descent begins by citing the thematic lower-neighbor figure (g^{2}–f♯^{2}–g^{2}), so as to re-establish the $\hat{5}$. This figure is then sequentially repeated above the harmonic progression towards the tonicized III, which articulates a $\hat{5}$–$\hat{4}$–$\hat{3}$

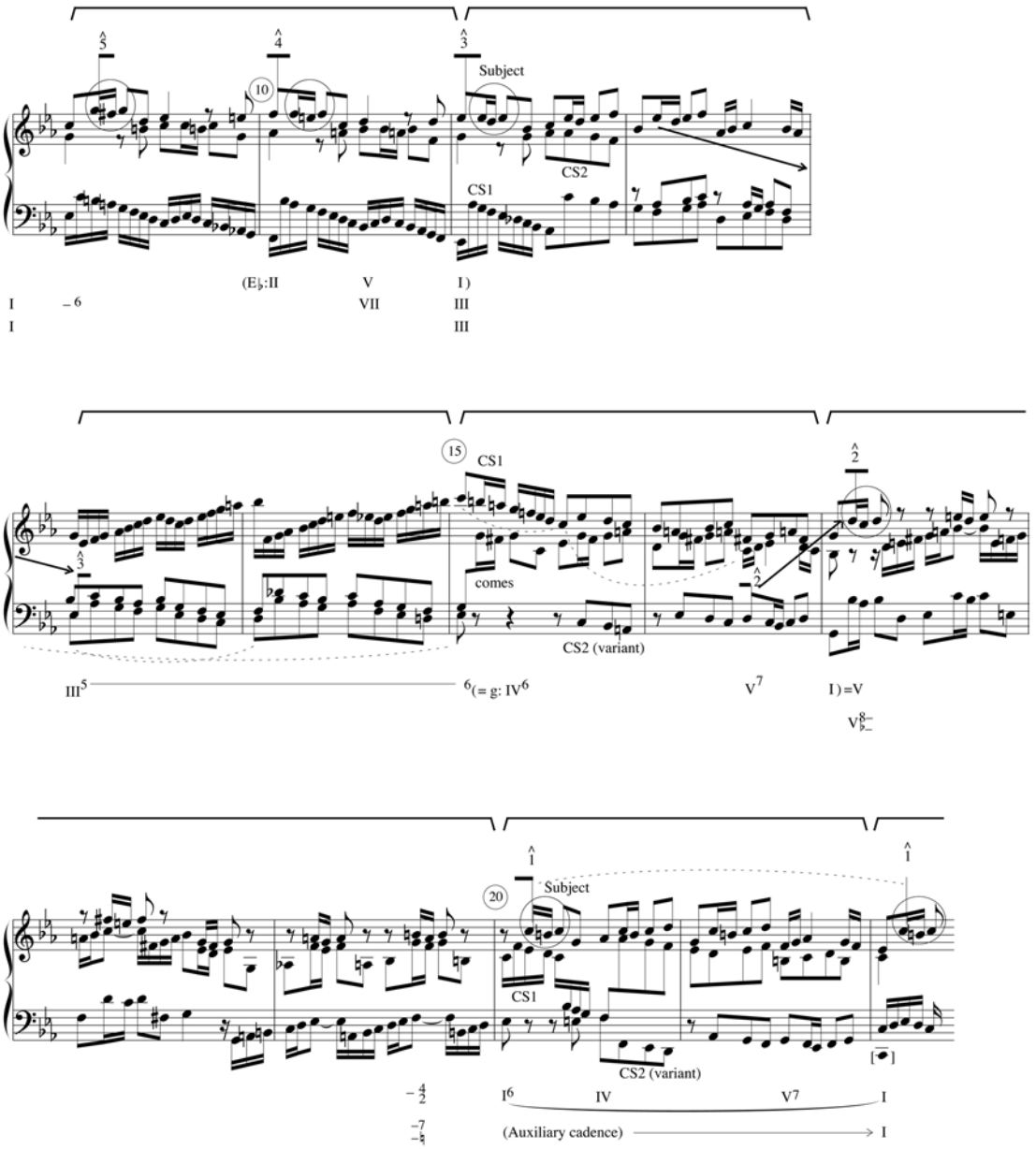
[18] Schenker, who had not yet discovered the concept of auxiliary cadence at the time of this analysis (1926), shows a root-position tonic already in m. 20 (where none exists).

[19] Since this analysis is relatively early (1926), Schenker might have revised his analysis after having gained more experience of the requirements of structural closure. I submit that the *Urlinie* descent starts from the V^{7} in m. 25, emphasized by a rhetorical halt in the bass line, which supports the *Urlinie* $\hat{4}$. This is transferred to the bass of the V^{2} in m. 28 and resolves to the $\hat{3}$ in the bass of the subsequent I^{6}, likewise emphasized by a rhetorical halt. The concluding $\hat{2}$–$\hat{1}$ motion is supported by the cadence in m. 29, in which the low C finally appears. This account of *Urlinie* events agrees with Schachter 1996 (335–336).

[20] According to Schenker 1979, § 53 ff. (Fig. 14–16), the ascending I–V progression can be supplemented at the first middleground level by II, III (or I^{6}) and IV (II^{6}). The remaining scale degrees, VI and VII, become possible at later levels in the descending I–V progression (Schenker 1979, § 187, Fig. 67; on the VII–V progression, see also § 246, Fig. 111).

[21] While Schenker tended to downplay the concept of modulation in his late output, there is no reason to consider Schenkerian structural levels and modulatory schemes as mutually exclusive (see Schachter 1987a).

Example 3. Bach, Fugue in C Minor, mm. 9–22: annotated score.



top-voice motion (g^2–f^2–$e\flat^2$). While this motion is rapid, its structural significance is underlined by features of design and register that depart radically from preceding events. Whereas the previous downbeats of even-numbered measures have been attenuated by their position within small units of design (see lower brackets in Example 2), the sequential design now works in agreement with meter. Moreover, the downbeat of m. 10 receives particular emphasis from the extreme low F bass – much lower than any of the preceding metrically accented basses. These unprecedented features are crucial for supporting the structural weight of the f^2 in m. 10, occurring in the midst of a two-bar unit and lacking harmonic support from the main elements of the I–III–V–I framework.

Since Schenkerian theory grants a privileged status to voice-leading *Züge* or stepwise linear progressions, it permits one to predict that given the present harmonic framework the most

probable way to complete the $\hat{5}$–$\hat{4}$–$\hat{3}$ top-voice line is $\hat{2}$–$\hat{1}$ (d^2–c^2) above the concluding V–I. This prediction turns out to be fulfilled through a notable combination of structural indicators. During the large prolongation of the III, the top-voice $\hat{3}$ leaves off from the highest register and may be understood as transferring to the bass, as shown by an arrow in Example 3. As soon as the dominant is attained, in m. 16, the top-voice $\hat{2}$ not only pops up in the high register (d^2) but is articulated by the resumption of the lower-neighbor figure, which has been absent from the highest voice since the initial $\hat{5}$–$\hat{4}$–$\hat{3}$ motion. As illustrated by circles in Example 3, the elements of the fifth-descent are consistently bound together by parallelistic occurrences of the lower-neighbor figure. The concluding $\hat{1}$ (c^2) appears both above the I^6 in m. 20, where the lower-neighbor figure initiates another thematic statement, and above the eventual root-position I in m. 22, where it initiates a sequence that resembles the one that started this fifth-descent (another aspect of design that supports the unity of this progression). Bach's treatment of upper-voice material above the V and I is thus optimal for supporting not only the status of $\hat{2}$ (d^2) and $\hat{1}$ (c^2) as governing top-voice tones, but also their connection with the preceding $\hat{5}$–$\hat{4}$–$\hat{3}$ motion.

2.3. Conclusions

The above discussion of the two fifth-descents illustrates how Schenker *might* have approached questions concerning both first-order and second-order evidence. It also illustrates how Schenkerians can respond to the claims of a Schenker critic such as Lawrence Dreyfus (1996: 169–188), who, on the basis of this very analysis by Schenker, suggested that Schenkerian structures are "figments of the organicist imagination" without compositional relevance. The tones of the two fifth-descents are strongly supported by structural indicators above the harmonic frameworks, which themselves are similarly supported. Moreover, the integrity of the second fifth-descent is buttressed by the parallelism based on the lower-neighbor figure. In several respects, Bach's treatment of upper-voice material seems ideal for sustaining archetypal Schenkerian patterns, which suggests that such patterns affected his composition, offering second-order evidence for Schenker's theory. It becomes thus apparent what kind of disservice Schenker made to Schenkerianism through his failure to explicate evidential principles for his theory and analyses, such as discussed above, and through his reliance on ideologically charged authoritarian intuitions. As a legacy of Schenker's attitude, the general awareness of the extent to which Schenkerian theory and analysis can be substantiated through empirically observable compositional features – as opposed to deriving from *a priori* ideological grounds – has remained regrettably vague, as Dreyfus's essay exemplifies.

Schenker's disservice is not, however, confined to his failure to explicate evidence for his intuitions. His intuitions are also by no means reliable. Unlike the fifth-descents just discussed, Schenker's readings are by no means always consistently supported by the structural indicators. Of course, one may question whether the four indicators form an adequate evidential basis for matching valid intuitions. To be sure, I do not maintain that my list of indicators is an exclusive one.[22] However, their tendency to support Schenkerian patterns, as exemplified by the previous analysis (and by those in Väisälä 2008 and 2009), suggests that they are among primary compositional means of realizing such patterns and certainly should not be overlooked in the verification of them. And, as my next example will suggest, for some Schenker's readings it is difficult to find support not only from the four indicators but from any compositional features whatsoever. Such readings can, indeed, be justly called "figments of imagination."

[22] As the reader may have noted, my analytical examples contain at least one element whose indicated structural status is *not* strongly supported by the structural indicators. The Roman numerals in Example 3 indicate the VII (V of III) at the end of m. 10 as the structurally most significant harmony between the I and the III, even though the preceding F-minor chord (II of III) is both metrically stronger and has a lower bass (features that help to underline the concurrent top-voice $\hat{4}$). This reading relies largely on syntactic *a priori* principles: a bias for the local dominant, on the one hand, and against parallel octaves, on the other. The relationships between such *a priori* principles, on the one hand, and empirical observations of compositional features, on the other, pose a complex question that cannot be discussed here, even though my main argument is based on demonstrating the great significance of the latter for the determination of structure.

3. Why the Lack of Justification for Schenker's Analyses Does Not Imply a Lack of Justification for His Theory

3.1. Bach, Prelude in D Minor (BWV 926)

Example 4 reproduces Schenker's (2004 [1923]: 181) graph of the D-minor Prelude, and Example 5 shows an annotated score. Beneath the score are shown two superimposed annotations concerning harmonic hierarchy. The upper annotations, after "HS," depict Schenker's conception of the harmonic hierarchy at the beginning of the Prelude (up to m. 25). The lower annotations, after "OV," show my reading for the entire piece.

Determining units of design is more complex in this capricious Prelude than in the above-discussed Fugue. Guiding landmarks are given, however, by occurrences of the opening *arpeggio* figuration, denoted α in Example 5, which alternates with the descending β figure at the beginning of the Prelude. Perhaps the most striking feature of design is the large uniform α passage in mm. 21–38, framed by a root-position V and a $V\frac{6}{5}$. In Schenker's reading, the opening dominant of this span bears a curiously weak structural weight. It merely prolongs the dominant attained as early as m. 11, and the dominant as a whole is subordinate to a motion from the opening tonic to the VI harmony in m. 25.[23] It is difficult to find any feature in Bach's composition that would support such a structural weight for this VI, and neither does Schenker point out such features in his verbal comments.[24]

Example 5 also shows the very beginning of Schenker's top-voice reading. This is indicated in brackets after "HS" in mm. 8–9; all other upper-voice denotations illustrate my reading. According to Schenker, the structural upper voice starts from f^2 in m. 8, followed by an extended prolongation of e^2 (mm. 9–24). One might note that the f^2 is the highest note above the opening tonic and is thus, in some sense, supported by register.[25] However, the registral ascent goes on to the downbeat $b\flat^2$ in m. 9, which bears a readily perceptible neighboring-note relationship with surrounding As in mm. 1 and 13, and thus points to $\hat{5}$ rather than $\hat{3}$ as the governing top-voice tone. Even more dubious is the high status assigned by Schenker to the e^2 in m. 9. This e^2 is not supported by any of the structural indicators, except for the slight metrical stress at the eighth-note level. But even this feature has questionable significance in the present context, since the subsequent accented eight-notes (c^2, a^1, $f\sharp^1$) clearly function as non-harmonic passing tones and since the preceding f^2 stands out as the starting point of the stepwise descent. As illustrated by slurs beneath the notes, these circumstances suggest reading the e^2 as a local passing note in analogy with the subsequent eighth-note figuration, in which case the f^2 resolves only to the bass e at the downbeat of m. 10. (All slurs in Example 5 are analytical annotations, not articulation signs.)

Suffice these observations to suggest that Schenker's analysis relies largely on figments of his imagination rather than features in Bach's composition. Such analysis has made a disservice to Schenkerianism in being likely to create the impression of its being concerned with hidden and esoteric phenomena, inaccessible to normal musical perception. In Schenker's defense, one might note that this analysis represents the very earliest stage (1923) in his efforts towards the

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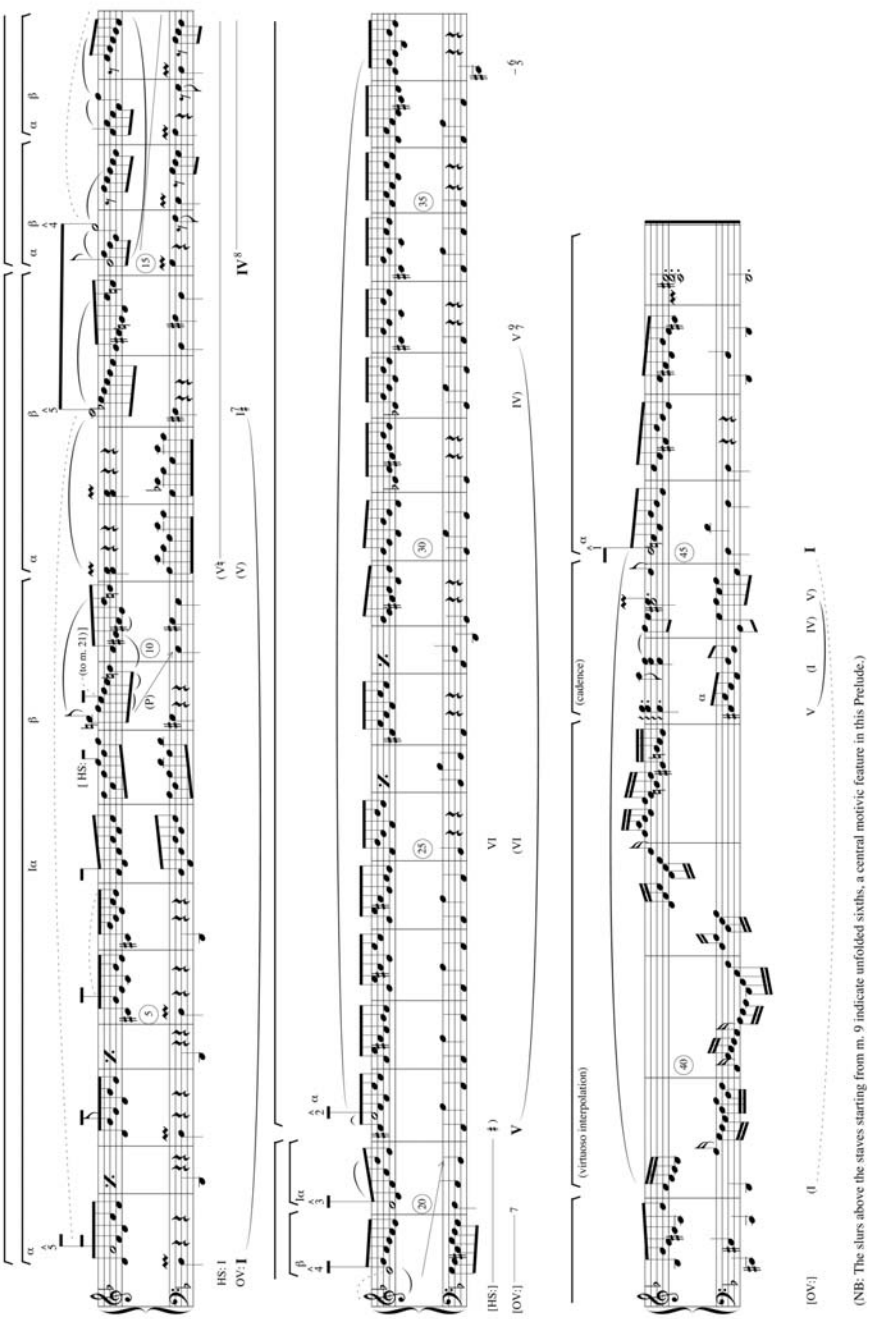
[23] The subordinate status of this V can be inferred from Schenker's slur that connects the top-voice f^2 in m. 7 with the d^2 in m. 25, which indicates that the function of the V is to support a passing e^2.

[24] Since Schenker (2004: 180) features a^1–g^1–f^1 third-progressions both in verbal analysis and in Fig. 1 (not reproduced here), by placing arrows beneath the terminating f^1s (mm. 7, 20, 25, 35, 39, 43, 48 [$f\sharp^1$]), one might speculate that his reading of the VI in m. 25 is motivated by its position at one of these terminating points. This may be doubted, however, since Schenker was content to show other such points, such as the one in m. 20, as subordinate to non-tonic harmonies (the large dominant prolongation). Hence one cannot speak of a consistently applied analytical criterion. Moreover, such a criterion would contradict one of the main virtues of Schenkerian analysis, namely, that it allows us to show how similar surface progressions relate differently with larger structure.

[25] For justifying his choice of the $\hat{3}$ as the starting point of the *Urlinie*, Schenker (2004: 180) does not appeal to register but to the position of f^1 as the concluding point of the third-progressions mentioned in Note 24. Schenker seems thus to suggest that the occurrence of small-scale $\hat{5}$–$\hat{4}$–$\hat{3}$ progressions – which are extremely common in Bach openings, as exemplified by the subject of the C-minor Fugue – points to the concluding $\hat{3}$ rather than the beginning $\hat{5}$ as the *Kopfton*. However, it is hard to find any kind of justification for such a principle, nor does Schenker apply it consistently in his analyses.

Example 4. Schenker's graph of Bach's Prelude in D Minor (BWV 926).

Example 5. Bach, Prelude in D Minor: annotated score.



kind of comprehensive hierarchic interpretation of structural levels that we have become to know as "Schenkerian analysis." For this very reason, however, it casts doubt on some Schenkerians' claims that Schenker's notions always arose empirically from his intimate experience with the musical masterworks.[26] To say the least, the truth seems to be more complicated. Besides, as my next example will suggest, Schenker's ability to evaluate the empirical support for his readings remained unsatisfactory even in his latest output.

For approaching an empirically justifiable analysis of this Prelude, let us first take note of units of design, as shown by brackets in Example 5. At the beginning, the lower-level units are formed by combinations of α and β, which show a characteristic tendency of shortening prior to the large uniform α unit starting in m. 21. While these shortening units might be combined into a single large unit (mm. 1–20), the higher brackets in Example 5 show a division in m. 15, highlighting the IV harmony. Several features in the treatment of α and β support this division. First, the α figure is transferred (as a quasi-imitation) to the left hand m. 11 and back to the right hand in m. 15, from which point onwards α and β occur sequentially in the right hand; hence the IV is marked as the completion of the opening quasi-imitational events and as the starting point of a different kind of treatment. Second, while the two lower-level units that precede the IV (mm. 1–10, 11–14) are of different length, they can nonetheless be heard as parallelistic, especially because the β passages (mm. 9–10 and 13–14) are identical, whereas the subsequent units (mm. 15–16, 17–18) are obviously parallelistic with each other.[27] Third, the IV is also marked by some new details of design, the most striking of which is the rhythmic treatment of the high g^2.[28]

Over the course of the prelude, the α figure makes four prominent appearances in the right hand, always initiating a significant unit of design. These occurrences highlight four harmonies, shown by large boldface Roman numerals in Example 5: the opening I, the IV in m. 15, the V in m. 21, and the concluding I in m. 45. Design offers thus first-order evidence, through both partition and parallelism, to a I–IV–V–I harmonic framework. The left hand's octave leap gestures, which articulate the V (m. 21) and the concluding I (m. 45), form an additional aspect of parallelism, buttressing the V–I connection. These aspects of parallelism hold crucial implications for the structural roles of the tonics in mm. 39 and 45. Whereas strong parallelism binds the latter tonic with the preceding elements of the I–IV–V–I framework, the former tonic is marked by sixteenth-note figuration that completely deviates from its surroundings. This suggests that in some sense it is only the latter tonic which offers definitive completion for the framework, a point to be clarified presently.

As discussed above, considerations of second-order evidence cannot be based on the harmonic framework alone but presuppose allowing for upper-voice events. Do the structural indicators support an archetypal top-voice line above the I–IV–V–I framework? Above the opening I, one can see a conflict between register, that favors the fifth (a^1), and meter, which favors the octave (d^1). While,

[26] Consider, for example, Brown's (2005: 76) assertion, that "We have seen that the explanatory laws underpinning Schenkerian theory were actually discovered empirically in the *Harmonielehre* and *Kontrapunkt I*, long before Schenker formulated his concept of a single tonal prototype. […] After spending the next decade studying a broad range of functional monotonal compositions, Schenker discovered empirically that he could reformulate this set of explanatory laws in terms of prototypes, transformations, and levels."

[27] If one considers merely the succession of chords, ignoring the aspects of design discussed here, one may identify a harmonic sequence starting from the dominant of V in m. 9, which might be cited as an argument for Schenker's reading of a dominant prolongation in mm. 11–21. However, it should be regarded as another of the main virtues of Schenkerian analysis that it permits us to identify chord significance in a way that is not mechanically derivable from the succession of chords but allows for their compositional treatment. The parallelism between the motions from the opening I to the V in m. 11 and from this V to the IV in m. 15 suggests (among other factors) that the V is an intermediate element in a larger motion from I to IV (supporting the d^2–c^2–$b\flat^1$ passing motion) even though the relationship between the V and IV already anticipates and helps to propel the subsequent descending sequence. (The indicated structural status of the $I\sharp^7$ [V^7 of IV] in mm. 13–14, again, is supported by registral emphasis and by its position at the end of the unit of design.)

[28] Since the figuration in m. 20 deviates from the preceding events in the second large unit, one may question whether it is justified to include this measure within this unit or whether it should be indicated as a one-bar unit also at the upper level. Owing to the inordinate brevity of this unit, I have shied away from such an indication, even though it would support the present analysis by highlighting the *Urlinie* $\hat{3}$.

as noted above, a systematic treatment of such conflicts goes beyond the scope of this article, I would suggest that in these circumstances this conflict is clearly resolved in favor of the fifth, which is more strongly activated melodically ($\hat{5}$–$\hat{6}$–$\hat{4}$–$\hat{3}$ in mm. 7) and further reinforced by its transfer to the high register (a^2) in m. 13. Above the V in m. 21, we again encounter the fifth (e^2) as highest in register and becoming activated melodically. The concluding tonic (m. 45), by contrast, shows the α figure in a new guise which emphasizes the octave (d^2) through both register and meter. The right hand's registral events between the V (m. 21) and the concluding I (m. 45) also offer some corroboration for the view that these two harmonies are structurally connected: whereas these V and I support the high e^2 and d^2, the intervening $V\frac{6}{5}$–I motion (mm. 38–39) accompanies a lower g^1–f^1 motion, pointing to an unfolding figure e^2–g^1, f^1–d^2. As shown by slurs above the score in Example 5, this figure is an enlargement of a motive that saturates preceding events starting from $b\flat^2$–d^2, c^2–a^2 in mm. 9–13. This unfolding sheds light on the structural significance of the two tonics close to the conclusion: while the bass in m. 39 already represents the concluding I, the upper voice has yet to regain the top-voice $\hat{1}$, which is achieved during the remaining cadential events.[29]

The harmonies of the I–V–I *Baßbrechung* support thus A, E, and D, or $\hat{5}$–$\hat{2}$–$\hat{1}$, as locally governing top-voice tones in accordance with the normal 5-*Urlinie* pattern. A crucial question is, however, whether the structural indicators support filling in the gap between the $\hat{5}$ and the $\hat{2}$ (*Leerlauf*). To consider this question, we have to focus on the events above the enlarged IV (mm. 15–20). While the α figure appears in its original guise in m. 15, its fifth, d^2, appears now as an intermediate element between the metrically strong $b\flat^1$ and the registrally highlighted g^2. Both $b\flat^1$ and g^2 hold a stepwise relationship with the opening $\hat{5}$. The g^2, marked with a new rhythmic gesture, connects with a^2, the registrally transferred *Kopfton*. The downbeat $b\flat^1$ connects registrally with the original a^1 and leads sequentially to g^1 in m. 19, where the higher registral strand leaves off. At this point, we have thus been guided both by register and meter from A to G, or from $\hat{5}$ to $\hat{4}$. This is followed by the $\hat{3}$ (f^1) at the downbeat of m. 20, and then, in the next measure, by the $\hat{2}$ (e^2), the top-voice tone of the prolonged dominant.

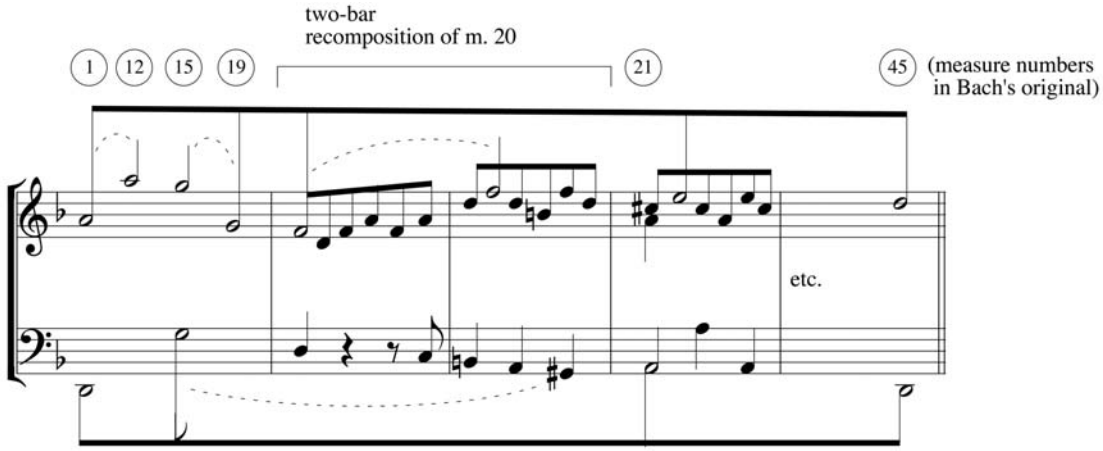
Several indicators thus do support the filling-in of the *Urlinie* stretch between $\hat{5}$ and $\hat{2}$, if we compare Bach's composition to what would have been achieved by a more mechanical transposition of the α figure. While this suggests that there is considerable second-order evidence for the *Urlinie* concept, assessing the strength of this evidence is far from straightforward. It should be admitted that the evidence is less than maximal (and weaker than for the fifth-descents in the previous analysis). A weak spot in the *Urlinie* is the $\hat{3}$ (m. 20). While it is brought out by meter and design,[30] it governs only a short span and denies the ultimate clarification to registral events. One might easily imagine compositional solutions that provide a stronger support for the $\hat{3}$. To illustrate this, I have sketched one such solution in Example 6. In this recomposition, the *Urlinie's* transference to the higher octave is clarified through consistent couplings prior to the high $\hat{2}$ (a^1–a^2, g^2–g^1, f^1–f^2, e^2, d^2), whereas the real Prelude lacks f^2.

The $\hat{4}$–$\hat{3}$-*Urlinie* motion is an issue that I discussed extensively in my recent article on Bach's Inventions (Väisälä 2009: 132–148). To put

[29] As suggested by one of the anonymous reviewers, the ending can be compared with that of Prelude in C Major from *WTC I*, as analyzed by Schenker (1969). In both cases, the structural dominant supports a motion from Urlinie $\hat{2}$ to $\hat{4}$ above the dominant, which is answered by $\hat{3}$–$\hat{1}$ above the concluding tonic. In the C-major Prelude, Schenker identifies the high d^2 in the penultimate bar as representing the *Urlinie* $\hat{2}$ despite its position above the concluding tonic harmony, that is, as a suspension. As shown by the dotted tie with the question mark in the present Example 7, one might consider a similar interpretation for the e^2 (m. 45) that leads to the final $\hat{1}$ in the D-minor Prelude (m. 45). One major difference between these cases is that the conclusion of the C-major Prelude involves a tonic pedal, whereas the prolongation of the concluding I in the D-minor Prelude includes a cadential progression, whose structural significance is far from self-evident. Were it not for the features of design and upper-voice register that support the connection between the V in m. 21 and the final I (m. 45), one would be inclined to interpret the cadential dominant (m. 44) as the main structural dominant, coinciding with *Urlinie* $\hat{2}$ – as Schenker indeed does (Example 4). However, while cadential dominants often fulfill such a structural function, this is not always the case, as is suggested, for example, by Schenker's (1979, Fig. 21 and 24) later conception of interruption, in which the main structural dominant is that of the first branch.

[30] Design supports m. 20 both because of its position just before the large uniform unit of mm. 21–38 and because of the deviation of its "Ia" figuration from the preceding measures; cf. note 28 above.

Example 6. A recomposition of m. 20 in Bach's Prelude in D Minor.



it simply, I argued that when there is definite initial emphasis on the $\hat{5}$, clearly articulated $\hat{4}$ and $\hat{3}$ follow consistently, yielding strong second-order evidence for the notion of 5-*Urlinie*. In this Prelude, *Urlinie* articulation, and the concomitant second-order evidence, is somewhat weaker than what is typical of the Inventions, which raises complex questions about the significance of this feature. These questions cannot be discussed at length here, but for avoiding misunderstanding it should be noted that by Example 6 I do not wish to suggest that this is the way Bach "ought" to have composed. Rather, the weak $\hat{3}$ links with other characteristic features of this Prelude that over-emphasize the $\hat{2}$ in relation to the preceding events. The design shows a hastening pace of improvisatory, capricious events at the beginning (mm. 1–20), which sharply contrasts with the ensuing surprisingly large and uniform prolongation of the $\hat{2}$. From the motivic perspective, the events from the high $b\flat^2$ (m. 9) onwards can be perceived as a restless search for a definitive statement of the unfolding motive (b^2–d^2, c^2–a^2; a^2–c^2, $b\flat^1$–g^2, etc.; see slurs in Example 5), which is then overwhelmingly rewarded by the concluding prolongation of $\hat{2}$–$\hat{1}$ (e^2–g^1, f^1–d^2). While the compositional alternative in Example 6 would strengthen the *Urlinie*, it would also weaken the overwhelming effect of the $\hat{2}$, a key characteristic in this Prelude.[31]

Example 7 summarizes pertinent structural and motivic features, also adding some details not discussed above.

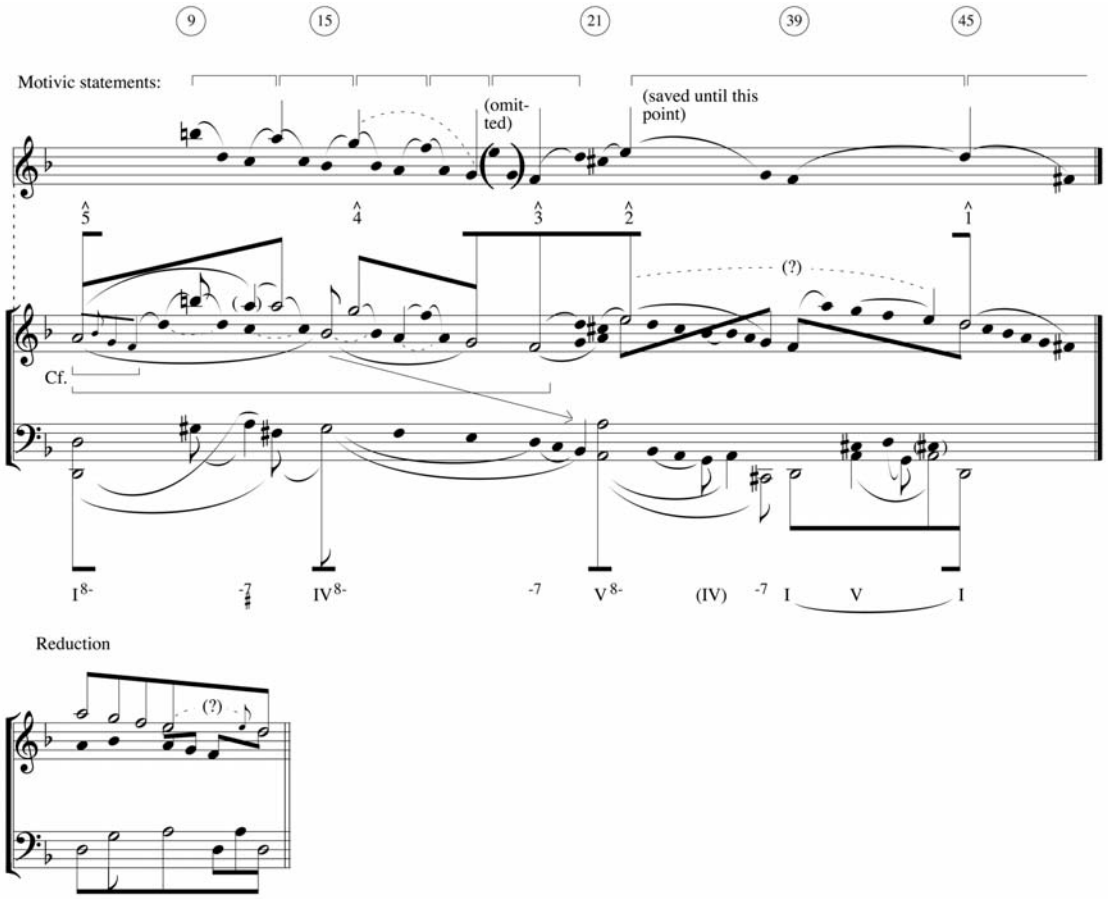
3.2. Bach, Fugue in D Minor from *The Well-Tempered Clavier I*

Whereas Schenker's analysis of the D-minor Prelude represents his earliest attempts towards a comprehensive interpretation of structural levels, my final example, the Fugue in D Minor from *The Well-Tempered Clavier I*, relates with his last major work, *Free Composition*, which includes a graph of this Fugue (Fig. 156). Example 8 reproduces Schenker's graph.

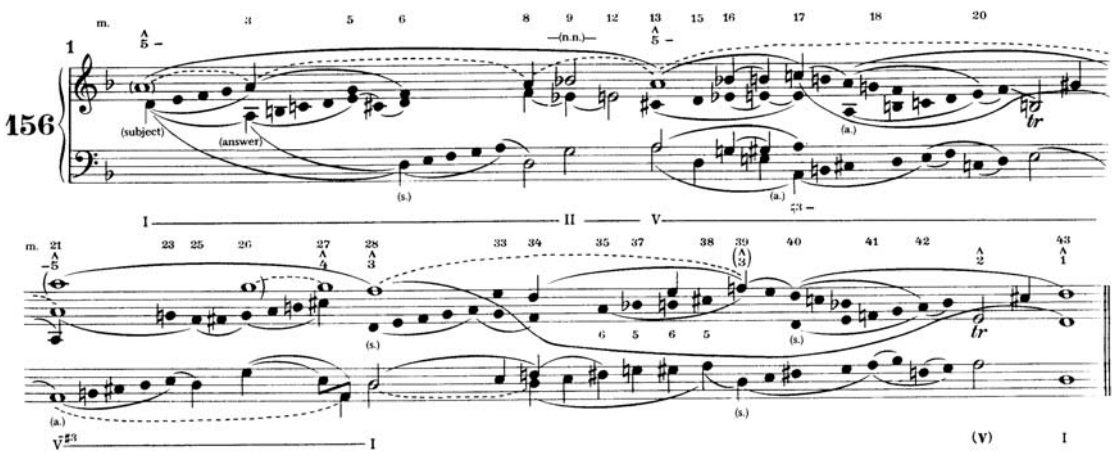
The issue of $\hat{4}$–$\hat{3}$ *Urlinie* motion is central also for this example. According to Schenker, the opening subject establishes $\hat{5}$ as *Kopfton*, which, of course, implies that $\hat{4}$ and $\hat{3}$ should be found somewhere. For assessing Schenker's reading of the $\hat{4}$–$\hat{3}$ motion, we should first note that the Fugue divides into two sections, the first section (mm. 1–21) modulating from the tonic to the

[31] Another feature that adds to the prominence of the $\hat{2}$ (the e^2 in m. 21) is that the preceding motivic repetitions break off just at the point in which e^2 would have occurred (after f^2–a^1–g^1 in mm. 17–19); see bracketed notes in Example 7, highest stave.

Example 7. Bach, Prelude in D Minor: overall voice-leading graph.



Example 8. Schenker's graph of Bach's Fugue in D Minor (*WTC I*).



dominant and the second section (mm. 21–44) returning to the tonic. Since the $\hat{4}$–$\hat{3}$ *Urlinie* motion is, according to Schenker, supported by a passing dominant seventh that leads to the structural tonic return, the assessment of his *Urlinie* reading ties in inseparably with the question of locating that return, in other words, determining how far the dominant prolongation extends.

Example 9 shows the beginning of the second part of the Fugue up to the beginning of the "rhyme" passage – a module that occurs in two transpositions, concluding the two sections of the Fugue (compare mm. 17–21 with mm. 39–43). Schenker locates the tonic return in m. 28, which, to be sure, contains a salient D-minor chord and is even marked by a statement of the subject at the original level. However, local design lays doubt on the structural decisiveness of the D-minor chord. As shown by brackets, the design is based on a *stretto* of all three voices. The statement of the original subject is sandwiched – both temporally and registrally – between the two other statements: an inversion in the highest voice and a varied inversion in the lowest. Harmonically, the *stretto* begins from a salient inverted V^7 (m. 27) – still prolonging the dominant attained at the end of the first section (in Schenker's analysis as well as mine)[32] – and proceeds then, through Schenker's tonic, to the G-minor chord in m. 31. This chord is further underlined by the low register of its bass, connecting with the original dominant (m. 21). Design and register thus suggest that Schenker's tonic functions as an intermediate element in a V–(I)–IV progression, a progression that occurs frequently in the second part of Bach's binary-form pieces. The statement of the original subject refers to the opening but fails to establish tonic return, and is thus comparable to the many instances in homophonic forms in which thematic and harmonic return do not coincide (as for Bach's music, see, e.g., Schachter's analysis of rondo returns in *Gavotte en Rondeaux* in Schachter 1987b).

As shown by the annotations above the score in Example 9, Schenker's $\hat{4}$–$\hat{3}$ motion is actually one among several similar events which suggest but fail to establish a tonic return during the second section. Of these events, the first three (mm. 24–25, 27–28, and 33–34) are weakly supported by structural indicators in comparison to the last (mm. 38–39). The D-minor chords in mm. 25 and 34 are, to be sure, marked by a local change in design, but they are registrally attenuated, and eclipsed by subsequent returns to outer registers (mm. 27 and 37, respectively).[33] The final V^7–I progression in mm. 38–39, leading to the concluding "rhyme," occurs in a more crucial juncture of design than any of the preceding ones, and involves both outer registers and considerable gestural emphasis. This suggests that the decisive tonic return only occurs at the beginning of the "rhyme" (m. 39), whereas the preceding D-minor chords appear as anticipatory foreground references to the structural goal. Such foreground references, which may be understood as manifesting a striving towards a structural goal prior to its attainment, are common in prolongational structures, and one of the virtues of Schenkerian analysis is that it allows us to make a distinction between the two. Schenker's evidential understanding, however, seems to have fallen short of offering a consistent basis for making such distinctions.

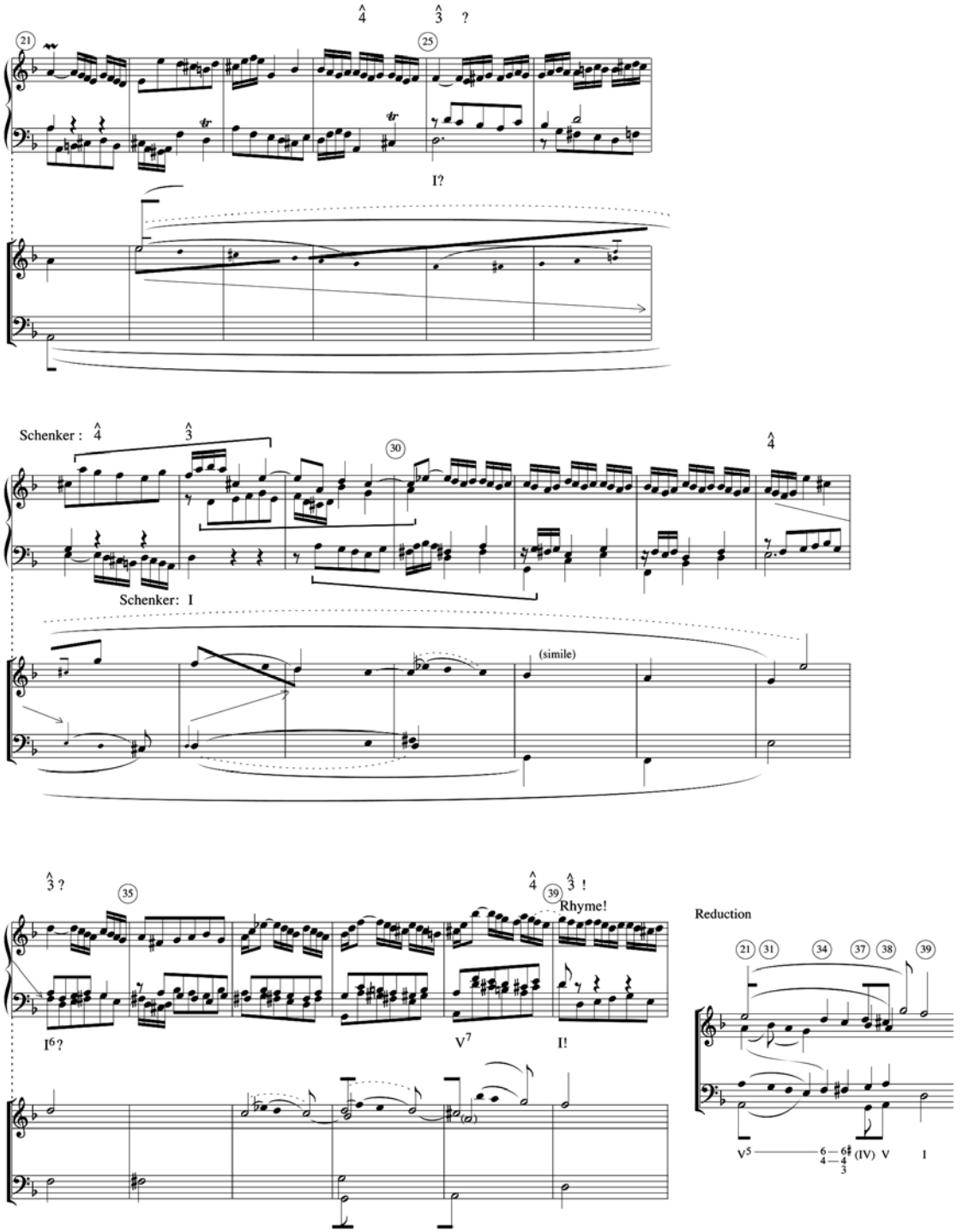
If the tonic return only occurs in m. 39, this implies that the only logical alternative for an *Urlinie* $\hat{4}$ is the g^2 that immediately precedes it, that is, the third-to-last sixteenth-note in m. 38. This, however, raises the question whether this g^2 actually makes a satisfactory *Urlinie* tone. Not only is it inordinately short – even more inordinately than the $\hat{3}$ in the previous example – but there also seem to be no compositional features to support its connection with the original $\hat{5}$ (a^1) and the registral transfer involved (a^1–g^2).[34] Indeed, as suggested by my analytical graph in Example 9, the focal point for the preceding upper-voice events would seem to be e^2 rather than the $\hat{5}$ (a^1 or a^2). In

[32] It is not self-evident what should be regarded as the governing bass tone in m. 27. Whereas Schenker shows the root A as governing (Example 8), which is certainly defensible on the basis of its registral position and temporal position just before the "I," Example 9 regards c♯ as primary, because it is the resolution of the metrically stronger d appoggiatura and participates in stepwise relationships (admittedly a criterion outside the four structural indicators). This issue is not consequential for the main line of the present argument.

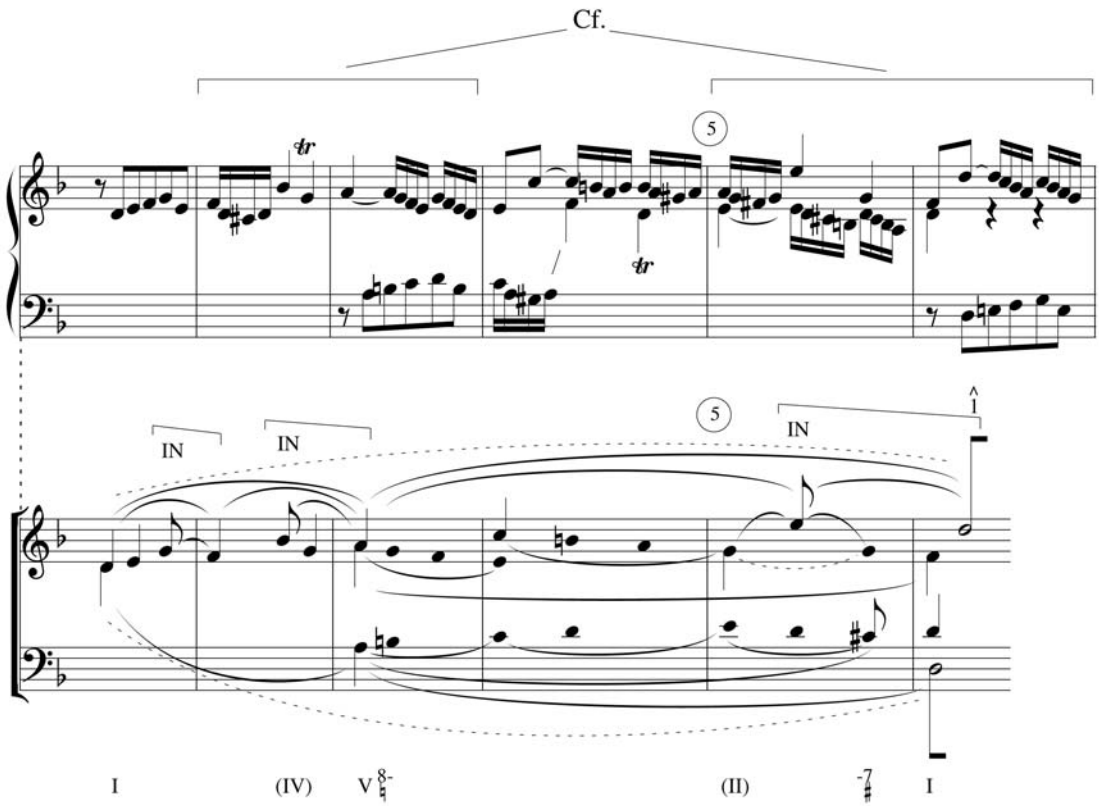
[33] In m. 25, the D-minor chord is attenuated by the right hand's low registral placement between the prominent e^2 in m. 22 and the g^2 in m. 27. In m. 34, the arrival at the I^6 is attenuated by the left-hand's relatively high register.

[34] Similar considerations apply to Schenker's *Urlinie* $\hat{4}$.

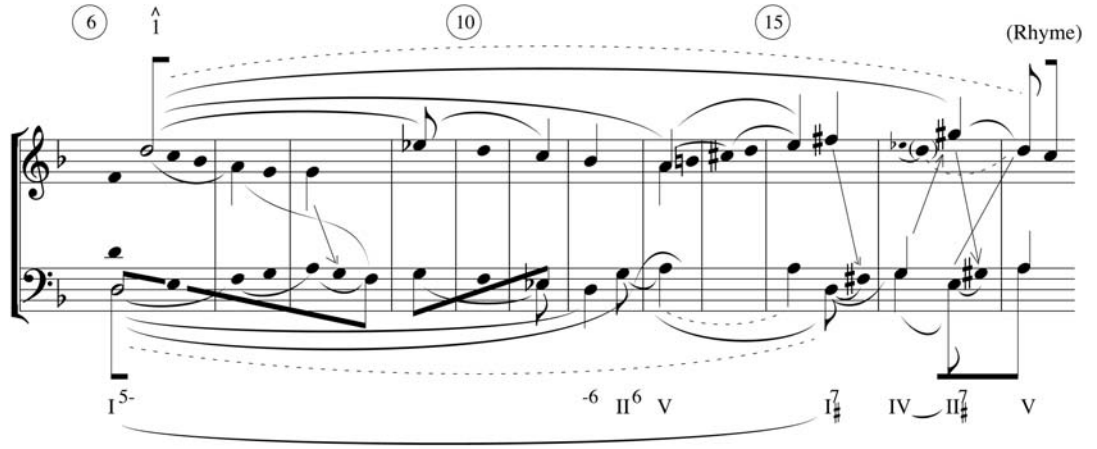
Example 9. Bach, Fugue in D Minor, mm. 21–39: score and voice-leading graph.



Example 10. Bach, Fugue in D Minor, mm. 1–17: voice-leading graph.



(voice-leading sketch continued)

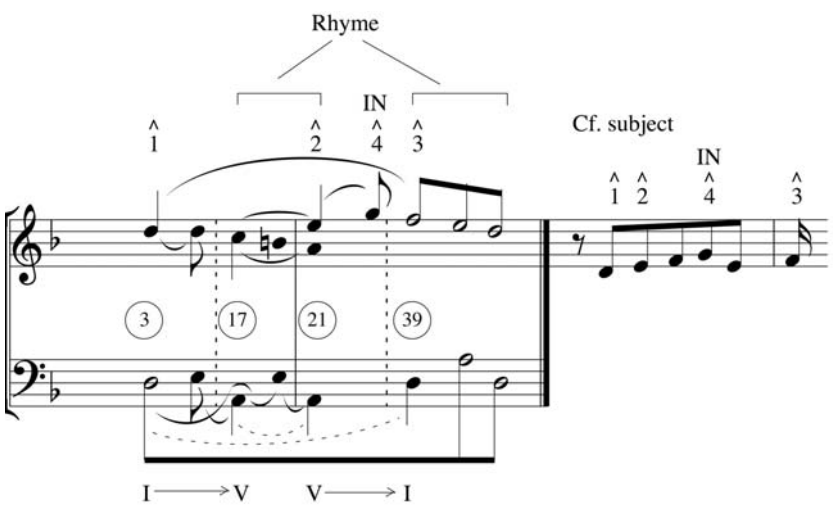


the present terminology, this seems to suggest that first-order evidence compels us to locate the *Urlinie* $\hat{4}$ at the end of m. 38, but this results in a lack of second-order evidence for the *Urlinie*, since the compositional treatment of this $\hat{4}$ hardly testifies to the kind of fundamental significance that the *Urlinie* notion assumes.

This conclusion would be premature, however, since it relies on Schenker's determination of the $\hat{5}$ as the initially established *Kopfton*. And, I would suggest, Schenker's reading of the opening is as questionable as the rest of his analysis. Example 10 depicts the opening. While the subject rises vigorously to the fifth (a^1, m. 3), the ascent does not stop there but goes on to the octave (d^2, m. 6), whose attainment is underlined by the entry of the lowest voice and by the concomitant completion of the opening I–V–I progression. As shown by "IN" markings and brackets in the graph, the unity of this ascent is enhanced by the parallelistic approach to each tone of the D-minor triad (f^1, a^1, and d^2) from an upper incomplete neighbor. The strongest parallelism, however, connects the fifth and the octave, since they appear within almost identical stretches of surface figuration, as can be verified by comparing mm. 2–3 with mm. 5–6; see brackets above the score.

These considerations suggest that the fifth (a^1) functions as a transit point in a larger ascent, whose goal is the octave (d^2). The status of the octave as the governing top-voice tone is borne out by subsequent events, which, as sketched in Example 10, remain in touch with the d^1, starting from the striking $e\flat^2$ in m. 9.[35] If we recall that e^2 functions as a focal upper-voice point in the first part of the second section (as illustrated in Example 9), an alternative picture of the overall top voice emerges. As suggested by Example 11, the f^2 at the beginning of the concluding "rhyme" (m. 39) is not an intermediate stop in the *Urlinie* but a goal of an extended initial ascent (*Anstieg*) $\hat{1}$–$\hat{2}$–$\hat{3}$ (d^2–e^2–f^2), which is then followed by a brief *Urlinie* descent.[36] The preceding g^2, whose satisfactoriness as an *Urlinie* tone was questioned above, plays the more modest role of an incomplete neighbor, embellishing the $\hat{1}$–$\hat{2}$–$\hat{3}$ ascent. Since such an incomplete neighbor is also characteristic of the fugue subject, the large-scale top voice can be understood as an enlargement of the very opening foreground figure.

Example 11. Bach, Fugue in D Minor, overall voice-leading sketch.



[35] A comparison between Examples 8 and 10 will reveal several further differences between my and Schenker's readings of the first section.

[36] While this paper concentrates on the evidential significance of objectively observable compositonal features, it might not be out of place to add that conceiving of the f^2 in m. 39 as a large-scale goal rather than an intermediate stop also corresponds much better with its musical effect – at least in my subjective experience.

If the I–V–I progression of mm. 1–39 thus supports the $\hat{1}$–$\hat{2}$–$\hat{3}$ *Anstieg*, this offers, once again, some second-order evidence for Schenkerian theory, since the *Anstieg* is, of course, an archetypal Schenkerian linear pattern. However, a more precise assessment of the strength of the evidence would require greater precision in several aspects of the analysis, including the strength and unequivocality in which the structural indicators support each top-voice tone.[37]

4. Summary and Conclusions

The above discussion is based on the hypothesis that the four structural indicators (design, register, meter, gestural emphasis) are among primary means through which composers such as Bach realized Schenkerian patterns. Through analytical examples, I have demonstrated how these indicators offer criteria, or first-order evidence, for Schenkerian analysis. Moreover, I have argued that these indicators support archetypal Schenkerian patterns – especially stepwise linear progressions – to the extent that offers second-order evidence for the above hypothesis and thus for Schenkerian theory.

As regards Schenker's readings, the C-minor Fugue exemplifies a case in which the structural indicators offer substantial support for them. The discussion of the D-minor Prelude suggests, however, that Schenker's readings also include features that lack support in these indicators and – as far as I can see – in any consistently applicable empirical criteria based on actual compositional features. Whereas Schenker's analysis of this Prelude is an early one, Schenker's graph of the D-minor Fugue in *Free Composition* is one of the examples that suggest that he remained without a satisfactory awareness of the ways in which such features can confirm or fail to confirm a reading. While I will not delve into speculations about the methodology and motivation behind Schenker's readings, it would seem that his analytical practice was based on a complex mixture of genuine empirical observations and *a priori* ideas, which occurred to him for various reasons and which he often failed to test empirically. However, as I have attempted to demonstrate above, this failure does not mean that present-day Schenkerians cannot seek to test Schenkerian ideas empirically or that such a test cannot yield positive results. In the last two of the above Bach examples, I argued that while Schenker's readings lack empirical support, structural indicators do support Schenkerian patterns undetected by Schenker, thus yielding second-order evidence for Schenker's theory.

As I hope has become evident for the reader, the main aim of the present paper is not to diminish anyone's appreciation for Schenker. His contribution to the better systemic understanding of tonal music is enormous, his analyses are often extremely perceptive in comparison to previous analytical attempts, and his neglect of evidential questions may be understood as reflecting the idealist stance characteristic of the intellectual atmosphere in his time. Nevertheless, however highly we regard Schenker's merits, the cause of Schenkerianism is not promoted by ignoring the weak spots in his work. Schenker's neglect of evidential principles has had a harmful effect on Schenkerianism, since it has resulted both in bad, unsubstantiated analysis and in the defective understanding of the kind and extent of the descriptive power of Schenkerian theory. In particular, it has remained unclear whether and on what grounds Schenker's musical ideas can be separated from his ideological views. In fact, several authors have recently argued against the viability of such separation.[38] I submit that the most effective way to counter such arguments is to strengthen the evidential basis of Schenkerianism on the grounds of empirically identifiable compositional features such as the four structural indicators.

[37] In Väisälä 2009 I argue that Bach's Inventions show a significant tendency towards figure enlargements comparable to that shown in the present Example 11. Relying on this argument, one might regard such a tendency as another aspect of second-order evidence for the compositional pertinence of the structural levels on which such enlargements rely.

[38] See, for example, Cook's (2007: 301 ff.) critique of Forte, Rothgeb, and Schachter. According to Cook (ibid.: 317), "[analysis] is a process inevitably informed by our experiences of the personal, social, and cultural world in which we live, and so analysis becomes a site for the construction of music as socially meaningful." Such a statement seems to ignore that analysis is concerned with several complex questions that are syntactic rather than social by nature and that can be answered on the basis of compositions' internal properties, such as the four structural indicators.

The present ideas of such an evidential basis are, of course, sketchy and preliminary. While I hope to have illuminated what *kind* of evidence we can identify for Schenkerian theory in the discussed examples, I have not attempted to assess the precise strength of the evidence. For a more precise probabilistic assessment, we would have to face several difficult problems concerning both the precise application and mutual relationships of the structural indicators and the quantification of the "Schenkerian archetypalness" of the supported patterns. Whether the Schenkerian community will have motivation, skill, time, and energy to proceed in the direction of a more systematic evidential theory remains to be seen. But any kind of progress in Schenkerians' awareness of evidential questions would be welcome for minimizing the effects of Schenker's *disservice* and for helping his invaluable *service* to musical understanding reach its true potential.

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Schenkeri karuteene schenkeriaanlusele: kolm näidet Bachi loomingust

Olli Väisälä
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Kuigi Schenker osutas hindamatuid teeneid muusikateooria ja -analüüsi arengule, kirjeldades tonaalse muusika organiseerimisprintsiipi tänapäeval „schenkeriaanluse" nime all tuntud meetodil, ei ole tema tööd vabad puudustest. Põhiline viga, millele käesolevas kirjutises viidatakse, on asjaolu, et struktuuritasandite vastastikuste suhete detailselt väljaarendatud süsteem pole tal kooskõlas samavõrd adekvaatsete evidentsiaalsete printsiipidega, mis määravad struktuuritasandite ja muusikaliste sündmuste vahelisi suhteid. See viga on osutanud schenkeriaanlusele karuteene, põhjustades ebarahuldavaid, põhjendamatuid analüüse ja tekitades ebaselgust Schenkeri põhimõtete deskriptiivse potentsiaali olemuse ja ulatuse suhtes. Eriti on jäänud lahtiseks küsimus, kas ja kuidas põhjendada väidet, et neil printsiipidel on tonaalse muusika meistrite loomingu jaoks kompositsiooniline tähendus ka Schenkeri ideoloogiast sõltumatult.

Kirjutises on eristatud kaht keskset evidentsiaalsuse valdkonda. Esimest liiki evidentsiaalsus puudutab muusikaliste sündmuste strukturaalse asendi määratlemist analüüsis Schenkeri teooria eeldustest lähtuvalt. Teist liiki evidentsiaalsus puudutab neid eeldusi endid. Võib väita, et mõlemale valdkonnale võib läheneda nelja liiki kompositsiooniliste iseärasuste alusel, milleks on vormindus (*design*), register, meetrum ja muusikaliste žestide rõhutatus (*gestural emphasis*). Nende iseärasuste – strukturaalsete näitajate (*structural indicators*) – mõju on illustreeritud kolme näite varal Bachi loomingust.

Sissejuhatava näitena on vaadeldud fuuga C-duur („Das Wohltemperierte Klavier" I) analüüsis Schenkeri kirjeldatud kaht ülahääle laskuvat kvindikäiku $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$. Kuigi Schenkeri tõlgendus pole igas mõttes veenev, on need kvindikäigud strukturaalsete näitajate poolt selgelt toetatud, seda nii harmoonilise plaani kui ka ülahääle ehituse mõttes. Seega võib oletada, et Schenkeri tõlgendus lähtub vaikimisi neist näitajaist tingitud esimest liiki evidentsiaalsusest. Pealegi pole vist juhus, et need näitajad toetavad ülahääle astmelist liikumismalli, kinnitades teist liiki evidentsiaalsusena oletust, et Bach tundis oma loometöös vajadust just sellise vorminduse järele. Kompositsioonilisteks detailideks, mida võib seletada selle oletuse alusel, on näiteks ümbritsevast eristuv sünkopeeritud rütm, mis rõhutab esimese kvindikäigu teist heli (f^2 taktis 6, vt. näide 2) ja sekventsiliselt korratud alumisel abihelikäigul põhinev vorminduse paralleelsus, mis ühendab teise kvindikäigu helid ühtseks liiniks ($\hat{5}$–$\hat{4}$–$\hat{3}$ taktides 9–11 ja $\hat{2}$ taktis 17; vt. näites 3 ringidega märgitud noodid).

Kuigi vaadeldud näites toetavad neid kvindikäike selgelt strukturaalsed näitajad, leidub Schenkeri analüüside seas ka tõlgendusi, mida on raske põhjendada nii nende näitajate kui ka mistahes muude empiiriliselt leitavate kompositsiooniliste iseärasustega. Selle kinnituseks on Schenkeri varane (1923. aasta) analüüs väikesest prelüüdist *d*-moll (BWV 926), kus muusikaliste sündmuste strukturaalne tähtsus näib meelevaldselt tõlgendatuna. Strukturaalsed näitajad võimaldavad alternatiivset analüüsi (näited 5 ja 7), mis sisaldab ühtlasi teatud määral teist liiki evidentsiaalsust, sest ka siin toetavad mõningad kompositsioonilised iseärasused süvatasandi laskuvat kvindikäiku $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$. Vaadeldava näite puhul tõstatab strukturaalsete näitajate uurimine küsimuse Schenkeri analüüsi deskriptiivsest potentsiaalist, kuigi samas kinnitab tema teooriat.

Viimane näide, Fuuga *d*-moll („Das Wohltemperierte Klavier" I), mille graafiline analüüs leidub raamatus „Der freie Satz", tekitab põhiliselt samu küsimusi, jättes mulje, et Schenkeri arusaamine evidentsiaalsusest jäi ka tema hilistes analüüsides ebarahuldavaks.

Kuigi neist näidetest ilmneb, et schenkeriaanluse evidentsiaalsed alused vajavad tugevdamist nelja strukturaalse näitaja põhjal, on käesolev artikkel vaid probleemi esialgne käsitlus. Lahtiseks jäävad mitmed keerukad küsimused, mis puudutavad nende näitajate kasutamist, vastastikuseid suhteid ja tõenäosuslikku evidentsiaalset potentsiaali (nagu ka teisi tegureid).

The Pitch-Class Motive in Tonal Analysis: Some Historical and Critical Observations

Patrick McCreless

I. Preliminaries

All of us, as tonal theorists, know some pieces that mark and problematize a particular chromatic note, such that the tonal plot of the piece turns in important respects on what happens to that note, and how its harmonic implications ramify across musical time. In recent years some theorists have come to designate such motives as *pitch-class motives*. To the best of my knowledge, the theorist who first used this locution with respect to tonal music is Steven Laitz (1992), whose dissertation surveys the then current literature on such motives and then homes in specifically on what he calls "the submediant complex," by which he means the harmonic complex around scale-degrees $\hat{5}$, $\flat\hat{6}/\sharp\hat{5}$, and $\hat{6}$.[1] Within this complex, it is the pitch-class $\flat\hat{6}/\sharp\hat{5}$ (in the major mode), and the harmonic and motivic action about it, that surely constitutes the most common harmonic site for the pitch-class motive in tonal music. Laitz dates its maximal usage in the tonal repertoire from about 1800 to about 1840, though he observes that there are examples from as early as the 1780's, and that the practice continued, as a kind of *lingua franca,* through the rest of the nineteenth century. He then focuses his analytical study exclusively on Schubert songs, where the pitch-class motive in general, and its placement on $\flat\hat{6}/\sharp\hat{5}$ in particular, is ubiquitous. Despite Laitz's path-breaking work, the term is still not common currency in the music theory literature: even now, twenty years after the completion of his dissertation, a search of the entire run of *Music Theory Spectrum* turns up only a few instances of its usage, some of which are in the context of post-tonal, rather than tonal, music.

Laitz begins his dissertation with a survey of the usage of the term *motive* by three canonic twentieth-century theorists – Schoenberg, Reti, and Schenker – from which exercise he finds Schoenberg's and Reti's work wanting (confusion and lack of clarity in both, and prescriptive analyses in the extreme in Reti), but Schenker's useful and worthy of further development. Since Schenker defines his terms more carefully, and since he is able to produce more convincing analyses, Laitz uses his concept of motive to undergird the theory of the pitch-class motive, which he sees a subclass of the Schenkerian motive. His critical point is that, in his view, and in Schenker's, no single pitch-class can be a motive in and of itself; it must be tied to a deeper structural level as a component of a linear motion – that is, in effect, it must be a passing or neighboring tone (Laitz 1992: vi–vii). This position is eminently clear in his treatment of the chromatic pitch-class (henceforth pc) $\flat\hat{6}/\sharp\hat{5}$ in the major mode. Chromaticization of the sixth scale-degree in major produces, in linear-motivic terms, either a $\hat{5}$–$\flat\hat{6}$–$\hat{5}$ neighboring motion, or a $\hat{5}$–$\sharp\hat{5}$–$\hat{6}$ passing motion. The equivalence $\flat\hat{6}/\sharp\hat{5}$ opens up a wide harmonic spectrum, and composers have taken advantage of this and other chromatic and/or enharmonic relationships in extraordinarily imaginative ways for the past two centuries.

Following Laitz's Schenkerian inclinations, we can use three binary distinctions to categorize Schenker's views on the musical motive across the four decades or so of his music-theoretical work. The first of these is the distinction *surface/depth.* What he describes in *Harmony* (Schenker 1954),[2] and what had been articulated by many theorists in the preceding century and even earlier, is, of course, the surface motive. Later, as he began to develop his idea of structural levels, he gradually conceptualized a motive of a different sort – a *hidden* motive, and one that, like voice-leading, could play out on different levels. A second binary is *transposed/untransposed* – a distinction applicable to both surface motives and to Schenker's later hidden motives. Laitz notes that, whereas most analysts of the nineteenth and

[1] I have recently discovered a source that pre-dates Laitz's use of the term in tonal music: Forte 1990. Forte, of course, uses the term with respect to associative pitch-classes or keys in a whole opera, whereas Laitz employs it with respect to works on a much smaller scale – *Lieder* and instrumental movements. Forte's article surely appeared too late for Laitz to engage it, especially since it deals with an entirely different repertoire.

[2] This well-known publication cuts much important material from Schenker's 1906 *Harmonielehre*, and many have deemed the translation itself to be so flawed as to be unusable. See, for example, Puffett 1996: 15.

early twentieth centuries focused on *transposed* motives, Schenker was one of the first to emphasize *untransposed* motives – especially motives that retain the same pitch classes in a new tonal context, such that untransposed pitches take on a new scale-degree meaning when the tonal center shifts. A familiar diatonic example is, say, the neighboring figure $\hat{5}$–$\hat{6}$–$\hat{5}$ in a minor key, which becomes $\hat{3}$–$\hat{4}$–$\hat{3}$ when the governing tonic moves from I to III.[3] Schenker was, as we know, exceptionally fond of showing such untransposed motives across different parts of a composition, and at more than one structural level. The final binary is the familiar *diatonic/chromatic*. What then, in terms of our three binaries, makes a motive a *pitch-class motive* (henceforth pc-motive)? For Laitz, it is non-transposition, or pitch-specificity, whether in surface or hidden motives, that is the determining factor in classifying a figure as having a pc-motivic function. For him (and in fact for Schenker as well), pc-motives can be either diatonic or chromatic, but he is more interested in the chromatic type, which almost always involves enharmonicism as well, and which is of course absolutely essential to his analytical work on Schubert songs.[4]

It was, of course, abundantly clear to Laitz in 1992, and it is even clearer to us now, that all sorts of writers about tonal music – theorists of various stripes, musicologists, biographers of composers, critics, and so forth – have pointed out, often in stunning detail, instances of what he calls the pc-motive, along with their compositional ramifications in individual works. Indeed, very abundance of analyses that identify such motives and trace them through compositions makes us want to interrogate them – to search for their origins, to evaluate their usefulness, and to note the critical uses to which they have been put.

II. Historical Observations: Origins

Most musical scholars who study the Western musical canon have a quite robust idea of what the pc-motive is, and of how it functions in actual pieces, even if they do not use the term. As evidence for this claim, note the following two descriptions of the phenomenon – descriptions that are remarkably similar, even though they were conceived completely independently of one another, in different times and places, with different aims. We begin with the description that Laitz himself offers, introducing the first extensive analytical example in his dissertation, the Minuet from Haydn's String Quartet in C Major, Op. 64, No. 1:

> This movement provides a representative example of a motivic process that characterizes numerous compositions in the tonal repertoire: early on in the piece, certain contiguous pitch classes are highlighted, one of which is chromatic – indeed, it is this which marks it for memory. The chromatic pitch, malleable enough to recur in various contexts, occurs throughout the piece in concert with one or both of its flanking diatonic pitches. That this melodic entity comprises a three-note chromatic segment rather than one pitch acting in isolation allows us to specify criteria by which its repetitions may be verified and considered motivic. […] Such a pitch-class motive may be developed in dramatic ways including the "promotion" of one or all of its members to deeper levels of structure, usually by a step-by-step process. In summary, then, a chromatic pitch-class motive generally: 1) recurs throughout the texture of a composition; 2) is highlighted in some fashion (for example, registrally, dynamically, or as a foreground dissonance; and 3) recurs at more than one level of structure (Laitz 1992: 101–2).

Without comment, let us proceed to a similar description offered by Joseph Straus, in an article on the notion of disability in music, published in 2006. After referring to Edward T. Cone's influential essay (Cone 1982), as foundational for the sort of piece and analytical strategy he describes, he continues as follows:

> There are many early nineteenth-century musical works that, like the Schubert *Moment musical* discussed by Cone, follow a dramatic plan in three phases:

[3] Schoenberg was also sensitive to untransposed motives of this sort. See, for example, the discussion in Carpenter 1983: 18–24.

[4] See the extensive discussion in Laitz 1992: 59–74.

1. The music begins with a relatively straightforward assertion of key. Early on, usually within the first sixteen measures, a chromatic note is stated in a rhetorically charged manner that marks it for attention. In the music that follows immediately, the chromatic note is abandoned, and the music proceeds as if it had never occurred.
2. Later, however, that chromatic note becomes the focal point for harmonic and formal disruptions that increase in intensity over the course of the piece.
3. Finally, near the end of the piece, the chromatic note is normalized in some way, subsumed into the diatonic frame. (Straus 2006: 151)

The descriptions are strikingly similar. Both refer to the introduction of the motivic pitch-class and its being highlighted or marked for attention; and both refer to its dramatic development and intensification as the piece proceeds. I suspect that, should Laitz and Straus confer on those aspects of the phenomenon which one of them mentions but the other does not, Laitz would concur that chromatic note is normalized and subsumed into the diatonic frame at the end of the piece (as it obviously would have to be in Schenkerian theory), and Straus would concur that the pc-motive recurs at different structural levels.[5] Assuming such agreement, the principal difference between the two descriptions is that Laitz insists on the explicitly Schenkerian requirement that motives of this sort incorporate the chromatic pitch within a linear, prolongational event, while Straus does not.

Yet, interestingly, it is clear that Straus, writing in 2006, did not know of Laitz's work from 1992 – else he would surely have cited it; but since the term *pc-motive,* at least as applied to tonal contexts, was essentially unknown in 2006, he could hardly have known that Laitz's work was relevant to his own. That he could independently produce virtually the same description as Laitz, but almost fifteen years later, bolsters the claim that writers about tonal music have a robust sense of how such things work. When we find similar descriptions across a wide range of analytical, critical, theoretical, and historical writing, and across two or three generations of scholars and critics, we are naturally curious as to when and how the compositional practice itself originated, and also as to when theorists and critics began to write about it. Hence two central questions arise – one concerning the history of music, and one concerning the history of music theory, analysis, and criticism.

Question 1 (The History of Musical Composition Question): When in the history of the Western tonal tradition did composers begin using chromatic pc-motives? Provisional answer: Not at all through the first three-quarters or so of the eighteenth century, and probably not until the 1780's, as suggested by Laitz. His earliest example is the one mentioned above: the Menuet from Haydn's String Quartet in C Major, Op. 64, No. 1, of 1790. A slightly earlier candidate is the first movement of Haydn's String Quartet in F Major, Op. 50, No. 5, from 1788. Here scale degree ♯$\hat{5}$/♭$\hat{6}$, C♯/D♭, is a crucial motivic element throughout. Far more than in Op. 64, No. 1, the pc-motivic note is rhetorically marked, and it is strikingly foregrounded as the central dramatic element throughout the movement.[6] There are a few more viable candidates composed before 1800 – for example: Mozart's Symphony No. 40 in G Minor [1788] (the motivic C♭ in the second movement in E♭ major); Haydn's Symphony No. 99 in E♭ Major [1793] (C♭/B♮ in the first movement); Beethoven, Piano Trio in G Major, Op. 1, No. 2 [1795] (B♯/C♮ in the second movement in E major); Beethoven, Piano Sonata in A Major, Op. 2, No. 2 (A♯/B♭ in the Rondo); and Beethoven, Piano Sonata in E♭ Major, Op. 7 (B♮/C♭ in the Rondo).[7] A careful search would quite probably identify earlier

[5] A further minor difference is that Straus claims, but Laitz does not, that the initially marked chromatic note disappears for a while, "as if it had never occurred." Surely both Straus and Laitz would agree that such a claim depends entirely on the piece being considered.

[6] Charles Rosen points out the motivic significance of the C♯ in the exposition of the first movement of this quartet, but not its working out through the rest of the movement. See Rosen 1971: 131–2.

[7] The chromatic pc associations in each of these movements have been noted by at least one scholar. For the Mozart symphony, see Babbitt 2003: 192. For the Haydn symphony, see Haimo 1990: 258. For the Beethoven Piano Trio, see Straus 2006: 154. For the two Beethoven sonata examples, see Schenker 1979, § 256, Figure 121.

examples as well. But not too early: composers of the generation of J. S. Bach, Handel, and Vivaldi limited themselves almost exclusively to the so-called closely related keys. Exceptions are rare, and usually occur in genres friendly to harmonic extremes – e.g., fantasias and toccatas. Though there is undoubtedly the occasional exception, it was only in the later eighteenth century that composers began to experiment systematically with enharmonically related pcs as pitch-specific motivic elements across musical time.

It was especially Beethoven, in his middle-period works, beginning with the first movement of the *Eroica* Symphony, who most powerfully discovered the inherent musico-dramatic potential of pc-motive and began to use it extensively (e.g., the String Quartets Op. 59 No. 2, and Opp. 74 and 95; the Fourth, Seventh, and Eighth Symphonies).[8] Later Viennese composers (Schubert and Brahms in particular) and others, such as Chopin, followed suit, with great originality and distinction. Elsewhere in Europe, another German composer made it absolutely central to his work: Richard Wagner, whose harmonic practice, from the *Ring* on, is founded upon the notion of pc-specific motives functioning, at different levels, across vast spans of musical and dramatic time. (Laitz, of course, whose interest is in Schubert, does not consider the pc-motive with respect to Wagner.)

Question 2 (The History of Music Analysis and Criticism Question): When did music theorists and analysts become aware of chromatic pc-motives? Provisional, though confident, answer: There are four identifiable and ongoing traditions, each initiated by a canonical writer in the first half of the twentieth century – one beginning with Schenker, one beginning with Schoenberg, one beginning with Donald Francis Tovey, and one beginning with Ernst Kurth and Alfred Lorenz. Only the Schenker, Schoenberg, and Tovey traditions, which are associated primarily with the post-1780's repertoire of instrumental music (and, to a much lesser extent, the *Lied*), will concern us here. (Kurth and Lorenz's work is important, and it is related conceptually to the other traditions; but it deals primarily with Wagnerian opera, and it must remain beyond the scope of the present paper.) Laitz and Straus both offer detailed considerations of the approaches that Schenker and Schoenberg take to the so-called pc-motive – Laitz in preparation for his Schenker-based study, Straus in the context of showing how the interpretive and analytical language of these two theorists, as well as that of Tovey, resonates strikingly with the ways that natural language has evolved to describe various conditions of disability (Laitz 1992: 3–31, 42–58, Chapter 2; Straus 2006: 136–48).[9] The discussion below will examine and compare the contributions of Schenker, Schoenberg, and Tovey, and a few of their music-analytical and music-critical descendants, before turning to three analytical examples.

We have already followed, to a degree, Laitz's evaluation of Schenker's theories vis-à-vis the pc-motive. Laitz acknowledges from the start that Schenker did not explicitly name the concept. Yet motivic chromaticism is surely among the features described in the following statement from *Free Composition* – undoubtedly one of the most frequently cited passages in all of Schenker's work: "In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds" (Schenker 1979: 5). And in one instance in *Free Composition*, cited and emphasized by Laitz, he at least *seems* to be describing a pc-motive, although he does so strictly in the context of his own voice-leading graph. The example is the first movement of Beethoven's Sonata for Piano in E♭ Major, Op. 81a, and Schenker, significantly, places it in his discussion of (motivic) repetition – especially hidden repetition – within his chapter on the foreground. Offering a graph of the first 62 measures of the movement, he singles out virtually every G♮ and G♭ by putting the natural or flat sign above the relevant notes, and he comments as follows: "Here $g♭^2$ and $g♮^2$ are engaged in a struggle with one another – only two

[8] For more examples in Beethoven, see Kamien 2000: 79–80.

[9] Laitz and Straus both consider Schenker and Schoenberg, plus one more theorist: Rudolph Reti for Laitz, Tovey for Straus. Of the two, I include Tovey, but not Reti. Tovey, as we will see, was a central influence upon a number of important musical writers in the decades following his death in 1940. Reti, on the other hand, has had far less lasting influence, and his theories and analyses have not stood the test of time. The works of Kurth and Lorenz relevant to the pc-motive are Kurth 1920 and Lorenz 1924–33, respectively.

single tones, certainly not a motive in the usual sense. And yet the synthesis of the entire first movement circles around this conflict." (Schenker 1979*,* § 254 and Figure 119, 7) More important, however, in the section on motivic parallelism in *Free Composition,* is his discussion of *enharmonic* motivic parallelism, of which he gives four telling examples: those already cited from Beethoven's Sonatas Op. 2, No. 2, and Op. 7, plus an example from Brahms's First Symphony, and one from Chopin's G-Minor Ballade (Schenker 1979*,* § 256 and Figure 121).[10] All four of these examples involve chromatic/enharmonic cross-referential motivic usage, and they make it clear that he did recognize and theorize what we now designate as the (chromatic/enharmonic) pc-motive. As to the example from Beethoven's Op. 81a, he would disallow the chromatic interplay in the cited passage from the exposition as exemplifying *enharmonic* motivic parallelism, for the simple reason that it involves no enharmonicism, but he would accept it as a *chromatic* (pc-)motive.[11]

Straus also has much to offer regarding the historical development of theories of the pc-motive. Despite his rather narrowly focused point of view – that of disability – what he gives us is in fact a superb survey of what we might call "the pc-motive *idea,*" liberally sprinkled with illuminating quotations from the theorists (Schenker, Schoenberg, and Tovey) themselves. Most valuable for us here is his discussion of Schoenberg's theoretical approach to cross-referential chromaticism. Crucial for Straus is Schoenberg's almost obsessive concern with the notion of the posing and resolving of tonal "problems": of introducing a tonal conflict into a state of rest, and then working out that conflict compositionally; or of showing that a motive introduced early in a piece has musical *consequences,* which it is then the task of the whole piece to work out:

> Every succession of tones produces unrest, conflict, problems. […] Every musical form can be considered as an attempt to treat this unrest either by halting or limiting it, or by solving the problem. (Schoenberg 1967: 102, cited in Straus 2006: 140)
>
> [T]he tonic, once placed in question, must wander through all regions and prevail over every single one after having allowed each to display its full power. And only after conquering and neutralizing all opponents – at the end, in other words – can the power of the tonic prove itself and a *state of rest* again prevail. (Schoenberg 1995: 105, 107, cited in Straus 2006: 139)
>
> The *furtherance of the musical idea* […] may ensue only if the *unrest* – *problem* – present in the *grundgestalt* or in the *motive* (and formulated by the *theme* or not, if none has been stated) is shown in all its *consequences*. These consequences are presented through the *destinies* of the motive or the *grundgestalt*. Just how the *grundgestalt* is altered under the influence of the *forces struggling* within it, how this *motion* to which the unrest leads, how the forces again attain a state of *rest* – this is the *realization of the idea*, this is its *presentation*. (Schoenberg 1995: 227, cited in Straus 2006: 139–40)

Straus views these statements, and many more like them, in terms of the early nineteenth-century understanding of human disabilities, and he adduces three ways in which the language we use to describe the workings of pc-motives recalls the language evolved to deal with disabilities in the early nineteenth century – that is, at the very time that classic "pc-motive" works were being composed. First, he identifies this precise historical period as that of the development in Western culture of the concepts of normal and abnormal, the tendency to classify individuals as able or disabled, and the notion that the condition of the disabled might be either ameliorated or accommodated (hence the contemporaneous development of schools for the deaf and the blind). Second, he suggests that the composers of such pieces, who for him are essentially Beethoven

[10] Laitz 1992: 69–73 gives further examples in which Schenker, in *Free Composition*, points out similar chromatic/enharmonic pc-motives, in other works of Beethoven (Piano Sonata, Op. 57, first movement) and Chopin (Ballade in A♭ Major, Op. 47).

[11] At the beginning of § 256 he insists that examples using mixture and chromatic passing tones do not qualify as exemplifying enharmonic motivic parallelisms. I am grateful to an anonymous reviewer of this essay for clarifying this and other points with respect to Schenker's work.

and Schubert, work through their *own* disabilities by means of such works. And third, he observes that the critical reception of such pieces often turns on metaphors of disability – imbalance, unrest, blockage, paralysis, and the like – the very language of Schenker and Schoenberg noted above. He focuses specifically on three *loci classici:* the opening movement of the *Eroica* Symphony with its C♯; the Finale of Beethoven's Eighth Symphony, with its rather different C♯ (comic, in his view, rather than heroic and tragic); and Schubert's B♭ Piano Sonata, D. 960, and its G♭/F♯ – a pc, the implications of which are worked out not just in the first movement, but in the whole multi-movement work. For each he provides a detailed and useful overview of the extensive critical and analytical literature that has developed around them – relatively current work (since c. 1980), the work of Schenker and Schoenberg (and also Tovey), and in some cases even important sources from the early nineteenth century (Straus 2006: 152–75).

And what about Tovey? He was more critic than theorist, and he explicitly addressed his writings to the educated general public, not to the professional musician or musical academic. Indeed, his musical insights, valuable as they are, are theoretically ungrounded and remarkably *ad hoc.* Although he generally inveighed against much that is dear to music analysts – searching for subtle motivic relations, and explaining long-range key relations in tonal pieces – he was unable to resist Beethoven's two famous C♯'s – the one in the Third Symphony, and the other in the Eighth. Couching his observations about them in his stylish English prose, he referred to the C♯ in the *Eroica* as a "cloud," and to the C♯ in the Eighth Symphony Finale as a "stumbling block" (Tovey 1935).[12] Even if these two quasi-theoretical observations are uncharacteristic for Tovey (they are unique in his work, to the best of my knowledge), the book in which he makes them – the volume on symphonies in *Essays in Musical Analysis* – had wide circulation in the Anglophone musical world. It was surely the best-known English-language study of the Beethoven symphonies in the mid-twentieth century, and as such it had an enormous influence on a number of American musical scholars, notably Joseph Kerman, Charles Rosen, and Edward T. Cone. All three share with Tovey a fluent literary style, and a knack for making generalizations about pieces and styles that turn out to be intuitively right and musically useful, even though they do not ground their insights explicitly in any theory. When we read Kerman's extensive analysis of the role of G♭/F♯ across all four movements of Beethoven's F-Minor Quartet, Op. 95; or Rosen's massive discussion of B♮'s, G♭'s, and F♯'s in the *Hammerklavier* Sonata; or Cone's interpretation of the E♮/F♭ in Schubert's last *Moment musical,* we can say with some confidence that Tovey was for them a likely model.[13]

That these scholars were so influenced by Tovey suggests three broad, central points that must be kept in mind through the remainder of this essay. First, musical scholars of the two or so generations after Schenker, Schoenberg, and Tovey – up to our own generation – are indebted important ways to these early twentieth-century figures for articulating the phenomenon that we now call the pc-motive. Yet we later scholars are often not aware of our indebtedness, and thus we often write as though the way pc-motives operate in tonal music is common knowledge – knowledge that everyone has, that has no identifiable origin, and that requires no theoretical grounding.

Second, and equally importantly, for each of the three foundational theorists there is a lineage that connects the progenitor through a middle generation or generations to a current generation, and these lineages are exceptionally clear. The Tovey lineage moves through Kerman, Rosen, and Cone to modern scholars such as Richard Taruskin and Scott Burnham. The Schoenberg lineage moves most obviously through Milton Babbitt and Patricia Carpenter, but also through Rosen (some of whose analyses in *The Classical Style* are deeply Schoenbergian) to Ethan Haimo and

[12] With respect to the C♯ in m. 7 of the *Eroica* he comments, "then, as the violins enter with a palpitating high note, the harmony becomes clouded, soon however to resolve in sunshine. Whatever you may enjoy or miss in the Eroica Symphony, remember this cloud" (p. 45). See p. 66, for his comment about the C♯ in the Finale of the Eighth Symphony.

[13] Tovey influenced these scholars in ways far beyond our concerns here. For the particular references, see Kerman 1967: 168–87; Rosen 1971: 407–34, and Cone 1982. A valuable characterization of, and tribute to, Tovey and his work is Kerman 1977: 172–91.

Severine Neff. The Schenkerian line connects most directly through two intermediate generations – first Ernst Oster and Oswald Jonas, then Carl Schachter and Edward Laufer – to currently active Schenkerians such as Poundie Burstein and Mark Anson-Cartwright.[14]

And third, paradoxically, even though these lines of influence are clear enough to see, once we recognize them, it turns out that the first-generation theorists themselves actually published few, if any, analyses that we would recognize as pc-motivic analyses. So far as I know, Tovey's only analyses in this vein were those of the two Beethoven symphonic movements noted above; Schoenberg actually published no analyses that would qualify, even though he invented the language that is closest to our now-conventional language of describing pc-motives; and whereas we have found a number of excellent examples in Schenker's later work, the topic is not at the center of his mature theory. What the first-generation writers provided was not bodies of analyses, but rather focused and suggestive ideas, plus *ad hoc* musical observations here and there, that later writers could develop and expand. If we want to find pc-motivic analyses in quantity, we should look not to the progenitor generation, but to the middle and later generations for each tradition, starting in the 1960's and 1970's, and proceeding to the present. It is thus, in a sense, we (and our immediate predecessors), not Tovey and Schoenberg and Schenker, who invented the modern concept of the pc-motive, but we couldn't have done it without them.

III. Critical Observations: Three Examples

In a perfect music-theoretical world, we would be able to find a tonal piece for which there were published analyses by Schenker, Schoenberg, and Tovey, and compare and contrast the three analyses. But living, as we do, in a different music-theoretical world, the best we can do is to find a few representative analyses by the authors in question, and use them as benchmarks against which we can compare hypothetical analyses by the other theorists. We will take a look at three such examples: a paragraph from Kerman's analysis of Beethoven's Op. 95 String Quartet, which exemplifies a Toveyan (and also Schoenbergian) approach; Schenker's analysis, in *Free Composition,* of Chopin's Mazurka in A♭ Major, Op. 17, No. 3, which sets into relief the difference between his and a Schoenbergian approach; and Schenker's analysis, in the third volume of *The Masterwork in Music,* of the first movement of the *Eroica* Symphony.

Many Anglophone musicians and musical scholars entering the field in the 1960's and 1970's may well have first encountered the notion of a chromatic pitch becoming thematic and compositionally problematized in Kerman's book *The Beethoven Quartets* (Kerman 1967). Interestingly, his first foray into the territory of what we call the pc-motive involved not a chromatic pitch, but a diatonic one: the G ($\hat{2}$ in F major) in the first movement of the Quartet in F Major, Op. 59, No. 1. As he proceeds in his analysis, he shows that this G is juxtaposed to, as well as linked to, G♭, and he carefully tracks the adventures of both as he proceeds through the movement (Kerman 1967: 94–103). When he comes to the Quartet in F Minor, Op. 95, he raises the stakes by showing – in considerable detail, and quite persuasively – how the note G♭/F♯ is central to the tonal argument of the whole four-movement work. A brief quotation captures the sense of his analysis:

> In the F-Minor Quartet, individual notes and individual note-relationship are forced into the consciousness more strongly, perhaps, than in any previous composition by Beethoven. This is partly a consequence of the extreme sense of compression. We have seen Beethoven working to convince us of the significance of certain notes – with G and G♭, for instance – and we have admired the massive draughtsmanship by which such points were made. Here the same sort of thing is accomplished in a single stroke, with a violence unknown to earlier music. There is an urgency to every "sore" note that sticks out of the fabric, and with this new responsibility, a new opportunity for expressive manipulation. (Kerman 1967: 170–71)

[14] See, for example, in the Schenkerian tradition, Carl Schachter's analysis of Schubert's *Nacht und Träume* in Schachter 1983; Schachter 1999; Kamien 2000; Burstein 1998; Anson-Cartwright 2000.

A better example of middle-generation, Toveyan writing about the pc-motive would be hard to find. The prose style, the intended audience (the educated listener rather than the professional musician or scholar), the focus on what happens to a single pc – all are characteristic of Tovey. It is also worth emphasizing that Kerman traces the G♭/F♯ pc-motive across all four movements of the quartet. His so doing registers the importance of cross-movement tonal relations in canonical works beginning with middle-period Beethoven. Rosen, in *The Classical Style* (Rosen 1971), goes even further in this vein than Kerman. Dealing with pc-motives in this manner, interestingly, resonates easily with Schoenbergian thought (although we have no definitive analyses of this sort from Schoenberg himself), but not so easily with Schenkerian thought. The more Schenker developed his theories, the more he limited his analytical observations to single movements. Since what mattered increasingly for him was the imaginative harmonic, contrapuntal, and motivic enlivening of the triad through a single *Ursatz,* the relationships that he concerns himself with are, at least in his later work, almost exclusively intra-movement, not inter-movement. The later Schenker published no thoroughgoing analyses of any of Beethoven's middle and late quartets, but we can speculate that what such analyses would have looked like: richly detailed voice-leading graphs, probably insightful in all sorts of ways, but blind to the kinds of inter-movement relations that interest Kerman and Rosen.

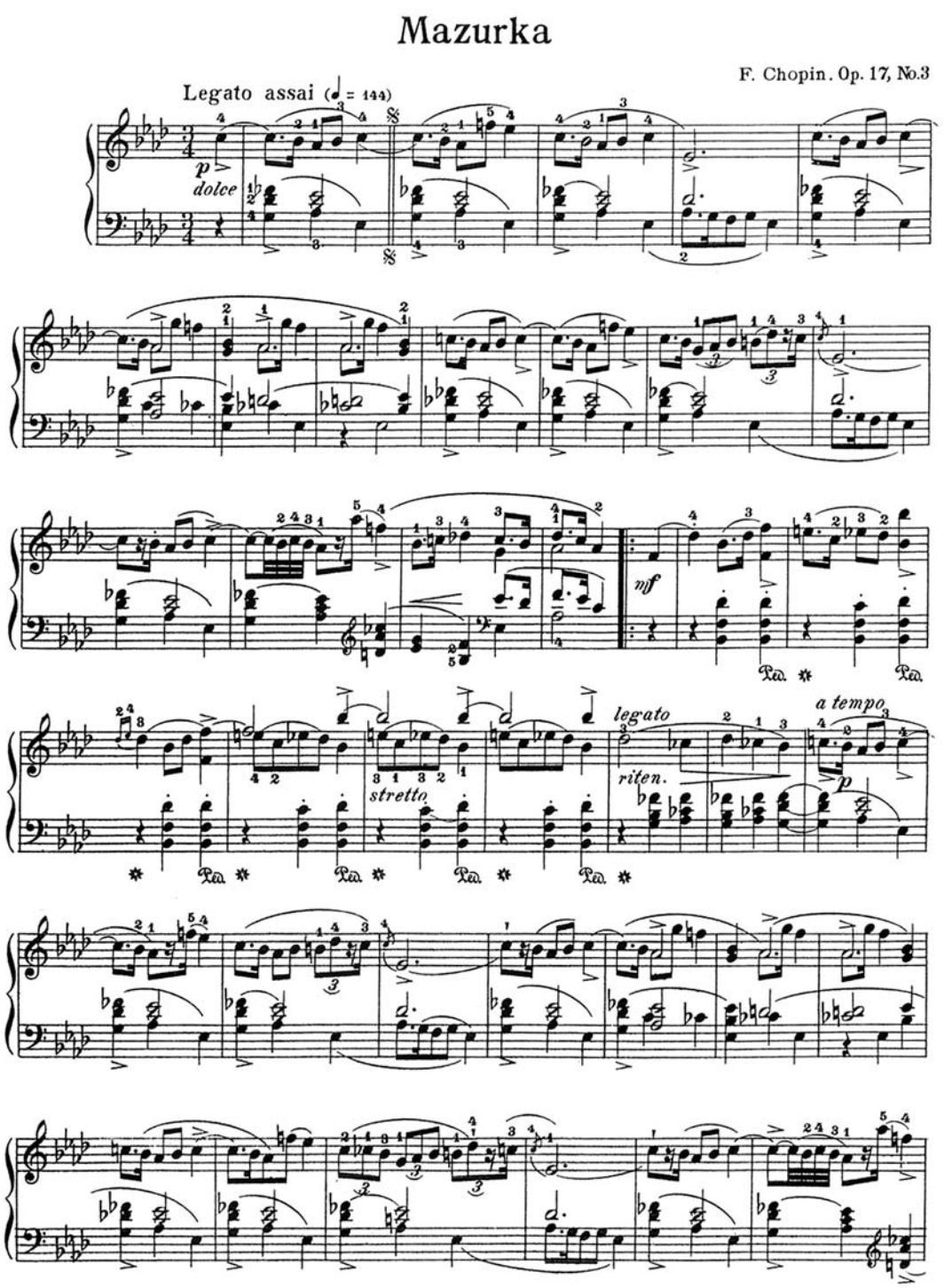
A work that clearly illustrates the difference between a Schoenbergian and a Schenkerian approach is Chopin's Mazurka in A♭ Major, Op. 17, No. 3 (Example 1) – of which we have a published analysis by Schenker, but none by Schoenberg. Yet it is easy enough to imagine what a Schoenbergian analysis of the Mazurka would look like. It would be difficult to find a small piece with a clearer pc-motive, or with a clearer "tonal problem" to be resolved. Each section of the compound ternary (*ABA* = *aba* – *cdc* – *aba*) form makes an issue of the same chromatic pc – F♭/E♮. The Mazurka would be a lovely and effective example of the phenomenon in an undergraduate analysis course, even if the students had no knowledge whatsoever of Schoenberg's and Schenker's approaches to such matters, so *marked* is the chromatic issue at stake.

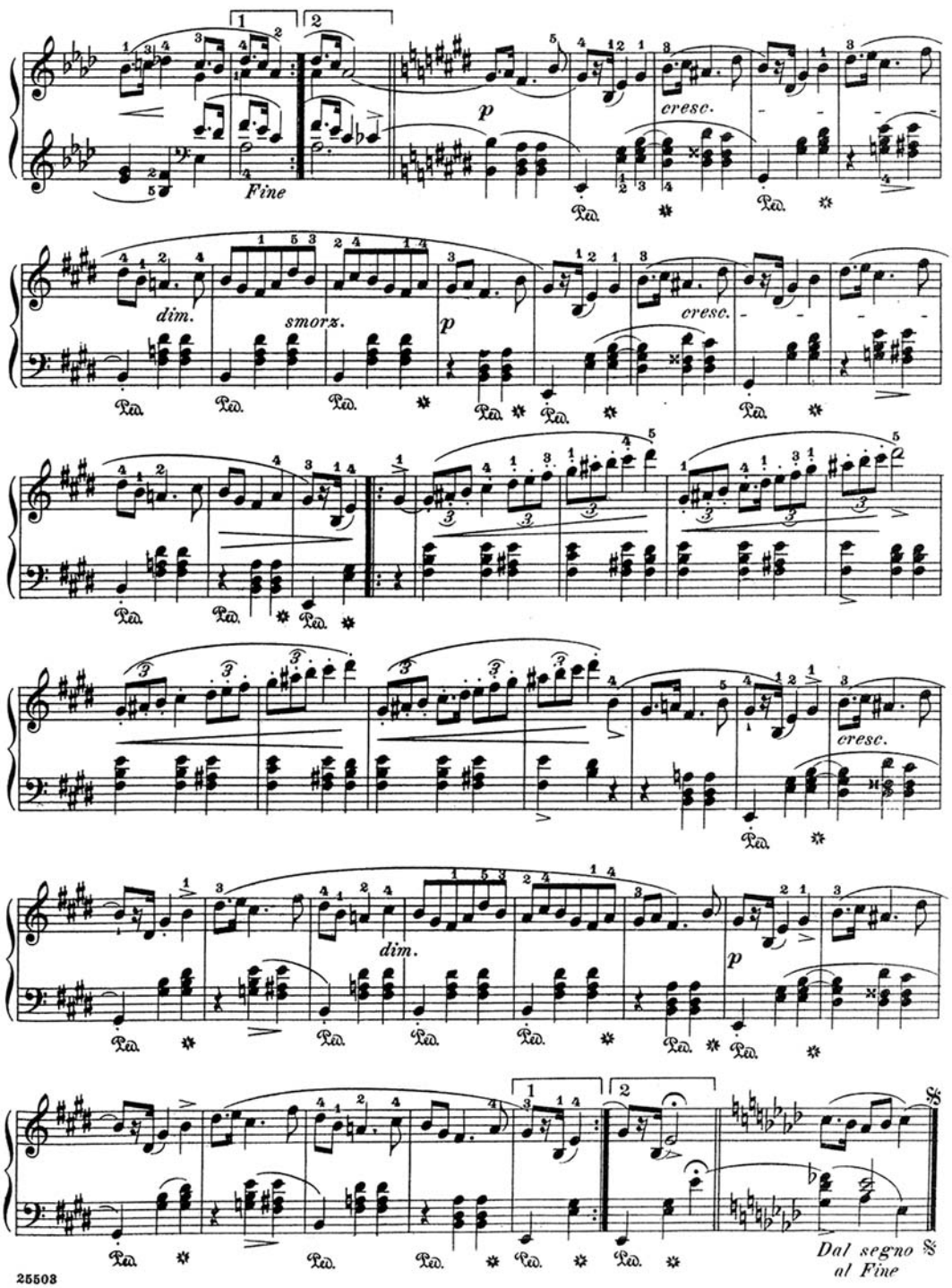
Schoenberg first. Consider mm. 1–16 in the light of Straus's description (see above) of the prototypical, pc-motive work: "Early on, usually within the first sixteen measures, a chromatic note is stated in a rhetorically charged manner that marks it for attention." What could be more rhetorically charged, in a work on such a small scale, than this F♭? – it is sounded in the tenor register, with a dynamic accent, on the downbeat of 10 of the first 16 measures. The tenor voice is not the melody, though, for it is too repetitive, and too lacking in interesting contour; the pianist will rightly emphasize the right-hand – clearly the site of the melodic action. But the pianist can't ignore the chromatic note, either; it's clear that Chopin wants it to be constantly in the listener's ear. The F♭ is one of Kerman's "sore notes" – that is, it is a pc-motive stated repetitively, and with rhetorical force.

The *b* section of the first part of the ternary form moves up a step tonally, from the tonic A♭ to the upper neighbor "B♭ minor" – the scare quotes signifying that this eight-measure section is not really "in" B♭ minor, but only "on" it, because there is no harmonic progression in the key. The F♭ is now spelled as E♮ – $\hat{\sharp 4}$ in B♭ minor – and it continues to be foregrounded as a sore note, now perhaps even more than in the previous section, given the higher level of dissonance: four of the eight downbeats have the B♯/E♮ augmented fourth. Laitz would insist that the pc-motive here is not just E♮, but rather f^2–$e♮^2$–$e♭^2$–$d♭^2$, or at least $e♮^2$–$e♭^2$, echoing exactly the motive of the opening *a* section. Note that the tenor F♭ returns in m. 23, to make a smooth reconnection to the return of *a*.

In Schoenbergian terms, the *B* section realizes the "consequences" of the initial F♭: enharmonically respelled as E, it becomes the tonic of the entire section, the *c*–*d*–*c* formal structure of which is cast harmonically as I–V–I in E major. The *c* section changes the function of the F♭/E from that of constantly reiterated irritation to that of stable and consonant tonic. Then in *d*, the E returns as an almost continuous dissonant presence – though now a diatonic dissonance in the key, rather than a chromatic one – again in the tenor register, as in *a*. Even more than in the earlier section, it is always there; and, as in *a*, it always resolves downward by semitone to the consonant E♭/D♯. Finally, the pitch-class (and also the pitch) is

Example 1. Chopin, Mazurka in A♭ Major, Op. 17, No. 3.




Fine
dim.
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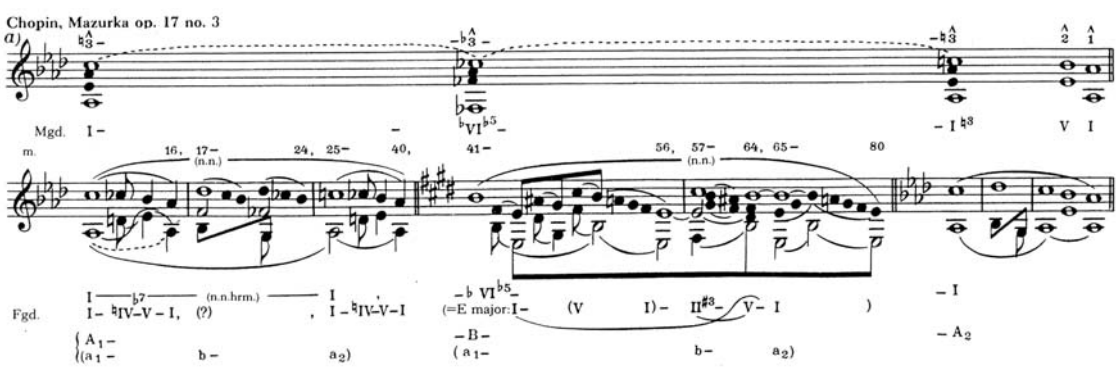
dim.
Dal segno
al Fine
25503

used, at the very end of the *B* section, to effect the harmonic return to *A* and the original key, making it explicit, by being held as the only sounding note, with a fermata, at m. 80. All in all, the Mazurka thus stands as a textbook case of Schoenberg's idea of a tonal problem that in one sense plays out, in the most obvious possible way, the consequences of a single chromatic issue.

Proceeding to Schenker, it is our good fortune that he provides a spatially aligned deep-middleground and foreground graph of the entire Mazurka in *Free Composition* (Schenker 1979, § 102, Figure 30a; Example 2). His reading of the piece interprets precisely the same musical content that the Schoenbergian reading did, but what it highlights as significant is utterly different. Rather than registering and evaluating these differences immediately, let us simply enter Schenker's world for a moment and absorb his view of the Mazurka, saving comparisons for later. Moving from the background to the foreground, as he always did in his analyses from the mid-1920's on, we see that his *Kopfton* is $\hat{3}$, as it must be, given the prominence of this scale degree in the leading voice, and the absence of a descent from $\hat{5}$ in the *A* sections. The reason that he places this particular analysis, of this particular piece, in the particular part of the book that he does, is that it is a clear example of his concept of mixture – especially mixture on a large scale, such that it is form-determining for a work. His point is that the mixture of the third scale degree – the lowering of the C of the global tonic of A♭ major, to C♭ – generates the contrasting *B* section, with its turning of E into a temporary tonic – of the larger ternary form. Within this larger form, and shifting down to his foreground analysis, we can see that within the individual *A* and *B* sections, in contrast, a diatonic upper neighbor generates the ternary form: c^2–$d♭^2$–c^2 ($\hat{3}$–$\hat{4}$–$\hat{3}$ in A♭ major) in *A*, b^1–$c♯^1$–b^1 ($\hat{5}$–$\hat{6}$–$\hat{5}$ in E major) in *B*. Schenker takes care to point out (in his § 103, just after his discussion of the example in the text volume of *Free Composition*) that "[t]he mixed third does not represent a linear progression or a neighboring note." That is to say, there is no contrapuntal motion here, but just a momentary switching of the mode, so as to bring about a fall into the key of the lowered sixth.

From our point of view, what is extraordinary and striking about Schenker's reading is that it does not take into account at all the role of the F♭ in the *A* section, or the relation of the F♭ to the E of the *B* section. It is here that the Schenkerian hearing is dramatically different from the Schoenbergian one. We are reminded of Ruth Solie's observation about how Schenkerian thought gives us a conceptual, top-down perspective, based on interlocking structural levels, whereas Schoenbergian thought gives us a perceptual, left-to-right perspective, based on association (Solie 1980: 153). A Schoenbergian reading – or, if one is teaching the piece, a Schoenbergian pedagogy – would observe the rhetorical emphasis on the F♭ from the very beginning, and would then be able to trace, step by step, how the piece is in important respects "about" what happens to this note as a pc-motive. This is a story that is neither difficult to see and hear, nor difficult to tell. It resides on the surface of the piece, and it perfectly follows the general plot structure of works with pc-motives, as described by Laitz, Straus, and Schoenberg (and also Kerman, Rosen, Cone, and many others).

Example 2. Chopin, Mazurka in A♭ Major, Op. 17, No. 3: analysis from Schenker 1979, Fig. 30.



It is thus tempting to malign Schenker for ignoring what we might consider the most obvious and salient feature of the Mazurka – for focusing our attention on melodic scale degree $\hat{3}$, when there seems to be so much going on about scale degree $\hat{5}$. Such criticism hits the mark, to be sure, but there are also good reasons for withholding judgment on this score – reasons having to do with what Schenker claims or does not claim for his analytical sketches in *Free Composition*. Even if his analysis is silent about an important aspect of the music, we should remember that he invokes the Mazurka, and includes his analysis thereof, only as an instance of modal mixture; he makes no larger claims for the analysis. Indeed, virtually everything he has to "say" about the Mazurka, he "says" in the sketch; he offers literally no commentary on this particular example (a sentence in § 102, and a comment in § 103 that highlights some theoretical issues regarding pieces in which mixture generates form).

Our final example is the first movement of the *Eroica* Symphony, the longest work of which the later, mature Schenker published a thoroughgoing analysis (Schenker 1997).[15] In the third volume of *The Masterwork in Music* (1930) – which, of course, includes separate analyses of the other three movements of the symphony – he takes on this central musical text. In the first section of his analysis of the movement, entitled "Description of the Content," he works through its 691 measures in analytical prose, accompanied by extensive sketches of the deep middleground and of the foreground, each foreground sketch stretching out to two or more feet. Most of his massive analysis does not concern us here. But what does concern us is the famous C♯ in m. 7, and its working out later in the movement. We ask, naturally, "What does Schenker do with the famous C♯?" Does his analytical treatment of it justify a claim that he interprets it as what we would call a pc-motive?

Before venturing an answer to this question, a word of historical context is in order. The *Eroica* is, of course, one of the most written-about works in the Western musical canon, and the C♯ in m. 7 is arguably its single most written-about note (as Richard Taruskin, for example, claims in his discussion of the symphony in Taruskin 2005, vol. 2: 655–70).[16] By the 1920's, a vast literature had accumulated about the symphony, and especially about its first movement. A recent dissertation by Vasili Byros exhaustively accounts for what was published in the nineteenth century about the C♯ (and there was a lot), at least in the immediate musical context of its surrounding measures. But Byros's interest is only in the opening eleven measures, and especially with regard to the degree to which writers did or did not hear a move to G minor in mm. 7–8; he does not pursue the question of its reappearances later in the movement (Byros 2009: 4–6, 18–28, 38–44, and 53–67).[17] Accordingly, he does not address the issue of C♯ as a pc-motive, since it is not the single occurrence of the pc, but rather its recurrences and cross-referentiality that make it such a motive at all. And so, we cannot say, without much further research, whether Schenker, in writing his analysis, had precedents that treated the note music-analytically as a "pc-motive," or if he only had precedents that dealt with it as a marked chromatic event at the beginning of the movement.

In any case, when he published his analysis in 1930, he stepped into a vast and ongoing critical and analytical tradition. Characteristically, he did not step lightly, entitling the essay "Beethoven's Third Symphony: Its True Content Described for the First Time." *True* content, *first* time… what does he mean? He tells us explicitly in the first two sentences of his literature review:

> Most of what has been written about the Third Symphony in theoretical, biographical, and analytical works is not in fact music literature: it has nothing to do with music, let alone with Beethoven's Third Symphony. I can safely leave it to the reader to convince himself of this fact. (Schenker 1997: 67)[18]

[15] In the essay, Schenker never calls the symphony the *Eroica*, referring to it only as the Third Symphony. His monograph on the longer Ninth Symphony was published in 1912, long before he developed the theories of structural levels, the *Urlinie* and *Ursatz*, and hidden motivic repetition.

[16] For a useful introduction to the reception history of the *Eroica*, see Sipe 1998, Chapter 4. See also Sipe 1992.

[17] Byros is especially interested in the C♯, and the contemporary cultural hearing of it, as a site of historical, or situated, music cognition. See also Hyer 1996.

[18] Schenker does make two exceptions to his blanket dismissal: August Halm 1928–29 and Gustav Nottebohm 1880.

With these two sentences Schenker wipes the slate clean. But his so doing is actually quite *uncharacteristic* of him. As Ian Bent has noted, beginning as far back as his monograph and edition of the Bach *Chromatic Fantasy and Fugue* of 1909, Schenker established a consistent and standard order of topics in his books or essays on individual works. The pattern, with occasional variations, obtained from 1909 through the three volumes of *The Masterwork in Music* in 1925–30. By this time the pattern, or "matrix," as Bent calls it, had solidified to the following: "musical content (subdivided) – primary source materials – subsequent editorial activity – performance – secondary literature" (Bent 1986: 146–47). Given the care with which he had regularly reviewed the existing literature in all his earlier work, it is surprising that he would simply dismiss it outright in the *Eroica* essay, particularly since there was so much of it: hundreds of pages about the movement had been published by 1930. Whatever his reasons – much of the literature really was perhaps hardly worth engaging at all, and his analysis does indeed open up an entirely new *Eroica* world – what this means is that we have no explicit statement from him regarding previous readings of the C♯, and not a word about the interpretations – analytical, critical, and hermeneutical – that had grown up around it.

Before looking briefly at Schenker's analysis, we can easily construct a pc-motivic account, *à la* Schoenberg or Tovey, or Kerman or Rosen, of how the famous C♯ of m. 7 ramifies through the movement. We can take as a model any analysis that identifies the initial C♯ as rhetorically marked, and then shows that this pc has "consequences": it reappears later, it is expanded or developed, it generates new tonal areas, and so forth. The following paragraph offers just such an analysis, based entirely on analytical observations that have been made in print, some of them many times, some only relatively recently, and some going back into the nineteenth century.

We begin, of course, by noting the startling effect of the C♯ in m. 7: its dissonance, the oddity of its being spelled C♯ rather than D♭, the uncertainty that it introduces into the movement, and in general the rhetorical marking that calls our attention to it in the first place. We then must identify passages in which the chromatic pc is developed cross-referentially over the course of the remainder of the movement. There are five such passages, noted here in the order of the strength of their connection to the passage in m. 7, and thus also, as it happens, in the frequency with which they have been pointed out in the analytical literature. First is the beginning of the recapitulation (mm. 394–411), in which the C♯ reappears, exactly as it was in the exposition, but now enharmonically reinterpreted to resolve down to C♮, which in turn functions as the dominant of F major. Second is the passage immediately following these initial recapitulatory measures (mm. 416–22); these measures make a tonic of D♭, the enharmonic equivalent of C♯, and highlight it with the sounding of the principal motive of the movement in the flute. (Numerous writers point out the first of these passages, but not the second.) Third is the beginning of the coda, which opens with successive statements of the principal motive, first on the tonic E♭ major (mm. 551–54), then suddenly down a whole step to D♭ major (mm. 557–60), and immediately thereafter to C major (mm. 561–68). Analysts cite this descending passage as recalling, reinterpreting, and expanding in a new way the C♯ of m. 7. Fourth is the rising sequence by semitone early in the development (mm. 178–89), in which the principal motive is stated successively in C minor, C♯ minor, and D minor. The connection to the initial C♯ is less clear here, since the direction is ascending and the mode of the C♯ triad minor. A few analysts also relate this ascending passage by semitone to the descending one by whole tone at the beginning of the coda. Finally, some analysts hear the diminished seventh chord in mm. 663–64, with the D♭ in the bass of m. 664, as a final, dramatic reminder of the C♯.[19]

And how much of this do we get from Schenker? Virtually nothing. Anyone looking to Schenker for

[19] A truly obsessive pc-motive analyst would also note the passing D♭s in the cello, mm. 673 and 677 – the last D♭s, and the last chromatic pcs of any description, in the movement. But I have not encountered this point in the literature. – To detail exactly what sources make each analytical point in this paragraph would require a footnote far longer than is practicable here. Suffice it to say that the following published sources, listed in chronological order of publication, note one or more of the five analytical points about the cross-referential C♯ listed in the text: Rochlitz (?) 1807 (partial excerpt and translation in Sipe 1998: 57); Earp 1993; Lockwood 1982; Burnham 1995; Kinderman 1995; Brinkmann 2000; and Taruskin 2005, vol. 2: 659–67.

a pc-motivic analysis of one of the most famous pc-motivic movements in the tonal repertoire is certain to be disappointed. Schenker simply does not deal with C♯/D♭, *qua* C♯/D♭, as a pitch-class, at m. 7; nor does he mark that C♯ so as to find its motivic and harmonic reappearances, as a pitch-class, later in the movement. Of the five cross-referential points listed above, he calls attention only to the first – the enharmonic resolution of the C♯/D♭ down to C♮ at the beginning of the recapitulation. And here his writing is utterly matter-of-fact, completely empty of rhetorical flourish or dramatic force. He simply refers us back to an earlier figure in which: 1) he shows that the C♯ of m. 7 would more normally be spelled as D♭, and resolve as a passing note down from E♭ to C in a V_2 to IV^6 progression; and 2) he shows the same E♭–D♭–C motion, but C becomes the bass of a V/ii, as it does in the recapitulation of the opening theme. His only comment with respect to this new continuation at the beginning of the recapitulation is: "The descending step C♯–C♮ in [mm.] 402–4 has already been considered in connection with Figure 5." (Schenker 1997, Figures 5a and 5b, 11) He thus downplays the new harmonization, as if to say: "This we already know, so we move on."

Compare Tovey's description of the same passage. Hearkening back to his depiction of the C♯ in m. 7 as a "cloud," with the admonition "Remember that cloud: it leads eventually to one of the most astonishing and subtle dramatic strokes in all music," he notes, at the beginning of the recapitulation. "Soon the theme reaches the little cloud that we noticed in the beginning. The cloud 'resolves' in a new direction, and the sun comes out […]." (Tovey 1935: 45–46)[20] In purely musical terms, Schenker and Tovey understand the passage in the same way; it repeats the opening measures, up to the measure with the C♯, then it makes an enharmonic shift that sends it in a new direction. But they differ wildly – at least that is what their prose leads us to believe – regarding the import of this detail. Since the essence of the pc-motive is drama, and the drama in question comes to the fore each time the pitch reappears and is reinterpreted, Schenker's analysis is as far from a pc-motivic analysis as is imaginable. Similarly, in the other pc-associative passages in question (the semitonal sequence early in the development, the tonicization of D♭ in the recapitulation, the whole-tone sequence beginning the coda, and the diminished seventh with bass D♭ in the coda) he does not respond at all to the referential aspects of the C♯/D♭, and does not in any way point out this pc as significant in itself. Of the sort of dramatic prose we have become accustomed to in pc-motivic analyses, there is not a whiff.

To compare Schenker's analysis to Tovey's, or to an hypothetical Schoenbergian analysis, or to the various analyses noted in footnote 19 above, is by no means to claim that he *should* have made the same points, or that these points are necessarily more valuable or perceptive than his, or that he was in any sense ignorant or insensitive in not making them. The comparison simply shows, quite dramatically, that Schenker was not interested, in his analysis of the first movement of the *Eroica,* in the cross-referential chromaticism that has so engaged many other writers, and that is our concern here. As it turns out, and as is so often the case with the late Schenker, what we *do* get – though it is unexpected, and even a bit odd – turns out to be striking, insightful, and eminently worth noting. But to pursue what he really does have to say would take us into another topic, and another essay, entirely.

IV. Critical Perspective

In writing about the thematization of chromatic pcs in tonal music, one treads on dangerous ground. It is not a topic on which it is easy to find something new to say, and it has a strong "already-known, too-much-written-about" quality to it. Some readers of this essay may feel that it unnecessarily resurrects a topic popular in the 1980's and early 1990's – but a topic that would be better served by leaving it in the grave. There are valid reasons for such a position. This sort of analytical work is, as a friend reminds me, "an easy

[20] Interestingly, the pc cross-reference here (mm. 402–4) noted by Schenker and Tovey was already pointed out by Rochlitz in 1807: "Beethoven likewise hits upon the diminished seventh chord on C♯, but does not resolve it, instead moving downward to C, and unexpectedly yet simply and naturally moves to the key of F through the dominant seventh" (Sipe 1998: 57).

game to play." That is, all it takes to play the game is being able to recognize which pcs in a given key are chromatic, paying attention to whether any of these reappear with some frequency, and then constructing a narrative about them if they do. In the 1980's it was too easy to latch onto a marked pitch – a $\flat\hat{6}$ or $\sharp\hat{4}$ or $\flat\hat{7}$ in major, or a $\flat\hat{2}$ in minor – pursue it doggedly throughout a piece, ignoring melodic motives, surface rhythm, linear-contrapuntal structure, hypermeter, and form, skipping altogether the sections that do nothing with the thematized note, and ultimately showing how the chosen pitch-class is recuperated at the end. Not necessarily a sophisticated task, and not one to inspire confidence if it is not nuanced with an understanding of other musical variables.

But pc-motivic analysis is intriguing because it reaches across divides – analysis and criticism, musicology and music theory, educated reader and sophisticated musician – that many other methods do not. Equally intriguing, and in fact the stimulus that led to this essay, is the fact that it seems to pop up everywhere, but little has been done to address the question of why it occurs and finds favor in so many traditions of writing about tonal music. It is to be hoped that the present essay is a salutary beginning in the effort to answer that question.

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Heliklassimotiiv tonaalse muusika analüüsis: mõningaid ajaloolisi ja kriitilisi tähelepanekuid

Patrick McCreless
(tõlkinud Mart Humal)

Heliklassimotiivi mõistet on kasutatud tähistamaks sellist motiivi tonaalses muusikas, mis sisaldab erilisi, enamasti enharmooniliselt ümbermõtestatavaid kromaatilisi astmeid, nagu ♭$\hat{6}$/♯$\hat{5}$, ♯$\hat{4}$ ja ♭$\hat{7}$ mažooris või ♭$\hat{2}$ minooris. Ameerika muusikateoreetik Steven Laitz on oma väitekirjas (1992) osutanud heliklassimotiivi idee (kuigi mitte mõiste enda) ennetamisele Schenkeri, Schönbergi ja Rudolf Réti teoreetilistes töödes ja kasutanud seda Schuberti laulude analüüsimisel. Käesolev artikkel tugineb Laitzi tööle, näidates, et paljud tonaalse muusika uurijad – nii muusikateoreetikud kui ka muusikaajaloolased – on kasutanud viimastel aastatel heliklassimotiivi mõistet, kusjuures selle tänapäevase kasutusviisi lähtekohaks on lisaks Schenkeri ja Schönbergi töödele mitte Réti, vaid Donald Francis Tovey omad.

Nagu on märkinud juba Laitz, on heliklassimotiivi kasutatud esmakordselt 18. sajandi lõpul ja 19. sajandi algul – mõningates Haydni ja Mozarti teostes, kuid samuti Beethoveni varase ja eriti keskmise perioodi teostes. Käesolevas artiklis on püütud detailselt jälgida eelmainitud kolme teoreetiku mõju tänapäeva uurijatele: Tovey traditsiooni jätkamist Joseph Kermani, Charles Roseni ja Edward T. Cone'i kaudu Richard Taruskini ja Scott Burnhami poolt, Schenkeri traditsiooni jätkamist Carl Schachteri ja Edward Lauferi kaudu Poundie Bursteini ja Mark Anson-Cartwrighti poolt ning Schönbergi traditsiooni jätkamist Milton Babbitti ja Patricia Carpenteri kaudu Ethan Haimo ja Severine Neffi poolt.

Lõpuks on vaadeldud kolme trükis ilmunud analüüsi (neist üks Joseph Kermani ja kaks Schenkeri sulest), võrdlemaks (koos hüpoteetilise Schönbergi analüüsiga) Schenkeri, Schönbergi ja Tovey tõlgendusi. Katkend Kermani Beethoveni keelpillikvarteti *op.* 95 analüüsist (Kerman 1967) esindab Toveyle tüüpilist lähenemisviisi. Kerman nimetab osa algul kõlavat heli *ges* „valuliseks noodiks" (*sore note*), mis omandab (koos oma enharmoonilise teisendiga *fis*) tervet neljaosalist teost läbiva motiivi tähenduse. Kermani arvates moodustub kogu kvarteti dramaatiline narratiiv just selle heliga seotud sündmustest. Kahjuks ei leidu Schönbergil eelmainituga võrreldavat analüüsi kromaatilise heliklassi harmooniliste teisenduste kasutamise kohta kompositsioonilistel eesmärkidel. Kuid oma teoreetilistes töödes on ta Toveyle ja Kermanile lähedastel seisukohtadel: Kermani „valulise noodi" asemel räägib ta sageli (formaalsemas, muusikateoreetilises kõnepruugis) „kompositsioonilisest probleemist", mille lahendamine on terve teose eesmärgiks. Schönbergi tõlgendusviisi võiks illustreerida Chopini masurka *As*-duur (*op.* 17/3) näitel. Kohe teose algul ja kogu selle kolmeosalise liitvormi vältel on retooriliselt rõhutatud heli *fes/e*, *As*-duuri ♭$\hat{6}$, terve *B*-osa aluseks aga on tonikaliseerunud *e*. Kuigi seda teost ei ole analüüsinud ei Schönberg ega temale sarnase lähenemisviisiga Tovey ega Kerman, võib ette kujutada, milline see oleks võinud neil olla. Õnneks leidub selle teose analüüs Schenkeril (Schenker 1979), kelle tõlgendus näitab kujukalt kromaatika käsitlemise erinevust tema ning teisalt Schönbergi, Tovey ja Kermani poolt. Schenker isegi ei maini retooriliselt rõhutatud heli *fes/e*, vaid keskendub teose häältejuhtimisstruktuurile, kus domineerivad *Kopfton* (peaheli) *c* (mitte $\hat{5}$, vaid $\hat{3}$) ja selle väljaarendus terve teose vältel. Schenkeri arvates ei tulene *E*-duuri kasutamine pala keskmises osas mitte selle toonika enharmoonilisest samasusest heliga *fes* (*As*-duuri ♭$\hat{6}$), vaid kõrge ja madala toonika tertsiga samanimelisest vahelduvlaadist. Kõnealuse analüüsi järgi otsustades ei huvita Schenkerit palas hoopiski mitte „valuline noot", vaid *Ursatz*'ist lähtuv häältejuhtimine ning laadivaheldusel rajanev muusikaline vorm.

Veelgi selgemini ilmneb Schenkeri lähenemisviis antud probleemile Beethoveni „Eroica" esimese osa analüüsist (Schenker 1997). Jällegi oleksid nii Schönbergi kui ka Tovey traditsiooni järgijad ilmselt keskendunud kuulsale helile *cis* taktis 7 ning selle kromaatilise heliklassi osatähtsusele esimese osa harmoonilises arengus. Schenker aga tõlgendab seda heli ainult *Ursatz*'ist tuleneva häältejuhtimise ja harmoonia seisukohalt kui üht 691 takti pikkuse hiigelosa lineaar-harmoonilise struktuuri pisidetaili, käsitlemata seda heliklassimotiivina *cis/des*.

Counterpoint of Lines or Voices

Mart Humal

From the very beginning of the development of counterpoint, one of its essential aspects has been the hierarchy of structural levels. In the theory of counterpoint, this becomes evident when comparing "first-species" counterpoint (*punctus contra punctum*) with second- to fifth-species ("diminished") counterpoint. Whereas first-species counterpoint is restricted to consonances, "diminished" counterpoint contains both consonances and dissonances. The latter, known as passing or neighboring tones, suspensions etc., are subordinate to consonances and represent lower levels of the contrapuntal structure, unlike consonances representing higher ones.

In particular, it is Schenkerian analysis – the analytical method created by Heinrich Schenker (1868–1935) – that arranges all the structural elements of a theme or a composition, from the lowest level of detail through the highest level of an entire work, into a hierarchy of structural levels. In this hierarchy, certain typical high-level structures are projected onto lower levels.

Although technically Schenkerian analysis seems to be a method of contrapuntal analysis, it aims to be something much more – the theory of (tonal) music *per se*. However, as an analytical theory of harmonic counterpoint it is not quite satisfactory. In what follows, critical attention will be concentrated on the Schenkerian concept of the *Urlinie* and of "line" in general. Then an alternative method of contrapuntal analysis will be proposed and exemplified by the contrapuntal analysis of the second movement of Mozart's Piano Sonata in D major, K. 576. In conclusion, some related topics of analytical theory will be discussed.

1. Lines or Voices?

1.1. Problems of the $\hat{5}$-Line

In the concluding chapter of his large monograph about Heinrich Schenker's "project", Nicholas Cook claims that "there can be no such thing as Schenkerian analysis, because there is no discovery procedure for the *Urlinie*" (Cook 2007: 294).[1] Obviously it is not easy to follow Schenker's own way to discover the *Urlinie*, described by him as follows: "Every religious experience and all of philosophy and science strive towards the shortest formula; a similar urge drove me to conceive of a musical work only from the kernel of the *Ursatz* as the first composing-out of the tonic triad (tonality); I apprehended the *Urlinie*, I did not *calculate* it" (Schenker 1994: 18–19). Ironically, had he "calculated" it, perhaps he would have avoided some of the contradictions inherent in the concept of *Urlinie* and *Ursatz*.

The "real existence" of the *Ursatz* is somewhat similar to Hugo Riemann's notorious "objective existence of undertones."[2] According to Carl Dahlhaus, the *Ursatz* is a "hypothetical explanation of *Fernhören*, rather than its manifest perceptional content (*Wahrnehmungsinhalt*)" (Dahlhaus 1983: 86).

As we know, the *Urlinie* (fundamental line) constitutes the upper part of the two-part *Ursatz* (fundamental structure) – Schenker's model of the high-level (or background) structure, – the lower part being the *Baßbrechung* (bass arpeggiation). Clearly it has never been difficult to discover the bass arpeggiation, nor has Schenker found anything mystical in it.[3]

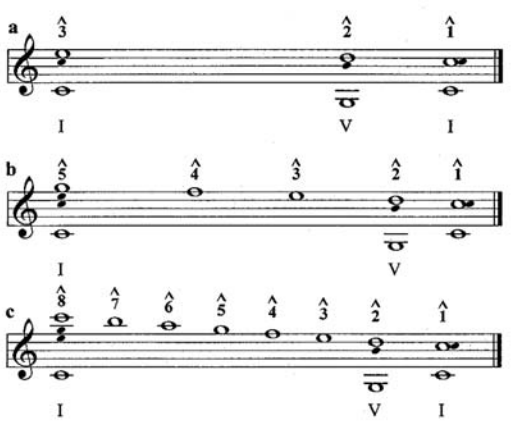
[1] The notion of discovery procedure is discussed in Keiler 1978, Jackendoff, Lerdahl 1979–80 and Keiler 1979.

[2] See Rehding 2003: 33.

[3] According to David Lewin, "it would not be frivolous to regard a I–V–I *Baßbrechung* of a Schenkerian *Ursatz* as Rameau's I–V and V–I root progressions, concatenated in historical time as a Hegelian *Einheit-Gegensatz* followed by a *Gegensatz-Aufhebung*" (Lewin 1978: 10, Note 9).

According to Schenker, the *Urlinie* has three forms: the "$\hat{3}$-line" $\hat{3}$–$\hat{1}$, "$\hat{5}$-line" $\hat{5}$–$\hat{1}$ and "$\hat{8}$-line" or $\hat{8}$–$\hat{1}$ (Example 1). The $\hat{5}$-line (as well as the $\hat{8}$-line, practically almost never used nowadays) is characterized by an *unsupported stretch* (*Leerlauf*).[4] According to Allen Cadwallader, "[A] $\hat{5}$-line may exhibit one of two possible unsupported stretches: $\hat{5}$–$\hat{4}$–$\hat{3}$ or $\hat{4}$–$\hat{3}$–$\hat{2}$ [...]" (Cadwallader 1992: 190).[5] Obviously, it is the former that Carl Schachter referred to as follows: "The analyst must keep in mind the possibility that the fundamental line might begin on $\hat{3}$ and that the line from $\hat{5}$ to $\hat{3}$ might be a prolongation belonging to a later level" (Schachter 1981: 125). In the case of the unsupported stretch $\hat{4}$–$\hat{3}$–$\hat{2}$, the *Urlinie* tones $\hat{4}$, $\hat{3}$ and $\hat{2}$ are usually supported by the pre-dominant, cadential six-four and dominant, respectively.[6]

Example 1. Schenker's three forms of the *Ursatz* from Brown 2005: 73.



Probably any theorist with some experience in Schenkerian analysis has worked out, some way or another, certain "discovery procedures" for the *Urline* or, for that matter, the *Ursatz*. Some years ago, taking, as the point of departure the principle that the deepest level of the contrapuntal structure consists only of the initial tonic, prolonged throughout the form and leading to the concluding cadence,[7] I proposed a procedure based on three *cadence paradigms* (Example 2).[8] Paradigms *a* and *b* (Examples 2a and 2b, respectively) are typical of the $\hat{3}$-line, paradigm *c* (Example 2c) – of the $\hat{5}$-line. Unlike the $\hat{3}$-line, always entirely involved in the cadence, the $\hat{5}$-line, when containing the unsupported stretch $\hat{5}$–$\hat{4}$–$\hat{3}$, is only partly – without its two upper tones ($\hat{5}$ and $\hat{4}$) – involved in the cadence (usually constituting the Paradigm-*b* cadence).[9] In accordance with the aforementioned principle, these two upper tones, being part of the prolongation of the initial tonic, have a lower structural status than the last three tones, and, therefore, do not belong to the background level of structure.

In the case of the unsupported stretch $\hat{4}$–$\hat{3}$–$\hat{2}$, the situation is quite different: here the *Urlinie* is entirely involved in the cadence. However, the passing status of the cadential six-four, similar to that of the Paradigm-*a* cadence, makes this cadence as a *background* structure very problematic. According to Joel Lester, "a background structure (including a fundamental line) should contain melodic and harmonic interactions that are fully complementary – a melodic pitch qualifies for inclusion in a background structure not only because it is part of a descending line, but also because it is supported in a manner appropriate to a background pitch" (Lester 1992: 203). David Beach wrote in 1990: "On several occasions over

[4] "[T]he $\hat{4}$ is dissonant as it passes over the root. [...] In this context the first part of the fundamental line $\hat{5}$–$\hat{4}$–$\hat{3}$ has more the effect of a transiently filled space of a third; it is not quite like a linear progression of a third that is worked out with the help of a counterpointing bass progression. This creates a certain void, or unsupported stretch, at the very outset of the fundamental line of a fifth, and occasionally gives rise to the question whether the form of the fundamental structure is not actually $\hat{3}$–$\hat{2}$–$\hat{1}$." (Schenker 1979: 19–20).

[5] Allen Cadwallader, "More on Scale-degree Three and the Cadential Six-four" (*Journal of Music Theory* 36/1, 1992, 187–198), 190.

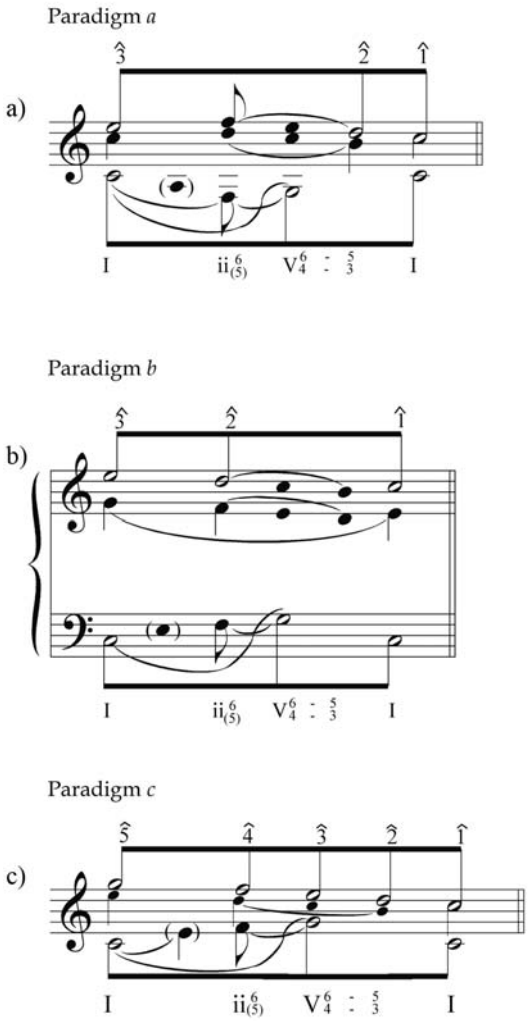
[6] See Schenker 1979, Figures 39.3 (= 120.6a); 76.3; 83.2; 87.3b; 87.5 (= 132.6); 88.4, Ex. b; 100.2b; 104.3; 119.9d; 121.1; 124.6a; 132.1; 136.4; 148.1; 149.1; 154.1.

[7] See Humal 2008: 95.

[8] Humal 2008: 95–96.

[9] See Schenker 1979, Figures 20.1–3; 40.8–9; 42.1; 48.1; 62.9; 73.2; 74.2; 76.3; 76.5; 103.6; 109b; 110a.1–2; 119.1; 119.11; 121.2; 128.6b; 135.2; 136.2; 154.3–4; 156.1.

Example 2. Three cadence paradigms from Humal 2008: 93.



the past few years [...] I have heard individuals make the rather startling statement in public that the only truly feasible descent of the fundamental line is from $\hat{3}$, the main reason being the "weak" support often given to scale degrees 4 and 3 in a descent from $\hat{5}$" (Beach 1990: 99, Note 2).

An examination of cadences in Mozart's piano sonatas shows that, in the case of the non-modulating Paradigm-*a* cadences, there is usually (at least in figuration) either a descending second $\hat{6}$–$\hat{5}$ above the second $\hat{4}$–$\hat{3}$ of the upper voice,[10] or at least one of its tones – either $\hat{6}$ above $\hat{4}$[11] or $\hat{5}$ above $\hat{3}$.[12] This fact suggests another interpretation of scale degree $\hat{5}$: it is essentially a cover tone, embellished by means of the upper-neighbor figure $\hat{5}$–$\hat{6}$–$\hat{5}$, with the last tone possibly transferred into an inner voice, rather than the *Kopfton* of a $\hat{5}$-line. This register transfer suggests that it is an inner, rather than the upper voice that is the "proper" place of this upper-neighbor figure.[13]

In addition to the "unsupported stretch," there are some other serious objections against the $\hat{5}$-line (or, for that matter, the Paradigm-*c* cadence).

1. In a typical perfect authentic cadence consisting of an initial tonic, a pre-dominant harmony, the dominant and the final tonic (Caplin 2004: 70–71), the pre-dominant harmony obviously belongs to a lower level of structure than the other chords. It functions on the *deep-middleground* rather than *background* level, as an element of the *prolonged* rather than *unprolonged* cadence; the latter consisting only of the three remaining chords. However, unlike cadences of Paradigms *a* and *b*, the Paradigm-*c* cadence cannot be reduced to its unprolonged form, without destroying the upper-voice line. To put it simply: this line contains too many notes.

[10] See K. 279, I, bars 9–10 and 11–12, III, bars 44–46; K. 280, II, bars 19–20; K. 181, I, bar 37, III, bars 65–66; K. 282, III, bars 29–30 and 33–34; K. 283, I, bar 42, II, bar 13; K. 284, I, bar 43, II, bar 16, III, bar 16; K. 309, III bar 130; K. 310, I, bars 33–34 and 44, II, bar 21; K. 331, III, bars 54–55; K. 332, II, bars 17–18; K. 457, I, bar 66, III, bars 6–7 and 14–15; K. 570, III, bars 55–56; K. 576, I, bars 39–40.

[11] See K. 279, I, bars 15–16; K. 181, II, bars 33–34 and 37–38, III, bars 3–4; K. 284, II, bar 8, III, bars 3–4; K. 309, II, bars 7–8 and 15; K. 310, II, bar 7; K. 311, II, bars 3–4 and 7–8, III, bars 47–48; K. 330, II, bar 35, III, bars 6–8; K. 331, I, bars 17–18, III, bars 22–23; K. 332, III, bars 3o–31, 63–64 and 72–73; K. 333, I, bar 37, II, bar 20; K. 457, II, bar 3; K. 545, II, bars 7–8; K. 570, II, bar 2; K. 576, I, bars 50–52.

[12] See K. 283, I bar 9, III, bar 71; K. 576, II, bar 38.

[13] In some analyses, $\hat{6}$ is regarded as "substituting" for $\hat{4}$ of the $\hat{5}$-line. See, for instance, Example 11.1 in Cadwallader and Gagné 1998: 305 where $\hat{6}$ (bar 13) not just "substitutes" for $\hat{4}$ but also is followed by $\hat{5}$ in the next bar, concluding the upper-neighbor figure $\hat{5}$–$\hat{6}$–$\hat{5}$.

2. The problematic nature of the $\hat{5}$-line is inseparably connected with the number of parts (voices) in the background structure. Many years ago, Charles J. Smith asked the question: "Why must the fundamental structure consist of only two voices?" (Smith 1996: 273) It seems to be impossible to analyze adequately the *tonal* counterpoint (unlike some earlier forms of counterpoint as, for example, the 15th-century practice of successively composed voices with its discant-tenor framework; see Dahlhaus 1990: 85) without the equal status attached to all of its voices. According to William E. Benjamin, "it is mistake [...] to embody the harmonic meaning of a passage in a two-part counterpoint of registral voices [...]. Harmony is too full to be so embodied, being a matter, more often than not, of four essential voices. [...] [T]onal harmonic progressions are counterpoints of four pitch-class voices, motion of each of which is determined by motion in one or more of the others." (Benjamin 1982: 40)[14] It seems that the elimination of the inner voices from the background level by the traditional Schenkerian analysis results in serious misunderstanding of its upper voice. Consider once more Example 1b. In the first chord there are two inner voices marked with open note-heads. Whereas the lower one obviously progresses from c^2 to b^1 and then back to c^2, the motion of the higher one (from e^2 on) is unclear. Obviously, a smooth, contrapuntally flawless connection between this e^2 and any subsequent tone is possible only when there is no stepwise descent g^2–c^2 in the upper voice. (For example, it can be imagined that there are simultaneously two descending third-progressions: g^2–e^2 in the upper voice and e^2–c^2 in the inner voice.) Therefore, the $\hat{5}$-line is problematic also from the standpoint of the (implied) inner voices.
3. It is not easy or even possible to construct background structures in sonata forms containing any theme with the $\hat{5}$-line. According to Peter H. Smith, when analyzing the *recapitulation* of the major-mode sonata form (with the $\hat{3}$-line in the first group and the $\hat{5}$-line in the second group), "[t]he analyst must retain the fifth-progression only on the second middleground level and graph its upper two members as part of a prolongation of $\hat{3}$" (Smith 1994: 84). Such a reading is especially problematic in the case of the unsupported stretch $\hat{4}$–$\hat{3}$–$\hat{2}$ (rather than $\hat{5}$–$\hat{4}$–$\hat{3}$) in the second group (not mentioned in *Free Composition* when discussing the sonata recapitulation[15]). The same problem arises in a minor-mode sonata *exposition* (with the tonal plan i–III), having the $\hat{5}$-line in *both* the first and second groups. The possible solution to this problem might be by means of the unfoldings $\hat{3}$–$\hat{5}$–$\hat{4}$–$\hat{2}$ in the recapitulation of the major-mode sonata (Example 3a) or $\hat{5}$–$\hat{7}$–$\hat{6}$–$\hat{4}$ in the exposition of the minor-mode sonata (Example 3b).[16] On the other hand, in sonata expositions with the tonal plan I–V and the $\hat{5}$-line in *both* groups (or in those with the tonal plan i–III, the $\hat{5}$-line in the first group and the $\hat{3}$-line in the second group), the problems of background (caused by the lack of the *Urlinie* descent $\hat{5}$–$\hat{4}$–$\hat{3}$ in the exposition) can be avoided only by graphing the "interruption" (a kind of high-level half cadence I–V with the upper-voice descending second $\hat{3}$–$\hat{2}$[17]) at the end of exposition in an inner voice, as proposed by Ernst Oster in his commentary on § 316 of Schenker 1979: 139; Examples 3c and 3d).[18] Ironically, whereas the *exposition* of the minor-mode sonata (with the tonal plan i–III), having the $\hat{5}$-line in the first group and the $\hat{3}$-line in the second group, is favored by Carl Schachter because here "the unsupported stretch, $\hat{5}$–$\hat{4}$–$\hat{3}$, might lead to a tonicization of III [...] and integrate into the unfolded tonic of the background structure the potentially disruptive tendency of minor to gravitate to III" (Schachter 1981: 126), no general solution has ever been proposed for the background structure of the

[14] See also Neumeyer 1987 and Chew 1983. In the latter, especial emphasis is laid on the lower-neighbor figure embellishing $\hat{1}$ (usually in the "alto" voice) by means of the leading tone.

[15] See Schenker 1979: 138, Note 16 (written by Ernst Oster): "The superposition reads $\hat{3}$ (543) $\hat{2}$ $\hat{1}$."

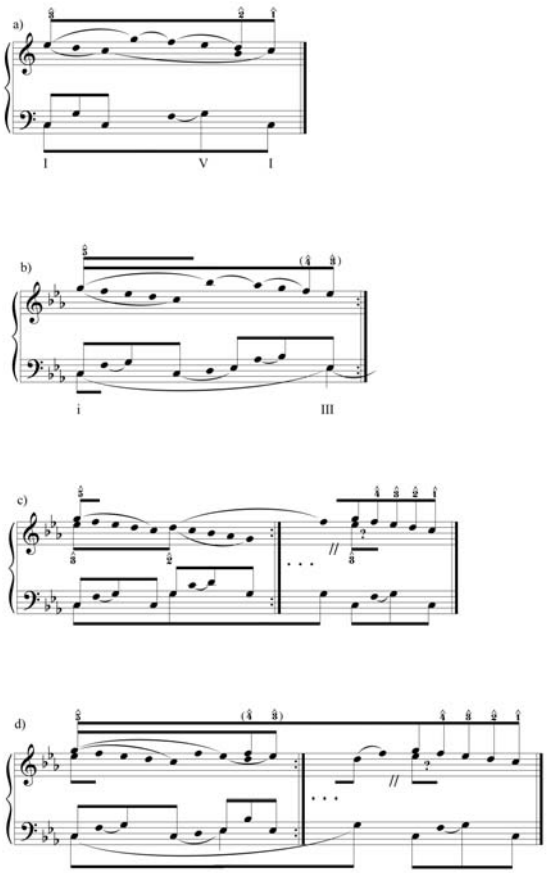
[16] Such a possibility is suggested in Väisälä 2009: 137 (Note 53).

[17] See also section 3.1 below.

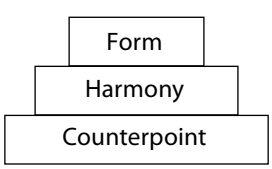
[18] The question marks in Examples 3c and 3d refer to the problem discussed in the previous paragraph.

recapitulation in this case.[19] (The same is true of the recapitulation of the major-mode sonata with the $\hat{5}$-line in the first group and the $\hat{3}$-line in the second group.)

Example 3. Sonata-form backgrounds.



4. In the aforementioned article, I proposed a three-stage pyramid representing the structure of classical music (Humal 2008: 93):



As I wrote, no direct relationship exists between counterpoint and form. They are connected only through harmony (Humal 2008: 93, 108). On the other hand, one can imagine also *melody* as a kind of form: "Melody is already a work of art, even if it only functions as a theme." (Aranovsky 1969: 26) Comparing Examples 1a and 1b, we can see that these cadences (representing the $\hat{3}$- and $\hat{5}$-line, respectively) differ only melodically, rather than harmonically. Therefore their difference is restricted to the highest stage of the pyramid and does not touch its lowest stage – counterpoint.

1.2. Different Meanings of the *Urlinie*

As we know, Schenker arrived at the concept of the *Urlinie* earlier than that of the *Ursatz* (with its bass arpeggiation), as a result of examination of melodic structures (Pastille 1990). Unlike Rameau who claimed that harmony "is generated first, and it is from harmony that the rules of melody must be derived" (Rameau 1971: 152), in Schenker 1954, he wrote that "the principal element in music, even after the addition of the vertical dimension, remains the horizontal line, i.e., the melody itself" (Schenker 1954: 168). However, he continued: "[I]t is the mission of harmony to enhance the planning of ample melodic ideas and, at the same time, to co-ordinate them" (Schenker 1954: 169). In his last years Schenker even denied this coordinating function of harmony: "[I]t is the temporal-horizontal axis of musical motion […], that alone generates musical content and guarantees the latter's organic cohesiveness" (Schenker 1997: 2). Probably he appreciated the concept of the *Urlinie* so highly that either he preferred to ignore the confusion of structural levels (in the form of unsupported stretches) arising in combining $\hat{5}$- and $\hat{8}$-lines with the bass arpeggiation (consisting only of three tones), or else he interpreted the notion of counterpoint in a different way, compared to the classical theory of counterpoint (based on intervals, their connection and the resulting *contrapuntal voices*).

Because it is not the bass arpeggiation but rather the *Urlinie* – as a kind of *line* – that is

[19] In Cadwallader, Gagné 1998: 329–359, the second theme of the first movement of Mozart's Piano Sonata in C minor (K. 457) is analyzed with a $\hat{3}$-line in the exposition and a $\hat{5}$-line in the recapitulation.

the source of inconsistencies in the *Ursatz*, it may be supposed that it is the *counterpoint of lines* rather than that of *voices* that is the main matter of Schenker's analyses. Actually, the bass arpeggiation does function as a voice, rather than line, and in many cases it is also true of the $\hat{3}$-line as the upper part of the *Ursatz*. (Therefore, there is not infrequently a combination of a voice and a line in his fundamental structures.)

The difference between voice and line is easiest to realise in the case of the *Urlinie* as the most prominent line in Schenkerian analysis. In traditional Schenkerian analysis, the concept of *Urlinie* has at least three different meanings.

1. In many cases, the $\hat{3}$-*line* (when its second tone is supported by the cadential dominant) functions as a *contrapuntal voice* – as one of the voices of the high-level (or background) contrapuntal structure.
2. Frequently, the *Urlinie*, especially the $\hat{5}$- and $\hat{8}$-line, is derived as a summary of the melodic motion (reflecting the formal structure), or, as Arnold Schoenberg put it: "Schenker's *Urlinie* is, at best, *one* cross-section of the whole" (Dunsby 1977: 30). A typical expression of this way of thinking is Arthur Komar's objection to the backgrounds with short cadential dominants, rather than those in which the location of its basic components reflects the formal structure (Komar 1988: 25). This kind of the *Urlinie* results from the (erroneous, according to our view) interpretation of the contrapuntal background as an idiosyncratic feature of individual compositions.
3. Frequently (especially in the case of a $\hat{5}$-line), the status of the *Urlinie* tones is ascribed to certain descending stepwise progressions, not always in the same voice, interpreted as a kind of motive (that is, a thematic element). Such an interpretation of the $\hat{5}$-line is evident, for example, in Schenker's reading of the subsidiary theme in the first movement of Beethoven's Third symphony (Schenker 1979: 14–23), as well as in the distribution of the *Urlinie* tones between different voices (including the bass; see Schachter 1994; Wen 1999). One of the most drastic examples of such an *Urlinie* is in Timothy L. Jackson's reading of Chopin's Second Ballade, with its entire *Urlinie* descent ($\hat{5}$–$\hat{1}$) occurring in the bass during three bars (bars 166–168; Jackson 2001: 216).

1.3. What Are the Rules of the "Counterpoint of Lines"?

These different meanings attributed to the *Urlinie* (as the basic category of the "counterpoint of lines"), expressing different views of the background structure in general – its idiosyncratic ("expressive," according to Neumeyer 2009) or generalized character (that is, its dependence on, or independence from, the formal or melodic structure of individual works or themes) – make it very difficult to imagine a theory of "counterpoint of lines." What would be the rules of this counterpoint? Perhaps it is in the "counterpoint of lines" where, according to Matthew Brown, the "*Stufe* constraint" "erodes the distinction between consonance and dissonance" (Brown 2005: 51). (The problematic concept of *Stufe*, never exactly defined by Schenker, results from functional harmony with its structural hierarchy of chords. Its origin in Schenker's *Harmonielehre* is explained by Hellmut Federhofer as follows: "Since Schenker, at the time of *Harmonielehre*, still missed the concept of levels, he sought to distinguish different quality ratings of chords in terms of structural coherence, by sparely using scale-degree indications and avoiding them, when a chord could be easily explained on the basis of voice leading"; Federhofer 1981: 60–61.) What is more, refuting Carl Schachter's claim that "Schenker conceives of the fundamental structure as a kind of second-species counterpoint with dissonant passing tones, rather than as a first-species counterpoint restricted to consonances" (Schachter 1981: 126), Matthew Brown considers it important to remember that the *Urlinien* "do not belong to the purely intervallic world of strict counterpoint; on the contrary, they clearly belong to the world of *Stufen*" (Brown 2005: 74).

This "world of *Stufen*" is perhaps similar to Robert Snarrenberg's notion of the "*Ursatz* as a quasi-second species representation of tonal music: a representation of the chord of Nature [*Naturklang*], its extension in time, and the filling of one of its spaces with a descending passing motion" (Snarrenberg 1994: 39). It seems that the interpretation of the background non-dissonant $\hat{2}$/I as an unstable passing sonority (implicitly present in traditional Schenkerian analysis) results from the confusion of harmonic and contrapuntal stability: being harmonically unstable, this chord is contrapuntally stable.

It seems also that, insisting on the problematic concept of *Urlinie*, Schenker was unable to develop consequently, to the end, his idea of structural levels which is, as we know, one of the essential aspects of counterpoint in general. (This results in some arbitrary prescriptions[20] and in frequent confusion of structural levels.)

It can be tempting to align some of the basic notions of Schenkerian theory in the following way: *Naturklang – Stufe – Linie – Ursatz*.[21] From this we might conclude that simultaneously with the rise of the concept of *Stufe* (to be understood as functional harmony), the traditional counterpoint of voices was replaced by the "counterpoint of lines" (perhaps with the distinction between consonance and dissonance "eroded"). However, considering the facts of music history in the light of the aforementioned three-stage pyramid (with counterpoint at the bottom, harmony at the middle and form at the highest stages), this line of reasoning seems to be wrong. On the one hand, we know that the basic rules of counterpoint were established not later than the middle of the 15th century.[22] On the other hand, cardinal changes in harmony during the transition from modal harmony of the Renaissance era to functional harmony of the Baroque era (from around 1600 on) occurred without influence on the deepest essence of the basic rules of counterpoint, which were established much earlier. (In the same way, the transition from the Baroque forms to the classical ones from around 1750 on occurred without influence on the principles of functional harmony, also established much earlier.)

Therefore it seems that it is the new way of using the elements of the lower stages of the pyramid, rather than their radical transformation, that takes place along with the changes on the higher stages of the pyramid.

There are some more general objections against Schenkerian *Ursatz* as a form of the high-level contrapuntal structure. Claiming that classical masterpieces are based on some form of the *Ursatz* and *Urlinie*, Schenker not only ignores historical facts (the trivial fact of absence of any reference to them in the theoretical literature and their essentially imaginary nature,[23] – as well as the use of the very term "line" in the Schenkerian sense not earlier than the 20th century[24]), but also an elementary logic: it is hard to imagine that the "great masters" would have based their tonal structures on, for example, such an imperfect contrapuntal construct as the *Ursatz* with a $\hat{5}$-line.

• • •

In terms of the counterpoint of voices rather than lines, it is obvious that to match the three-note *Baßbrechung*, the range of the stepwise descending progression of the upper voice cannot exceed the third. Therefore, it is only by virtue of the upper-voice descent $\hat{3}$–$\hat{2}$–$\hat{1}$ combined with the bass arpeggiation $\hat{1}$–$\hat{5}$–$\hat{1}$, that the *Ursatz* with a $\hat{3}$-line "embodies many of the stability-making features of the tonal idiom" (Lerdahl, Jackendoff 1983: 249). On the other hand, in view of the subordinate position of counterpoint in the aforementioned pyramid, and in accordance with Rameau's view (quoted in section 1.1 above), "the effect of harmonic progression" (Snarrenberg 1997: 27) seems to be the primary, rather than final effect of harmonic counterpoint.

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[20] According to Herbert L. Riggins, "[l]ower neighbor notes as expansions of the initial tone of the fundamental line are prohibited on the basis of potential confusion with the *interruption* procedure" (Riggins 1982: 4); according to Matthew Brown, "he [Schenker] preferred not to compose out a $\hat{3}$-line with a preliminary descent from $\hat{5}$–$\hat{3}$ since that transformation would create a $\hat{5}$-line descent at the deep middleground" (Brown 2005: 87).

[21] See, for example, Brown 2005.

[22] This state of affairs is expressed by Johannes de Tinctoris who wrote in 1477: "However, what surprises me especially is that only in the last forty years are there compositions which, in the judgement of the specialist, are worth listening to" (Jeppesen 1939: 9).

[23] According to Robert Snarrenberg, "[o]ne could even go so far as to say that inculcating the imaginative faculties required for experience such as concealment and illusion is the primary goal of Schenker's writings" (Snarrenberg 1992: 102–103). See also Note 33 below.

[24] "[Ernst] Kurth, in *Grundlagen* [*des linearen Kontrapunkts*, 1917], is the first to apply consistently the terms *Zug* and *übergeordnete Linie* to phenomena like those described in Schenker's works from around 1920 on" (Rothfarb 1988: 102).

2. Towards an Analytic Theory of Harmonic Counterpoint

2.1. Voice-leading Matrix

In what follows, an attempt will be made to present a revised methodology of contrapuntal analysis as one of the possible ways of further development of the theory of harmonic counterpoint. The latter is to be understood as the counterpoint made up of the melodic patterns of individual voices within chord progressions.

Our method of contrapuntal analysis is based on a five-part *voice-leading matrix* (VLM),[25] rather than the two-part Schenkerian *Ursatz*, as the high-level structure of tonal counterpoint.

As stated above, the highest level of the contrapuntal structure consists only of the initial tonic, prolonged throughout the form and leading to the concluding cadence (this being true not only of the form in general but also of classical theme; see Humal 2008: 94).

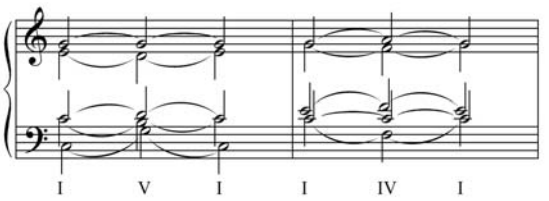
The most typical *authentic* VLM (consisting of the initial tonic, the dominant and the final tonic) corresponds to Allan Keiler's syntactic model of harmony (with its principal harmonic categories Tonic Prolongation, Dominant Prolongation and Tonic completion; see Keiler 1977: 15–17), as well as the "basic form" of Fred Lerdahl – "a description of a common reductional state, reflecting the trajectory from structural beginning to the cadence" (Lerdahl 2001: 25).

William E. Caplin regards the plagal progression I–IV–I as "entirely inadequate" to the task of confirming a tonality (Caplin 2004: 71). However, following the 19th-century traditions of harmonic dualism, the plagal cadence (along with the authentic one) nevertheless can be included among the possible background structures (and hence VLMs).

A VLM can be generated, using the principles of voice-leading parsimony and the rules of classical counterpoint. This is to say that (1) above the harmonic bass, it contains an upper-voice complex in which common tones between chords remain fixed and the other tones move by steps or half-steps, and (2) as a background structure (like a five-part first-species counterpoint but unlike Schenkerian *Ursatzformen* with the fundamental lines $\hat{5}$–$\hat{1}$ and $\hat{8}$–$\hat{1}$), the VLM contains only consonances. The four upper voices of the VLM may be permuted by means of invertible counterpoint.

As shown in Example 4, in the case of typical authentic or plagal cadences (containing either the dominant or subdominant triad, as their *penultima* chord), each tone of the initial or closing tonic triad is uniquely connected with the tones of the *penultima* chords: the harmonic bass (doubling one of the tones of the upper-voice complex) moves by the fourth or fifth ($\hat{1}$–$\hat{5}$–$\hat{1}$ or $\hat{1}$–$\hat{4}$–$\hat{1}$); one of the upper-voice tones remains fixed; one of the two remaining tones has a stepwise connection with *two* tones of the *penultima* chord and the other – with only *one*. Similarly, of the two moving upper-voice tones of the *penultima* chord, one has a stepwise connection with *two* tones of the tonic chord and the other – with only *one*. To represent all these connections, five continuous (structural) voices are needed, all of them connecting the tones of the three chords by means of either the root progression or some specific melodic patterns.

Example 4. Authentic and plagal cadences.



VLMs are of two basic categories: primary and secondary.

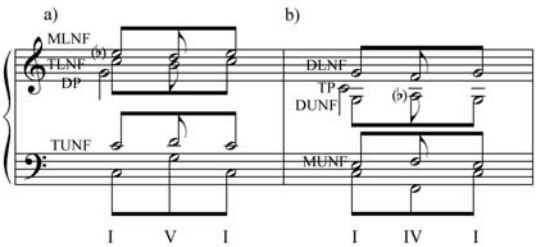
Those VLMs in which all the moving voices (except for the bass) consist of neighbor-tone figures will be labeled as *primary* VLMs. Example 5 shows the authentic and plagal primary VLMs. In the former (Example 5a), the upper voices have the following melodic patterns:

[25] The term is used, for example, by William Renwick. According to him, a *voice-leading matrix* (as "a fundamental expression of tonal voice-leading, a primal basis for unlimited expansion and development") "works out in full the voice-leading implications of Schenker's $\hat{3}$–$\hat{2}$–$\hat{1}$ fundamental structure, utilizing root motion in the bass and scalar and common-tone connections in the upper parts" (Renwick 1995: 81).

1. The Mediant Lower-Neighbor Figure (MLNF) $\hat{3}$–$\hat{2}$–$\hat{3}$ (in the "soprano" voice);
2. The Tonic Lower-Neighbor Figure (TLNF) $\hat{8}$–$\hat{7}$–$\hat{8}$ (in the "alto" voice);
3. The Dominant Pedal (DP) $\hat{5}$ (in the "tenor" voice);
4. The Tonic Upper-Neighbor Figure (TUNF) $\hat{1}$–$\hat{2}$–$\hat{1}$ (in the "baritone" voice).

In the plagal primary VLM (Example 5b), the upper voices have the following melodic patterns:
1. The Dominant Lower-Neighbor Figure (DLNF) $\hat{5}$–$\hat{4}$–$\hat{5}$ (in the "soprano" voice);
2. The Tonic Pedal (TP) $\hat{1}$ (in the "alto" voice);
3. The Dominant Upper-Neighbor Figure (DUNF) $\hat{5}$–$\hat{6}$–$\hat{5}$ (in the "tenor" voice);
4. The Mediant Upper-Neighbor Figure (MUNF) $\hat{3}$–$\hat{4}$–$\hat{3}$ (in the "baritone" voice).

Example 5. Authentic and plagal primary VLMs.

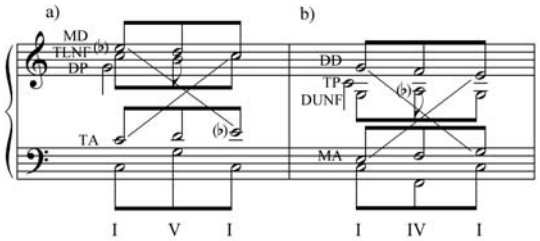


In order to represent directed motion typical of the highest voice, the two neighbor-note figures connecting one of the tones of the *penultima* chord with two different tones of the tonic chord will be transformed into a voice-exchange pattern. This gives rise to two third-progressions – an ascent and a descent. In such a way, the *secondary* VLM (Example 6) is generated whose moving upper voices consist of one neighbor-note figure and two third-progressions. Most of the tonal compositions can be analyzed using the secondary VLM.

In the authentic secondary VLM (Example 6a), the upper voices have the following melodic patterns:
1. The Mediant Descent (MD) $\hat{3}$–$\hat{2}$–$\hat{1}$ (in the "soprano" voice);
2. The Tonic Lower-Neighbor Figure (TLNF) $\hat{8}$–$\hat{7}$–$\hat{8}$ (in the "alto" voice);
3. The Dominant Pedal (DP) $\hat{5}$ (in the "tenor" voice);
4. The Tonic Ascent (TA) $\hat{1}$–$\hat{2}$–$\hat{3}$ (in the "baritone" voice).

In the plagal secondary VLM (Example 6b), the upper voices have the following melodic patterns:
1. The Dominant Descent (DD) $\hat{5}$–$\hat{4}$–$\hat{3}$ (in the "soprano" voice);
2. The Tonic Pedal (TP) $\hat{1}$ (in the "alto" voice);
3. The Dominant Upper-Neighbor Figure (DUNF) $\hat{5}$–$\hat{6}$–$\hat{5}$ (in the "tenor" voice);
4. The Mediant Ascent (MA) $\hat{3}$–$\hat{4}$–$\hat{5}$ (in the "baritone" voice).

Example 6. Authentic and plagal secondary VLMs.



The concept of VLM is connected with that of *chordal scale* and *imaginary continuo* proposed by William Rothstein. According to Rothstein,

> Lerdahl's concept of the "triadic scale" might be extended into a *chordal scale* by relating it not only to the tonic p[itch] c[lass] but to any chordal root, and by including chords other than triads, especially seventh chords [...] A further degree of abstraction may be introduced by considering not only the basso continuo but also the *imaginary continuo* [...] Briefly, the imaginary continuo is a continuo "accompaniment" abstracted from a composition that does not actually call for one. The imaginary continuo generates enormous numbers of implied tones, since every chord calls forth its entire chordal scale – all of its constituent p[itch] c[lasse]s in all registers between bass and soprano, and to a lesser degree in outlying registers as well. (Rothstein 1991: 296–298)

On lower levels of structure, these implied tones create possibilities for various doublings and octave transfers of individual voices of the VLM.

In addition to the five continuous voices of the VLM, a tonal composition exhibits a great number of brief lower-level progressions, connecting like stairs the continuous voices. These progressions fill basically the interval of a third (a fourth-progression will be analyzed as a combination of a third-progression and a neighbor figure, a fifth-progression usually as a combination of two third-progressions). Of the voices of a VLM, the bass possesses the greatest melodic freedom; its initial $\hat{1}$ can be elaborated by means of various skips and stepwise progressions. The two high-level third-progressions of the upper-voice complex (MD and TA in the authentic, DD and MA in the plagal VLM) are usually preceded in the same voices by similar third-progressions on lower levels. Moreover, all the upper voices may contain many neighbor-tone figures on different levels.

2.2. Prolonged and Expanded Cadences

In what follows, only authentic cadences will be discussed. Structurally, they can be divided into:

1. Unprolonged cadences (without the pre-dominant chord: I–V–I);
2. Prolonged cadences (with the pre-dominant chord);
3. Expanded cadences.

Tonally, cadences can be divided into:

1. Non-modulating cadences (concluding in the initial key);
2. Modulating cadences (concluding in a new key).

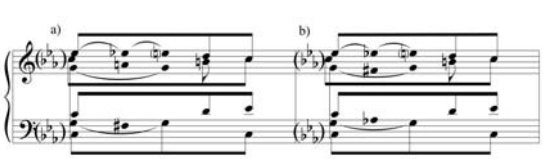
The authentic VLM represents the most typical *unprolonged* cadence. Omitting the final tonic, all types of full cadences can be turned into half cadences.

Prolonged cadences can be divided into four paradigms: Paradigm zero (Example 7), Paradigm *a* (Example 8a), Paradigm *a/b* (Example 8b) and Paradigm *b* (Example 9). These arise from the unprolonged cadence as a result of the elaboration of melodic progressions of its individual voices.

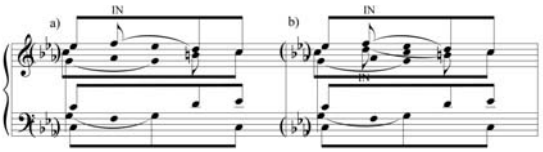
In Cadences of Paradigm zero (I–VII$_7$°/V$\frac{6-5}{4-3}$–I or I–Ger.$\frac{6}{5}$–V$\frac{6-5}{4-3}$–I, etc.), the $\hat{3}$ of the initial tonic is retained (or chromatically changed) during the pre-dominant chord. In Example 7, showing two forms of such a cadence, DP is doubled in two octaves and embellished by its lower- and upper-neighbor notes in different octaves.

In the Paradigm-*a* (Example 8a) and Paradigm-*a/b* (Example 8b) cadences, DP is also doubled in two octaves and embellished by its lower- and upper-neighbor notes. The pre-dominant chord (the subdominant triad in the case of the Paradigm-*a* cadence, V/V or some of the inversions of the ii$_7$ in the case of the Paradigm-*a/b* cadence) supports $\hat{4}$ as an incomplete upper neighbor, usually followed by the descending third-progression – Subdominant Descent (SD, $\hat{4}$–$\hat{3}$–$\hat{2}$) – having the $\hat{3}$ as a passing tone supported by the cadential six-four. In the Paradigm-*a/b* cadence, SD is usually accompanied in the "alto" voice a third below by another descending third-progression – the so-called *Leittonterzzug* ($\hat{2}$–$\hat{1}$–$\hat{7}$; see Plum 1979: 47), especially typical of the Paradigm-*b* cadence.

Example 7. Paradigm-zero cadence.



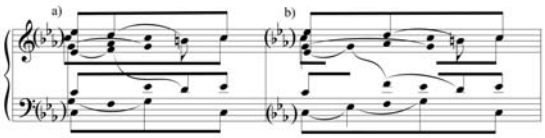
Example 8. Paradigm-*a* and -*a/b* cadences.



In the Paradigm-*b* cadence (Example 9), having V/V or some of the inversions of the ii$_7$, as the pre-dominant chord, the initial tonic may be in root position (Example 9a) or in first inversion (Example 9b). In both cases, the upper-voice $\hat{2}$ supported by the pre-dominant chord is usually followed by the *Leittonterzzug*, with the $\hat{1}$ as a passing tone supported by the cadential six-four. DP is again embellished by its lower- and upper-neighbor notes in the case of the root-position initial tonic (Example 9a), but only with its upper-neighbor note in the case of the second-inversion initial tonic (Example 9b). The *Leittonterzzug* is accompanied

in a sixth below by another descending third-progression – the SD. The $\hat{3}$ of the upper-voice MD is doubled in a lower octave and connected by the aforementioned inner-voice SD with the second tone of the TA ($\hat{1}$–$\hat{2}$–$\hat{3}$) of the "baritone" voice. In the case of the second-inversion initial tonic, the lower-octave doubling of the $\hat{3}$ is first (before the $\hat{4}$) followed by the ascending third-figure $\hat{3}$–$\hat{5}$, to avoid parallel octaves with the bass.[26]

Example 9. Paradigm-*b* cadence.



In expanded cadences, the initial tonic is prolonged by means of some specific harmonic-contrapuntal techniques. The most common among them are the evaded cadence (in which the dominant is followed by a non-structural, usually first-inversion tonic; see Schmalfeldt 1992) and the interrupted (deceptive) cadence. Their main feature is a deep-middleground MD ($\hat{3}$–$\hat{1}$) into an inner voice reaching $\hat{1}$ at the moment of the re-establishment of tonic harmony or some of its substitutes (for example, the submediant, as in Example 10b, or V/IV, as in the case of the tonicized subdominant, following the first dominant) prior to the concluding cadence.

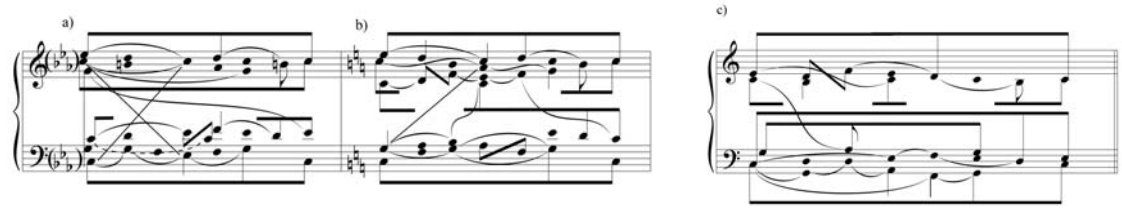
Example 10a presents the most typical form of the evaded cadence, and Example 10b – one of the forms of the interrupted cadence. In Example 10a, as it is typical of the evaded cadence, the initial MD into an inner voice is supported by a descending third-progression (or skip) in the bass ($\hat{5}$–$\hat{3}$), leading to the first-inversion initial tonic of the concluding cadence and followed by the Paradigm-*b* cadence (cf. Example 9b). In the case of the interrupted cadence (Example 10b), the initial MD is supported by an upper-neighbor figure in the bass ($\hat{5}$–$\hat{6}$–$\hat{5}$), unfolded by its lower third ($\hat{4}$) supporting the pre-dominant harmony of the concluding cadence and followed by the Paradigm-*b* cadence (cf. Example 9a).

Insertion of the supertonic chord between the dominant and submediant of the interrupted cadence in the major key gives rise to a kind of the rising circle-of-fifth progression I–V–ii–vi (which therefore can be regarded as an elaborated version of the interrupted cadence), usually followed by the subdominant, as in the case of the interrupted cadence.[27] As shown in Example 10c, also in this case, there is a MD into an inner voice, the passing $\hat{2}$ being unfolded by $\hat{4}$, from which another third-progression – SD – descends to the $\hat{2}$ of the concluding cadence, again modelled according to Paradigm *b*.

2.3. Modulating and Auxiliary Cadences

Structures lacking an opening root-position tonic have been analyzed by Schenker as "auxiliary cadences." The main feature of an auxiliary cadence is the conclusion by means of an unambiguous cadence in the main key. Therefore it is most logical to build up a VLM of an auxiliary

Example 10. Expanded cadences.



[26] For the same reason, this third figure (before the $\hat{4}$) is very typical of the upper voice of the Paradigm-*a* and Paradigm-*a/b* cadences with the first-inversion initial tonic.

[27] See, for example, Beethoven's Bagatelle in C major, Op. 33/2, bars 1–15, where the submediant has the major third.

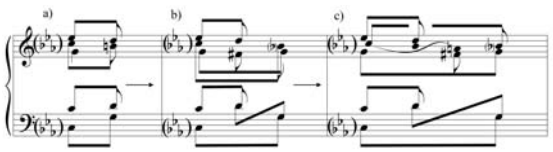
cadence on the base of its *concluding* tonality. On the other hand, in almost any classical form there are cadences ending in a subsidiary key (usually in the dominant, mediant or submediant), lacking the initial tonic of that key. As a rule, these cadences are eventually followed by the concluding cadence in the home key. Although these cadences are similar to auxiliary cadences, we shall label them as *modulating cadences*, to be analyzed on the base of the VLM of the *initial* tonality.

The modulating cadences I–V or i–v can be regarded as an elaboration of a half cadence (Example 11a), prolonged by means of V/V rather than a subdominant harmony (Example 11b; to avoid parallel fifths, the fifth A of the V/V is here omitted). When further elaborated by means of the cadential six-four (Example 11c), the lower-level third-progression TD c^2–b^1–a^1 ($\hat{1}$–$\hat{7}$–$\hat{6}$ of the home key) descends in the "alto" voice to the second tone of the DUNF, as one of the most typical features of the cadences modulating to the dominant (as well as those modulating to the submediant). In the new key, this third-progression corresponds to the SD (typical of the cadences of Paradigms *a* or *a/b*), which, however, is *not* preceded by the $\hat{3}$ of this key. Therefore, there is an *incomplete* MD – without its first tone – in the new key (as well as an incomplete DUNF in the "soprano" voice). As we will see, there is no TA in the new key, its tonic third (B) being reached by the figure $\hat{4}$–$\hat{3}$ (of the new key) in the "alto" voice.

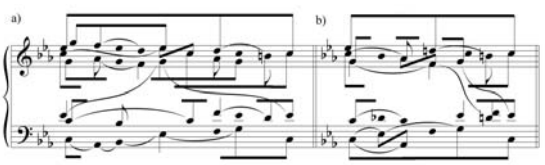
Example 12a presents a prolonged modulating cadence I–iii or i–III[28] and Example 12b – an unprolonged modulating cadence I–vi or i–VI. Both of them are followed by the concluding cadence in the home key.[29] Unlike the previous case, here the MD of the new key is *complete*, descending from $\hat{1}$ (in the "alto" voice, Example 12a) and from $\hat{5}$ (in the upper voice, Example 12b) of the home key, respectively. On the other hand, from the standpoint of the new key, the DUNF (typical of the prolonged cadences) in the former case (in the "baritone" voice), and TLNF in the latter case (in the "tenor" voice), are incomplete (without their first tone). In neither case, there is no TA in the new key, its tonic third being reached by an upper-neighbor figure (g^1–$a\flat^1$–g^1 in Example 12a and c^1–$d\flat^1$–c^1 in Example 12b).

Examples 13–16 present several auxiliary cadences. An unprolonged auxiliary cadence V–I or V–i (Example 13) consists only of the contrapuntal elements of a VLM, all of them (except for the DP) being incomplete (without their first tone). In the auxiliary cadences of Examples 14 and 15, in addition to the elements of the VLM, there are

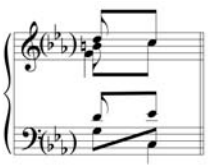
Example 11. Modulating cadence I–V (I–v).



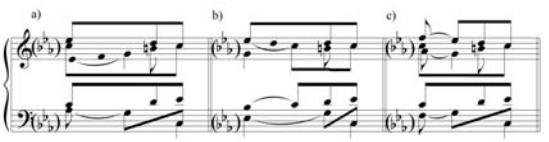
Example 12. Modulating cadences i–III and I–VI.



Example 13. Auxiliary cadence V–I (V–i).



Example 14. Auxiliary cadences vi–I (VI–i), iii–I (III–i) and IV–I (iv–i).



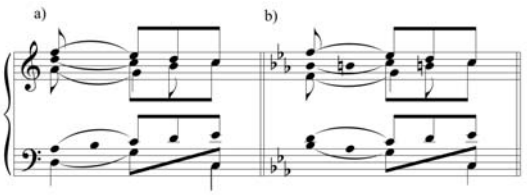
[28] In the unprolonged cadence modulating to the mediant, it is difficult to avoid parallels.

[29] In Example 12a, the modulating cadence is followed by the initial tonic of the concluding cadence, by means of the interval progression 5–6; in Example 12b, it is followed by the subdominant of the concluding cadence, its bass continuing the descending chain of thirds.

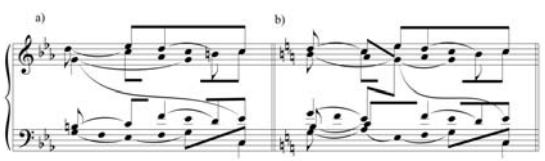
some other notes. In the cadences vi–I or VI–i (Example 14a), iii–I or III–i (Example 14b) and IV–I or iv–i (Example 14c), some of the voices of the VLM are present from the outset, the others entering not before the second chord. On the other hand, in the cadences ii–I (Example 15a) and VI–i (Example 15b), no element of the VLM is present in the first chord.

Example 16 presents two special auxiliary cadences, which can be labelled as *compound* auxiliary cadences. Both of them are further elaborations of the auxiliary cadence V–I or V–i (Example 13), by means of either the evaded (Example 16a) or interrupted cadence (Example 16b), and contain, after the solution of the initial dominant (to I_6 or vi, respectively), the full VLM (except for the bass, beginning with the $\hat{3}$, rather than $\hat{1}$). In view of the tonal hierarchy, it would be wrong to regard the chords between the two dominant of these cadences as their prolongation.[30] Actually, the unstable character of the initial dominant will be resolved by the chord that follows it and functions as the initial tonic of the concluding cadence. Therefore, these auxiliary cadences are similar to those beginning with the first-inversion tonic, with a preparatory dominant added before their first chord.

Example 15. Auxiliary cadences ii–I and VII–i.



E**xample 16.** Compound auxiliary cadences.



2.4. An Example

Example 17 presents an analysis of the second movement of Mozart's Piano Sonata in D major, K. 576. This *Adagio* in A major is written in the large ternary form *ABA* in which the unchanged recapitulation (bars 44–59) is followed by a short coda (bars 59–67, not analyzed in Example 17). The first, tonally closed part *A* (bars 1–16) is written in the small ternary (or rounded binary) form consisting of four 4-bar phrases. The non-modulating initial period (phrases a_1 and a_2, bars 1–8) is followed by a 4-bar midsection modulating to the dominant (phrase *b,* bars 9–12), and an abbreviated recapitulation (phrase a_3, bars 13–16). Also part *B* (F♯ minor, bars 17–41) is tonally closed and written in the small ternary form, its initial period (bars 17–24, 4-bar phrases c_1 and c_2) modulating to the submediant D major and confirmed by a small codetta (bars 24–26). The midsection of part *B* (phrase *d*, bars 26–33) modulates back to F♯ minor and concludes on its dominant. The repetition of phrase c_1 (bars 33–35) is followed by another non-modulating phrase c_2 (bars 36–39) and the codetta, now in F♯ minor (bars 39–41).[31] The recapitulation of part *A* is preceded by a transition modulating to the home key (bars 41–43).

Examples 17a–17g show the gradual generation of the contrapuntal structure (in the form of seven structural levels) from the VLM (level 1, Example 17a).

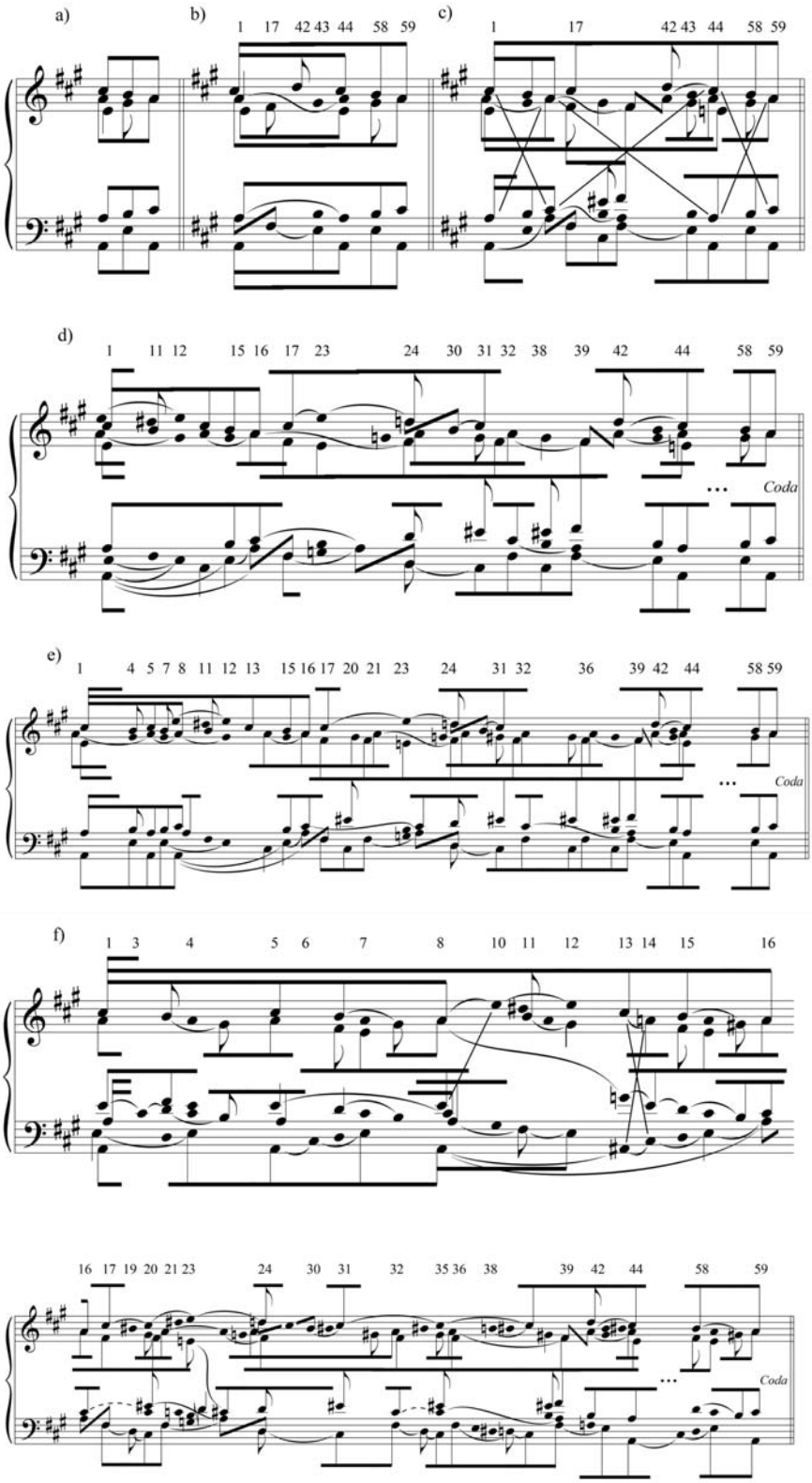
Level 2 (Example 17b) represents the large ternary form of the movement with its two main key areas. The initial tonic of the VLM is prolonged by means of the submediant (corresponding to part *B*), followed by the return to the home key (corresponding to the transition, bars 41–43).

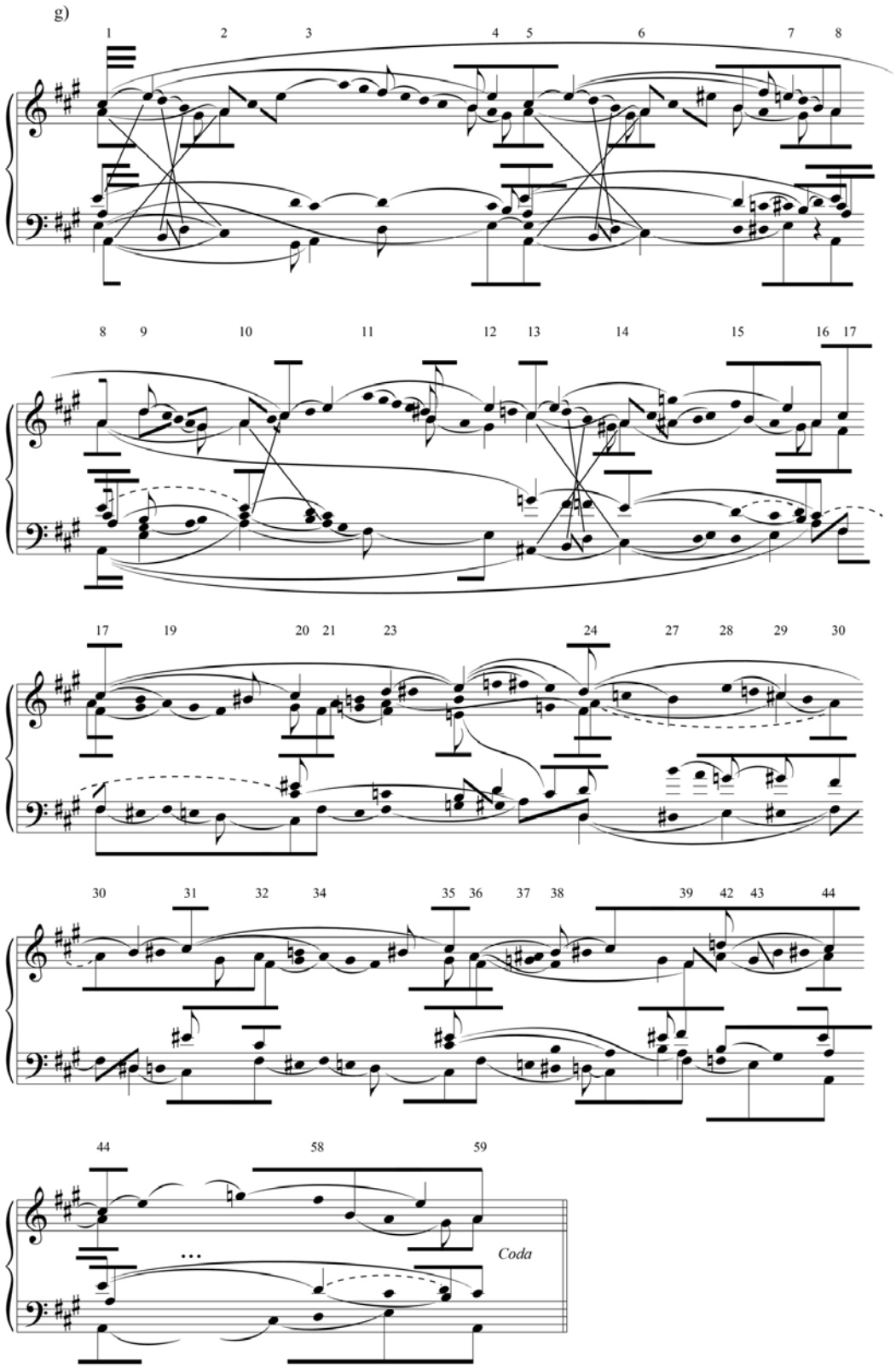
On level 3 (Example 17c), concluding cadences of parts A_1 and *B* are added in the form of unprolonged VLMs. As we see, the VLM of part *B* (in F♯ minor) is somewhat irregular, owing to the doubled tonic fifth (C♯), rather than the trebled tonic root, typical of the normal VLM (this doubling is necessary for the smooth voice-

[30] Particularly, it is hard to imagine the initial tonic (or some of its substitutes) of a cadence being part of a dominant prolongation (see also section 3.3 below).

[31] The twofold statement of the codetta (in the subordinate and main key) imparts a feature of sonata form to part *B*. By its formal structure this *Adagio* can be regarded as a possible model for the second movement of Brahms's First Piano Concerto.

Example 17. Contrapuntal analysis of Mozart, Piano Sonata in D major, K. 576, II.




g)
Coda

leading by connection of parts *A* and *B*) and the placement of the tonic fifth (as a "cover tone") in the upper voice. For that reason, the third (A) of its concluding tonic is reached only by the lower-level DD ($c\sharp^1$–b–a), rather than TA.

The interrelation of levels 4 and 5 is similar to that of levels 2 and 3. Level 4 (Example 17d) represents the tonal plan of the two small ternary forms contained in the main parts of the movement. The initial tonic of part *A* is prolonged by means of the cadence modulating to the dominant (bars 11–12). The initial tonic of part *B* (F♯ minor) is prolonged by means of the submediant (D major), followed by the return to F♯ minor.

On level 5 (Example 17e), all the cadences of phrases are included in their unprolonged form, except for two modulating cadences (F♯ minor–D major in phrase c_2 and D major–F♯ minor in phrase *d*) whose pre-dominant chords are added, to avoid parallel fifths and octaves (by means of interval progressions 5–6–5 and 8–6–8, respectively).

On level 6 (Example 17f), all the cadences of level 5 are prolonged by means of pre-dominant chords. As we see, phrases a_1, a_2 and a_3 conclude with Paradigm-*b* cadences, according to the model of Example 9a in phrase a_1 (half cadence, bars 3–4) and to that of Example 9b in phrases a_2 and a_3 (bars 6–8 and 14–16). The non-modulating cadences of part *B* (in phrases c_1 and c_3) represent Paradigm zero, with the German sixth as the pre-dominant chord (half cadences in bars 19–20 and 34–35, as well as the full cadence in bars 38–39).

All the three typical modulations discussed earlier (to the dominant, mediant and submediant) are represented in this movement. Phrase *b* (bars 9–12) modulates to the dominant, ending, however, without a normal cadence, the dominant seventh chord being in the second inversion. Therefore the typical TD ($\hat{8}$–$\hat{7}$–$\hat{6}$ of the main key, bars 10–11) sounds in bass, rather than an inner voice. (As frequently in the cadences modulating to the dominant, the TLNF e^2–$d\sharp^2$–e^2 is transferred to the upper voice.) Phrase c_2 (bars 21–24) concludes with a modulating cadence i–VI (F♯ minor–D major). Unlike Example 12b, here the TD is divided between two voices (the second $f\sharp^1$–e^1, $\hat{1}$–$\hat{7}$ of the F♯ minor sounds in an inner voice as part of the lower-neighbor figure $f\sharp^1$–e^1– $f\sharp^1$, the second e^2–d^2, $\hat{7}$–$\hat{6}$ of the F♯ minor – in the upper voice, as part of the large-scale upper-neighbor figure d^2–e^2–d^2). The transition consists of an elided modulating imperfect cadence i–III (F♯ minor–A major, bars 39–44), with the MD and TA registrally exchanged, the former being in an inner voice and the latter in the upper voice; this gives rise to a large-scale voice-exchange between bars 8 and 44 (see Example 17c). Phrase c_3 (bars 36–39), modulating back from D major to F♯ minor, concludes with the modulating half cadence i–V/iii (similar to the traditional Phrygian cadence). Because of the German sixth as the pre-dominant chord, it is similar to the aforementioned cadences of Paradigm zero.

Whereas the VLM of part *B* as a whole has the aforementioned irregularities, its midsection in D major (phrase *d*) can be analyzed by means of the normal VLM with the trebled root, sounding, however, in both of the outer voices. This results in parallel octaves between bars 24 and 31, emended by the upper-voice figure d^2–$c\sharp^2$–b^1–$c\sharp^2$.[32]

An idiosyncratic feature of this *Adagio* (shown in Examples 17f and 17g) is the beginning of phrase a_3 (bars 13–16) with the VII_7°/ii, rather than the tonic chord. The bass a♯ of this chord is analyzed as the chromatic passing tone between the tonic root, prolonged on a deeper level across the midsection (bars 9–12), and $\hat{2}$ (the latter being itself a passing tone in the TA $\hat{1}$–$\hat{2}$–$\hat{3}$).

Example 17g shows the foreground level 7, with many voice-leading details characterizing, in each phrase, the prolongation of its tonic prior to the cadence and including many low-level voice-exchanges (bars 1–2, 5–6, 9–11, 13–14, 42–43), as well as chromatic passing tones (bars 5–7: e^2–$e\sharp^2$–$f\sharp^2$ and d–d♯–e; bars 13–14: $f\sharp^1$–$f\natural^1$–e^1 and a^1–$a\sharp^1$–b^1; bars 24–30: d–d♯–e–e♯–f♯, bars 36–38: a^1–$a\sharp^1$–b^1–$b\sharp^1$–$c\sharp^2$ and e–d♯–d♮; bars 39–43: f♯–f♮–e and b^1–$b\sharp^1$–$c\sharp^2$).

One of the most prominent features of these prolongations is the DP transferred to the upper voice in all the phrases of part *A*. In phrases a_1, a_2 and *b*, it is embellished by its upper- or lower-neighbor tones, in phrase a_3 – by ascending and descending thirds (e^2–g^2–$f\sharp^2$–e^2, bars 13–15).

[32] Ernst Oster has shown that this upper-voice line is a vastly enlarged version of the turn-figure from bar 1 of this movement (Oster 1977: 57–58).

3. Related Topics

In 1993, Allan Keiler characterized the situation in Schenkerian research as follows:

> Within any research paradigm [...], normal progress is usually reflected in a series of stages of advancement and replacement, in which certain principles are overturned and replaced, others are retained and elaborated. After a number of such stages, older insights and methods may hardly be recognizable in their original form. A paradigm that is "alive and well" is thus one in which the original intent, and the questions posed at the outset, are mostly still in force, yet the formal and substantive content, even concepts and notation, continue to change as progress is made. I do not think that the present Schenkerian research paradigm is in any way normal or for that matter healthy. [...] In the "orthodox" Schenkerian paradigm, we have instead all the signs of obsessive expansionism, coupled with fetishistic and idealizing attempts to preserve intact the work of the founder. (Keiler 1993: 1048–1049)

That the situation is somewhat similar nowadays becomes evident, for example, in the concluding sentence from David Beach's response to Olli Väisälä's review-essay of his book on Bach's partitas and suites: "What Olli Väisälä outlines is not Schenkerian analysis, but his own system based on a misinterpretation of Schenker's ideas" (Beach 2008:2 21). This is to say that traditional Schenkerian analysis is still something like religion, where results of the research are evaluated not according to their scientific truth but rather according to their correspondence or non-correspondence to its dogmas.[33]

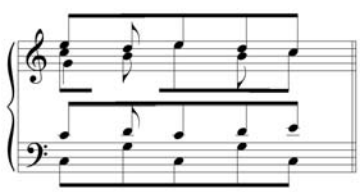
It is easy to believe in something that is logical. However, traditional Schenkerian analysis presupposes believing not only in what is logical but also in what is inconsistent and illogical. From the standpoint of the theory of harmonic counterpoint outlined above, the concept of *Urlinie* is not the only "analytical fiction" (to use Marion A. Guck's notion; see Guck 1994). We can list at least three other such topics.

3.1. Concept of Interruption

Describing the strict use of analytic notation, Steve Larson wrote: "When a linear progression [...] is interrupted at $\hat{2}$ […] the result is always an incomplete passing tone. In strict use, the incomplete passing tone is indistinguishable from a suffix incomplete neighbor note" (Larson 1996: 64).

In other words, it means that the incomplete passing tone is contrapuntally indistinguishable from the neighbor note. Then why not to call it neighbor note? What is more: in terms of counterpoint, in the case of a typical parallel period (or, for that matter, sonata form), it is complete, rather than incomplete neighbor note that concludes the first part of the interrupted structure in upper voice.[34] In view of the five-part VLM having a medial half cadence (Example 18), obviously the contrapuntal function of the "soprano" voice cannot be other than that of the "alto" which accompanies it in parallel third below (except the final note), and nobody has ever denied the function of leading tone as lower neighbor-note of the tonic (at least in an unprolonged cadence).

Example 18. VLM with the mediant half cadence.



[33] The ideological background of Schenker's writings has a distinct religious colouring. According to Eugene Narmour, "[a]s one might imagine, the *Ursatz* is to music what God is to nature. Although this statement sounds hyperbolic, Schenker actually proclaims in the foreword to *Der freie Satz* that because a work "confesses but one background cause, it is arranged monotheistically." And he believes that since all coherence is designed by God, including the *Ursatz*, and since this cause is unchanging, an art-monotheism theory is obligatory." (Narmour 1977: 36)

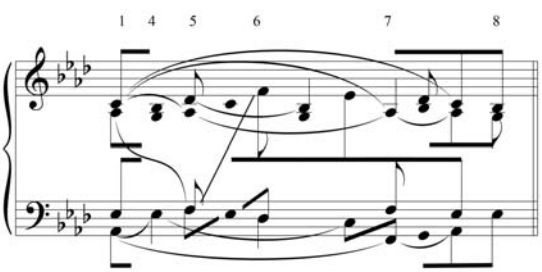
[34] In principle, almost any neighbor-note is in a sense an incomplete passing tone. However, what sense does it make to regard a complete thing as an incomplete form of another thing?

3.2. Consonant Passing Note

A short root-position tonic chord between the subdominant and the cadential dominant is regarded by the traditional Schenkerian analysis as an "apparent tonic," supporting the consonant passing note (usually $\hat{3}$ between $\hat{4}$ and $\hat{2}$ in the melody).[35] This concept is perhaps connected with the notion of the subdominant (along with other chords, except for the tonic and dominant) being a harmonic, rather than contrapuntal chord only as a "member of a progression coming from I and proceeding to V" (Salzer 1962: 15). However, being part of the prolonged, rather than unprolonged cadence, the subdominant is always essentially a contrapuntal chord prolonging the tonic: the bass $\hat{4}$, usually supporting it, is either the lower-neighbor tone of the tonic fifth (conceptually in an inner voice) or a passing tone in the third-progression $\hat{3}$–$\hat{4}$–$\hat{5}$. Therefore it is immaterial whether it is the dominant or the tonic that follows the subdominant. Example 19 presents a reading of the first eight bars of Beethoven's Piano Sonata in A♭ major, Op. 26, with the tonic prolongation up to end of bar 7.[36]

There is another kind of "apparent tonic" – the first-inversion tonic as the "variant of the cadential six-four" (Cadwallader 1992: 193–194, Example 6 – Brahms's Intermezzo Op. 76, No. 7, bar 31), also appearing between the subdominant and the cadential dominant. However, such a reading disregards the fundamental difference between the I_6 as a tonic-prolonging chord (a possible initial tonic of a cadence) and the cadential six-four as "a collection of nonharmonic tones on the arrival on the dominant" (Lester 1992: 199).

Example 19. Contrapuntal analysis of Beethoven, Sonata in A♭ major, Op. 26, I, bars 1–8.



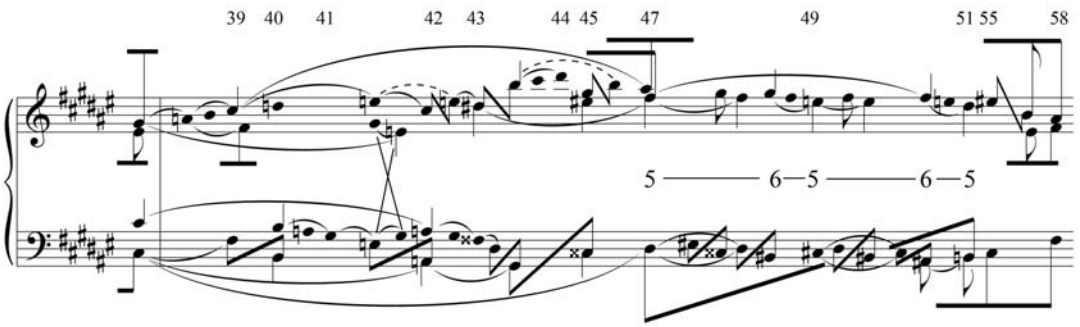
3.3. Dominant Prolongation in Midsections of the Ternary Forms

According to the traditional Schenkerian view, in midsections of the ternary forms (especially in those with the first sections modulating to the dominant, as the major-mode sonata exposition), it is the dominant harmony that is prolonged at the deep-middleground level during this section (see Laufer 1991). On the other hand, one of the basic assumptions of the theory of harmonic counterpoint might be that the tonic harmony can be prolonged by the dominant, but not the other way around (except for some foreground events). Therefore it seems to be contrary to the principles of tonal hierarchy and the dynamic nature of sonata-form development sections to regard always the dominant as being prolonged throughout this section. Some years ago, I proposed the concepts of *evaded-cadence form* and *interrupted-cadence form* for the contrapuntal structure of the *binary* dance or song forms (without recapitulation), based on its similarity to that of the aforementioned forms of the expanded cadence. In these forms, the concluding dominant of the first section (followed shortly in the second section either by the first-inversion tonic or the submendiant) is part of the prolongation of the initial tonic (see Humal 2007: 140–143). However, it seems possible to use these concepts also for analyzing the *ternary* forms (including the sonata form), regarding their midsections (prior to the deep-level dominant, preceding the recapitulation) as prolonging the tonic, rather than the dominant harmony at the deep-middleground level. This results in a multilevel hierarchy of dominants: at the highest level as the *penultima* harmony of the whole form, at the deep-middleground level as the closing chord of the development section, and at the lower middleground level as that of the exposition.

[35] See, for example, the initial themes of Mozart's piano sonatas K. 310 (third movement), K. 311 (second movement), K. 332 (2nd movement). For Schenker's view, see Drabkin 1996.

[36] As we see, here the initial tonic is elaborated in bars 4–5 by means of the specific interrupted cadence V–IV_6, and in bars 5–6 by means of the chord progression vii $^{4\,\varnothing}_{3}$–I_6, similar to that of the evaded cadence (V_2–I_6).

Example 20. Contrapuntal analysis of Beethoven, Sonata in F# major, Op. 78, I, bars 38–58.



Example 20 presents the voice-leading structure of the development section of the first movement of Beethoven's Piano Sonata in F♯ major, Op. 78. This section can be analyzed, according to the model of the interrupted-cadence form: the dominant, reached at the end of the exposition, resolves to the submediant in bar 47, followed by the large-scale bass unfolding $\hat{6}$–$\hat{4}$ (typical of the interrupted cadence, bars 47–51) and the deep-middleground dominant (bar 55).

• • •

Referring to William Rothstein's insight that "Schenkerism in America may be stuck on a fundamental contradiction between fixed ideological principles and the compromises needed for more general acceptance," David Neumeyer and Julian L. Hook claim that "so long as the *Ursatz* – the heart and soul of Schenker's ideology – remains, the specter of compromise will hover over every practitioner and pedagogue. The only solution is to reject the assumptions that gave rise to the paradox in the first place: either abandon the *Ursatz* or abandon the notion that Schenker's method constitutes a theory." (Neumeyer, Hook 1997: 219)

We chose the first option. It is doubtful, whether "[t]he costs of abandoning the *Ursatz* and of severing Schenker's analytical methods from his main theoretical tenets are enormous; they amount to giving up the first recursive theory of tonality," as Matthew Brown put it (Brown 1998: 132).[37] According to David Beach, "[t]here is common thread among all the attempts to formalize Schenker's work, namely that his ideas are inadequate as presented and thus require some modification to rid them of any ambiguities and inconsistencies" (Beach 1985: 297). Substitution of the concept of voice-leading matrix for that of *Ursatz* as the background structure and, more generally, that of the analytic theory of harmonic counterpoint for that of traditional Schenkerian analysis, can be one of these modifications.

[37] To call Schenkerian analysis a theory of tonality seems to be misleading. For example, traditional German terms for Schenkerian analysis – *Schichtenlehre* and *Stimmführungsanalyse* – do not confirm this claim. After all, tonality is rather a harmonic than contrapuntal phenomenon.

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Liinide või häälte kontrapunkt

Mart Humal

Juba päris kontrapunkti arengu algusest peale kuulub selle mõiste olemusse struktuuritasandite hierarhia. Kontrapunktiõpetuses ilmneb see üleminekul lihtsast „noot noodi vastu" kontrapunktist nn. diminueeritud kontrapunktile. Viimases kõlavad ühe hääle ühe noodi ajal teises hääles mitu erinevat nooti, millest ainult osa konsoneerivad esimese häälega. Just need konsoneerivad helid esindavad struktuuri kõrgemaid tasandeid, neile allutatud dissoneerivad helid – läbiminevad, abi- ja pidehelid – aga selle madalamaid tasandeid. Kontrapunktiline analüüs asetab struktuuritasandite hierarhiasse kõik teose struktuuri elemendid, alates madalamast, detaili tasandist kuni kõrgeima, tervikteose tasandini.

Kuigi Schenkeri analüüsimeetod sarnaneb tehniliselt kontrapunktilise analüüsiga, püüab see olla midagi enamat – (tonaalse) muusika kõikehõlmav teooria. Kuid nn. harmoonilise kontrapunkti – akordijärgnevuste üksikute häälte liikumisest moodustuva kontrapunkti – analüüsi meetodina ei ole see täiesti rahuldav. Näiteks on küsitav kahehäälne *Ursatz* süvatasandi (tagaplaani) struktuurina. Tundub võimatuna analüüsida adekvaatselt tonaalset kontrapunkti (erinevalt varasemate ajastute kontrapunktist), ilma et selle kõigile häältele oleks omistatud võrdne tähtsus.

Teatavasti jõudis Schenker meloodiastruktuuride uurimise tulemusena algul *Urlinie* (telgliini – süvatasandi meloodiahääle) ja alles hiljem bassihäält (Schenkeri järgi *Baßbrechung* – „bassimurd") sisaldava *Ursatz*'i mõisteni. Tema kolm telgliini vormi (näide 1) laskuvad astmeliselt kas ülatoonikalt, dominandilt või toonika tertsilt alatoonikale, moodustades vastavalt oktavi-, kvindi- ja tertsiliini. Kuna nende kõigi saatehääleks on kolmeheliline bassiliikumine I–V–I, tekib oktavi- ja kvindiliini puhul „tühijooks" (*Leerlauf*) – bassihääle poolt toetamata läbiminevad helid, mis loogiliselt võttes ei saa kuuluda süvatasandisse. Nähtavasti hindas Schenker *Urlinie* mõistet nii kõrgelt, et kas ignoreeris „tühijooksust" tingitud struktuuritasandite segiminekut, või siis tõlgendas kontrapunkti mõistet erinevalt klassikalisest teooriast, mis lähtub intervallidest, nende ühendamisest ja selle tulemusena tekkivaist kontrapunktihäältest.

Kuivõrd *Ursatz*'i puhul ei ole vastuoluline mitte selle ala-, vaid ülahääl – *Urlinie* kui teatud liiki liin –, võib oletada, et Schenker ei analüüsi mitte häälte, vaid liinide kontrapunkti. Tegelikult funktsioneerib *Ursatz*'i alahääl ja paljudel juhtudel ka tertsi ulatusega ülahääl ühtlasi kui kontrapunktihääl, mistõttu tema süvatasandid moodustavad sageli hääle ja liini ühenduse.

Schenkeri idee, et kõik klassikalised meistriteosed tuginevad mingile *Urlinie* või *Ursatz*'i kujule, ei lähe vastuollu mitte ainult ajaloo faktidega (mis tahes viidete puudumine neile teoreetilises kirjanduses ja „liini" mõiste kasutamine Schenkeri tähenduses alles alates 20. sajandi algusest), vaid ka elementaarse loogikaga: on raske kujutleda, et „suured meistrid" oleksid rajanud oma tonaalstruktuurid nii ebatäiuslikule kontrapunktilisele alusele, nagu seda on kvindiliiniga *Ursatz*.

Mõningaid Schenkeri põhimõisteid on sageli reastatud järgmiselt: *Naturklang – Stufe – Linie – Ursatz*. Sellest võiks järeldada, et samaaegselt „astme" (*Stufe*) ehk sisuliselt funktsionaalharmoonia tekkimisega asendus traditsiooniline häälte kontrapunkt liinide omaga. Kuid kui kujutada klassikalise muusika parameetrite subordinatsiooni kolmeastmelise püramiidina, mille aluseks on kontrapunkt, keskel harmoonia ja tipus vorm, osutub see mõttekäik vääraks. Ühelt poolt sõnastati kontrapunkti põhireeglid juba hiljemalt 15. sajandi keskel, teiselt poolt aga ei avaldanud 1600. aasta paiku, üleminekul renessansiaja modaalharmoonialt barokiajastu funktsionaalharmooniale toimunud otsustavad muutused harmoonia valdkonnas olulist mõju kontrapunktireeglitele. (Samuti toimus üleminek barokkvormidelt klassikalistele 1750. aasta paiku ilma oluliste muutusteta funktsionaalharmoonias.)

Seega näib, et liikumisel eelmainitud püramiidi madalamatelt „korrustelt" kõrgematele kaasneb pigem madalamate „korruste" elementide uudne rakendamine kui nende radikaalne ümberkujundamine.

Traditsioonilise Schenkeri analüüsi asemel tutvustab käesolev artikkel alternatiivset kontrapunktilise analüüsi meetodit – harmoonilise kontrapunkti analüütilist teooriat, kus tagaplaani ei moodusta mitte kahehäälne *Ursatz*, vaid viiehäälne häältejuhtimismaatriks.

Enamasti sisaldab kontrapunktiehituse kõrgeim tasand üksnes kogu vormi vältel prolongeeritud algustoonikat ja lõpukadentsi. Lihtsaima, nn. prolongeerimata kadentsi häältejuhtimismaatriks koosneb

kolmest akordist – algustoonikast ning lõpukadentsi *penultima* ja *ultima* akordidest (autentses kadentsis vastavalt dominant ja toonika, vt. näited 5a ja 6a, plagaalses kadentsis vastavalt subdominant ja toonika, vt. näited 5b ja 6b). Prolongeeritud kadentsides lisandub toonika ja dominandi vahel mingi subdominant- või dominandi dominantfunktsiooni akord. Näidetes 7–16 on kujutatud mitmesuguste harmooniliste struktuuride tüüpilist häältejuhtimist. Näited 7, 8 ja 9 kujutavad prolongeeritud autentse kadentsi kolme erinevat tüüpi. Kadentsid, kus nimetatud lisaakordi ajal püsib toonika terts paigal, esindavad nn. null-tüüpi (näide 7). Ülejäänud prolongeeritud kadentsid esindavad *a*- ja *b*-tüüpi (vastavalt näited 8 ja 9).[1] Näites 10 on kujutatud kolme laiendatud kadentsi – nn. välditud kadentsi (*evaded cadence*, näide 10a), katkestuskadentsi (näide 10b) ja viimasega sarnanevat tõusva kvindiringiga (I–V–II–VI) algavat kadentsi (näide 10c).[2] Näidetes 11–12 on kujutatud moduleerivaid kadentse tonaalse plaaniga I–V (näide 11), I–III (näide 12a) ja I–VI (näide 12b). Näidetes 13–16 on kujutatud erineva tonaalse plaaniga nn. abikadentse:[3] V–I (näide 13), VI–I (näide 14a), III–I (näide 14b), IV–I (näide 14c), II–I (näide 15a) ja VII–I (näide 15b). Näide 16 kujutab kahte nn. liitabikadentsi, mis ühendavad kas välditud (näide 16a) või katkestuskadentsi (näide 16b) näites 13 kujutatud abikadentsiga V–I.

Näites 17 on analüüsitud Mozarti klaverisonaadi *D*-duur (KV 576) teise osa (*Adagio A*-duur) kontrapunktilist struktuuri seitsmel eri tasandil. Osa on kirjutatud episoodiga kolmeosalises liitvormis (*ABA* + kooda), selle esimene lõik (*A*-duur) omakorda repriisiga kaheosalises lihtvormis aa_1ba_2, teine lõik (*fis*-moll) aga kolmeosalises lihtvormis cc_1dcc_2. 1. tasand (näide 17a) moodustab osa häältejuhtimismaatriksi. 2. tasand (näide 17b) kajastab osa üldstruktuuri selle kahe põhilise helistikualaga (*A*-duur ja *fis*-moll). 3. tasandil (näide 17c) on lisatud *A*- ja *B*-osa lõpukadentsid prolongeerimata häältejuhtimismaatriksite kujul. 4. tasand (näide 17d) kujutab kummagi põhiosa alalõikude (aa_1ba_2 ja cc_1dacc_2) tonaalset plaani. 5. tasandil (näide 17e) on lisatud kõikide lausete kadentsid prolongeerimata häältejuhtimismaatriksite, 6. tasandil (näide 17f) aga subdominant- või dominandi dominantakordide abil prolongeeritud kadentside kujul. 7. tasand (näide 17g) kujutab struktuuri esiplaani, kus kadentsidele on lisatud lausete algustoonikate prolongatsiooni tähistavad rohkearvulised häältejuhtimisdetailid.

Artikli viimases osas („Lähivaldkonnad") on lühidalt käsitletud mõningaid kontrapunktilise analüüsi probleeme, mida harmoonilise kontrapunkti teooria käsitleb erinevalt traditsioonilisest Schenkeri analüüsist: poolkadents ehk nn. „katkestus",[4] Schenkeri järgi nn. „näivtoonikat" sisaldav järgnevus IV–I–V (näide 19 – Beethoveni klaverisonaadi *op*. 26 esimese osa algus) ja sonaaditöötluse süvakeskplaani struktuur (näide 20 – Beethoveni klaverisonaadi *op*. 87 esimese osa töötlus).

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1 Vt. Humal 2007: 14.

2 Laiendatud kadentsidest vt. Humal 2007: 21–24.

3 Abikadentsist vt. Humal 2007: 32.

4 Vt. Humal 2001.

Hierarchical Structure in Music Theory *before* Schenker

Ildar D. Khannanov

Introduction

Heinrich Schenker's idea of multi-layered hierarchical structure of musical work has been perceived by the majority of theorists as the most important discovery of the past century. Indeed, the Foreground-Middleground-Background model added the necessary depth to the musical structure – the depth that was allegedly lacking in all previous theoretical concepts. The main proposition of this article is that there had been attempts to understand the deeper levels of musical form *before* Schenker and the results of such attempts were widely used in research, composition and pedagogy.

"It is important to mention, however, that Schenker himself has never been preoccupied with the concept of hierarchy as such. In both *Kontrapunkt* and *Der freie Satz* he begins the discussion of the Background, Middleground and Foreground structures as strategies of counterpoint as he understands it. Apparently, the idea that these three levels constitute hierarchy came to his followers later as a result of interaction between music theory and its new positivist scientific context."

American theorists, other than Schenkerian, made attempts at creating different approaches to hierarchy. The most notable of them is Lerdahl and Jackendoff 1983. However, Lerdahl and Jackendoff dedicate only one short paragraph in an article on hierarchy to their interpretation of this category:

> By hierarchy we mean an organization composed of discrete elements (or regions) related in such a way that one element may subsume or contain other elements. The elements cannot overlap; at any given hierarchical level the elements must be adjacent and the relation of subsuming or containing can continue recursively from level to level. (Lerdahl and Jackendoff 1983/1984: 231)

In this paragraph, the authors fail to explain how the hierarchy functions and what its constitutive idea is. The fact that one element may subsume another refers only to graphic representation of hierarchy. Which force distinguishes the elements (makes them discrete) and which agency differentiates the levels, remains unclear in Lerdahl and Jackendoff's paragraph. It also remains such in their further discussion of tree-like structures of meter and grouping.

Their definition of hierarchy of musical structure, therefore, remains unfinished. In general, although the term *hierarchy* is used commonly by many scientists in many fields of knowledge, its rigorous definition rarely occupies their minds: after all, it seems self-explanatory and simple. Yet, it is very important to clear this issue before attempting to analyze the large-scale organic structure, let alone before introducing a revolutionary approach to music. In a nutshell, different users of this term tend to confuse the mathematical object which may or may not represent the hierarchy – a pyramid – with the hierarchy itself. Not all pyramids are hierarchies of elements. Egyptian pyramid as a mathematical object or an architectural artwork does not *present* a hierarchy. Its building blocks are the same in its bottom as on its top. It is a single and homogeneous mathematical shape, the so-called "solid." There are no parts of specific qualities on different levels which would distinguish these levels hierarchically. The pyramid, however, may *re-present* the idea of hierarchy as related to the rule of the Pharaoh. Yet it can do it only in a form of a visual metaphor. From this statement, one can logically infer that in order for a pyramid to represent a hierarchy, the status and the relationship of its parts (building blocks) should conform to certain set of rules. Without the differentiating power of each element in the system, the hierarchy does not happen. A bunch of tennis balls, thrown together, do not form a hierarchy simply by virtue of being adjacent to each other. In order to participate in the hierarchy, the quality of each ball has to be specific to the layer it occupies.

The etymology of the word hierarchy is also a very important prerequisite for this discussion. Commonly attributed to the Eastern Orthodox tradition, to Pseudo-Dionysius the Areopagite, it explains the original interpretation of the issue at hand. The word hierarchy [Greek ἱεράρχης] is a combination of two roots (ἱερεῦς [the priest] and ἀρχή [the beginning]). The *celestial hierarchy*

according to Pseudo-Dionysius consists of the *superessential* First Prince and nine choirs of angels placed into three orders. Needless to say that only two lower choirs communicate with mortals. Contrary to the views of ancient Greeks on the essence of the higher realm – the kingdom of light, *plethora* – Dionysius insists that the higher one goes, the darker it becomes. An ultimate contradiction of Dionysius' theology is that the Paradise is not filled with light but immersed in darkness. This is, of course, a metaphor: it is dark out there because a human cannot understand God.

Following this logic, one has to assume that there are two types of hierarchy. The first type is such that *the elements of the lower level cannot move up* the ladder and cannot become the part of the higher levels without complete change of their essences. Thus, a human neither is capable of becoming God, nor he or she is able to understand Him. Another type, represented by modern political organization of various societies, is such that *the member of the lower strata is allowed to change levels* without changing his or her essential characteristics.

Schenker aspired to present a visual metaphor of the highest level of the hierarchy, the *Ursatz*. His predecessors, the theorists of the nineteenth century, were more cautious. The thought that the musical background structure may have existed in darkness and can present itself in a number of unpredictable ways had kept Riemann from proposing his version of the *Ursatz*. The main concern here is that the rules of the game, the constitution for the upper level of the hierarchy, must be principally different from the rules at work in the lower. The example of the army – the most typical case of hierarchy – is one that exists because of such rigorous distinction. The soldiers relate to each other as brothers; their function is to execute the orders of the officers. The officers relate to each other as gentlemen; their function is to control the soldiers and to convey the commands from the top to the level of soldiers. The generals are related to each other as official political figures and their function is to give the command to the officers. The Chief Commander, the Emperor, is the one who creates the main strategy. He is not related to anybody in the country on equal footing; his function is to declare the policy. He is the Sovereign. Thus, on each level of hierarchy of Type I, the rules and the functions are unique and specific to the level. The Tsar is the Tsar not because he happened to occupy the highest rank in the hierarchy, but because his education, upbringing, heritage and manners make him a Tsar. The hierarchy is built on this quality; it is constituted by the individual characteristics of the Tsar as such. Of course, a soldier or a peasant may sit, by mistake, on the throne. This will not make him Tsar, though.

It is easy to translate this discussion into musical terms. The hierarchy of musical structure must be of Type I. Namely, the rules and constitution on each level must be specific to its function and statute. Therefore, *the main objection to Schenkerian hierarchy is the fact that all three levels in his version of hierarchy are ruled by the same principle of adjacency*. Neighbor-note is a valid constitutive principle for the events which take place on the level of a quarter note. It is similar to the relationships among soldiers and functions in the lower level of hierarchy. It may be extended to the next level, the level of a phrase (not longer than several measures). However, when it is extended indefinitely, it becomes clear that its origin and way of operation are too small for the larger structure. It is similar to the situation in which an untrained soldier takes the command of the whole army.

In this article, the discussion of the hierarchical relationship between the *b* section of a smaller form and the *B* section of a large ternary form will clarify this thesis. It will also demonstrate the validity of the reasoning concerning hierarchical organization by the theorists of the 18th, 19th and early 20th centuries.

Very few contemporary scholars were attentive so far to the letter and the spirit of the "old theory." These few include David Lewin, Richard Cohn, Daniel Harrison, Serge Gut, William Caplin, Warren Darcy and James Hepokoski. Apparently, they do not present a large number, but it is enough to restore a proper view of history of music theory of the 18th and 19th centuries. Much has been done in this area; yet, there is more to be discovered, assuming that these two centuries have produced a large number of great composers, well-trained theorists, highly educated listeners, and full-time music teachers who had much to say about western tonal music which unfolded right before their eyes and ears.

Separation of Syntactic, Morphologic, Functional and Semantic Planes

Musical work is a larger and more complex category than the voice-leading paradigm suggested by Schenker. It contains not just three strata of the same material, but an endless number of planes, facets, strata, levels and layers. Emotions of the listeners, intentions of the composer, aspects of historic evolution of a piece in performing practice, heterogeneous multiplicity of forms and genres, multivalent thematic structure, interaction of harmony and meter, contrapuntal and linear effects, are indispensable components of what musical work is as a whole. A single model, such as voice-leading paradigm of the *Ursatz*, cannot fulfill the purpose of music analysis and even focusing on one stratum (such as voice leading) cannot bring the results of any significance, let alone the ambitious idea of "explaining how musical structure works as a whole." One stratum is so strongly dependent on a number of others that it never displays the characteristics of its own alone. For example, the scale-step $\hat{4}$ as such does not have any tendency, and even scale-step $\hat{7}$ in major is rather neutral. It is impossible to ascribe the voice-leading ability to these scale-steps as such. Only when placed in the context of harmonic function, these scale-steps start behaving in a certain way. Thus true hierarchy contains heterogeneous elements and a multiplicity of possible interactions. In contrast with a single explanation of Schenkerian doctrine, music theory before Schenker addressed these numerous aspects of hierarchical structure of a musical work.

The first separation had to be made between the *syntactic* and *semantic* planes. In other words, technical structural elements of composition had to be distinguished from the content and meaning of the finish product since it is assumed that the listener is interested in that finish product more than in explanations of the compositional technique. The plane of the theme and the plane of the form are the first example of such division. Composers, performers and listeners deal with motives, phrases and themes (in this sense, Schenker's suggestion to discard these categories is an untenable proposition). The motive, phrase and theme comprise the semantic plane. It serves as a liaison between musical structure *per se* and the content of musical work, whether intra-musical or extra-musical. Music always means something and cannot be reduced to "motion of sound." There are the theme of fate in Beethoven's Fifth Symphony, the theme of Lake *Swityaz* in the beginning of Chopin's Second Ballade, and the Kreisler's motive in the opening of Schumann's *Kreisleriana*: the significance of these categories is difficult to overestimate. Another plane of music is syntactic; it deals with the concatenation of segments into a continuous presentation, which is musical form. The elements on this plane are Period, Sentence, Smaller forms, Larger Forms, etc. They comprise the layer of musical signifiers. There is also the plane of functions (basic idea, contrasting idea, expositional function, etc.) and the plane of "musical speech particles" or morphological plane. The latter includes motives, phrases and themes as morphological units. Thus what we call motive, phrase and theme, belongs, in fact, to two planes simultaneously: to the plane of semantics and the plane of morphology. They do not belong to the plane of syntax, though. It is easy to imagine how this may lead to confusion, just as the definition of a word as a part of speech and the syntactic function (noun can be confused with the subject; verb – with the predicate). In contemporary Anglo-American theory, the two planes are conflated in the use of the term "phrase." In English, one can say "an antecedent phrase" meaning a part of syntactic structure of the period, or a "phrase" as a combination of motives or a part of a theme, which is either a part of morphological plane (musical "words") or semantic unit. In fact, the word "phrase" is used in English musical terminology in its colloquial meaning. Of course, one can call the fragment "and he managed to do so" a "phrase," but in a form in which it belongs "Schenker wanted to overturn the history of music theory and he managed to do so" this fragment should be called an independent clause or a sentence, and not the phrase. In German, one of the two parts of a Period form is called *Satz*, and not the *Phrase*. The *Satz* is a part of musical syntax; the *Periodenform* is thus comprised of two *Sätze*. This difference is crucial. It explains, for example, why the "antecedent phrase" of the theme of the opening movement of Mozart's Piano Sonata K. 331 reveals the same formal design as the complete theme of the first movement of Beethoven's Piano Sonata op. 2,

no 1. The former is a Period of two Sentences; the latter is one Sentence that has grown in significance to the level of a Period. In fact, German and Russian theories acknowledge an independent *Satzform* – Schoenbergian "Sentence"– as a structure, derived from the second part of the Period form. In Russian terminology the Sentence is commonly called "A Period in the form of a Sentence" or, simply, "Grand Sentence" (the latter is borrowed from Leo Bussler's textbook in forms). The problem of distinction between Period and Sentence has been discussed in Dahlhaus 2000:

> Die Schwierigkeit, daß "Satz" sowohl Ober- als auch Unter- und sogar Gegenbegriff zu "Periode" sein kann, ist eine Erbschaft, die von den musikalischen Syntaxtheorie aus der sprachlichen übernommen wurde. Als Vorder- order Nachsatz ist ein "Satz" Teil einer Periode […]. Daß Adolf Bernhard Marx von "Perioden mit aufgelöstem Nachsatz" sprach, wäre […] überhaupt nicht möglich gewesen, wenn es nicht außer dem tonalen und dem metrischen Bestimmungsmoment […] noch andere Merkmale gäbe, an denen sich eine Periode erkennen läßt […].[1]

Therefore, classical European theory was not only more sensitive to hierarchical and categorical distinction of layers and separation of planes in music, but it had a more appropriate and rigorous terminological apparatus than that of Schenker and his followers. Syntactic and semantic planes are related to each other hierarchically: syntactic plane is the product of semantic plane. A composer begins with the idea (*Grundgestalt*) of a theme and realizes it in a certain form (commonly, Period, Sentence or Smaller form).

Hierarchy in Harmony

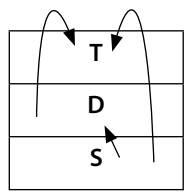
In the area of harmony, classical European music theory had to offer more than may have seemed to Schenker. Hierarchy is present in Rameau's teaching of harmony. In fact, it is its major contribution, since before Rameau, the variety of chords was not seen as a hierarchy, and Rameau suggested hierarchy of primary triads and secondary triads, as well as hierarchical dynamic of relationship of three tonal functions. Tonic occupies the highest level, Dominant is second to it, and Subdominant is the lower-priority function; both Subdominant and Dominant create tension and resolve it by "falling onto tonic" (shown on my scheme with the bend arrows); Tonic, obviously, does not resolve into the Dominant; Tonic can, however, "resolve" into the Subdominant as its Dominant, which creates the complete tonal-functional cycle (refer to Schemes 1a, 1b and 1c).

Schemes 1a, 1b, 1c. Hierarchy in harmony.

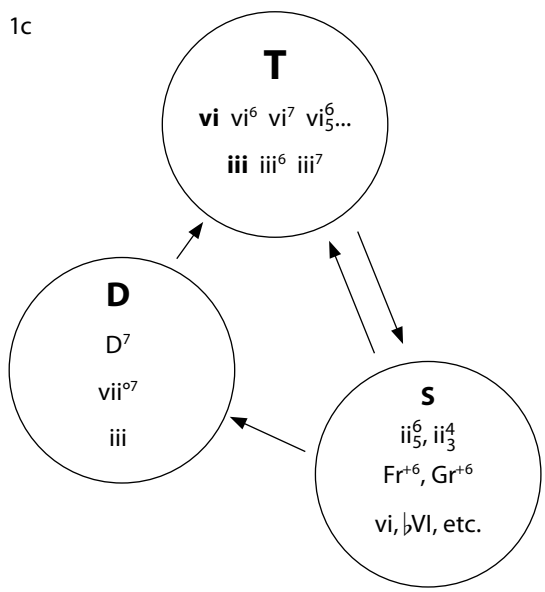
1a

S	T	D^7
ii	vi	vii^{o7}

1b



1c



[1] "The difficulty of over-, under-, or even, counter-notion of a period is that what theory of musical syntax inherited from linguistics. The sentence, as an antecedent or consequent, is a part of a period […]. That, which A. B. Marx called "a period with the absent antecedent phrase" were […] altogether impossible, if there were no distinguishing attributes […] of a Period, besides tonal and metrical ones […]." (Dahlhaus 2000: 588–589)

In fact, Schenker's critique of Rameau misses the point and, strangely enough, boomerangs at Schenker himself. A theorist, intended to create a hierarchical concept of harmony, should not have sided with *Stufenlehre*. Scale-step theory suggests that there are seven independent scale-steps and trichords without either functional differentiation or hierarchical distribution, while *Funktionstheorie* offers a selection of three which govern the rest. Which one is more hierarchical? This question has been overlooked by fervent Schenkerians, but it was a very important one for musicians in the first half of the 18th century. On hundreds of pages of Johann David Heinichen's book on *Generalbass* one can find the recommendations on how to connect one chord with another, but absolutely no answers to the question "Why?". It is absolutely clear that Rameau had salvaged the falling-apart cooking-book teachings of "*Dreyklang* connections" by offering a hierarchy of chords in which all the variety of triads, seventh chords, and their inversions (the surface) was related, for the first time in music history, to three main functions (background structure). And Schenker, despite making the critique of Rameau his major argument, had built his own system on this very principle. The idea that musical structure is the result of unfolding of a tonic triad could have not appeared without Rameau's original hierarchy of chords. Moreover, Schenker's reliance on Fux's technique of species – basically, the technique of diminution – is regrettable since it is much less adequate in relation to musical structure than the hierarchy of chords suggested by Rameau. Reduction of all means of harmonic expression to three functions coincided historically with the discoveries of French linguists of Port Royale. In both language and music, the generative structures have been discovered. It helped to better organize the language and to make music more comprehensible.

The idea of hierarchy of harmonic structure did not stop at invention of three harmonic functions. Hugo Riemann, another target of Schenker's critique, has introduced the category of "function of a larger scale." This term has been adopted by Russian theorists (*функции высшего порядка*). This means that theorists before Schenker perfectly understood the hierarchy of layers in the pitch structure of large-scale compositions. They understood the difference between the dominant triad and the dominant as a key area. Indeed, the most important distinction has been made between the level of harmonic progression and the level of the tonal plan. It has been noted, that harmonic areas (key areas) behave differently from the chords in a harmonic progression. In a tonal plan of Baroque binary form (double-reprise form), in its second half, the motion from Dominant to Subdominant is quite common, while on the level of harmonic progression it is forbidden.[2] According to Kirnberger, in a tonal plan, modulation to v in minor is more common than to V, while in local harmonic progression the minor dominant triad in place of major dominant triad is virtually unusable. These important rules have become even stricter in the 19th century. It is important to notice that classical European theory viewed hierarchy of layers of different origins, while Schenkerian hierarchy views layers as built upon a single principle. The hierarchy of harmonic progression and tonal plan suggests that their difference is both quantitative (one operates on large spans of music than another) and qualitative (one is controlled by the voice-leading and functions within the statement of a theme (sentence, period), while another presents the relationship of local tonal centers of the large segments (equivalents of speech or discourse). In fact, the major deficiency of Schenker's reductionist view is his insensitivity to heterogeneous character of musical structures. Schenker thinks that the neighbor note within a quarter beat and the relationship of the Middle Section of a Large Ternary form are based upon the same principle of adjacency. This is a common mistake which can be made also in sculpture, architecture, painting, theater and cinema. There are some large monuments (for example, Dmitry Donskoi monument in front of Moscow City

[2] With the exception, of course, of $V–IV^6–V\,^6_5$, which is, together with $I–V\,^4_3–I^6$, a true figurative effect, a real embellishment. To be precise, these small units do not present the level of harmonic progression. All three chords function as one in the context of a progression. In this area, Schenker's ideas work perfectly well, which makes us perceive Schenkerian theory as the first ever theory of musical texture. A simple statistic analysis could show, however, that in J. S. Bach's chorales, out of 100 connections of Subdominant and Tonic chords in a progression, the overwhelming majority presents S to D.

Council) which are created as miniature sculptures. At best, it produces a comic effect.

Hierarchy in Form

Even more important achievement of European classical theory has been made in the stratification of classical forms, a kind of hierarchical structure which rivals that of Schenker. Classical forms are related to each other hierarchically. Theory of musical forms – a tradition of more than 300 years – offers an area in which classical European theory has built a magnificent hierarchical structure. It also suggests simultaneous development of the ideas of hierarchy of harmonic structures, motivic-thematic hierarchy, high-low relationship of genre, and metric subordination. Toward the end of the 19th century, classical forms were gathered in a magnificent two-level hierarchical system (see the Scheme 2). This can be reduced to two representative forms on each level (see Scheme 3), or can be enlarged to more levels, rising as high as the biography of a composer, musical style, and historical period (refer to Scheme 4).[3] Here we have three main layers, three auxiliary sub-layers and two auxiliary super-layers. Theorists of the past used these words that characterize the two main hierarchical levels of form (see Scheme 5). The "old theory" provides a number of alternative hierarchical systems, such as A. B. Marx's Five Rondo Forms (see Scheme 6).

One peculiar aspect of this paradigm is that it does not differentiate between small ternary and large ternary. Marx's hierarchy is based upon building up from the generative structure of *Ruhe-Bewegung-Ruhe*. This has lead to a tradition of understanding classical form as based upon generic "rondo" principle. What is curious, however, is that both Percy Goetschius, a pioneer of American music theory, and Donald Tovey, a leading British musicologist of the turn of the 19th century, consider forms of the slow movements as "rondo," irrespectively of Marx's Five Rondos.

Scheme 2. System of classical forms.

	Symphony, Concerto, Vocal Cycle, Opera
Level of larger forms	Sonata *allegro*, Large Ternary (*Adagio*), Minuet/Trio, Sonata rondo, Overture, Aria da capo
Level of smaller forms	Rounded Binary, Small Ternary, Strophic Form, Rondo Variations
	Sentence Period

Scheme 3. System of classical forms reduced.

	Symphony	Opera
Level of larger forms	Sonata *allegro*	Large Ternary
Level of smaller forms	Rounded Binary	Small Ternary
	Sentence	Period

[3] The last three layers added by the author are, of course, hypothetical. However, it is important to notice that musical form is not a scheme; it is not identical to the letter-scheme or graph; rather, musical form is a kind of living organism which is connected to the author and the listener by the umbilical cord. Any composer will agree that musical forms and musical works are integral part of his or her style and biography. Moreover, composers do not work alone but are the part of a collective effort, which results in a stylistic period. Of course, the author would agree that inclusion of these layers is a stretch of the traditional understanding of form.

Scheme 4. System of classical forms enlarged.

Biography, Period, Style, Place	Genre-semantic levels
Symphony, Opera	
Sonata *allegro*, Large Ternary	Syntactic (formal) levels
Small Ternary	
Period	
Phrase	Semantic-morphological levels
Motive (submotive)	
A single sound	

Scheme 5. Two main hierarchical levels of form.

große	*zusammengesetzte, erweiterte*	composite, compound
kleine	*einfache*	simple

Scheme 6. Marx's Five Rondo Forms.

	Scheme	Rough equivalent
Fünfte Rondoform	HS SS^1 Sz SS^2 HS SS^1 Sz	Sonata *allegro*
Vierte Rondoform	HS SS^1 HS SS^2 HS SS^1 HS	Sonata rondo
Dritte Rondoform	HS SS^1 HS SS^2 HS	French Rondo
Zweite Rondoform	HS SS HS	Small or Large Ternary
Erste Rondoform	HS G HS	One-Part Form with ritornelle

Scheme 7. Large Termary and French rondo.

Large Ternary:	*A*	*B*	*A*
	aa' b a		*aa'* [*b a*]
French rondo:	*a b a c*		*a*

The magnificent paradigm of five rondo forms has been reduced to one form, which they call "classical rondo." It is number three in Marx's classification. Thus a monumental hierarchical system, a successful attempt to understand all classical forms as a system based upon coherent logic, has been trivialized. Marx distinguishes between higher complexity rondos (which are Sonata rondo and Sonata *allegro*) and lower level forms (One-part form, Ternary, and French Rondo). The latter were intended for lower-level genre, such as instrumental and vocal miniatures, and incidental music, including marches and waltzes, etc.

In a French Rondo, episodes are not related to each other hierarchically. Their relationship comes from the purpose of old French *Rondeau*: to tell the story, intermittently with the refrains. Narrative is linear and non-hierarchical (compare the two on Scheme 7).

An ultimate skill in analysis in the nineteenth century was the ability to distinguish the small-scale *b* section from the large-scale *B*. On the surface, five-part French Rondo and Large Ternary look alike, especially when the recapitulation of the Large Ternary is truncated. The second episode in French Rondo can take slower tempo and present more contrast with the theme than the first episode. Yet, there can be a line drawn between small-scale *b* and the *B*.

Hierarchical Relationship of Small *b* and Large *B* Sections

Classical composers normally kept the same level for all the forms of movements in a cycle. In a four-movement cycle, for example, all the movements were often written in larger forms (for example, the first – Sonata allegro, the second – Large Ternary *Adagio*, the third – either Large Ternary Minuet with Trio or Large Ternary Scherzo, Finale – Sonata rondo). In general, for the high-level genres, such as sonata cycle, symphony, string quartet, concerto, large-scale arias, larger forms of the movements are more appropriate. If the first movement of a sonata is written in a Sonata *allegro*, the second cannot be written in a smaller form because it will create a temporal disproportion. In order to maintain structural balance and hierarchical coherence, the second movement, *Adagio*, is normally written in a Large Ternary form (this is maintained by William Caplin in his *Classical Form* (see Caplin 1998). A separate and quite mysterious phenomenon is Mozartean slow Rondo, or *Andante* form. It is an exception from the rule of keeping the same level for all movements; it is lighter structurally than the Large Ternary and belongs to the rudiments of the previous styles, together with the Slow Sonata without the Development, which is, in fact, the Baroque Binary. The third movement is written in a form, similar to Large Ternary. In earlier classical sonatas, it is a Minuet with Trio, a large ternary design in which each part is written in a smaller form.

Only in a Finale of a sonata, classical composers allowed themselves to relax and choose a simpler, smaller form of French Rondo (not in all cases, though: only in sonatas lighter or more romantic in affective content). However, this reduction of complexity was dictated by the consumer, the nobility. In case of Finale of a certain type, with the affective content described as joyful, dance-like, folksy, and upbeat, classical composers used a simple Rondo. This was seen as a compromise. It could also be explained as a kind of dénouement. Indeed, in a classical tragedy (and a sonata cycle follows its outline), towards the end a simpler form of expression is preferable.

The same exigency of consistency and coherence applies to opera. In a classical opera, an Aria of a leading part cannot be written in a simple form. It is commonly written in a Large Ternary form, in its vocal version which is labeled as *Da Capo*. This is the genre within which the Large Ternary form was originated and then introduced to instrumental music. Exceptions to this rule are either comic arias (Leporello, Farlaf, both written in French rondo form) or the arias of the second level character (Zerlina, Prilepa, both are the smaller forms). In such cases, composers choose either French rondo or Small Ternary form. In the former, meaninglessly repeated refrain often creates comic effect; in the latter, a single affect is displayed in a symmetrical form of a very simple design.

Both the exposition and the recapitulation of a Large Ternary form are normally written in a smaller form, such as Small Ternary or Rounded Binary. In some examples the recapitulation is

truncated, thus making for a border-line case between the Rondo *a b a c a* and Large Ternary *A* (*a b a*) *B A* (*a*). In the middle section, in the *B* (we prefer to use upper-case letters for such parts), there are two possible designs: one is a more tight-knit Trio; another is improvisatory Episode, referring to fantasia. Thus, there are two types of small-scale *b*: "standing on the dominant" and the "sequence", and two types of large-scale *B*: Trio type (with its own smaller form) and Episode (less tight-knit, involves large-scale modulation; closely-related to development section of a sonata allegro from). In Caplin's words:

> The prominence of minor modality in an interior theme can be likened to the same modal emphasis in the development section of sonata form. Indeed, an interior theme often brings a *Sturm und Drang* affect within highly active and rhythmically continuous accompanimental patterns. Although these secondary characteristics recall a developmental core, the primary characteristics of harmony, tonality, and phrase structure make the interior theme an entirely different formal entity. (Caplin 1998: 213)

A question, raised in a recent message exchange on the SMT mailing list, is the seeming similarity between small-scale and large-scale forms. It can be especially confusing to students without appropriate training. The rigorous pedagogic tradition, which has been preserved in many contemporary sources (Caplin's book being the most significant among them), suggests that the difference is substantial:

> The full-movement *large ternary* from is used almost exclusively in slow movements. This form is employed most often by Haydn, but a number of large ternaries are found in the works of Mozart and Beethoven as well. The name of the form makes explicit its tripartite structure and suggests that it is formally analogous to the small ternary. As I shall show, however, small and large ternaries are fundamentally different forms, whose corresponding parts are comparable to one another in only the most superficial ways. […] Unlike the *B* section of a small ternary, which, with few exceptions, ends with dominant of the home key, the second part of a large ternary frequently closes with tonic harmony (though not usually of the home key). Moreover, a *B* section [a small form] often highlights dominant harmony throughout, whereas the middle part of a large ternary may bring no such dominant emphasis, except at its very end.
>
> An alternative view of formal functionality in the large ternary is suggested by Ratz, who identifies the first and third parts as a main theme and considers the second part to be a subordinate theme. (Caplin 1998: 211)

One comment to this very clear distinction between small and large ternary is that Caplin does not provide a single most important criterion: the hierarchy of the middle sections. He provides a number of secondary arguments, but does not state clearly that the small middle *b* is distinct *hierarchically* in its structure, function and status from the large *B*. He uses the term "interior theme" and it remains unclear, whether the small *b* can be labeled as such a theme. In a passage on Rondo form (chapter 15) he suggests that the interior theme comes after the first presentation of the refrain. This should have been a main distinction of Rondo from Large Ternary. Yet, later in his analyses he allows to label the small *b* as the "first interior theme," and the large *B* as the second interior theme.[4] It would be more reasonable to label the episode in a French Rondo as small *b*, or a small middle, while retaining the category of large *B* only to the forms in which it belongs.

In fact, and this has to be stated clearly and upfront, the small *b* section does not present any theme. In both its renditions, as standing on the dominant and as a sequence, the small *b* section unfolds as a circulation of motives that do not create the precedence of a new theme. Often it sounds as composer's refusal to write new music. It is empty, as there are empty places in rhetorical disposition. These a-thematic segments in speech and in music are difficult to create (a sign of an inept writer or composer is that every segment of form presents "a theme"). This is exactly the segment which, according to Arnold Schoenberg,

[4] With this option ["interior theme"], favored especially by Haydn, the rondo refrain is followed directly by an interior theme [Haydn, Piano Sonata, Hob. XVI:39, I, mm. 17–34]" (Caplin 1998: 233).

must be devoid of thematic character, or, in other words, subjected to liquidation.

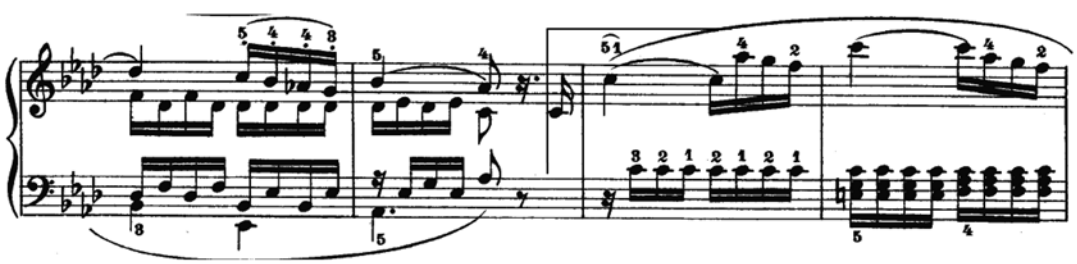
A large *B* section presents a theme. Although it must be derived from the motivic material of the primary theme its presentation, nevertheless, has to be complete. The *B* is not just a repetition of motives, but a completed *Gedanke* (thought).

L. van Beethoven's *Adagio cantabile*, Op. 13/II

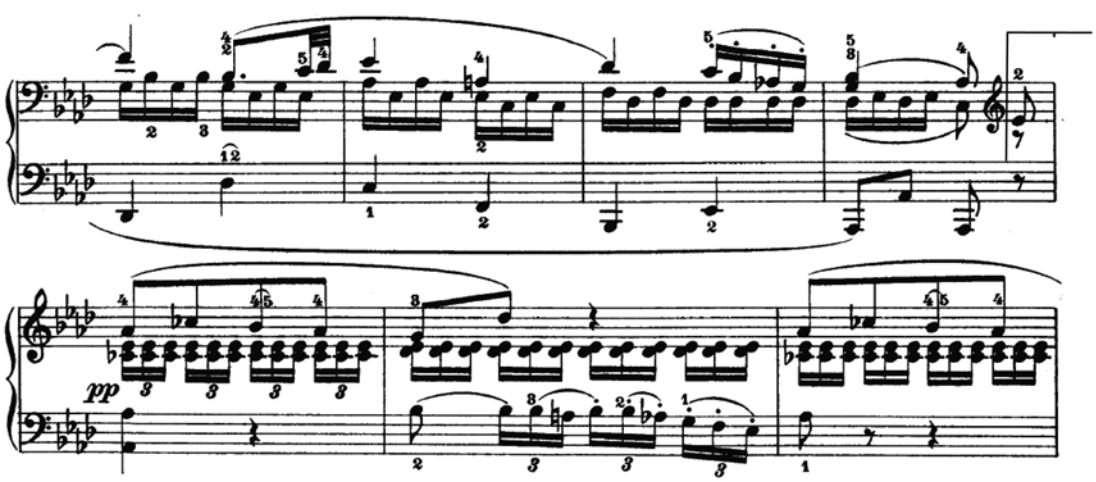
Among the most beautiful and popular compositions of the classical period one can find strange examples of border-line forms. They would have remained just that – border-line forms, undefined and uncertain – and only the application of the principle of hierarchy allows to come to a decisive definition and thus to save a masterpiece from obscurity in its interpretation. An example of such composition is the beautiful *Adagio cantabile* from Beethoven's Sonata *Pathétique*. The guideline for the distinction between French rondo and Large Ternary (two most common definitions for this *Adagio*) is the quality and the character of the second episode (if this is a rondo) or the *B* section (if this is a Large Ternary). Several strict criteria allow separating one from another although the secondary literature yields no consistent terminology for the form of the *Adagio*. Most theorists adopt a label indicating that it consists of three parts: "three-part Adagio form" (Ratz 1968: 35); "full sectional ternary" (Prout 1893, chapter 10); and "compound ternary" (Berry 1986: 68). Others classify it in the family of rondo forms (Schoenberg 1967: 190; Goetschius 1915: 94 and 281, Note 18). Goetschius provides a similar scheme for what he calls "the first rondo form": principal theme, subordinate theme, principal theme (Goetschius 1915: 94). That he (along with Schoenberg) considers the Large Ternary to belong to the "rondo" family undoubtedly

Example 1. Beethoven, Sonata Op. 13, II, mm. 15–18 (a); mm. 5–8 (b).

1a



1b



Scheme 8. Beethoven, Sonata Op. 13, II: topical analysis.

A *a b a*	*B* *c*	*A* *a*
Topic 1 (in two versions)	Topic 2	Topic 1 with the elements of 2
Singing style / Sensibility (Serene)	*Sturm und Drang*	Singing Style (*Pathétique*)
Lyrical continuous melody	Heroic replicas in c.p.	*Pathétique*
Cavatina accompaniment	*Ostinato perpetuo*	Tarantella
Hymn	Chase scene	Apotheosis

Scheme 9. Beethoven, Sonata Op. 13, II: compositional features of sections *b* and *B*.

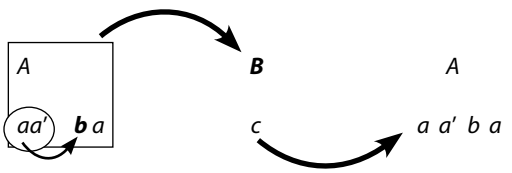
The middle (*b*) and a simple form:	The Middle Section (*B*) in a large form:
No new theme introduced	New theme
No new form introduced	It has its own form
Small-scale modulation (digression or diatonic pivot chord)	Large-scale modulation, gradual, chromatic pivot chord, dissonant pivot chord, enharmonic, or direct modulation
No new key established; as a norm, it is a dominant in major, relative in minor, or a dominant to relative key in major	Entirely new key is established, often remote; never the key of dominant or relative key in minor
Standing on the dominant or sequence	Long modulatory progressions (in episodic *B*), or a static simple form (in Trio)
No new texture	New, contrasting texture introduced. Imitative counterpoint, recitative, chorale, etc.
No metric change	Often new meter, change from simple meters to compound meters, new hypermetric divisions
Non-contrasting topics. For example, if the basic idea is "singing style," the *b* is "sensitivity."	Very strong contrast established. For example, if basic idea is "singing style," the *B* presents *"Sturm und Drang"*.

relates to the idea that this formal type brings a recurring main theme. Valentina Kholopova in her *Forms of Musical Works* mentions the *Adagio* twice. "The lyrical Rondo of Mozartean tradition has found its continuation in the slow movement of the Sonata Pathétique" (Kholopova 2001: 106). She also provided a caveat for the alternative interpretation: "The features of Rondo appear in different versions of Large Ternary form. Some forms have dual interpretations; for example, the *Adagio cantabile* from Beethoven's Sonata op. 13 can be interpreted as a Large Ternary with the truncated recapitulation *A B A* / *C*/ *A* (*a*) and also as 5-part Rondo *A* / *B* / *A* / *C* / *A*" (Kholopova 2001: 92). Still, what would be the most rigorous criterion for the distinction of these two (compare Examples 1a and 1b)?

The segment in F minor, although creating a contrast with the main theme, is not very different from the former. It is based upon the same motivic shapes as the main theme and develops in the same temporal context (retaining the same pulsation). The key relationship of A♭ major and F minor also do not suggest a drastic change. The segment in G♯ minor appears from out of nowhere and strikes as a cardinal change of all aspects, including tonality, tempo, rhythm and texture. If main theme and the small *b* section were both monologic, the large *B* section offers truly Beethovenian interpretation of counterpoint as an agitate dialogue. In all respects, this segment is much larger than normal second episode in a French rondo. It is heavier and more substantial. It is a different animal. One can liken it to the appearance of the high-ranking general at the conversation of the soldiers and officers. Or, to put it differently, the G♯-minor segment breaks the peaceful flow of the first two segments of the form and turns the development in this piece from pastoral into a tragedy. It is useful to apply here the topical analysis of Leonard Ratner (1980), in order to see the different hierarchical level of the G♯-minor segment (see Scheme 8). Here is the list of compositional features of the two segments in comparison (see Scheme 9).

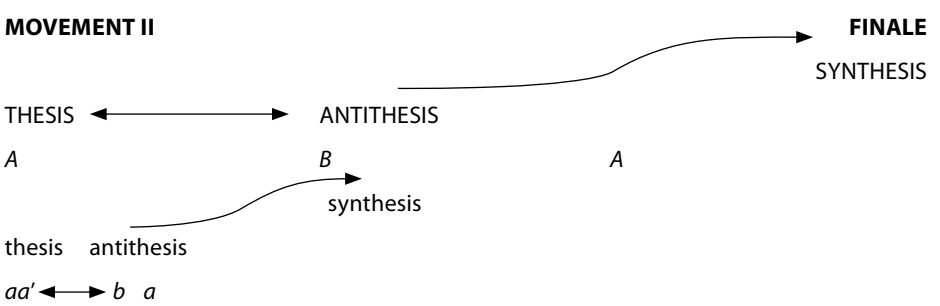
And the last argument in favor of Large Ternary as a form of this *Adagio* is the fact that by the logic of musical composition, clearly established in the Classical style, the small *b* section is related to the preceding period and to the following small-scale recapitulation, while the large *B* is related to the whole first smaller form, as seen on the Scheme 10.

Scheme 10. Beethoven, Sonata Op. 13, II: relationships of sections.



If we are to interpret the form of the *Adagio cantabile* as 5-part rondo, we have to relate the G♯-minor segment only to the refrain (small *aa*' on Scheme 10), while the character of this segment suggests that it comes in contrast not only with the opening theme, but with both the opening theme and the small *b* section in F minor. Beethoven's compositional logic can be described also in terms of Hegelian dialectics. The F-minor segment creates the initial contradiction with the main theme, its antithesis. The G♯-minor segment is the event of a higher level: it is the result of initial contradiction, the product of negation, the synthesis of both A♭-major theme and the F-minor segment (see Scheme 11).

Scheme 11. Beethoven, Sonata Op. 13, II: compositional logic.



The form does not stop there, though. It moves up the hierarchical levels. The contradiction of the large *A* and large *B* brings about the concept of the whole Movement II. Its relationship of negation with Movement I and Finale leads about the last synthesis, the sonata as a whole.

The Large-Scale Hierarchy in Pre-Schenkerian Music Theory

The theorists before Schenker knew how to operate with hierarchical structure on many levels. The ultimately large-scale issues were not addressed, though, at least, not on the scale of Schenkerian theory. Still, some very important distinctions were at work in 19th-century theory and composition (see Scheme 12).

They were much more sophisticated than Schenkerian graphic analyses. The higher level of hierarchy was not a mere reproduction of the lower level at a higher position. If the lower level of composition was described by syntax, the higher level operated with logic (see Scheme 13).

As seen on Scheme 13 in the right column, the categories of *fabula* and *intonatsia* correspond to the syntax and logic, respectively. The former are the terms discussed by Vyacheslav V. Medushevsky in his Doctoral dissertation (see Medushevsky 1981). They reflect the principles of organization on the lower and on the higher level. *Fabula* is "what the piece of music is about" and *intonatsia* is the summary of its inner meaning. If the lower level of harmony is based upon harmonic progression, following the rules of syntax and structured as *fabula*, the higher is structured around the tonal plan using the elevated, or, in Hegelian terms, ablated (*aufgehobene*) harmonic definitions, following the higher-level logic of form, and producing the *intonatsia* (the hidden, inner meaning of a piece). In comparison with all these hierarchical distinctions, Schenker's hierarchy of three layers appears to be very different (see Scheme 14).

This paradigm is strikingly different from all mentioned before. It is much more universal and abstract and is based upon a single criterion: neighbor-note relationship. In this sense, it has a much wider range of possible applications and is much closer to scientific models. Yet, it lacks sensitivity to historical detail and to specifically musical characteristics. It is a reflection of Schenker's position in the world of music and in the musical academia (as a maverick, a marginal, a radical, and an outsider) and also the reaction to cultural multiplicity and traditions of the past, so common in Germany and Austria of the 1920s and 1930s.

Even the magic word "counterpoint" cannot save Schenker's hierarchy from being anti-historical. The weak aspect of the "counterpoint" argument of Schenker is his reliance on only one concept, that of Joseph Fux. Despite being famous as "the teacher of Mozart," Fux was not a leading figure in music theory of his time. In the later decades and centuries, music teachers and conservatory professors in Europe have carefully avoided his teaching for many reasons. One, pertinent to this article, is Fux's inability to reflect on hierarchy. Indeed, his system of "five species" suffers from a confusion of levels, something that Schenker should not have tolerated. *Any hierarchy exists only if based upon clear principles of differentiation between the levels.* For example, a solder is subordinate to a general only as a part of military system of ranking. Outside the military, a solder is equal in rights with the general (as a citizen of a country). In Schenker's hierarchy, a strict criterion of neighbor-note relationship provides a solid foundation. In contrast, in Fux's concept, the first species refers to millennial concept of differentiation of intervals according to their degree of dissonantness. Since Aristoxenus, theorists begin their treatises by the description of dissonant and consonant intervals. It is necessary because their relationship produces harmony, counterpoint and form. In this case, the intervals that are dissonant require resolution. This idea permeates western music theory from its very beginning. In addition to this venerable concept, there has been an auxiliary concept of embellishment. It has always been discussed in separate chapters, in a separate context (i.e. *contrapunctus simplum* and *contrapunctus diminuto* in Zarlino). Yet, Fux places the embellishments (species 2 to 5) together with theory of intervals (species 1) and does not separate the first from the rest by any means. These are not correlative; they come from the different ballparks and should be labeled on the scheme of 5 species as such. For any neighbor note its relationship with the structural note is based on non-harmonic principle. For any structural note, its relationship

Scheme 12. Large-scale hierarchy in pre-Schenkerian music theory.

Larger Forms	Larger Modulation	Tonal Plan	Large-scale Functions	High Genre
Smaller Forms	Smaller Modulation	Chord Progression	Small-scale Functions	Low Genre

Scheme 13. Levels of composition.

Logic	Intonatsia
Syntax	Fabula

Scheme 14. Schenker's hierarchy of layers.

Ursatz			Neighbor relationship of two structural tones and one intermediate in a $\hat{3}$-line	That one replicated in a $\hat{5}$-line
Mittelgrund		Harmonic tone 1 to harmonic tone 2 as neighbor relationship		
Vordergrund	Neighbor note to harmonic tone			

with another structural note is based on harmonic principle. Although they coexist in music, they do not belong to the same category. Or, at least, the relationship of the first species to the rest has to be marked as an inter-dimensional relationship. In traditional theories of the 18th and the 19th centuries these interactions were carefully described. For example, Riemann suggested the interaction between harmonic function and meter, and between harmonic function and formal syntax. Yet, he would have never placed these two aspects of music on one hierarchical ladder without clearly identifying their distinguishing principles. Indeed, there is a correspondence between two levels of musical forms (small and large) and two types of modulation (small and large). In addition, there is another pair, low genre and high genre. They peacefully coexist and lead an analyst to some interesting, far-reaching conclusions on multiplicity of principles of music. Yet, it would be a complete confusion of the principles, *contradictio in adjecto*, to place the "high genre" above the "smaller form" in a single hierarchical paradigm as if they were the same. As for the counterpoint, it is clear, that the period of a thousand years and dozens of geographic areas, in which counterpoint had its rich history, does not allow categorizing it as a single method, let alone

using it as a single, coherent, logical argument ("diminution"). If one says "counterpoint," the clarification of its period and style has to follow.

The validity of an attempt to "marry counterpoint with harmony" remains beyond the scope of this article. It is necessary, however, to warn against carelessness in doing so. Would it be "marrying" or simply "confusing the levels" remains an open question. Fux married harmonic theory of intervals and the concept of diminution, as well as the essence of modality with the essence of tonality. He was an eclectic thinker, in comparison with whom nineteenth-century "dualists" do not look even a bit confusing.

Schenker, however, has surpassed Fux's confusion and created a solid theoretical concept based on a single principle. Fux's first species does not matter in Schenker's theory any more. It has become subordinate to the fifth, fourth, third, and the second species (in this particular order). It is not the quality of the interval (either dissonant or consonant) that defines the structure in Schenker's concept. He reversed the millennial direction of inference. For him, it is not the passing note effect that appears as the resolution of the minor seventh down a step, but the energy of passing creates the precedent of the minor seventh. It is not the seventh chord that creates the necessity of resolution, but some notes within the dominant seventh chord are related to the notes in the next chord as neighbors or passing, and therefore such thing as "the dominant seventh chord" exists. It has not been so for centuries. Major theoretical treatises focused on the qualities of the intervals and the consequences which these qualities entail for music. Schenker made the qualities of intervals and their behavior dependent on the character of non-intervallic notes. In doing so, Schenker has demonstrated significant consistency. Many of his adepts are trying nowadays to reinterpret his system as dual, or all-encompassing. In fact, it is monistic. It is based on the universality of the principle of diminution. And, as a matter of fact, any good theory should follow a single principle, as many in the following table (see Table 1).

Diminution as the Principle of Hierarchy

The hierarchy of smaller and larger forms is much more advanced and much better suited for the role in music analysis than Schenkerian neighbor-note principle. In fact, the hierarchical distance between Background and Foreground is much smaller than between the Period form and the Sonata cycle.

The hierarchy of harmonic and non-harmonic tones has always been considered inferior to the

Table 1. Levels and principles in some theoretical systems.

	Marx Rondo	Jadasson *Liedformen*	Rameau Harmony	Schenker Harmony	Fux Species	Tovey Rondo	Tovey Binary
Levels	*große*	*große*	Harmonic function	Neighbor relationship	1	rondo	
	kleine	*kleine*	Non-harmonic tones	Function of a chord	2, 3, 4	rondo	sectional or continuous
Principle	The degree of *Bewegung*	Whole/part	Priority of quality of the interval	Priority of diminution	No categorical distinction	No distinction	No hierarchy
	successful	successful	successful	successful	poor	poor	poor

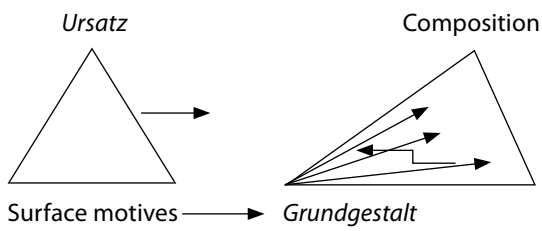
hierarchy of other compositional structures. *The principle of diminution is not and has never been the most advanced method of musical composition*. On the contrary, the history of music, from early chant period to nowadays, presents a constant struggle with the excess of embellishment. Major crises of music were associated with times when the principle of diminution took over other methods of structural development. The list includes the following historical events: Gregorian reform of the 5th century, introduction of strict rules of chant and notation in the 8th century, the struggle against melismatic organum in the 11th century, introduction of mensural notation in the 13th century, revolutionary *ars nova* principles of the late 14th century, opposition to mannerisms in madrigal tradition of the early 17th century, the fight against excessive coloratura in *bel canto*, the struggle against excessive ornamentation in Rococo and in Baroque, the fight against ad hoc harmonization in the figured bass traditions and, as a result, the invention of the principles of harmony in the 18th century, clarification of the metric structure of the Period form in the late 18th century, the fight against overwhelming notiness in the late Romantic styles, reaction to embellishment by 12-tone composers, reaction to diminution of the main structure in the avant-garde by the neo-Romantic composers. All these historical facts testify against those who tried to set forth the principle of diminution as the main structural force in music. In fact, it proved to be a pure fantasy.

Neighbor-note relationship is by nature the aspect of small-scale structure in music. It is a feature, similar to the textural effects in miniature painting that cannot be used in the context of monumental art. It is impossible to build a large-scale musical structure solely on this principle and nobody did in recorded history. Large forms require the return to the first species rules. It is an interval or a chord by itself and in itself, independently of the complications ahead, that contains the exigency to resolve into another chord in a next beat area; it is the tonal meaning of the chord or of the whole chord progression which acts as the function of the larger scale and resolves 200 measures later into another function, although they are not neighbors in principle and cannot be considered as neighbors. Not the neighboring notes, but rather the chords as such and even the progressions as a whole, create the tension that holds together large forms. Neighbor note, passing motion, diminution, do not possess such energy. On the higher levels, musical form merges with forms of language and discourse. Music absorbs more than simple pitch relationship can handle. Other aspects come into play. Exposition, Development, and Recapitulation are not simple representations of the "key areas." They are the evidence of human spirit, expressed in the power of language. For this level it is not just "appropriate" to associate music with rhetorical disposition, it is a prerequisite for any successful analysis.

Motive as the Principle of Hierarchy

Having said that there is hierarchy in pre-Schenkerian theory, I would like to immediately withdraw the thesis of a single unidirectional order of things in music. Simultaneously with the hierarchy of formal levels from Period form up to Sonata cycle, music offers an order of the opposite vector. It is the order that is controlled not by the large form, but by the smallest unit of musical meaning, the motive. Arnold Schoenberg had followed his acute artistic intuition when he suggested the term *Grundgestalt*. For him, as for generations of European composers, music began with the motive. So many passionate words were spent in description of the role and the power of motive by J.-J. Rousseau, Antoine Reicha, A. B. Marx, Hugo Riemann that it makes sense to place the motive on the top of musical hierarchy. In this case, the motive will occupy the position of the *Ursatz*. The pyramid will be tilted and placed on one side (see Scheme 15).

Scheme 15. Placement of the surface motive and *Grundgestalt* in the hierarchy.



Everything in the work will stem from this motive and there will be nothing in the score which would be unrelated, one way or another, to the initial motive.

If the hierarchy, described earlier, is syntagmatic, based on the units clearly defined in time and space and on their increase in number, the post-hierarchy presents a transcendental area in which the size and concatenation do not matter. The components of post-hierarchical structure are paradigmatic units that are not compared with each other by the syntactic dimensions. Rather, they interact on the level of ideas. Motive can absorb, as a great idea, the whole work. Moreover, the work itself is often a shadow of the motive, a necessary communicative channel that enables the listener to understand and appreciate the richness of the initial motive. Schenker did not seem to understand this specificity of music:

> § 50. Rejection of conventional terms "melody," "motive," "idea," and the like. Great composers trust their long-range vision. For this reason they do not base their compositions upon some "melody," "motive," or "idea." Rather, the content is rooted in voice-leading transformations and linear progressions whose unity allows no segmentation or names of segments. (Schenker 1979: 26–27)

And another quote:

> Every melody results from the repetition of a more or less varied basic motive. […] It cannot be within the interest of art to go forward systematically, i.e., always first presenting the very simplest usable motive in the broadest acceptable manner and only then, when all the simpler things are settled, turning to new motives or to quicker methods of development. Art is content with typical cases: it leaves the rest to kitsch and popular tunes; it passes over some steps in the process, and, seemingly abruptly, places new forms beside old ones. (Simms 1977: 115–116)

In order to hear the post-hierarchy, one must use a different method of perception: instead of visualization of hierarchy by reduction of the notes in the score, one has *to hear* the intonational relationships. The followers of Schenker have demonstrated that they are aware of this problem. Some of them have tried to save Schenkerian theory from the well-deserved critique:

> It is not necessary to embrace the extreme position toward the role of motive in music that Schenker expresses in *Free Composition*. "Motive" is a useful term, as long as one understands that, like the term "harmony," it denotes a thoroughly hierarchical aspect of tonal structures; as Schenker came to realize in the 1920's, motives unfold at all levels below the background. (Cadwallader and Pastille 1992: 135)
>
> Viewed in this light, the motivic surface of the music now begins to shimmer: multiple diminished reflections of the higher-level motives float on a plane that is supported and shaped by the very same motives acting in more determinate successions beneath the surface. (Cadwallader and Pastille 1992: 128)

The post-hierarchy in music is the evidence of its distinction from simple hierarchical orders, such as the political party, the army, the court of law (these are the common hierarchical structures which Schenker was familiar with). In music, the simple left-to-right, or top-to-bottom orders are rare and they never exist alone. So, the syntactic order, in which the low-level form of a Period is subordinate to the higher level of a Sonata *allegro*, exists together with the paradigmatic order, in which it is very possible that the level of the whole composition is subordinate to the initial motive, or *Hauptgedanke*, and the second theme is subordinate to the first, and the development section is subordinate to the exposition, and the recapitulation is subordinate to the development. This post-hierarchy goes against the regular one. For that, it can be called the "counter-hierarchy."

The paradigmatic level has its own units, separate from the syntagmatic: motive, phrase, theme, topic, sujet, dramaturgy, style, period, nationality. Although it may seem that the motive, being the *smaller* unit, should occupy the position in the bottom of hierarchy, in fact the paradigmatic order can be counted in different ways. All these units have received the generative name of *intonatsia* in Boris Asafiev's works. There is an *intonatsia* of struggle, expressed in a four-note motive. There is also the *intonatsia* of the French revolution. But it is difficult to decide, which determines which. The identity of a nation often depends on minuscule elements of music, food and clothing. A pin, or a beret, can identify

a French person as distinctly, as the complete works of Balzac. In music, smaller elements can absorb the meaning of the larger bodies of texts and, vice versa, the large spreads of discourse can be contingent upon a small, hard shape. This, of course, may change completely our approach to musical hierarchy.

• • •

In conclusion, it is important to emphasize that, despite the difficulty of this question and the long way to go until it becomes conceptually finalized, contemporary music theory *owes* the very fact of this discussion to Heinrich Schenker. It is true that his predecessors shied away from addressing the issue of hierarchical structure on the highest level by referring to it as the dark matter. Yet, Schenker's bold[5] intervention into this area of music with his "New Theories and Fantasies" has vehemently returned theorists to pondering this extremely complex phenomenon and allowed them to have a closer look at that dark kingdom of light which is the hierarchy of musical structure.

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[5] "The boldness and the very comprehensiveness of Schenker's work guarantee that he will be a controversial figure for years to come" (Forte 1959: 1).

Hierarhilised struktuurid muusikateoorias *enne* Schenkerit

Ildar Khannanov
(tõlkinud Mart Humal)

Schenkeri tõlgendus struktuuritasandite (*Schichten*) hierarhiast moodustab tänapäeva muusikateooria tuumiku. Nii tema ägedad poolehoidjad angloameerika traditsioonis kui ka need, kes on tema õpetusest vähimal määral mõjutatud, näiteks vene teoreetik Juri Holopov, on ühel meelel selles, et Schenkeri suurim saavutus oli tema käsitlus muusikateose paljutasandilisest hierarhilisest struktuurist. Kuid pole sugugi kindel, et Schenker oli esimene, kes tõi hierarhia muusikateooriasse, või et enne teda oli see mõiste tundmatu. Käesoleva kirjutise eesmärgiks on näidata, et klassikalisel Euroopa muusikateoorial oli ka enne Schenkerit sel alal palju pakkuda.

Heliteos on laialdasem kategooria kui Schenkeri häältejuhtimisparadigma. Kuulaja tunded, helilooja kavatsused, teose esituspraktika ajalooline areng, vormide heterogeenne paljusus, temaatilised struktuurid, harmoonia ja meetrumi, kontrapunkti ja lineaarsuse vastastikune mõju on heliteose kui terviku vältimatud komponendid. Üksainus mudel, nagu seda on *Ursatz*'i häältejuhtimisparadigma, ei saa täita kõiki muusikaanalüüsi ülesandeid. Vastandina Schenkeri õpetuse monistlikule tõlgendusele tegeles muusikateooria enne Schenkerit heliteose hierarhilise struktuuri paljude erinevate probleemidega.

Esiteks tuleb eristada süntaktilist ja semantilist tasandit. See tähendab, et heliteose tehnilisi struktuurielemente tuleb eristada teose kui terviku sisust ja tähendusest, sest eeldatavasti huvitab kuulajat just viimane aspekt, mitte aga kompositsioonitehnika. Esimese seda laadi eristuse moodustavad teema ja vormi tasandid. Heliloojad, interpreedid ja kuulajad opereerivad muusikas motiivide, fraaside ja teemadega, mis moodustavad ühe tasandi. Selle ülesandeks on seostada helistruktuuri kui sellist teose sisuga, olgu see siis muusikasisene või -väline. Muusikal on alati mingi tähendus; ta pole taandatav „kõlade liikumiseks". Teine tasand on süntaktiline: periood, lause, väikevormid, suurvormid jne. sisaldavad tasandit, mida semantikud nimetavad *signifier*. Tänapäeva angloameerika teoorias hägustub termini *phrase* kasutamisel nende kahe tasandi erinevus. Inglise keeles kasutatakse mõisteid *antecedent phrase* (eellause), mis moodustab osa perioodi süntaktilisest struktuurist, ja *phrase* (fraas) kui motiivide ühendus. Saksa keeles kutsutakse üht perioodi kahest osast *Satz* (lause), mitte aga *Phrase*. See erinevus on põhimõtteline. Tegelikult kasutab saksa ja vene teooria omaette mõistet *Satzform* (lausevorm), mida Schönberg nimetab inglise keeles *sentence* („suur" lause). Seega polnud klassikaline Euroopa teooria muusika eri tasandite hierarhia suhtes mitte ainult vastuvõtlikum, vaid kasutas ka otstarbekamat ja rangemat terminoloogiat kui Schenker ja tema järgijad. Süntaktiline ja semantiline tasand on teineteisega seotud hierarhiliselt: esimene on teise tulemus. Helilooja alustab teema ideest (Schönbergi *Grundgestalt*) ja realiseerib selle teatud kindlas vormis.

Ka harmoonia valdkonnas pakub Euroopa klassikaline muusikateooria rohkem, kui Schenker võis aimata. Tema kriitika Rameau aadressil ei taba tegelikult märki ja pöördub Schenkeri enda vastu. Harmoonia hierarhiliseks mõistmiseks pole kohane Schenkeri järgitav *Stufenlehre* (astmeõpetus). Viimane eeldab, et leidub seitse omaette funktsiooni, seevastu *Funktionstheorie* (funktsionaalteooria) eristab kolme põhiastet, mis valitsevad ülejäänute üle. Kumb neist on hierarhilisem? Schenkeriaanid eelistavad sellest küsimusest mööda vaadata, kuid 18. sajandi esimese poole teoreetikute jaoks oli see väga oluline. David Heinicheni raamatus generaalbassist leidub palju soovitusi selle kohta, kuidas akorde omavahel siduda, kuid pole vastust küsimusele „miks". On täiesti selge, et just Rameau teooria sisaldab akordide hierarhiat, mille puhul erinevad kolmkõlad, septakordid ja nende pöörded (pinnatasand) on esimest korda ajaloos seostatud kolme põhifunktsiooniga (süvatasand). Ja Schenker, kes igal võimalusel kritiseeris Rameau'd, rajas tegelikult oma süsteemi samale printsiibile. Idee, et muusikastruktuur on toonika kolmkõla „lahtihargnemise" (*unfolding*) tulemus, on mõeldamatu ilma Rameau akordide hierarhiata. Peale selle kajastab Schenkeri toetumine Fux'i „järkude" (*species*), oma olemuselt diminutsioonivõtete tehnikale muusikastruktuuri vähem adekvaatselt kui Rameau'st lähtuv akordide hierarhia.

Harmooniastruktuuri hierarhilisuse idee sellega veel ei piirdu. Hugo Riemann, kes on Schenkeri kriitika teiseks märklauaks, võttis kasutusele „kõrgemat liiki funktsioonide" (*functions of larger scale*)

mõiste, mille võttis üle ka vene muusikateooria (*функции высшего порядка*). Seega mõistsid teoreetikud juba enne Schenkerit suurepäraselt suurvormide helikõrgusstruktuuri tasandite hierarhiat ning erinevust dominantkolmkõla ja dominandi kui helistikuala (*key area*) vahel. Tegelikult on kõige tähtsam akordijärgnevuse ja tonaalse plaani tasandite vaheline erinevus. Täheldati, et helistikuala funktsioneerib harmooniajärgnevuses olevatest akordidest erinevalt. Näiteks toimub barokiajastu kaheosaliste tantsuvormide teises osas sageli areng dominandilt subdominandile, kuigi akordijärgnevuste tasandil on see keelatud. Tonaalses plaanis on minooris tavalisem suund minoorsesse kui mažoorsesse dominanti, samas kui akordijärgnevustes esimest peaaegu ei kasutata. On oluline märkida, et Euroopa klassikalises teoorias leidub eri päritoluga tasandite hierarhiat; seevastu Schenkeril rajaneb hierarhia ühelainsal printsiibil. Akordijärgnevuste ja tonaalse plaani hierarhia eeldab, et nende erinevus on nii kvantitatiivne kui ka kvalitatiivne. Tegelikult on Schenkeri reduktsionistliku lähenemisviisi suureks puuduseks tema muusikaliste struktuuride robustselt heterogeenne iseloom (näiteks põhinevad Schenkeri arvates veerandnoodi piires kõlav abiheli ja kolmeosalise liitvormi vaheosa ühel ja samal printsiibil).

Muusikaline vormiõpetus oma kolmesaja aasta pikkuste traditsioonidega pakub veel ühe ala, kus klassikaline Euroopa muusikateooria on loonud täiusliku hierarhilise süsteemi. Klassikalised vormid ise suhestuvad üksteisega hierarhiliselt, moodustades kaheksa eri tasandit. Esimest tasandit esindab üksikheli kui heliteose väikseim materiaalne üksus; teine tasand pakub põhiidee, kolmandal tasandil moodustuvad periood või lause (*sentence*). Neljandal tasandil paiknevad kahe- ja kolmeosalised lihtvormid, mis on omakorda materjaliks viienda tasandi suurematele vormidele (kolmeosaline liitvorm, sonaatallegro, rondosonaat ja variatsioonid). Kuuenda tasandi moodustab sonaaditsükkel. Klassikalise helilooja kogu loomingut, kus kõik suurteosed paiknevad mõtestatud arengujoonel, võib käsitada seitsmenda tasandina, ning kogu süsteemi selle kõrgeima, kaheksanda tasandina kroonib muusikaelu tervikuna, millest klassikalises stiilis on vaid üks osa heliloomingust. Schenkeri katse loobuda sellest süsteemist *Ursatz*'i kasuks on täiesti põhjendamatu. On mõistetav, et tema teooria on loodud muusikalooliselt väga ebasobival ajal, kuid see ei õigusta niisugust „raamatupõletajalikku" hoiakut. Kakskümmend üks sajandit kestnud lääne muusikateooria areng väärib teistsugust suhtumist.

Romantilistes vormides, alates Beethoveni hilisloomingust, lisandub uue kategooriana kontrast. Kontrastide tugevus, alates lihtsast vastandamisest kuni konfliktini, moodustab muusikaliste vormide täiendava pealisehituse. Elementide kontrastsuse gradatsioonil rajanev muusikalise struktuuri hierarhia iseloomustab muusikat Beethovenist kuni Šostakovitši ja Lutosławskini.

Schenkerian Analysis and Occam's Razor

L. Poundie Burstein

In his book *Contemplating Music*, Joseph Kerman famously criticized Schenkerian analysis as a positivistic enterprise (1985: 73–74). Schenkerian scholars largely have seemed hesitant to refute this accusation, perhaps betraying a reluctance to deny the notion that Schenkerian analysis has objective and experiential grounding. Some have even argued that Schenkerian analysis should rightly have an empirical basis.[1]

Indeed, it has often been suggested that Schenkerian analysis seeks to describe certain concrete elements found in compositions, demonstrating things such as the "coherence or the working-out of long-range implications […] in the masterpieces of the tonal repertory" (Schulenberg 1985: 304–5) or "the unity of [a] work and the necessity of its constituent moments" (Treitler 1989: 32), that it uncovers "connections among tones that are not readily apparent" (Cadwallader and Gagné 1998: 4), as well as the degree to which a composition may be regarded as tonal (Brown, Dempster, and Headlam 1989: 157).[2] Some have further argued that Schenkerian analyses properly should reveal structures that are perceived by listeners, and thereby "should predict how suitably qualified auditors might respond to features characteristic of tonal music" (Brown, Dempster, and Headlam 1989: 157).[3] Such attitudes promote the notion that Schenkerian analyses seek to study objective elements that are present in the pieces themselves or in the perceptions of skilled listeners, and thus which may bear empirical investigation. These attitudes also accord with the rhetoric found in many Schenkerian analyses, which typically refer to things like prolongations or hidden motivic connections as if these items actually reside within the composition itself, waiting to be brought to light by the analyst.[4]

However, it is not so clear how one can confirm that the connections described in a Schenkerian analysis do indeed inhere in the work itself, or how one can test whether the more subtle features cited by Schenkerian analyses are perceived by the average educated listener. Adding to the problems in this regard is the murky ontological status of what is examined by Schenkerian analysis. If the compositions studied were performed by digital computers in a strictly prescribed manner and for a clearly defined audience, then one might better be able to produce analytic predictions of sorts. The notated compositions examined by the typical Schenkerian analysis, however, admit a variety of possible valid realizations in performances that are intended for a variety of types of audiences, and this in turn creates severe difficulties for those who attempt to make empirically verifiable statements about subtle features that may exist in a composition or that may be heard by skilled listeners.

There is another way in which one may view the goals of Schenkerian analysis, however, one that I

[1] See, for instance, Brown 2005; and Brown, Dempster, and Headlam 1989; see also recent discussion in Debellis 2010.

[2] Published comments suggesting that Schenkerian analyses seek to describe features that inhere in composition are by no means uncommon; see for instance, the statement in Debellis 2010: 114 that "a central tenet of [Schenkerian] theory is that a piece *has* a structure of a certain kind" (emphasis added). More often, however, authors tend to state the aims of Schenkerian analysis in a more elliptical fashion. For instance, it is common to find claims that the Schenkerian method is a theory of tonal unity and coherence, without clear specification whether the coherence and unity involved is to be regarded as a feature of the music itself or simply a proposed possible way in which one may experience the music; see, for instance, Salzer 1962: xv; see also discussion of "descriptive" and "suggestive" theories in Temperley 1999 and discussion below.

[3] See also Walton 1993: 39, which states that analyses are "…specifications of what we hear. The possibility is open that even the Schenkerian deep structure of a piece, or the fact that the foreground and middleground are elaborations of the deep structure, is in fact an unacknowledged part of the content of musical experiences"; see also critique in Keiler 1978.

[4] As Steven Rings notes, Schenkerian analyses tend to be "of the 'theory of the piece,' or immanent, variety […]. Such an immanent perspective is evident in familiar locutions in Schenkerian discourse, such as 'The work is a $\hat{3}$-line'" (Rings 2011: 36).

feel more accurately reflects its finest applications. According to this alternate view, Schenkerian analysis is essentially a hermeneutic process, one that seeks to propose persuasive and effective ways of how a composition *may* be heard. As such, the Schenkerian method functions as what David Temperley refers to as a "suggestive" theory rather than a "descriptive" theory; that is, it suggests what the analyst believes is a plausible and rewarding manner of perceiving a given composition (Temperley 1999).[5] For those who can "hear" the work in a manner proposed by a Schenkerian reading (that is, for those who can perceive a direct analogy between the analytic model and the piece at hand) and who find this proposed hearing to be a gratifying one, the analysis will prove successful.

Consider Schenker's reading of the theme of the finale to Beethoven's Sonata for Piano in D Minor, Op. 31, No. 2 (Example 1).[6] In citing an analysis by Schenker himself, incidentally, I do not mean to suggest that Schenkerian analysis must conform to Schenker's own analytic readings.[7] What is called "Schenkerian analysis" represents a general approach that grew out of Schenker's methods and concepts, and that since his time has developed and evolved through a series of clarifications, misreadings, modifications, and extensions. The reason I cite this particular analysis by Schenker is because I feel that it is an especially fine example of Schenkerian interpretation, and that whether one agrees with the interpretation put forth here, it exhibits elements that are worthy of emulation.

As shown in Example 1b, Schenker reads this passage as embraced by an *Ursatz* replica in which a *Zug* from F to D in the upper voice is supported by the *Stufenkreise* I–IV–V–I in D minor. Note that Schenker interprets the dominant-to-tonic succession in bars 11–12 as couched within a larger motion from IV to V. Also note that the Roman numeral V is placed under the bass-note D in the hypermetrically weak bar 12, not under the bass-note A in bar 13.

Does this analysis by Schenker reflect how most skilled musicians hear this excerpt? My own experience suggests not. I have discussed this passage in various undergraduate classes, graduate classes, doctoral seminars, and workshops with students, professors, scholars, and performers from around the world, and through this informal empirical survey I have found that almost nobody comes up with a reading similar to what Schenker has proposed. This suggests that Schenker's reading does *not* predict how the typical qualified auditor perceives this excerpt – unless one relies on a tautology by arguing that anybody who reads it differently than Schenker is therefore to be regarded as unqualified (a stance admittedly that Schenker himself probably would have taken).

I have found that the reading most people adopt (at least before seeing Schenker's reading) is more like what is shown in Example 2. With this alternate reading, the tonic harmony is prolonged from bars 1–12. Accordingly, the IV chord of bar 9 does not connect to the V of bar 13. Since this alternate analysis avoids having a tonic couched within a larger progression from IV to V, it thereby arguably presents a simpler, more direct reading than was offered by Schenker. As such, if one's goal in analysis is to demonstrate the tonal coherence and unity of a passage, or how this passage might be organically generated, then by applying Occam's razor this alternate analysis would have to be regarded as more successful than the one put forth by Schenker. After all, it explains the passage's tonal coherence and unity in a plausible manner that is at least as consistent as in Schenker's reading, but it does so in a simpler and more direct fashion. And if the goal of the analysis is to demonstrate how qualified listeners perceive the work, then the reasons mentioned above likewise would support the reading presented in Example 2 as the better one.

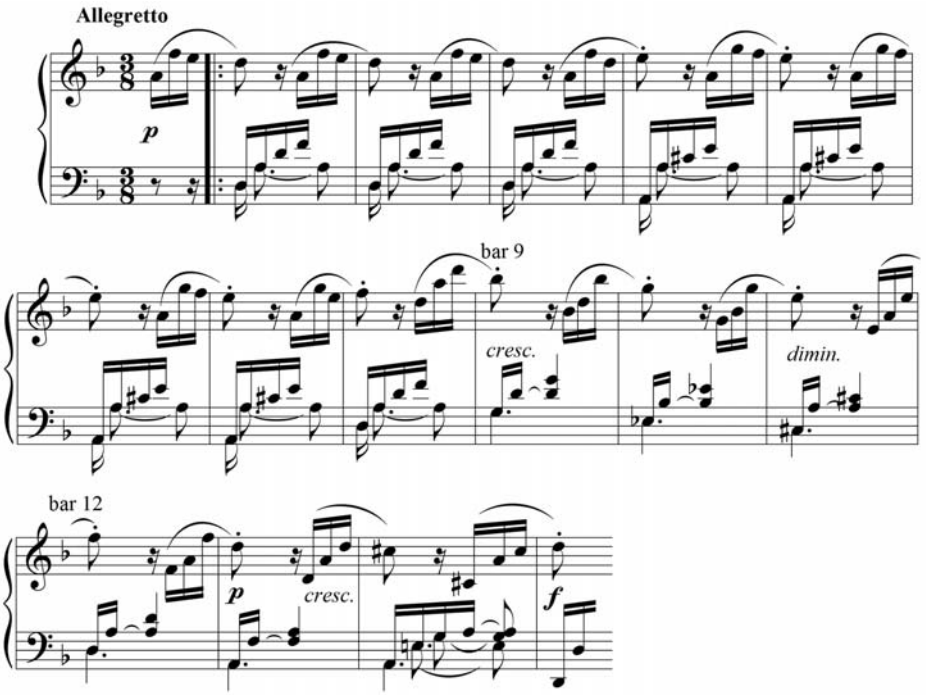
To be sure, there are various melodic, formal, dynamic, and textural nuances that are concretely found in the score itself that could be cited

[5] This roughly corresponds to what Debellis (2002: 119) describes as a "view of musical analysis [that] finds its value not in explanation but in its cultivation of an enriched mode of hearing on the listener's part, where the listener hears the music in a new way, or becomes aware of new relationships to hear in it."

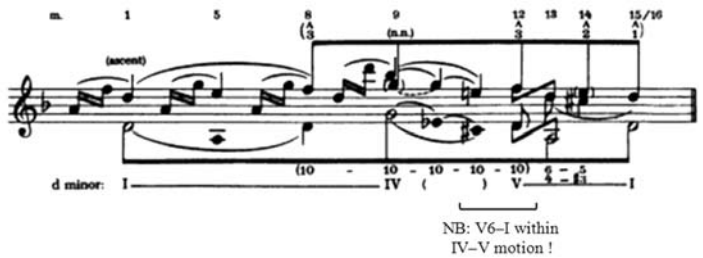
[6] Schenker's analysis is from Schenker 1979, Figure 104.1. I discuss this analysis at length in Burstein 2009.

[7] In this sense, the term "Schenkerian analysis" is an unfortunate one, since it wrongly might suggest that such analyses necessarily reflect Schenker's own views. Schenker himself likely would have frowned upon this term: he tended to view his theory not as one possible method for understanding music, but rather as the only appropriate method.

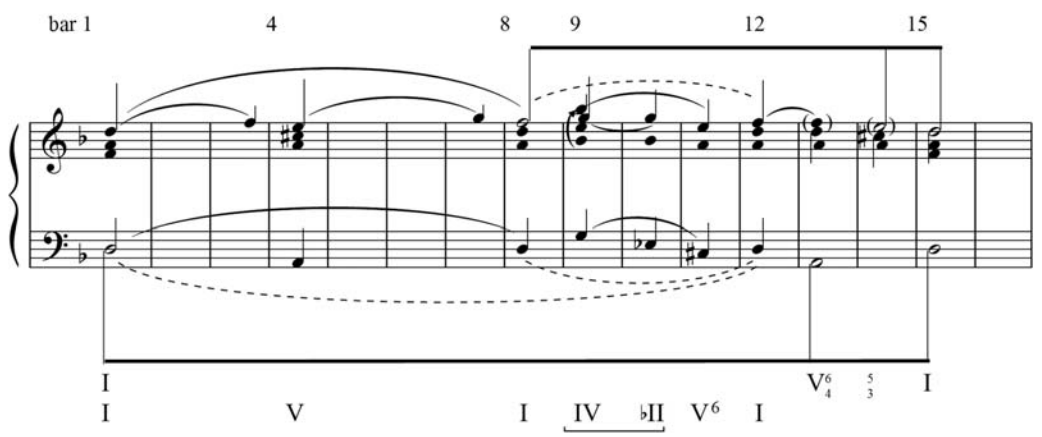
Example 1a. Beethoven, Sonata in D Minor, Op. 31, No. 2, III, mm. 1–15.



Example 1b. Beethoven, Sonata in D Minor, Op. 31, No. 2, III, mm. 1–16. Analysis from Schenker 1979, Fig. 104.1.



Example 2. Proposed alternate analysis of the passage from Example 1b.



in support of Schenker's interpretation.[8] For instance, the IV chord of bar 9 that is highlighted in his analysis is underlined by its appearance at the start of both a hypermetric group and a sentential continuation segment. The sudden shift in register and figuration helps further emphasize this subdominant chord, as does the crescendo indication at this point and the striking introduction of the "finger pedaling" that starts in bar 9. The dominant harmony of bar 13, which Schenker reads as connected to the subdominant of bar 9, likewise is emphasized through various means, including its appearance at the start of a hypermetric group and the unusual dynamic indications, which – in direct contrast to normal practice – call for a crescendo as the cadential six-four of bar 13 resolves into the V of bar 14. On the other hand, the tonic harmony of bar 12, which Schenker underplays in his reading, arrives toward the tail end of a diminuendo.

But are these details persuasive enough to argue against the more standard reading, as depicted in Example 2, in which a tonic is understood as a goal of a IV–V^6–I progression in bars 9–12? After all, concrete features of the score could be cited in support this alternate reading as well. For instance, one could argue that the tonic of bar 12 is reinforced by its appearance at the *end* of a hypermetric group and a formal-melodic-textural unit, and that the diminuendo into the tonic of bar 12 underlines the large sense of resolution at this point.

The analyses in Examples 1 and 2 both conform to the standard Schenkerian model. That is, they both read the passage according to a model in which the melody moves in decorated line down toward the tonic, as the supporting harmonies move from tonic to dominant and back. But this in itself is rather trivial, since the same could be said for most any tonal passage. That a passage can be described in relation to such a model does not demonstrate that it is tonally unified: after all, it is only after one has already decided that a passage is unified tonally that this model is invoked to begin with.

The different readings of Examples 1b and 2 do suggest slightly different realizations in performance, however. Schenker's interpretation of Example 1b encourages the performer to emphasize a connection between bars 9 and 13, perhaps by highlighting Beethoven's unusual dynamic indications and bringing out the striking finger pedaling in these measures, as well as by rhythmically moving past the V^6–I motion of bars 11–12. The alternate reading of Example 2, on the other hand, might encourage a subtle underlining of the return to tonic harmony in bar 12 by slight adjustments of the rhythm and tone color.

The nuances of performance described in the previous paragraph certainly may each be found in reasonable renditions of this excerpt. This calls into question whether it is possible to arrive at a definitive interpretation of the passage as printed on the page. If the score itself allows for more than one viable performance interpretation, would this not suggest that more than one analytic interpretation might be possible as well?

In the end, which of these analyses one prefers directly relates to how one feels the theme should be performed. It frequently is claimed that a good analytic interpretation may dictate how a passage should be played. Not coincidentally, this claim often is made by music analysis instructors. But in many cases, it could be contended just as readily that a good performance interpretation should dictate how a passage should be analyzed. That is, instead of saying, "I analyze the piece like this, so that's how it should be played," it might be more accurate to state, "I would like it if the piece were performed like this, so that's how I will analyze it."

Granted, Schenker himself would not have regarded his analysis as merely one of several possible interpretations. In the manner of an old-school piano teacher (which, after all, he was) Schenker generally seemed to regard his interpretations of how to perform and analyze a composition as the *only* correct ones. Most musicians today take a more flexible viewpoint and are more tolerant in this regard.

Toleration of alternate interpretations does not mean that one must regard all well-wrought performances or analyses as equally good, however. Specific analyses – like specific performances – might strike us either as contrived or convincing, or as routine or inspiring. One always reserves the right to argue passionately in defense

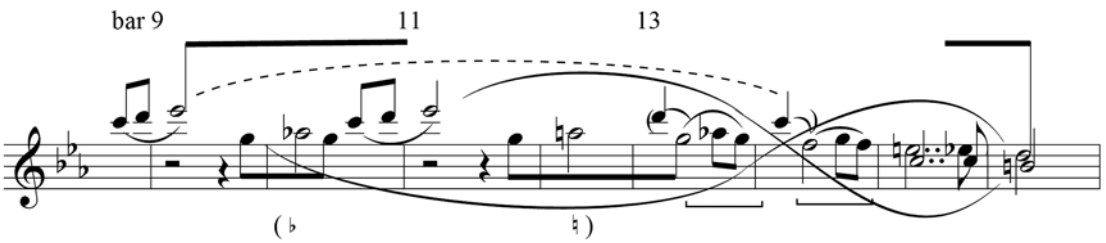
[8] Naturally, that analytic interpretations are shaped by empirically observable elements does not indicate that the organic connections proposed by the analysis are empirically observable.

of one analytic interpretation or another, much like one can argue in defense of one performance interpretation or the other. As with performance interpretations, various concrete elements of the score may be cited in support of one's preferred analytic reading, as may various logical, stylistic, or historical features. On the other hand, an analytic reading that is contradicted by concrete features of the score or that is not logically wrought would unlikely convince, any more than would a performance filled with wrong notes or in which the choices seem haphazard. But which reading one prefers ultimately comes down to personal opinion. I myself find Schenker's interpretation in Example 1b to be most satisfactory – not because it demonstrates features that are objectively or intersubjectively present in the passage, but rather because I believe that it encourages a plausible yet stimulating and exciting way of perceiving and performing this passage.

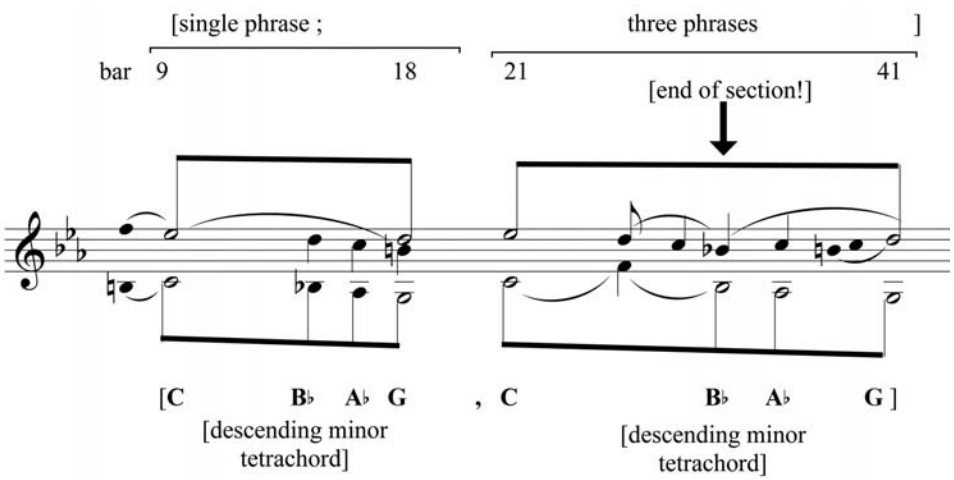
As one more set of examples, let us consider a few details – both large and small – from Schenker's celebrated analysis of Chopin's Etude in C Minor, Op. 10, No. 12 (Schenker 1932: 47–51; see also Schenker 1979, Fig. 12). Here, too, the analysis does not demonstrate the coherence of the composition, or at least it does not do so in an efficient manner. Nor does it demonstrate how most good musicians hear the work. It does, however, propose an arguably compelling manner of interpreting the piece.

In the excerpt of Example 3a, Schenker's use of beams and brackets suggests the presence of a recurring neighbor-tone motive. Recognizing the presence of this proposed motivic connection can bring out certain potential expressive possibilities of the passage. As this reading suggests, in bars 9–10 the A♭ of a neighbor figure pulls down to G, in the manner of a sigh. It seems as if this figure starts to repeat in the next bars, with the same rhythm

Example 3a. Chopin, Etude in C Minor, Op. 10, No. 12, mm. 9–18: analysis after Schenker 1969: [1932] 57.



Example 3b. Chopin, Etude in C Minor, Op. 10, No. 12, mm. 1–41: analysis after Schenker 1969: [1932] 54.



as before, but now the A♭ is replaced by the more "hopeful" A♮, on which the melody briefly dwells. This A♮ hints that the melody might now lead upwards. This is not to be, however, for (at least according to Schenker's reading) the A♮, too, turns out to form part of a neighbor motive, as though it cannot escape from the pull of the sigh figure – at least not yet. It is only within the consequent phrase (of bars 21–28) that the A♮ is able to break away, so to speak, to lead to a grand ascent.

Awareness of the parallelisms between the obvious neighbor figure of bars 9–10 and the less obvious one of bars 11–13 helps highlight this dramatic twist. Nevertheless, this analysis does not demonstrate that any significant motivic connection is objectively present here; it merely proposes that one may fruitfully understand the passage as containing such a connection. Although there are concrete pitch and rhythmic elements that permit such an interpretation, that there is a connection between these elements is not a concrete fact. The segments that Schenker highlights do share a basic melodic and contrapuntal profile. But almost any two musical excerpts can be shown to have something in common. Showing that two things are in certain ways similar to one another does not necessarily indicate that the similarity is meaningful – although, for the reasons just mentioned, I do find the similarity that Schenker points out here to be evocative.

Indeed, I find Schenker's reading so convincing that I wonder whether I was aware of it even before becoming acquainted with his analysis. That is, might I have been subliminally aware of the motivic connection highlighted in Example 3a even before first seeing Schenker's reading? Maybe yes, maybe no. Perhaps one reason I enjoyed this piece so much when I initially heard it was that I subconsciously perceived this motivic connection, even if it was only after seeing Schenker's analysis that I was able to articulate my reactions. Or perhaps I was completely unaware of this motivic connection, consciously or otherwise, but nevertheless liked the composition for other reasons. But what would it matter? It remains that having now seen Schenker's analysis, I find the motivic connection that he cites to be a compelling one, and this would be true whether I or anybody else previously noticed this motive, either consciously or subconsciously. Unless one can provide experimental documentation, it seems fraudulent to argue that one's own analytic interpretation is something that others are actually hearing subliminally.

This is not to deny that for a simple situation such as this (or the one shown below in Example 4) someone could construct a cognitive experiment to test whether most people would hear such a pattern. But this is not what Schenker has done, nor is it what most Schenkerian analysts do. Furthermore, considering the multitudinous variables involved, I question whether such cognitive experiments would show that many of Schenker's more complex readings reflect responses of average listeners, even among those who are skilled musicians.

This is especially true so when the analyses deal with deeper-level features. Consider the reading shown in Example 3b. According to this analysis, the bass twice outlines a descending tetrachord leading from C to G, first in bars 9–18, and then in bars 21–41. This reading in essence claims that the bass line of these passages can be regarded as sounding similar to what a simple descending minor tetrachord sounds like. Concerning bars 9–18, this metaphor is straightforward: that is, I assume that most people would agree that the bass line of this phrase sounds like a descending minor tetrachord. It is not so easy to hear bars 21–41 in relation to such a model, however.[9] The passage of bars 1–41 extends for about a quarter of the entire composition, cutting across two sections and three phrases. I doubt whether many could rightly claim that – before becoming acquainted with Schenker's analysis – they were able to perceive (either consciously or subconsciously) that the bass line of these measures sounds analogous to a descending tetrachord.

Nevertheless, if after seeing Schenker's analysis someone can perceive an analogy between Chopin's composition and Schenker's model, and if the perception of this analogy is found to be an enriching one, then for that person Schenker's analysis can be regarded as successful. One perhaps might try to persuade those who are

[9] Indeed, this aspect of Schenker's analysis of this etude has been the target of criticism by various scholars; see, for instance, Smith 1996: 191–297 (especially 214–5); Phipps 1983: 543–69; and Humal 2008: 105–6.

unconvinced that hearing such a connection is worthwhile, or try to explain concrete features of the music that might allow someone to hear this connection. Yet when confronting people who insist that they cannot hear this proposed expanded motive, it will do no good to argue that they perceive it subliminally, but are simply in denial. Nor is it reasonable to claim that the descending tetrachord is *actually* a feature of the music, whether anybody can perceive it or not.

This is particularly important to remember when considering the value of long-range analytic voice-leading interpretations. In a well-known experiment, Nicholas Cook sought to examine if the presence or lack of long-range musical closure affected listeners' evaluations of selected pieces.[10] The results of this study suggest that most listeners do not perceive tonal closure in selections that last longer than about a minute.[11]

Some have claimed that the results of Cook's experiment have a bearing on Schenkerian analysis.[12] It should be noted, however, that the popular association of large structures with Schenkerian analysis is an exaggeration. Schenkerian analysis tends to put no more emphasis on large structures than do many other popular methods of tonal analysis. Many other analytic systems evoke structures that are as large as or larger than ones discussed by the typical Schenkerian analysis. For instance, many non-Schenkerian analytic approaches propose huge tonal plans that embrace multi-movement compositions or even entire operas. In contrast, a typical Schenkerian analysis discusses a single movement or a passage within a single movement, and most of Schenker's own published analyses focus on works or passages that last not much more than a minute at most. What distinguishes Schenkerian analysis from many other approaches is not so much its examination of large tonal spans, but rather the way in which its models allow for a convincing representation of the interaction between varying levels of tonal motion. He was continually engaged with a concern for a balance of the entirety of a work with its details, and above all the interrelationship between these two.

Sensitivity to the surface of the music is vital to appreciating the deep-level features that may be cited in a Schenkerian analysis. People who are attuned to the various elements of the musical surface – including thematic repetitions, conventional rhetorical devices, and textural features – in turn can train themselves to perceive large tonal frameworks such as may be proposed by a good Schenkerian reading. For instance, in eighteenth-century orchestral music especially, orchestrational clues play a crucial role for the audibility of larger tonal frameworks. In particular, owing to their limited pitch possibilities, the tympani and brass instruments in music of this period tend to play primarily during passages within the main key areas, thereby serving as types of tonal signposts that articulate arrivals at crucial tonal junctures. Tactile or visual features also frequently help bolster the perception of long-range tonal motions. It should be remembered that many solo and chamber works of the repertoire were intended not primarily for concert performance, but rather for a setting in which the main "audiences" were the performers themselves. Thus, for instance, for a Mozart piano sonata the ideal listener is not someone who hears a recording of the piece, as was the case in Cook's experiment, but rather someone who actually plays the composition at the keyboard. For those who play the piece, the look of the notes on the page and the feel of keyboard under the fingers form a vital part of the aesthetic experience, and these factors surely can greatly aid one's ability to perceive the deep-level tonal schemes that may be proposed in a good Schenkerian analysis.

In any case, the utility of Schenkerian analysis is not threatened by the notion that the average qualified listener might not be aware of the

[10] See Cook 1987; see also Cook 1994.

[11] As others have noted, there are certain problems with the layout of Cook's experiment; see, for instance, discussion in Gjerdingen 1999: 164–6. Still, no doubt most would acknowledge the veracity of the experiment's basic conclusions: namely, that for most people (including trained musicians) the enjoyment of a recording of a long piece heard a single time would not be deleteriously affected if the composition began and ended in different keys.

[12] See, for instance, discussion in Broman 1997. Cook himself does not adopt such a stance, however. As he notes in Cook 1990: 4–5, "a Schenkerian analysis is not a scientific explanation, but a metaphorical one; it is not an account of how people actually hear pieces of music, but a way of imagining them […]. [T]he structural wholeness of musical works should be seen as a metaphorical construction, rather than as directly corresponding to anything that is real in a perceptual sense." The present essay echoes Cook in this regard; see also comments in Cook 1989.

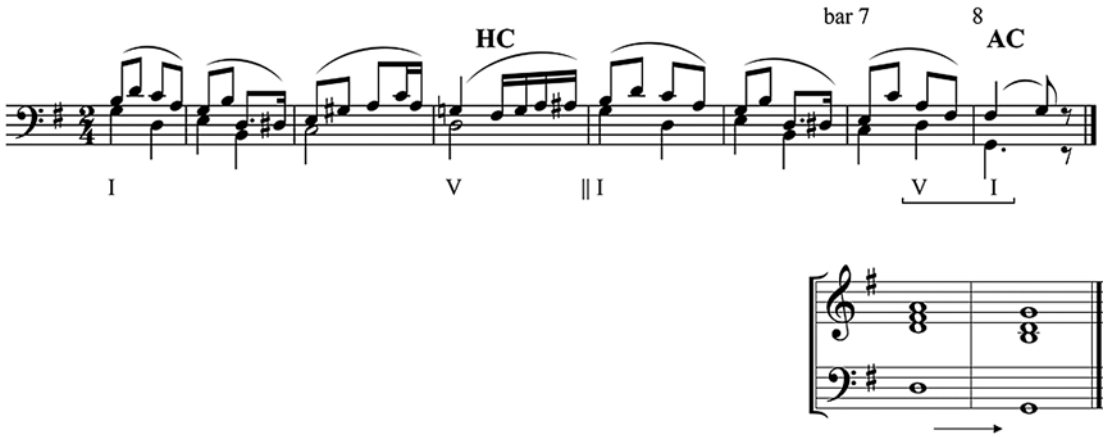
large-scale tonal organization. In evaluating the effectiveness of an analysis, what is important is not whether such structures *are* perceived by the typical listener, but whether they *can* be perceived, as well as whether such a perception can enhance one's experience of the composition at hand. To propose a form of Schenkerian analysis that requires that perception of its conclusions be able to be experimentally verified as perceptible by the typical qualified listener would disqualify many the most inspirational examples of such analyses, such as are discussed above.

The Schenkerian model is by no means the only one possible. It is an extraordinarily effective one – and it is largely (if not entirely) a well-formed and logical model – but it is a model nonetheless. Despite the rhetoric typical of Schenkerian analyses, I would argue that the features they describe – such as prolongations, the *Urlinie*, and motivic connections – do not exist in the music itself. These are metaphors, analytic fabrications that serve as a part of a model used to help express a way that one may perceive the music. If it is to make valid sense, then when a Schenkerian analysis states something like "in this composition the *Kopfton* is scale degree $\hat{3}$," what is to be understood is that analysis claims the belief that the given composition is most effectively represented by a voice-leading model in which the *Kopfton* is scale degree $\hat{3}$: the *Kopfton* is a part of the model, not of the actual composition.[13]

In this regard, Schenkerian analysis is similar to most other types of analysis, which likewise rely on models. Things such as cadences or chord progressions are not found directly in a work of music, but are found merely within the analytic model. For instance, regarding the excerpt of Example 4: consider the claim that a dominant harmony in bar 7 resolves to tonic in the following measure (as depicted in the model placed under the last two bars of the passage). This analysis is so straightforward that some might regard it as presenting an empirical fact. Yet even this simple analysis relies on interpretation and analytic models. In actuality, there is no dominant chord or tonic chord in bars 7 and 8. These harmonies are simply implied: that is, harmonies such as shown in the staff below the excerpt form an analog that approximates what happens in the actual music. The claim that a V *resolves* to I in Example 4 is itself but an analytic interpretation. What we actually have is simply notes of a V chord followed by those of a I: the notion that a resolution occurs here is something that is imposed by the analysis.

To regard an analysis as an interpretation or representation is not to denigrate it. Certainly the excerpt cited in Example 4 is best interpreted as concluding in the manner of a dominant chord

Example 4. Haydn, Piano Trio in B♭ Major, Hob. XV/20, II, mm. 1–8 (a) and the proposed harmonic model for m. 7 (second beat) through m. 8 (b).



[13] See also comments in Note 15 below.

resolving to a tonic chord. One might feel strongly about the suitability of such an analysis, much like one might feel strongly about the notion that Dietrich Fischer-Dieskau is a good singer, or that Wolfgang Mozart is a good composer. In such matters, too, we might try to persuade others to share our opinions by appealing to concrete audible features or logically wrought standards. But no matter how deeply we would like others to share our views in such instances, ultimately they remain subjective stances.

For a simple example such as seen in Example 4, one certainly could set up an experiment to test whether an average listener would be able to perceive the analogy to the proposed model. But in the unlikely event that most of the test subjects do not hear this passage as concluding with a V–I resolution, would that cause you to change your view of the excerpt? Or would it cause you to question whether the test subjects were indeed qualified listeners? And how would one test the perceptibility of the more subtle assertions found in Schenkerian analyses? If an empirical experiment showed overwhelmingly that most qualified auditors interpreted a passage in a routine manner, would that necessarily cause you to reject an alternate plausible reading that you found to be more evocative?

David Temperley has observed that Schenkerian analytic discussions frequently do acknowledge a degree of subjectivity (Temperley 1999).[14] As Temperley further points out, however, these discussions routinely also claim to record objective features of the composition and its perception, often switching to and from "suggestive" language and "descriptive" language in quick succession. For instance, in his celebrated essay "Either/Or," Carl Schachter states that when confronted with a passage for which there are multiple plausible readings, one "must search for clues about which of the two or more possible interpretations is the correct one, or about which of the two or more 'correct' ones is the truest artistically" (Schachter 1999: 122). The first part of this formulation suggests that the analysis strives to accurately reflect what is in the composition, but the second part suggests that it rather seeks to propose an "artistically" satisfactory way of hearing the work. In a manner typical of many Schenkerian essays, Schachter's rhetoric throughout the essay wavers between "descriptive" and "suggestive" rhetoric, so that it is not entirely clear to the reader whether he regards his readings primarily as empirical observations or as hermeneutic interpretations.[15]

In his essay cited in the previous paragraph, Temperley himself refuses to declare whether Schenkerian theory should rightly be regarded as descriptive or suggestive. I am less reluctant than Temperley in this regard in my advocating that Schenkerian analysis is best practiced as a part of suggestive theory, and I feel that abandoning pretentions towards empirical aims will help Schenkerian analysts to better focus on the interpretive nature of the analytic process. That is, I argue Schenkerian analytic discussion will benefit by more openly acknowledging that they do not *uncover* hidden musical connections, but rather that they propose them.

There is an understandable tendency for music analysts and performers to try to appeal to a higher authority in support of their readings. Some appeal to a Deity, others – such as Schenker – to Nature. Nowadays, it is more common for the higher authority to be Science. Appealing to Science might bolster the claim that one's analysis is not simply a matter of personal opinion, but

[14] Though Temperley's essay was published over ten years ago, such mixture of suggestive and descriptive rhetoric in Schenkerian discussions continue to be found. For instance, in his recently published handbook on Schenkerian analysis, Tom Pankhurst states that Schenkerian analysis "offers profound insights into how tonal music works" and yet then quickly notes that it "is ultimately an interpretive act – it invites its readers to hear a piece of music in a particular way" (Pankhurst 2008: 4–5).

[15] Here and elsewhere, this mixture of descriptive and suggestive terminology might result from demands of effective prose writing. After all, to say things like "this excerpt contains a wonderful motivic parallelism" or "the reprise, then, begins with an apparent tonic" (Schachter 1999: 126 and 127) is far more elegant than to say "this excerpt is best understood as containing a wonderful motivic parallelism" of "the reprise, then, is most effectively interpreted as beginning with an apparent tonic." Nevertheless, the more concise statements might suggest – even if unintentionally – that analysis attempts to describe concrete connections within the music itself; in this regard, see discussion in Rings 2011: 36, Note 52. As argued above, if they are to be regarded as valid, I feel such descriptive statements in Schenkerian analyses are rightly to be understood as abbreviated forms of suggestive statements.

rather something that has cognitive backing. As far as Schenkerian analyses are concerned, however, one may well wonder to what degree finding such empirical, scientific support is entirely possible or even desirable. I would rather seem that the best one can do is to point out those concrete features in a composition that might support one's interpretative reading, hoping that other qualified listeners will be able to perceive the connections suggested by the analysis and agree that it is rewarding to hear these proposed connections within the composition. What I find most attractive about Schenkerian analysis is that it offers a powerful model that allows one to effectively relate subjective interpretations of nuances in a tonal composition, and for me this is reason enough to recommend it as a useful analytic tool.

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Schenkeri analüüs ja Ockhami habemenuga[1]

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(tõlkinud Mart Humal)

Schenkeri analüüsimeetodi parimad näited ei kajasta mitte empiirilist protsessi eesmärgiga avada teoses leiduvaid iseärasusi ega dokumenteeri seda, kuidas kogenud muusikud teoseid tajuvad, vaid kujutavad endast põhiolemuselt hermeneutilist protsessi, kirjeldamaks teose kõige efektiivsemat kuulamisviisi.

Vaadelgem näiteks Heinrich Schenkeri klassikalist Beethoveni sonaadi *d*-moll *op*. 31/2 kolmanda osa peateema (näide 1a) analüüsi (näide 1b = Schenker 1979, näide 104.1). Kogemus näitab, et enamik muusikuid tõlgendab selle lause häältejuhtimist sirgjooneliselt (näide 2): toonika prolongatsioonile taktides 1–12 järgneb kadents I–V. Selline analüüs on kindlasti põhjendatud. Seevastu Schenkeril hõlmab takte 9–13 järgnevus IV–V, allutades endale järgnevuse V_6–I taktides 11–12. Schenkeri tõlgendus on tavapärasest keerukam ja eeldab sellest erinevat esitusviisi. Seega, kui eesmärgiks on kõige efektiivsemalt kirjeldada teema ühtsust või viisi, kuidas kogenud muusikud seda tajuvad, tuleb Schenkeri tõlgendust pidada ebaõnnestunuks. Samas aga võib see osutuda õnnestunuks, kui käsitada seda kui teema võimalikku tõlgendusviisi, mis püüab kirjeldada intrigeerivat, kuid siiski usutavat võimalust seda kuulda ja esitada.

Sama olukord tekib laiaulatuslike Schenkeri analüüside puhul. Üldiselt ei pane Schenkeri analüüsimeetod ulatuslikele struktuuridele suuremat rõhku kui paljud teised tuntud tonaalse muusika analüüsimeetodid, millest mõned tegelevad isegi veel ulatuslikumate struktuuridega kui tüüpilistes Schenkeri analüüsides. Kuid Schenkeri analüüsimeetodit eristab teistest eelkõige viis, kuidas ta käsitleb vastastikuseid suhteid tonaalse arengu eri tasandite vahel, kusjuures süvastruktuuride iseärasuste mõistmiseks on hädavajalik pinnatasandi peen tajumine. Nagu ka pisidetaile, ei tule Schenkeri analüüsi pakutavaid ulatuslikke struktuure mõista kui muusikas endas leiduvaid ega muusikute poolt tüüpiliselt tajutavaid, vaid kui selliseid, mis võivad olla muusiku jaoks tajutavad ja tajumisväärsed.

Vaadelgem järgnevalt Schenkeri tõlgendust Chopini etüüdist *c*-moll *op*. 10/12 (näide 3a = Schenker 1932: 47–51). Ilma seda tundmata näib ebatõenäolisena, et kuulajad tajuksid õigesti Schenkeri näidatud süvatasandi motiivi – laiaulatuslikku laskuvat bassikäiku *c–b–as–g*, mis hõlmab takte 21–41 (ja sarnaneb kergemini kuuldava bassikäiguga taktides 9–18, vt. näide 3b). Kuid nagu alati, pole seda laadi analüüsi efektiivsuse hindamisel tähtis mitte see, kas tavakuulajad niisugust struktuuri tajuvad, vaid kas seda on võimalik nii tajuda ja kas selline tajumisviis rikastab teose mõistmist.

Kui kujutleda Schenkeri analüüsi sellisel kujul, mis eeldab, et selle järeldused oleksid eksperimentaalselt verifitseeritavad ja asjatundliku tavakuulaja poolt tajutavad, või nõuda, et analüüsi käigus leitud iseärasused oleksid teosele olemuslikena empiiriliselt kontrollitavad, tähendaks see paljude Schenkeri analüüsimeetodi sisukaimate näidete (sealhulgas eelmainitute) diskvalifitseerimist. Kokkuvõttes on parim viis praktiseerida Schenkeri analüüsi „sugereeriva" (*suggestive*) teooriana, kusjuures loobumine pretendeerimast empiirilisusele aitab paremini keskenduda analüütilise protsessi interpreteerivale olemusele.

[1] „Ockhami habemenuga" on inglise filosoofi, nn. nominalismi esindaja William Ockhami (Occam; u. 1300–1349) nime järgi tuntud printsiip „Pluralitas non est ponenda sine necessitate" („tuleb vältida tarbetut [mõistete] paljusust"), mille kohaselt lihtsaim vastus on sageli õigeim. (*Toim.*)

Von einem Künstler: Shapes in the Clouds

Stephen Slottow

In the invitation to the Sixth International Conference on Music Theory (Tallinn, Estonia, October 14–16, 2010), the conference theme "Hierarchic Analysis: A Quest of Priorities," was subdivided into four main issues, of which the third was: "in view of a certain element of subjectivity and irrationality inherent in traditional Schenkerian analysis, is it possible to develop its deep insights in the context of a logically non-contradictory, scientifically, and historically well-founded music theory?" This is, of course, not a neutral question, but one which incorporates several assumptions, namely, that Schenkerian analysis embodies deep insights but is illogical, contradictory, unscientific, historically ill-founded, subjective, and irrational – rather like an "idiot savant" who, although otherwise of low intelligence, unaccountably displays unexpected flashes of brilliance.

This is not a new complaint, even among Schenker's inner circle. According to Timothy Jackson, Schenker's student Hans Weisse held similar opinions. In his diary entry for September 11, 1925, Weisse noted his objections to Schenker's concept of the *Urlinie*:

> The more powerful the general, objective bases for an idea are, the less likely is the danger of its [the idea's] being negated by changes in their manifestation. From this also clearly stems the [problematic] fate of Schenker's teaching in the way Schenker currently is pursuing it, for it is too subjectively colored. Schenker now places his own [subjectivity] too much in the foreground. If he is pleased with ever-greater refinement in reading the types of *Urlinie*, he insufficiently establishes the objective bases for the *Urlinie* and shifts the standpoint on which it actually depends. (Jackson 2010: 103–4)

Weisse later appears to have come around to the idea of the *Urlinie*, though, since he used *Five Graphic Analyses* in his classes at the Mannes College of Music. Many other critiques have appeared since.[1]

In this article I would like to say something in favor of subjectivity. To lay my cards on the table at the outset, at least to a certain extent I consider subjectivity to be not only an unavoidable but also an indispensible aspect of music analysis, as it is in performing or listening to music. Without subjectivity there is no flexibility, and an analysis can become stiff and mechanical. I view analysis primarily as *interpretation*. As such, it must be grounded in a sound, well-developed, and articulate theory in order to avoid (excessive) arbitrariness. "Because I hear it that way" is not a sufficient justification *in and of itself* for an analytical decision, although it is certainly a factor. But there is usually a range of possible readings that are supportable by the theory and that "save the appearances," to use the old medieval phrase. Choosing between them is a matter of weighing factors, and here especially audibility, intuition, and subjectivity play a role, although they are in fact operative from the very beginning of an analysis. Later in this article I will illustrate this process in some detail with alternative analyses of the development section of Clementi's Sonatina in G, Opus 36 No. 2, first movement.

The above is the case not only with Schenkerian theory, but with other types of theory as well, such as pitch-class set or form theory. I consider this unavoidable, because however logical, consistent, scientific, historically well-founded, objective, and rational a theory may be, its analytical application is likely to be less so. If nothing else, there are usually issues of segmentation, of where to draw boundaries between prolongations or form sections or sets. For instance, Fortean set theory *as a theory* certainly aspires to be logical, consistent, scientific, objective, and rational (although, according to Michiel Schuijer 2008, it is open to criticism on those grounds), but as a *method of analysis* it is highly subjective. What group of notes constitutes a significant set? What other sets

[1] See, for instance, Adorno 1982, Cohn 1992, Dahlhaus 1983, Daniskas 1948, Dreyfus 1996: 169–88, Kerman 1980 and 1985, Lang 1946, Narmour 1977, Rosen 1972: 33–36, and Sessions 1935 and 1938.

do you relate it to under what operations? Hasty 1981 contains a list of salience factors, many of them summarized in Straus 2005: 59–60, but they are only guidelines. The analytical application of set theory is a matter of *interpretation*.

As regards analogies, I prefer to compare music analysis to the practice of law rather than of science. The presentation of an analysis is at least as much a matter of persuasion as of proof, much like a lawyer arguing a case before a jury. And, as in law, the discovery and citation of precedents and parallel cases can be an important component of both the analytical process and the presentation of its results. Another comparison that I sometimes use to illustrate the persuasive aspect of presenting a reading is to seeing shapes in the clouds. I may clearly see a hippopotamus and someone else may see a cathedral. If I can make such a clear case for my hippopotamus that the other person starts seeing it instead of – or at least as a viable alternative to – their cathedral, then I will have convincingly presented my analysis. Of course, this analogy is incomplete, since (1) it doesn't take into account a theory for seeing shapes in the clouds, and (2) one of the tests of an analysis is how well it holds up over time, which requires some stability in the matter being analyzed, whereas clouds are notoriously changeable and not stable at all.

It is worth noting that Schenker didn't think that his analyses were interpretations; he thought they were the truth. He writes in *Free Composition* that "[t]he musical examples which accompany this volume are not merely practical aids; they have the same power and conviction as the visual aspect of the printed composition itself (the foreground). That is, *the graphic representation is part of the actual composition, not merely an educational means*" (emphasis mine). (Schenker 1979: xxiii) However, this conviction didn't prevent him from changing some of his readings later on. For instance, he analyzed the first movement of Beethoven's Sonata, Op. 10/2 from $\hat{8}$ in *The Masterwork in Music* (Schenker 1996: 25–27) but from $\hat{3}$ in *Free Composition* (Schenker 1979, Example 101.4).

Be that as it may, Schenker himself certainly did not consider his work to be science. In the introduction to *Free Composition*, he wrote: "Music is always an art – in its composition, in its performance, even in its history. Under no circumstances is it a science." (Schenker 1979: xxiii) In general the German *Wissenschaft* has a broader application than its English equivalent "science." When we say "science" we think most of all of the natural sciences: physics, chemistry, etc. For the Germans *Wissenschaft* applies to any systematically organized body of knowledge arrived at through some kind of research. Thus the Germans have the term *Geisteswissenschaft* (science of mind) which would include history, philosophy, and so forth – very much like the American "humanities." Schenker's theories could in a way form part of this larger category, but he would have rejected such a designation. First of all, he would have hated to hear what he did described as *Musikwissenschaft* – the German equivalent of musicology. And then there is his use of the word "fantasies" as well as "theories" in the title of his three main theoretical treatises and the *Von einem Künstler* on the title page of *Harmony*. Clearly he thought that a kind of creative imagination in some ways similar to artistic creativity has to form part of music in any of its aspects – and that would clearly include theory and analysis.

A somewhat similar view is expressed by Michiel Schuijer, who, drawing on an article by Nicholas Cook (1999) (who in turn draws on ideas from David Lewin and Jonathan Dunsby), talks about analysis as performance in his book (Schuijer 2008), which, despite its title, contains some discussion of Schenkerian analysis. He writes: "A Schenkerian analysis is the written, graphed-out, or spoken counterpart of the concert performance, from which one should not expect historical information, but an artistic interpretation" (Schuijer 2008: 221). Later he expands on this statement:

> How does an analysis convince us *as a performance*, quite apart from the empirical or historical evidence that it may provide? For one thing, it should demonstrate *knowledge* and *skill*, the latter comprising both the power of observation and the ability to arrange the various observations into a structured statement. For another, it should convey an *experience*, that is, the impact the musical work has made on the analyst. (Schuijer 2008: 223) […] However, an analysis should also be convincing as an *act*. That is, one should be made to believe that the musical work reveals itself *through the analysis*. (Schuijer 2008: 224)

I myself, perhaps reflecting a more pedestrian standpoint, also view Schenkerian analysis as a craft – a good honest craft like carpentry or book binding, and one taught largely by the apprenticeship system. As Charles Burkhart has pointed out, "[Schenker's] legacy is not just a theory, but a practice" (Burkhart 1995).

One aspect of the scientific method that does not seem particularly relevant to Schenkerian analysis is the independent duplication of experimental results. As mentioned, there is usually a continuum of theoretically plausible readings. On the other hand, it is not true that "anything goes." Certainly a Schenkerian analysis has to be consistent with Schenkerian theory – and the theory is not a static thing; it can be, and has been, extended, modified, or altered by its various practitioners. Beyond that, from among the possible and plausible readings, Schenkerians usually try to find the "best" reading, or at least, as Charles Burkhart once told me, a "personal best" reading – which may change over time and upon further reflection.

Teaching Schenkerian analysis – at least the way I teach it – always includes consideration of different readings: different student readings, alternate readings of my own, and (usually as a last step) different readings from the literature. Frank Samarotto also incorporates alternate readings as an essential part of his teaching approach. In his review of Cadwallader and Gagné 1998, he writes:

> *Students comprehend that more than one analysis is logically possible, but learn to seek the one that is interpretively most satisfying.* This stage addresses an aspect of Schenkerian analysis that I find inescapable: for most passages and pieces, more than one "correct" analysis is possible, and the logical aspects of the system do not absolutely determine which of these is best. […] This is especially valuable to Schenkerian pedagogy because choosing among alternative voice-leading analyses forces students to consider all that the sketch might seem to conceal: rhythm, phrasing, dynamic shape, and all the other expressive details that are the vivid reality of musical experience. By choosing among readings, students learn to hear voice-leading structures as more than abstract schemata, because they come to understand how the right choice can bring a piece to life. Again, students do not have to agree with the teacher's interpretation, as long as they experience the effect different readings have. (Samarotto 2001: 270–71)

One example of a short passage of music that seems especially susceptible to a number of different viable readings is the development section of Clementi's G-major Sonatina, Op. 36, No. 2. The music is given in Example 1.

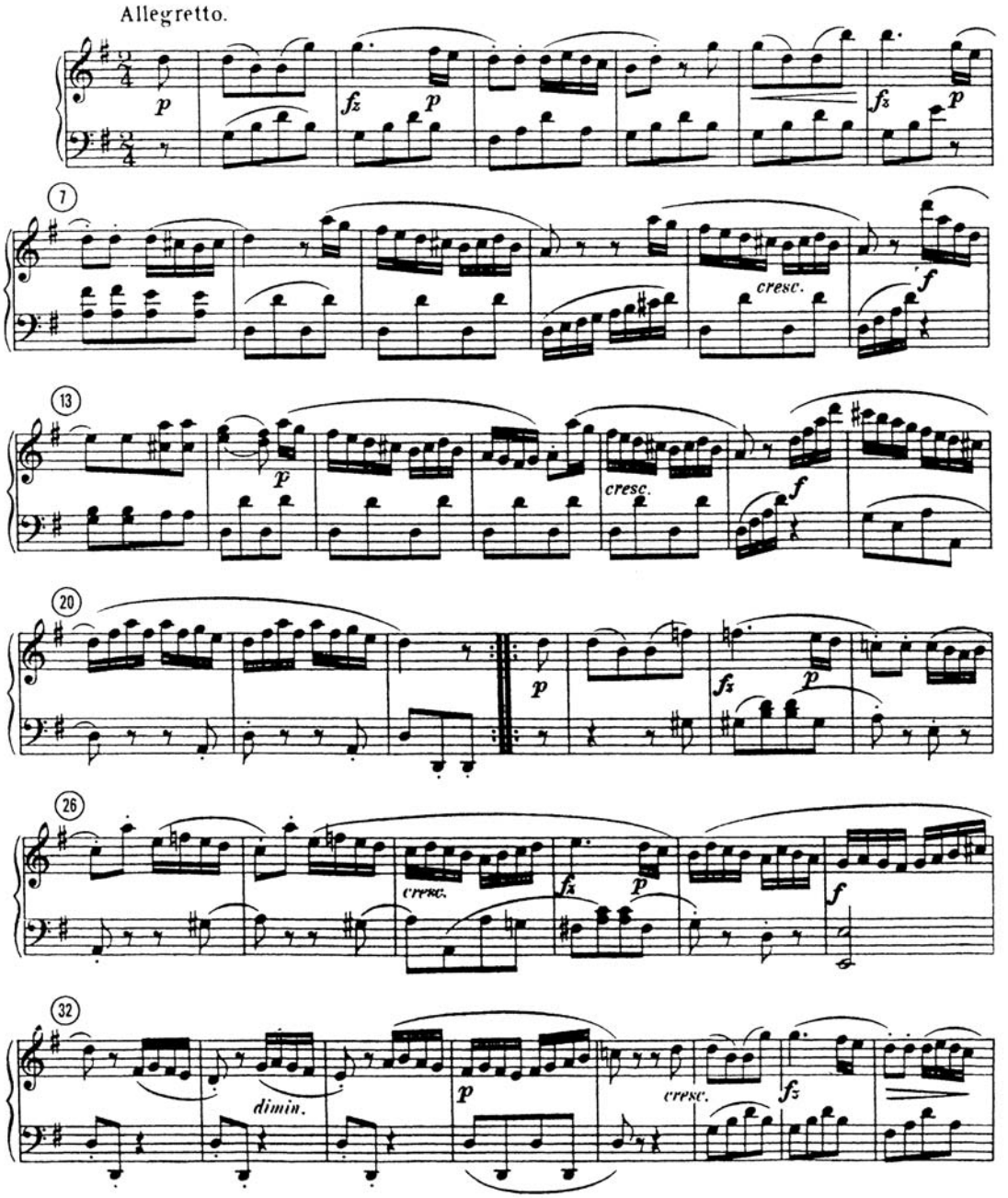
Examples 2 and 2a show my graph of the exposition, which I read using the Ernst Oster $\hat{5}$-over-$\hat{3}$ paradigm. That is, on the highest level, the *Kopfton* $\hat{5}$ is largely held, inactive and "*in potentia*," floating serenely above the fray, until the recapitulation, where it is activated and eventually descends to $\hat{1}$. But under $\hat{5}$, $\hat{3}$ is the local operative "deputy *Kopfton*," so to speak, for both the exposition and development. I read it in this way because although, if one looks only at the exposition, an initial arpeggiation to *Kopfton* $\hat{3}$ (b^2) in m. 6 seems completely obvious, in the recapitulation, which begins in m. 37, one looks in vain for any corresponding arpeggiation to b^2.

Returning to my graph of the exposition (Example 2): after the initial arpeggiation, top-line $\hat{3}$ (B) descends to $\hat{2}$ (A) – by implication over the V/V in m. 7 and in actuality with the arrival of V in m. 8. The exposition ends with a subsidiary fifth-descent from the prolonged $\hat{2}$: (A)–G–F♯–E–D over a cadence in the dominant in mm. 19–20.

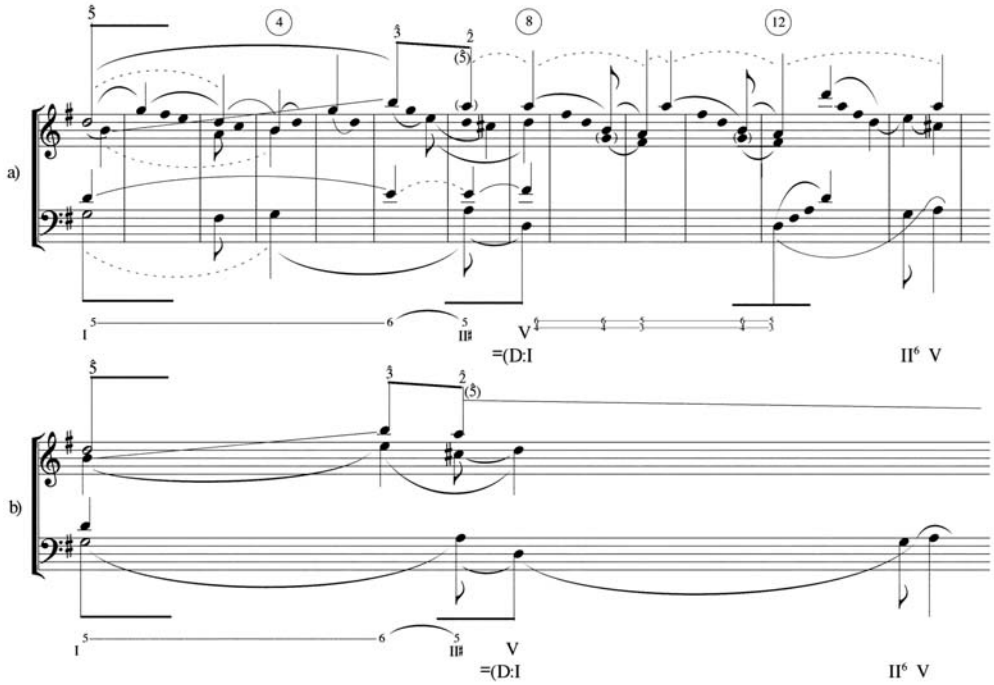
The development section is extremely short – only fourteen measures – and the chord pattern is simple. In a quasi-sequential passage incorporating some phrase extensions, an applied diminished seventh chord resolves to A minor in m. 25, then an applied half-diminished seventh chord resolves to G major in m. 30, then a diminished triad – VII^6/V – resolves to V, which moves to V^7. I will say more about the phrase extensions later. As shown in Example 3, on the largest level, the development prolongs the dominant via $V^{8–7}$ – that is, the top-line D reached via the subsidiary fifth-descent at the end of the exposition descends to C at the end of the development. C functions as a passing tone, and resolves to B at the beginning of the recapitulation.

In analyzing the development, I found that an initial strategic decision was whether, in the applied dominants of A minor and of G, to take the seventh or the diminished fifth above the bass as the primary top note, the former resolving to

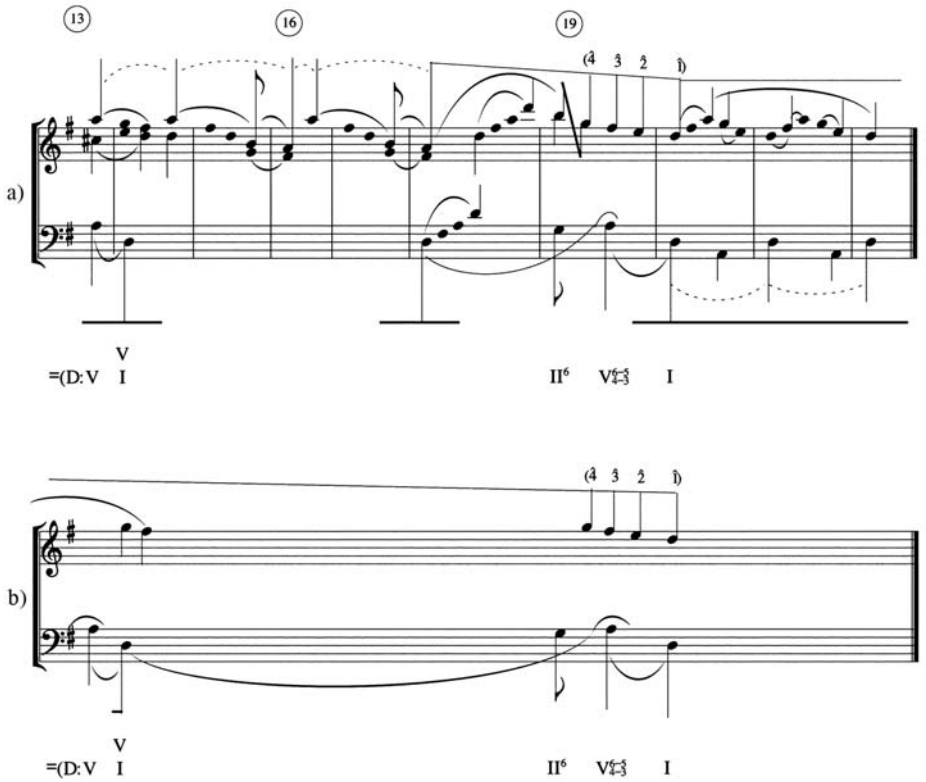
Example 1. Muzio Clementi, Sonatina in G major, Op. 36, No. 2, I.



Example 2. Clementi, Op. 36, No. 2, I, exposition: foreground and middleground.



Example 2a. Clementi, Op. 36, No. 2, I, exposition: background.



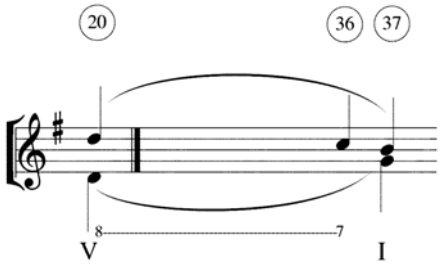
a fifth and the latter to a third – see Example 4. Both are present both in the imaginary continuo and in the actual music. I chose the latter, for two reasons. The first reason is that the notes of resolution, C and B, are emphasized by either metric accent or repetition, or both. C, especially, is highlighted repeatedly in mm. 25–28 – rather a long time for such a short development. The B in m. 30, which is of much shorter duration, receives a stronger metric stress than D. The second reason, and perhaps the more fundamental, is that the dominant tritone, here resolving inward to a third, is so basic a construction. Its pull towards resolution is at least as strong as that of the diminished seventh, and certainly stronger than that of the half-diminished seventh.

A larger question has to do with the relative weights of the A minor chord in m. 25, the G major chord in m. 30, and the diminished chord (VII^6/V) in m. 31. I see three possible readings of the development. A middleground sketch of my first reading is given in Example 5. Underneath the retained treble D, the first three notes of the top line are D–C–B. C–B are supported by bass A–G, in parallel tenths (the G chord concludes the sequence). At the deepest level, treble B proceeds, in its simplest continuation, to A (V) in m. 32, creating a fourth progression from D down to A. Thus treble B is a passing tone and is supported by bass G, which acts as a leaping passing tone. The G major chord could also be shown as a $\frac{6}{4}$ above a retained bass D. On a more immediate level, treble B rises through C♯ to regain D, although B still proceeds to A, and, for that matter to F♯, underneath. C♯ is supported by bass E, creating a local applied dominant of V – VII^6/V. This reading privileges the G chord in m. 30 over the diminished chord (VII^6/V) in m. 31. One aspect of this reading which I like is that it highlights the G chord, which is after all the end point of the sequential progression. However, a strike against this reading is that the G major chord is very much downplayed in the music, since it is proceeded by an A minor chord that lasts much longer and receives more emphasis, and appears en route to the aforementioned diminished chord that is also emphasized, both by length and by the *forte* dynamic.

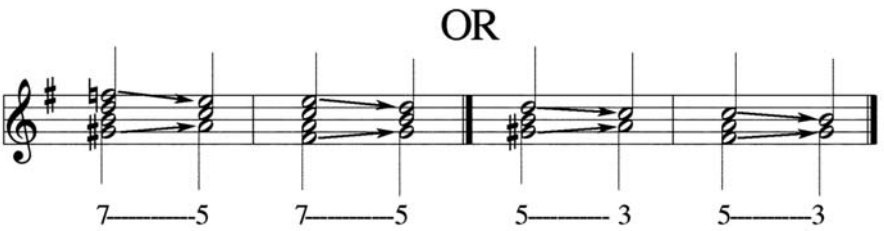
A possible minor variant of this reading (see Example 5a) is to regard the bass A as the upper third of F♯, which would tie the initial bass D to the F♯, downplaying the A minor chord a bit. I am, however, a little hesitant about this reading, because of the much greater emphasis received by the A minor chord than by the F♯ half-diminished seventh chord.

My second reading is shown in Example 6**.** Here the relative weights of the G major and the diminished chord (VII^6/V) are reversed: the VII^6/V plays a larger role to which the G chord is

Example 3. Clementi, Op. 36, No. 2, I, development: deep middleground.



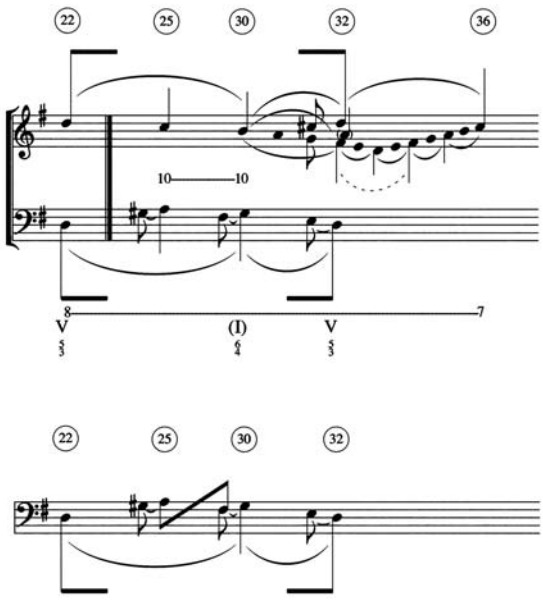
Example 4. Clementi, Op. 36, No. 2, I, development: 7–5 or 5–3?



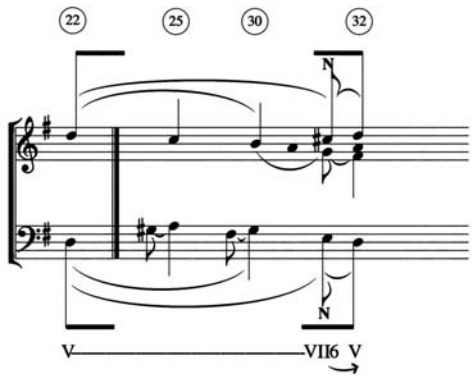
subordinate – that is, as a large-scale neighbor chord embellishing the prolonged V: V–VII^6/V–V. Top-line D is still retained over the course of the development, but is embellished by a high-level C♯ lower neighbor in m. 31, matched in the bass by a D upper neighbor – treble D–C♯–D supported by bass D–E–D. In this reading, the subsidiary top-line D–C–B still exists, but doesn't proceed to A in m. 32 and thus creates not a descending fourth progression to A, but instead a subsidiary third-progression to B, which then proceeds into the inner voice to F♯ at the arrival of V in m. 32. This reading takes into account both the dynamic and durational accent on the VII^6/V chord in m. 31, and the fleeting nature of the G major chord in m. 30.

Reading number 3 is shown in Example 7. This reading retains the neighbor note function of bass E / treble C♯ (VII^6/V), but also links it with the A minor chord in mm. 25–28, viewing the diminished chord (VII^6/V) as a chromaticized transformation of A minor ("II") – that is, as shown in Example 8, the C of the A minor chord is raised to C♯, the seventh (G) added, and the A dropped, converting the chord into VII^6 of V. This reading very much de-emphasizes the G major chord in m. 30, but for the first time highlights the A minor chord, giving it a comparable emphasis in the

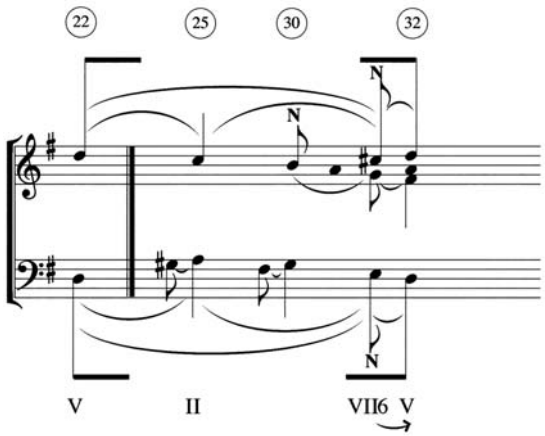
Example 5. Clementi, Op. 36, No. 2, I, development: Reading 1.



Example 6. Clementi, Op. 36, No. 2, I, development: Reading 2.



Example 7. Clementi, Op. 36, No. 2, I, development: Reading 3.



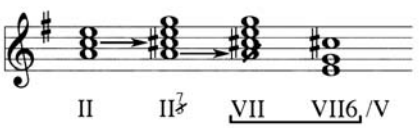
analysis to the emphasis it receives in the music, and tying it to the aforementioned diminished chord, which is also emphasized in the music. So what is the role of the G major chord in this third reading? It still ends the sequential progression, but its main function is to break up the top-line direct chromatic succession C–C♯ by interposing the lower neighbor B in between – and B is harmonically supported by bass G.

Looking from one to the other of these three readings, one can see the kaleidoscopic patterns shifting into new alignments, affinities, and allegiances. All three are theoretically possible. In a way, perhaps Reading 3 is best aligned with the chordal design emphases in the music – highlighted chords in the music are highlighted in the analysis. But they don't have to be: structural chords in the Schenkerian sense are not always stressed in the compositional design of the piece. In any case, I confess that Reading 1 comes closest to how I hear the development, because I really do hear the G major chord as the termination point of the sequential progression, and therefore important, whereas the VII^6/V, although it receives a *forte* and lasts a full measure, I hear as lesser rank. This is my *subjective* preference – although it is not completely arbitrary, because I have my reasons, and because all three are viable readings.

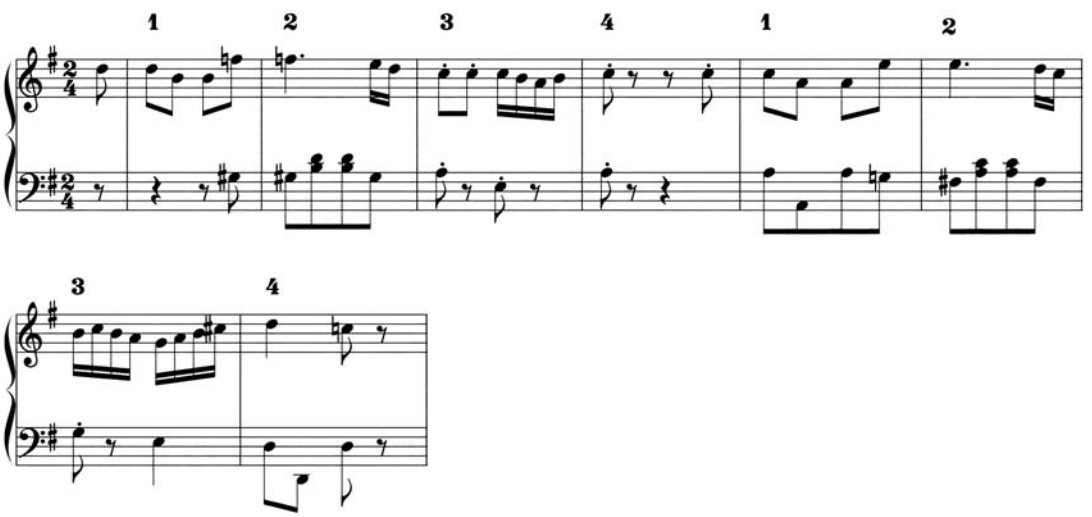
While working on these readings of the development, and as a kind of fallout or side effect, I began to notice the rhythmic expansions I mentioned earlier. They are interesting, and contribute in no small measure to making the development, as short as it is, "work." I will briefly discuss these now.

Since four-measure units are clearly established in the first eight bars of the piece, they are naturally expected in the development, especially since its beginning is clearly modeled on the beginning of the exposition. Underlying four-bar

Example 8. Clementi, Op. 36, No. 2, I, development: II to VII^6/V.



Example 9. Clementi, Op. 36, No. 2, I, development: prototype.



units are present in the development – in spirit, so to speak – but with expansions that convert them into five-bar units. And each type of expansion is different. Example 9 depicts my conception of the underlying prototype of the passage in four-bar units. Example 10 retains the four-bar units but restores Clementi's elaboration in the right hand. It's not bad, but rather square and predictable. However, Clementi blurs and alters this cut-and-dried basic phrase structure into something much more interesting, something that stretches the hypermetric norm.

In Example 11, the four-bar units and their expansions are shown by the numbers between the staves. The resulting five-bar units are shown by the numbers written above the staves.

The first four-bar unit (mm. 23–26) is expanded by one measure at the end, extending the A minor chord by repeating the figure from m. 26 in m. 27.

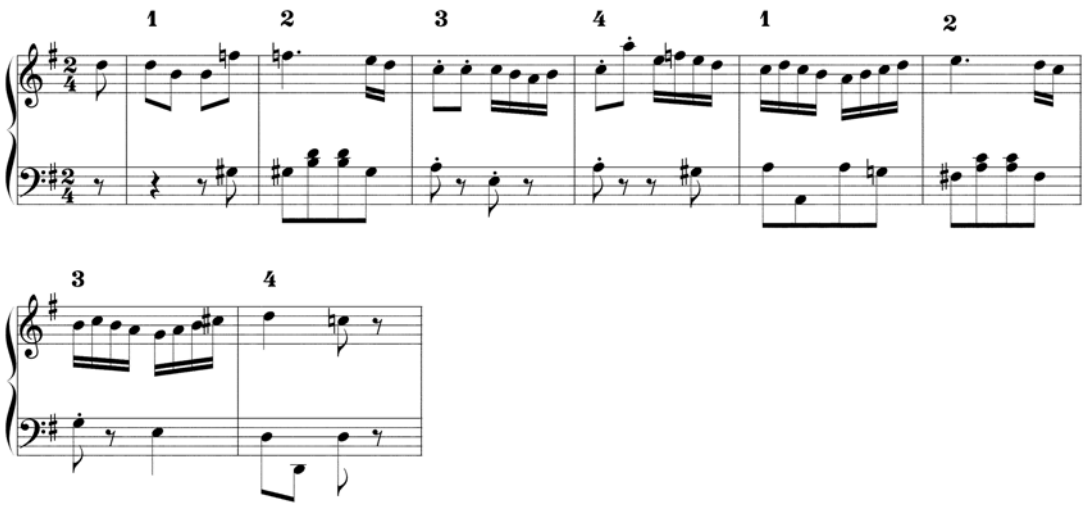
The second four-bar unit (mm. 28–32) is expanded in the middle, doubling the length of the treble line B–A–G and bass notes G–E (I–VII^6/V) from one to two measures.

Fundamentally, the end of the development (mm. 32–36) – the ascent of a seventh from d^1 to c^2 over a D pedal point (V^{8-7}) – is an expansion from my prototype (Examples 9 and 10), where the motion *down* a step from d^2 to c^1 took only a single measure. Within that expansion, however, the ascent appears to constitute another four-bar unit starting in m. 33, and, in a way, it does. But I think that, fundamentally, measure 32, the fifth bar of the last expanded unit and the arrival point on V, is actually reinterpreted as the first bar, beginning a final five-bar unit.

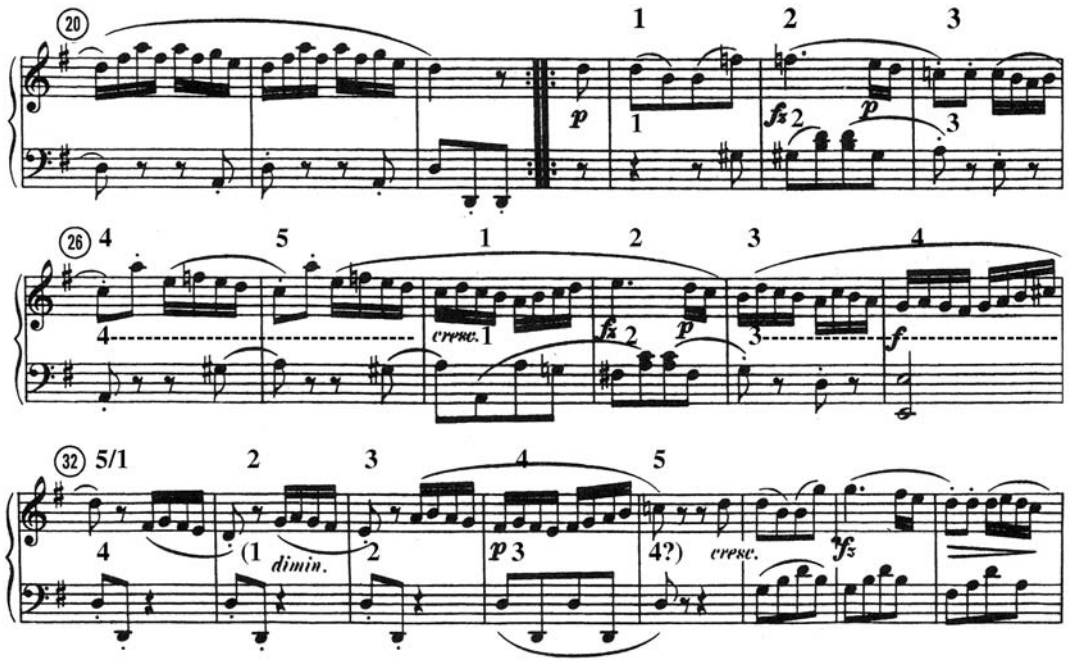
Thus a fundamental pattern of four-bar units has been transformed to one of five-bar units, the first by an end-expansion and the second by a middle expansion. The third five-bar unit, which reinterprets the fifth as the first bar via an overlap, is the only *true* five-bar unit (although it contains a hint of an internal four-bar unit). The earlier ones are all expanded four-bar units. This one is the real thing.

In conclusion: in this article I have tried to make the case that subjectivity is unavoidably built into Schenkerian analytic practice, and that this is not a detriment but an asset. Although we strive to find the best analysis, there is a continuum of possible readings consistent with the theory, each parsing the piece in different ways and revealing different possible configurations, different shapes in the clouds. Unlike Schenker, I feel that there is not one absolutely right reading any more than there is one absolutely right performance of a piece, and that analysis is essentially interpretation and, indeed, can be viewed as a performative act. This (limited) flexibility makes Schenkerian more, not less, akin to the music whose purpose it is to investigate.

Example 10. Clementi, Op. 36, No. 2, I, development: slightly elaborated prototype.



Example 11. Clementi, Op. 36, No. 2, I, development: phrase expansions from four to five measures.



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Von einem Künstler: kujutused ja pilved

Stephen Slottow
(tõlkinud Mart Humal)

Kuuenda Tallinna rahvusvahelise muusikateooria konverentsi (14.–16. oktoobrini 2010) tutvustuses on konverentsi teema „Hierarhiline analüüs: eelistuste küsimus" jagatud neljaks põhiprobleemiks, millest kolmas kõlab järgmiselt: „Kas on võimalik traditsioonilises Schenkeri analüüsis leiduvaid tabavaid tähelepanekuid loogiliselt vastuoludeta, teaduslikult ja ajalooliselt põhjendatud muusikateooria kontekstis edasi arendada, arvestades sellele teatud määral omast kallakut subjektiivsusele ja irratsionaalsusele?"

Minu vastus „traditsioonilise" Schenkeri analüüsi kriitikale sisaldab järgmisi väiteid: (1) subjektiivsus, kaugel sellest et olla paratamatu pahe, mida tuleks võimalikult vältida, on pigem analüüsi hädavajalik komponent, niivõrd kui see põhineb tervel, hästi väljaarendatud ja sõnastatud teoorial ja praktikal; (2) analüüs, nagu ka esituskunst, on interpreteeriv; (3) teised, hilisemad analüüsimeetodid, mis suuremal määral kui Schenkeri analüüs pretendeerivad teaduslikule objektiivsusele, on tegelikult niisama subjektiivsed, kui mitte veelgi subjektiivsemad; (4) Schenker lükkas ühemõtteliselt tagasi väite, nagu oleks tema analüüs teadus, eelistades käsitleda seda kunstina; (5) analüüs ise on tõlgendatav interpreteeriva kunstina; ja lõpuks, (6) Schenkeri analüüs ei ole mitte ainult teooria ja süsteem, vaid ka praktika ja käsitöö.

Nii näiteks on tänu paljude erinevate tõlgenduste võimalikkusele Schenkeri analüüsi puhul katsetulemuste korratavuse teaduslik põhimõte rakendatav vaid vähesel määral. Illustreerimaks tõlgenduste paljususe tähtsust Schenkeri analüüsis, on käesolevas töös võrreldud Muzio Clementi sonatiini *G*-duur *op.* 36/2 esimese osa (näide 1) töötluse kolme erinevat käsitlust. On näidatud, kuidas eri tõlgenduste kaleidoskoopilised mustrid moodustavad erinevaid kooslusi, sugulus- ja alluvussuhteid, ning kirjeldatud nende tugevaid ja nõrku külgi. Kõik kolm tõlgendust näitavad, et töötlus prolongeerib dominanti (V^{8-7}; näide 3), kuid igaühes toimub see erineval viisil, andes erineva kaalukuse *a*-moll-kolmkõlale taktis 25, *G*-duur-kolmkõlale taktis 30 ja vähendatud sekstakordile *e–g–cis* taktis 31.

Esimeses tõlgenduses (näide 5) laskub ülahääles väljapeetud helist d^2 sisehäälde kvardikäik c^2–h^1–a^1–g^1, mida toetab bassifiguur *d–a–g–d*. Bassi *g* kuulub tegelikult sisehäälde kui osa mõttelisest abikvartsekstakordist järgnevuses $V\frac{5-6-5}{3-4-3}$. Vähendatud sekstakord *e–g–cis*, mis laheneb dominanti, on selles tõlgenduses vaid kohaliku tähtsusega. Teises tõlgenduses (näide 6) on *G*-duur-kolmkõla tähtsust vähendatud ja akordi *e–g–cis* oma suurendatud; viimast on käsitatud dominanti prolongeeriva abiakordina (ülahääles on abihelikäik d^2–cis^2–d^2 ja bassis *d–e–d*). Kolmas tõlgendus (näide 7), kus *a*-moll-kolmkõla on seotud akordi *e–g–cis* kui oma kromaatilise teisendiga (vrd. näide 8), kajastab kõige täpsemalt akordide tähtsussuhteid muusikas, kuid minu subjektiivsele arusaamisele töötlusest vastab kõige rohkem esimene tõlgendus. Kõik kolm on võimalikud, kuid esindavad erinevaid rõhuasetusi.

Kolm viimast näidet (näited 9, 10 ja 11) osutavad, kuidas muusika aluseks olevaid neljataktilisi üksusi on laiendatud viietaktilisteks, mistõttu vaadeldav väga lühike töötlus kõlab tavalisest ettearvamatumalt ja huvitavamalt.

Towards a Performer-Oriented Analysis: Communication between Analysis and Performance in Schumann's D-minor Piano Trio

Cecilia Oinas

1. Introduction

In his article "Pianist as Critic," Edward T. Cone regards interpretation as a link between analyst[1] and performer, since both "depend first of all upon intuition guided by experience" (Cone 1995: 245). The ultimate aim of both the analyst and the performer is to create a comprehensive interpretation of the musical work, which has also been explained with terms such as musical narrative, plot, or, as Murray Perahia has poetically described, tones which "can somehow metaphorically transform themselves into some kind of story that one can make sense of" (Rink 2001: 12).

If analysis and performance share the same general basis, in what ways might they benefit from each other? This paper will try to answer the proposed question by combining aspects of analysis and performance in the opening movement of Robert Schumann's D-minor Piano Trio Op. 63 (1847) in a two-dimensional way: a performance influenced by analysis and analysis influenced by performance.[2] The purpose of this study is thus to illustrate both that analysis can help performers with their interpretation and that the experience gained from performance can inspire analytical insights.

2. Theoretical background

One of the most important issues related to performance is how to shape musical motion in time. The aspired shape usually emerges gradually during the performers' rehearsal process, which includes experimentation with timing, articulation, dynamics, and so on. As John Rink comments, "[v]ital for intelligible, effective performance, it means giving the *music a sense of shape in time* by devising a hierarchy of temporally defined musical gestures from the small to large scale" (Rink 1999: 218).

The idea of shaping and controlling musical motion in performance has been expressed also by Heinrich Schenker in *The Art of Performance* as follows:

> In a given piece, the tension must be maintained throughout. This must not result in using meter mechanically to ensure the flow of the music; the means that keep the piece in motion are of an inner nature, not of a superficially metric one. The impulse must renew itself continually from within. (Schenker 2000: 53)

From this and many other writings one can see how important it was for Schenker that analysis and performance communicate with each other. On the one hand, his own voice-leading graphs are often influenced by the way he viewed the works as a performer. On the other hand, he writes that "a thorough knowledge of all laws of composition" is the key for performers to recreate a musical composition (Schenker 2000: 3).

As we know, "thorough knowledge" primarily meant for Schenker the knowledge of harmony and voice leading. Yet many present-day theorists believe that other analytical tools can also be applied; for example, William Rothstein suggests that some of the most valuable tools are "analysis based on themes and motifs; metrical analysis; phrase analysis; and voice-leading analysis of the Schenkerian sort" (Rothstein 1995: 238). Janet Schmalfeldt uses, to quote her own words, "deliberately eclectic" analysis in her article of

[1] Cone uses the word 'critic' instead of 'theorist' or 'analyst' (Cone 1995: 241–253).

[2] The first version of this paper was presented in 2010 at the International Music Theory Conference in Tallinn where the examined passages were also performed during the presentation (myself at the piano). For the present article, I have recorded two of the discussed musical examples with my trio. These examples can be heard online at the following address: http://coinas.wordpress.com/articles.

two Beethoven Bagatelles which she examines from the viewpoints of an imagined "Analyst" and "Performer" (Schmalfeldt 1985: 1–31). Particularly fascinating is the latter part of her article where the Analyst responds to the questions asked by the Performer; their collaboration gives justifiable options to specific performance issues that arise from the ambiguity between form and harmony.

Yet it is hardly surprising that Schmalfeldt's conclusion is the following: "[…] there is no single, one-and-only performance decision that can be dictated by analytic observation" (Schmalfeldt 1985: 28). Furthermore, all analytical findings need not be directly projected in performance, since, as Rothstein comments "[…] the performer's task is to provide the listener a vivid experience of the work, not an analytical understanding of it" (Rothstein 1995: 238). Analysis might rather reinforce, complement, or even challenge the decisions that the performer has originally made, especially since they have, according to Schmalfeldt, "a strange way of becoming obscure" (Schmalfeldt 1985: 19) as the rehearsal process progresses.

Indeed, the present-day discussion about the relationship between analysis and performance favours a pluralistic viewpoint where the role of analysis is to give performers a "second opinion" without being excessively authoritative over performance. In his article "Performance and analysis: interaction and interpretation," Joel Lester suggests: "If pieces are regarded as composites of seemingly innumerable acceptable interpretative possibilities, the focus of analysis could shift from finding 'the' structure of a piece to defining multiple strategies for interpreting pieces. Performers could enter analytical dialogue *as performers* – as artistic/intellectual equals, not as intellectual inferiors who needed to learn from theorists." (Lester 1995b: 214) This is the direction I will aspire to take in the following discussion.

3. From Analysis to Performance (and vice versa)

The "Shaping" Alternatives of the Opening Phrase (mm. 1–14)

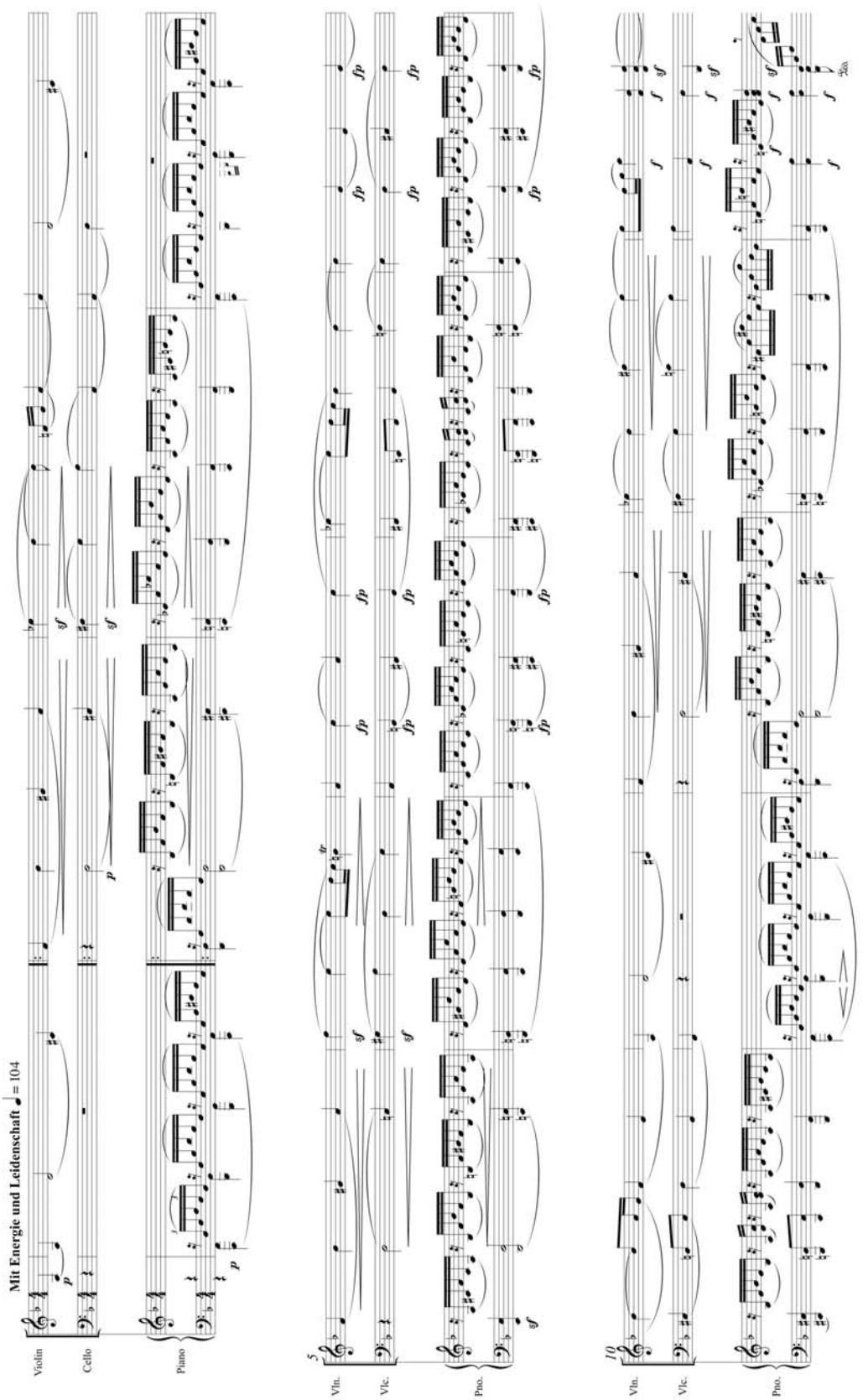
The first movement of Schumann's D-minor Piano Trio Op. 63 (*Mit Energie und Leidenschaft*) is an extensive sonata-form work with a dark and passionate character. I will begin with the opening phrase, which lasts from m. 1 to m. 14 and forms the primary-theme section (Example 1). One of the prominent features in the phrase is its metrical instability created with syncopations and somewhat irregular accentuation marks (*sf* or *fp*). In addition, long lines both in the strings and the piano's left hand create the impression of a perpetual melodic line, culminating in a perfect authentic cadence in m. 14 with the high a^2 in the violin and two consecutive *forte* marks.

I propose that the interplay between unpredictable accentuations and the motion towards the perfect authentic cadence in m. 14 are the initial issues that performers must deal with when starting to shape the first phrase.[3] Let us now examine how analysis might expand or challenge these assumptions.

Example 2 presents a voice-leading graph of mm. 1–7. From a harmonic point of view, the movement actually begins in *medias res*, since the I^6–VI–II^6_5–V–I-motion from m. 1 to 2 sounds more like a closing gesture than a beginning.[4] This remarkable feature – although not unique in Schumann's music – has its consequences: since the movement does not begin from a stable basis, it must find harmonic stability, that is, the root-position tonic, at some point elsewhere. But this effort is constantly postponed: even though we have a root-position tonic chord in m. 2, it is immediately overridden with both 5–6 motion and the ascending melody in the violin. In m. 4

[3] Other, more practical issues would be the balance: for example, since the cello line and the piano's left hand are very often in unison, the pianist has to drop the dynamics occasionally by a great amount, especially if the work is performed with a modern grand piano.

[4] The first phrase displays an interesting interplay between location and function in the so-called beginning–middle–end paradigm discussed by Kofi Agawu, among others: "Creative play of this kind is known in connection of classic music… It is also frequently enacted by Romantic composers within their individual and peculiar idiolects." (Agawu 2009: 53)



Example 1. Schumann, Piano Trio Op. 63, first movement, mm. 1–14.

we have the same harmonic motion as in m. 1. But now it both *begins* the next 4-bar unit and *ends* the previous one, thus creating an elision with the two similarly beginning units. Notice also that the tonic chord in m. 5 is obscured by the leading-tone suspension and the bass appoggiatura, which is even emphasized with a *sforzato* mark.[5]

Example 3 presents a middleground voice-leading analysis of the whole opening phrase. After the sequential *B* section, or the contrasting middle section, *A* returns in m. 11.[6] This time, however, the harmony moves to a subdominant chord (IV) at the end of m. 13 and continues to a perfect authentic cadence in the following measure. Thus in m. 14 we have, for the first time, an arrival at a root-position tonic chord that is not weakened in any way. Therefore I propose that the first phrase actually forms a large auxiliary cadence (I^6–IV–V–I) towards the structural tonic.

Besides the harmony and the bass line, also the top voice has an important role in creating a growing tension until the structural tonic is reached. Example 3 shows that especially scale degree $\hat{5}$ is present in many ways. First, it gradually travels from a to a^2, shown in a separate staff above the voice-leading graph. Second, it supports the descending motion towards the structural tonic with a local $\hat{5}$–$\hat{1}$ *Zug*. Third, $\hat{5}$ is also presented in the motif that is first introduced in m. 3 (marked with brackets in the separate staff in Example 3) and played by the violin. This brief motif invigorates the otherwise steady stream of half and quarter notes, and helps the violin part become more distinct from the cello and piano.

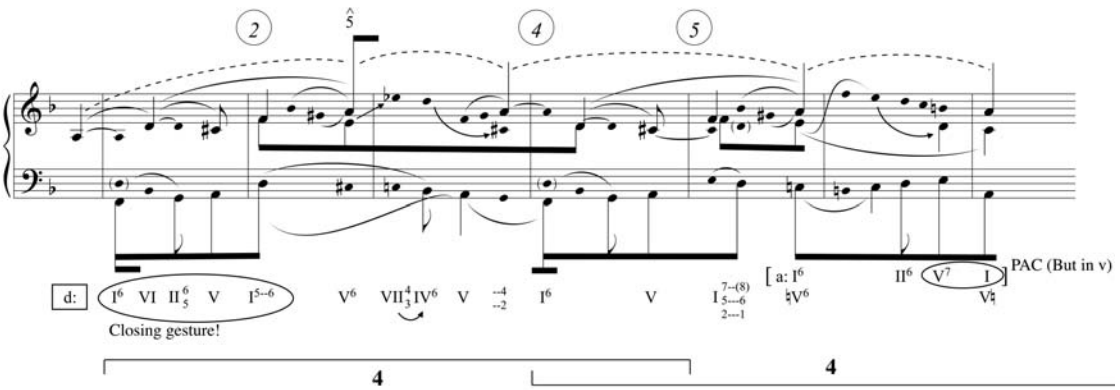
With these analytical insights in mind, we will now perform the first phrase. In addition to following Schumann's various performance indications as sensitively as possible, we will 1) concentrate on the dynamic motion towards the perfect authentic cadence in m. 14; 2) pay attention to scale degree $\hat{5}$, which operates in different octaves; and 3) slightly emphasize the previously mentioned violin motif.[7]

Our goal here was a performance in which analytical insights primarily complement our initial impressions of the opening phrase. Yet, as noted earlier, there are always other, equally justifiable ways to interpret a musical work.

Let us turn to the issue of syncopations and accentuations, which was mentioned previously as something that performers must tackle. Could a more careful examination of them help performers create another, perhaps more vivid interpretation of the first phrase?

Example 4 presents the melodic contour of the violin, along with different performance indications from the score. As can be observed, there are many interesting details in the foreground

Example 2. Schumann, Piano Trio Op. 63, first movement, mm. 1–7: voice-leading graph.

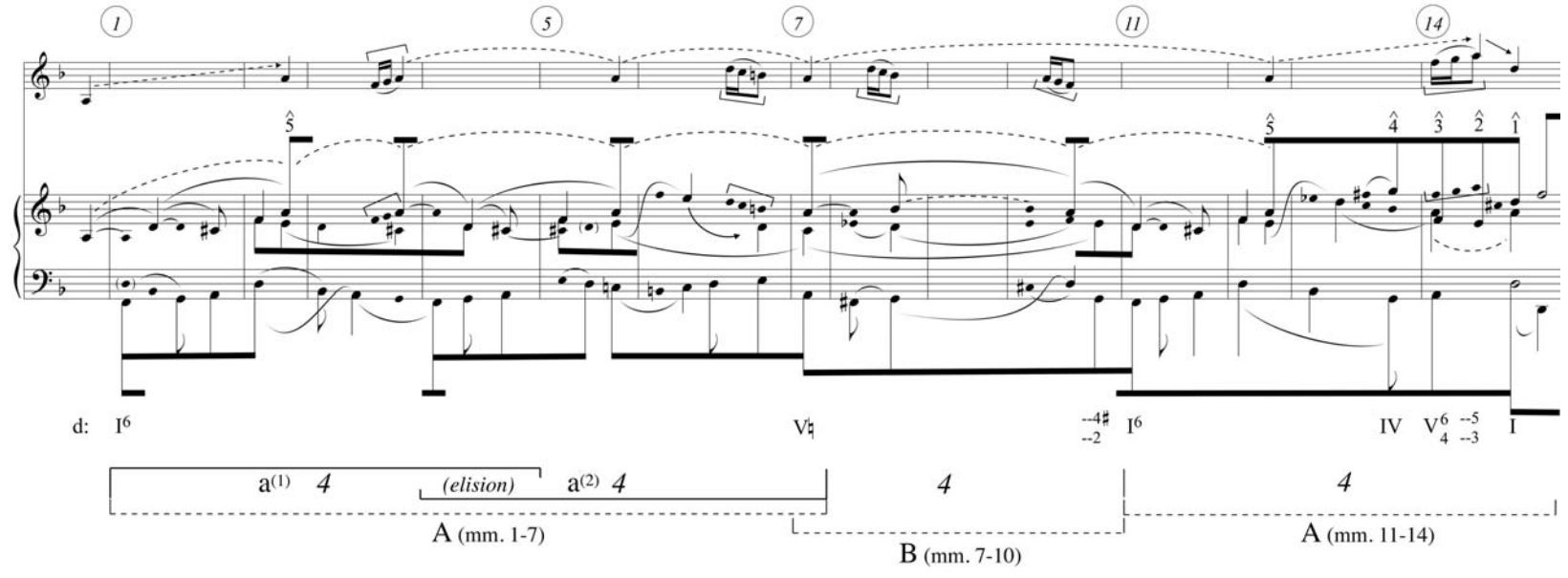


[5] Although I have interpreted the second beat of m. 5 as part of the tonic 5–6 motion, it is also possible to understand it as a pivot chord that ends up functioning locally as a Neapolitan sixth chord in A minor key.

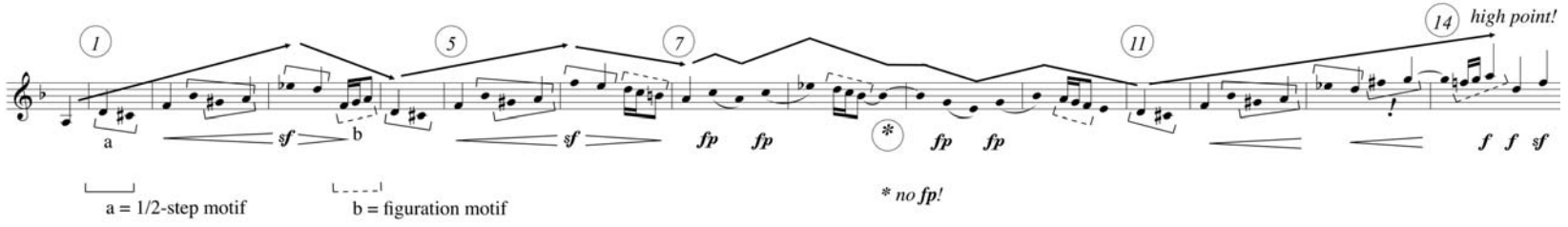
[6] The opening phrase might be also interpreted as a modified quatrain (a a b a).

[7] Please listen to performance (http://coinas.wordpress.com/articles).

Example 3. Schumann, Piano Trio Op. 63, first movement, mm. 1–14: voice-leading graph.



Example 4 Schumann, Piano Trio Op. 63, first movement, mm. 1–14: melodic contour of the violin.



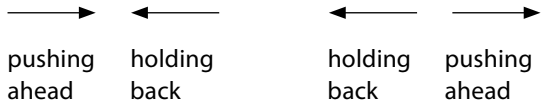
that require a decision from the performers: for example, the agogic hairpin marks (< >) and different accentuations seem to suggest that the music should not be played in a steady dynamic level and tempo all the time. In addition, the half-step motives and embellishments are mostly of a descending nature, which creates friction with the otherwise ascending melody.[8] The arrows in Example 4 illustrate the ascent and descent of the melodic line and show that it becomes more turbulent during the middle section (mm. 7–10). By contrast, the final stage (mm. 11–14) has the most straightforward ascent where even the half-step motif is now ascending from f♯^{2} to g^2 in m. 13.

It seems that even though our initial interpretation based on the auxiliary cadence with the ascending melody gave a plausible framework, it overlooked many crucial details. Do these details, presented in Example 4, suggest another way to shape the opening phrase?

In the chapter "Tempo and tempo modifications" of *The Art of Performance*, Schenker writes how "balance is established through the contrast of pushing ahead/holding back [or] holding back/pushing ahead" (Schenker 2000: 54). This is represented by the arrow symbols shown in Example 5. According to Schenker, there are several circumstances that require tempo modifications – in other words, *rubato* (Schenker 2000: 54). Particularly interesting is the notion of *sforzatos* (also *fp* and <> hairpins) on weak beats; these are advised to be played a bit earlier in time:

> […] ordinarily the bar organization gives the player no opportunity to shape the flow of time in an unusual way; an *sf* on the weak beat, however, gives the impression that the composer felt compelled to destroy the norm during a particular moment of intense emotion. (Schenker 2000: 61)

Example 5. Schenker 2000: 54.



He also reminds the reader that when moving to the next strong beat, the performer "must hesitate" to maintain the balance (Schenker 2000: 61). Here, as elsewhere in *The Art of Performance*, Schenker's "Analyst" and "Performer" are closely intertwined: it is obvious that as a pianist, conductor and composer, Schenker was intimately familiar with the performance tradition of the late 19th and early 20th centuries, a period when *rubato* was still quintessential to most performances. Yet he also wants to combine this tacit knowledge with the "laws of composition." However, Schenker's ideas seem to shed light on the miscellaneous performance indications in the Schumann trio. The first phrase can also be performed with a more active approach to shaping the musical flow with tempo modifications, following Schenker's advice.

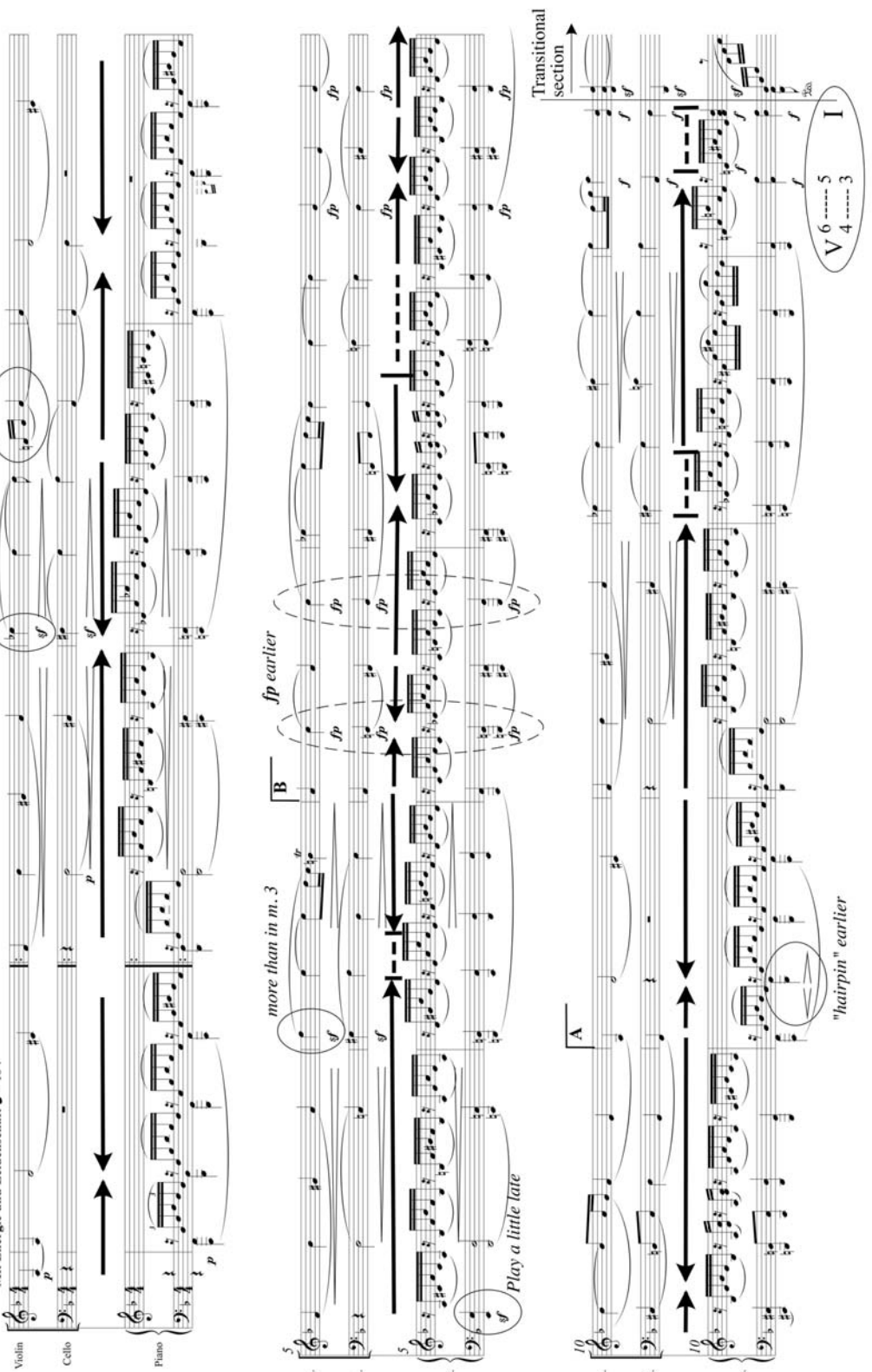
Example 6 presents a score of the first phrase with added indications (Schenker's arrows) on tempo modification. Notice that the two *sforzatos* in the *A* section are on dissonant chords and on strong beats (1 or 3), preceded by a *crescendo*, whereas the *fp*'s in the *B* section are on weak beats (2 or 4) without *crescendo*.[9] In our second performance, the *B* section with its *fp*'s will have a more restless character, because of the slight hurrying towards the weak beats. There is also one minor distinction between mm. 1 and 11: m. 11 contains an agogic hairpin mark (< >) towards the piano's B♭ bass note. It seems that Schumann wants to ensure here that the first beat of m. 11

[8] An interesting compositional detail is found in Schumann's sketches of the first movement: the *fp* which is used repeatedly in the contrasting midsection (mm. 7–10) follows the sequential pattern more predictably in the earlier version, where the last beat of m. 8 also has a *fp*. In the final, published version, the tension of the metrical expectation is manipulated even more since the "pattern" is distorted so that the next *fp* is only on the second beat of m. 9 (Kohlhase 1979: 37).

[9] Interestingly, the performance indications themselves (*sf*'s and *fp*'s) distinguish the *A* and *B* sections from each other since *sf*'s are only found in *A* and *fp*'s in *B*.

[10] Please listen to a second performance version of mm. 1–14 (http://coinas.wordpress.com/articles).

[11] I would like to add that there were differing opinions about the performances among the participants at the Tallinn Conference; some preferred the first performance and even considered the second one awkward (!), while others liked the second version much better. Nevertheless, all participants agreed that the two versions were very different from each other.



Example 6. Schumann, Piano Trio Op. 63, first movement, mm. 1–14, with tempo modifications.

will not be played too emphatically, allowing the *B* section to continue seamlessly back to *A*.[10]

I have presented two possible interpretations of the opening phrase which are, by no means, the only ones. Analytical considerations, brought into close rapport with the performance, pointed out significant issues, such as the overarching motion towards the culmination in m. 14.[11]

The tendency towards culminations, climaxes or musical high points have also been commented on by Kofi Agawu who regards them as central features in Romantic music. According to Agawu, a high point is "a superlative moment" which "may be a moment of greatest intensity, a point of extreme tension, or the site of a decisive release of tension. It usually marks a turning point in the form […]." (Agawu 2009: 61) Clearly, the high point of the first phrase is situated in the closing chords, along with the a^2 of the violin. However, in a large work such as the D-minor trio, one finds many kinds of "superlative moments": while some of them serve as local goals, some might also have far-reaching influence. Therefore, I would now like to introduce another, more complex example of a high point in the opening movement of the D-minor trio.

An "Intruder" in the Movement: the New Episode in the Development Section

About a third of the way into the relatively long development section, an unexpected episode emerges from m. 91 onwards. It begins in F major, the mediant key of the movement, and even has a dominant preparation in the previous measures (Example 7). The appearance of the new episode is certainly a turning point in the development section and has a stunning effect on the listener. Yet it also raises issues of interpretation for committed performers. For example, if one considers texture, dynamics, and the *sul ponticello*-playing technique of the strings, the contrast to the preceding music seems evident enough.[12] But is this material so new after all? Example 8 suggests that the answer is both yes and no: Even though there is an abrupt change in texture and melody, the rhythmic contour of the cello part, with its upbeat and syncopations, is actually quite similar to the primary theme. In addition, part of it is a loose inversion of the primary theme.

Is the cello part a (distant) transformation of the first theme, or even another secondary theme candidate, although in a formally wrong place?[13] And more importantly, how will the performers interpret the new episode – should it be disconnected from the previous material or should one emphasize the similarity of the rhythmic contour?

To answer the question, I would like to turn for a while to the formal coda (mm. 219–248) of the movement. The coda begins with an unusual harmonic failure, as the expected cadence on D major at the end of the recapitulation section proper is not fulfilled.[14] The failure motivates the coda to begin a new motion towards a closing cadence. First, the music falls back to D minor and onto a dominant pedal from m. 224 onwards. What follows is another, even more dramatic, attempt to reach a perfect authentic cadence in m. 227, underlined with both *ff* and *sf*.[15] Yet again the harmony is not the tonic but a diminished vii chord, although the cello descends to D. Suddenly the music begins to slow down and the piano material from the episode is introduced once more between mm. 238–241, although without the triplet repetitions (Example 9). In addition, the string melody is omitted, the violin and the cello playing octave unisons instead. Finally, the violent violin arpeggio on a Neapolitan chord on the upbeat to m. 242 begins the motion towards the end.

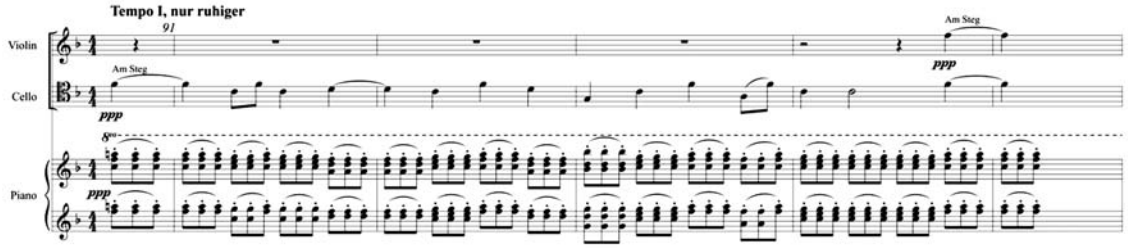
[12] In the score, Schumann has written the *sul ponticello* indication in German (*Am Steg*).

[13] It is somewhat problematic to locate the real secondary theme of the movement: first, a new theme is introduced on the dominant of the secondary key (F major) between mm. 27–34. Yet when the tonic chord in F major is finally reached in m. 35, the following section (mm. 35–42) does not introduce thematically independent new material but is a combination of that of mm. 35–42 and the primary theme. Retrospectively, the theme on the dominant (mm. 27–34) turns out to be the secondary theme of the movement, or at least this is the way in which Schumann seems to treat it.

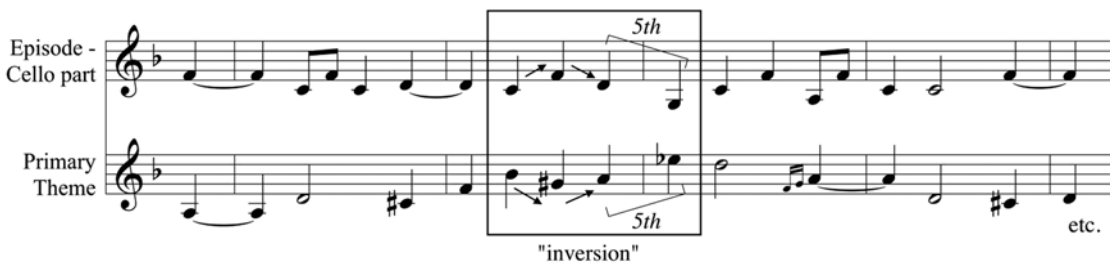
[14] To me this is also the moment of greatest emotional frustration in the whole movement; for a few seconds, it seems that the music does not really know where to go. Unfortunately this peculiar moment is often overlooked in performances.

[15] Even if one does not hear an attempt to cadence at m. 227, it is, in any case, a very dramatic moment serving as a local (registral) high point with the c^4 in the violin.

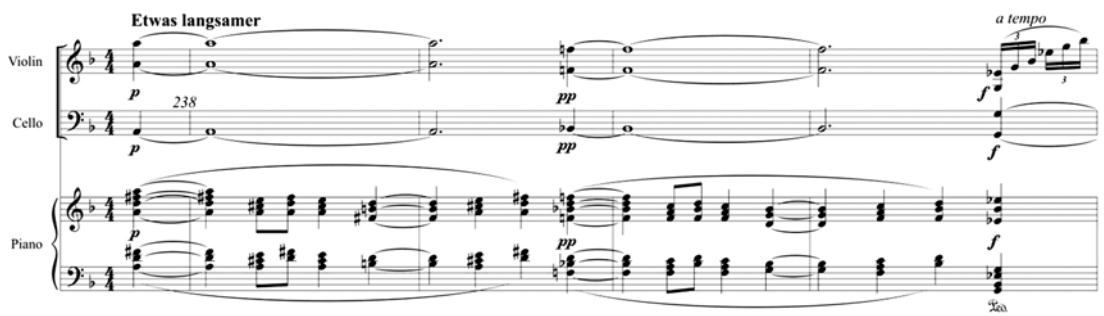
Example 7. Schumann, Piano Trio Op. 63, first movement, mm. 91–95.



Example 8. Schumann, Piano Trio Op. 63, first movement, mm. 91–95 compared with mm. 1–5.



Example 9. Schumann, Piano Trio Op. 63, first movement, mm. 238–241.

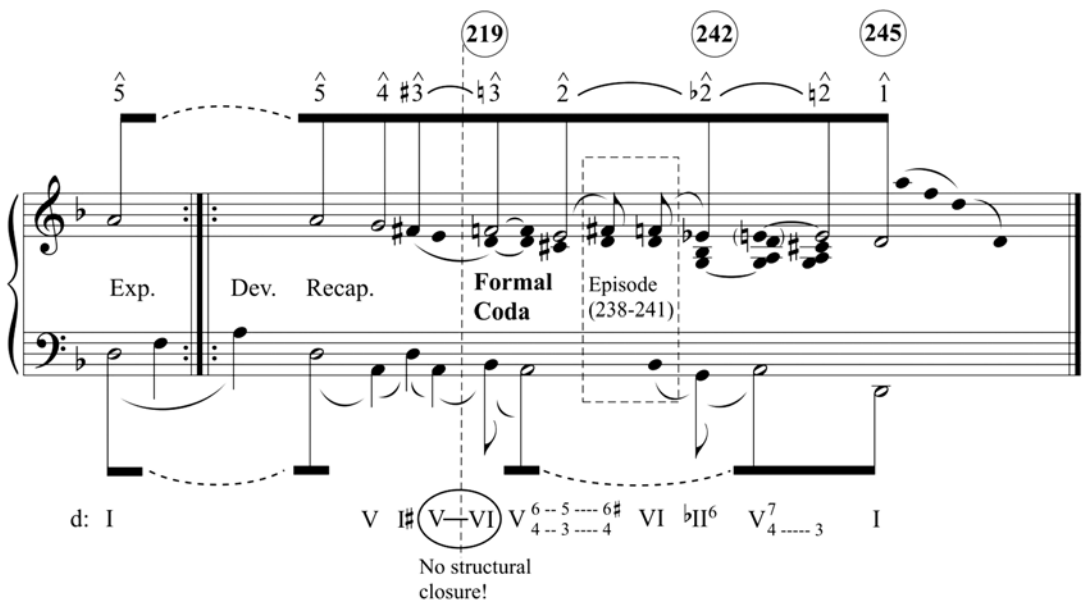


I believe that, metaphorically, the episode tries to raise the music to another, more spiritual level. It can be seen as an idealized, purified version of something that the movement eventually cannot become. Yet at the same time the episode is an "intruder," an integral part of the movement from this moment on, since after the recapitulation section it recurs in the coda, surrounded by the dark main character of the movement.

Because of the highly original episode and its surprising recurrence in the coda, I propose that performers "act" with the music: although the episode blends into the harmonic process later in the development section, its first appearance should sound new and surprising.[16] The similarity of the rhythmic contour with that of the primary theme is evident, but performers do not need to bring it out. The situation is different in the coda, however. Even though the episode is still somewhat surprising, it is not harmonically independent, since it begins on the cadential $\frac{6}{4}$ chord, preceded by a dominant pedal in D minor. After two measures, the harmony moves to a B♭-major chord – a very magical moment itself – before beginning the final motion towards the closing cadence. Thus I feel that the episode is a quiet reminiscence, which no longer opens a new avenue. It holds the music for a while before the final goal, although Schumann has tried to evade this goal in almost any possible way.

Pondering the role of the episode from the performers' viewpoint can serve as an inspiration for the structural voice-leading analysis as well (Example 10). Because of the distinctive nature of the formal coda, and the fact that the recapitulation does not succeed in creating a satisfactory closing cadence, I believe that the *Urlinie* descends to $\hat{1}$ only in the final measures.[17] The beginning of the formal coda with a deceptive cadence might be regarded as creating an upper neighbour tone of the structural dominant, beginning from m. 224. Correspondingly, the Neapolitan sixth chord is a lower neighbour of the structural dominant, decorating the final closure in a most dramatic way. Yet even the structural tonic in m. 245 seems to leave some tensions unresolved: notice how

Example 10. Schumann, Piano Trio Op. 63, first movement: structural voice-leading analysis.



[16] The analogy between performing music and acting has been discussed for example by Rothstein (see Rothstein 1995: 237).

[17] Even though one finds an authentic cadence (albeit syncopated) in the recapitulation proper (m. 213), it is difficult for me to experience – even in an abstract sense – that the rest of the music prolongs the structural tonic or belongs to the cadential section.

the violin plays a descending a^2–f^2–d^2 arpeggio in the high register before moving to the lower d^1. As such, it also relates to the ascending a–d^1–f^1 arpeggio of the primary theme and thus beautifully rounds off the movement.

In his article on Schumann, Lester remarks: "Each of Schumann's sonata-form movements is individual in conception, because each uniquely relates its large structural and narrative plans to its thematic content" (Lester 1995a: 190). There could be no better example of individual conception than the surprising use of the episode in the middle of the development section and its final ramification in the coda. Seen in this light, the formal coda of the D-minor trio becomes a crucial part of the movement, both in the voice leading and the musical narrative, since many things are as yet unresolved at its beginning.

4. Conclusions

> If our manner of speaking were continually to remain on one pitch and the syllables were the same length we would have no structure, no differentiation, and thus we would lose any possibility of communication. (Schenker 2000: 45)

In this paper, I have aspired to show that analysis and performance communicate with each other on many levels. By taking another look at the musical work, analysis can offer choices for musical interpretation, or, as Rink notes, "even if the music seems to 'exert its own control,' interpretation always involves choice, and the basis for choosing, for discrimination, must be musically – that is, historically, stylistically, analytically, technically, expressively – viable" (Rink 1995: 257).

Although historically informed performance practice has come to encompass the music of the 19th century in the past decades, Romantic music still presents many challenges for performers, especially in musical motion and shaping. One reason for this might be the fact that performers are accustomed to maintaining a steady tempo throughout the piece, unless clearly stated otherwise in the score. But there is also the issue of the notation tradition: a score that was informative enough for 19th-century musicians might leave many questions unanswered for today's musician.

The need to shape musical motion in Schumann's music was also noted by his contemporaries: in 1883, Franz Liszt described how "Schumann especially must be phrased well in details; and played very compact[ly] – rhythmically well articulated. With him *ritenuto*s should be great, as with Mendelssohn the *accelerando*s and *animato*s are great" (Hamilton 2008: 20). I find Liszt's instruction on Schumann's phrasing, rhythmical articulation and *ritenuto*s extremely useful in the first movement of the D-minor trio, where tension and release along with different levels of high points create a complex web, which musicians must resolve in some way or another in performance.

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Interpretatsioonile orienteeritud analüüsi katse: analüüsi ja interpretatsiooni vastasmõju Schumanni klaveritrios *d*-moll

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Cecilia Oinas
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Kuigi ajaloolise suunitlusega esituskunst on viimastel kümnenditel pöördunud ka 19. sajandi heliloomingu poole, valmistab romantiline muusika seniajani interpreetidele raskusi, eriti muusikalise kujunduse ja ajastatuse osas. Käesolev kirjutis püüab heita valgust neile küsimustele, ühitades Schumanni klaveritrio *d*-moll *op*. 63 (1847) avaosa analüütilisi ja interpretatsioonilisi aspekte. Põhiliseks analüüsimeetodiks on Schenkeri harmoonia- ja häältejuhtimisanalüüs, kombineerituna vormi- ja narratiivse analüüsiga.

Osa vaatlus algab reljeefsest, harmooniliselt ebapüsivast alguslausest (taktid 1–14, näide 1), mis jõuab strukturaalse toonikani alles oma lõppkulminatsioonis. Analüütiliste tähelepanekute põhjal pakutakse välja lausekujunduse kaks alternatiivset, kuid võrdselt põhjendatud esitusvarianti.

Näide 2 kujutab alguslause häältejuhtimist koos märkustega harmoonia ja vormi kohta. On huvitav, et põhikujus toonika puudumise tõttu mõjub harmoonia taktides 1–2 pigem lõpetavalt kui alustavalt. Selline alguse ja lõpu ambivalentsus jätkub taktis 4, seoses kahe sarnaselt algava vormiüksuse haakumisega. Näites 3 on kujutatud taktide 1–14 kesktasandi häältejuhtimist koos vormilise liigendusega. Häältejuhtimise seisukohalt moodustab esimene lause ulatusliku abikadentsi, mis laheneb strukturaalsesse toonikasse alles taktis 14 koos ülahääle laskuva kvindikäiguga $\hat{5}$–$\hat{1}$. Seejuures tõuseb $\hat{5}$ registriliselt kahe oktavi võrra (a–a^2), rõhutades seega lause lõppkulminatsiooni. Näites 4 on kujutatud taktide 1–14 viiulipartii üldist meloodiajoonist koos dünaamikamärkidega. Muutlikud esiplaanidetailid näivad eeldavat nii dünaamika kui ka tempo osas paindlikku tõlgendust.

Schenker on kasutanud *rubato* kujutamiseks ette- või tahapoole suunatud nooli, tähistamaks vastavalt tempo kiirendamist ja aeglustamist (näide 5 – Schenker 2000: 54). Näites 6 on samasuguste noolte abil kujutatud soovitatavaid tempomuudatusi taktides 1–14, lähtudes meloodiajoonisest (näide 4) ja Schenkeri seisukohtadest tempomuutuste seostest rõhkude ja *sforzato*'dega.

Teisena on vaadeldud töötluses leiduvat üllatuslikku episoodi (taktid 81–95, näide 7), mis tõstatab mitmeid esitusalaseid küsimusi. Näites 8 on seda võrreldud ekspositsiooni algusteemaga. Kuna episoodi materjal naaseb võimendatult koodas (taktid 238–241, näide 9), on sellel kaugeleulatuv mõju tervele osale nii häältejuhtimise kui ka narratiivsuse mõttes.

Näide 10 kujutab osa süvatasandi häältejuhtimist. Kuna repriisis ei teki rahuldavat lõpukadentsi, saabub *Urlinie* $\hat{1}$ alles kooda lõputaktides, pärast töötluse episoodi meenutust.

Lõpetuseks on väljendatud mõtet, et analüüsi ja interpretatsiooni vastasmõju leiab aset paljudel tasanditel. Valgustades heliteost uuest perspektiivist, pakub analüüs esituse jaoks mitmesuguseid valikuid ja „eriarvamusi", mis siiski pole liialt siduvad. Samal ajal võib interpretatsiooniline kogemus rikastada analüütilisi tähelepanekuid.

Masks of Satire, or Surrealism Infiltrates the Symphony: An Interpretation of the Humoresque of Nielsen's Symphony No. 6

Avo Sõmer

The Humoresque of Carl Nielsen's Symphony No. 6 (*Sinfonia semplice*, 1925) is a unique and puzzling movement – disturbingly different from the composer's earlier works. It seems to cry out for an interpretation; indeed, its outlandishness has been observed repeatedly. One cannot agree with the Danish musicologist Jan Maegaard, who simply dismisses the movement as a scherzo that "can hardly be taken as much more than a joke" (Maegaard 1994: 108). Robert Simpson, in his study (Simpson 1979), and especially Jonathan Kramer, composer and theorist, in an extended analytical chapter in Kramer 1994, have devoted considerable attention to the Humoresque. Simpson finds in it "derision" and "bitter humour," "mock-military rhythms" and a "forced cynicism" (Simpson 1979: 124–126), while Jonathan Kramer hears "imaginatively grotesque touches," "gallows humor" and "fascinating *non sequiturs*" in a "wildly chaotic movement" (Kramer 1994: 324, 327, 329), going as far as to claim that this represents musical "post-modernism," albeit composed in 1925 (Kramer 1994: 291)! Both Simpson and Kramer engage in detailed description and analysis, and it has been worthwhile to consult them – in particular, Kramer – without necessarily always agreeing with him.

My goal here is, first, to outline the crucial junctures in the expressive narrative of the Humoresque, and second, to seek out parallelisms and esthetic affinities between the events in the Humoresque and in the music of other composers of Nielsen's time, as well as the visual arts and theater – not so much to search for influences but to clarify the esthetic position of the Humoresque. My approach is essentially style-historical. My comparative-interpretive attitude exemplifies neither a method nor a technique but an intuitive process of expanding the sphere of appreciation of the work.

The Humoresque is based on three sharply contrasting musical ideas. First, there is an introductory, highly fractured, pointillistic orchestral texture, which is immediately followed by a second idea, an atonal, eleven-note clarinet melody that Simpson calls an "ugly, twisted subject" (Simpson 1979: 124), which at once undergoes a short, dense development. Meanwhile the snare drum utters threatening, scolding commentary, creating a sense of conflict. And third, an unambiguous tonal melody in F♯ major appears, in the clarinet and bassoons, reminiscent of folkloric music, a peasant dance that Simpson calls a "real tune" (Simpson 1979: 125). Even without the intentionally ludicrous, clowning glissando of the trombone – a "yawn of contempt," evoking a sense of absurdity –, the contrast between the modernist passages and the peasant tune creates an extreme expressive incongruity otherwise quite unheard of in Nielsen. (According to Simpson, the term "yawn of contempt" significantly originated with Nielsen himself; see Simpson 1979: 125.) My initial, tentative reaction to the Humoresque was to consider it, indeed, as a kind of musical "Dada." After all, the Dada movement of absurdist, quasi-theatrical performances in Zurich and Berlin flourished only 5 or 6 years before Nielsen's Sixth Symphony and manifested a violent, desperate reaction of the artists against the horror and insanity of the Great War (Hamilton 1972: 365, 378–380), and it seems that Nielsen tended to share such feelings.

It is in the light of his earlier symphonic works that the Humoresque seems so uniquely problematical. In the twenty years from 1902 to 1922 in his symphonies Nos. 2, 3, 4 and 5, Carl Nielsen had extended late Romanticism and established an innovative musical language of modal/tonal pitch materials and occasionally strikingly dissonant chromaticism, expressed through neo-classical forms, engaging vigorous contrasts and elaborate thematic transformation. And in Symphony No. 5, especially in the expansive first movement, Nielsen had even created a scenario of particularly "modern" gestures and expressive attitudes decisively remote from 19th-century traditions. In the immediate context of the Fifth Symphony and the other movements of Symphony No. 6, however, the Humoresque represents an alarming departure.

You may recall that the first movement of Symphony No. 6, *Tempo giusto*, begins with tinkling toy instruments and jaunty, "simplistic" (child-

like) opening themes, perhaps implying an air of gentle parody; but later, it gives way to an aggressive *fugato* leading to a deeply felt sense of tragedy, culminating in a terrifying climax. The Humoresque, however, intensifies the sense of parody and creates a radical discontinuity. The playful absurdity of the Humoresque also contrasts sharply with the brooding, amazingly Bartókian, slow, third movement, where Nielsen seems to proclaim a 20th-century main-stream style without yielding to the then current avant-garde "modernisms" (that is, Schoenberg, Berg, Edgar Varèse, and others). The two final symphonic works of Nielsen, the wonderful concertos for the flute (1926) and the clarinet (1928), signify further movement in the direction of gradual consolidation of a significantly new, personal language thoroughly at home in its epoch. The concertos contain highly dramatic moments, colorful contrasts and imaginative transformation of ideas continuing along a path of stylistic development familiar from the Fifth and Sixth symphonies.

The Humoresque opens with two references to the modernist music of his day; but Nielsen does not quote particular compositions, instead, two readily recognizable styles. The introductory pointillism recalls, for instance, the orchestral introduction to the Magic Trick of Stravinsky's *Petrouchka* (First Tableau), while the atonal, "ugly twisted melody" of the clarinet and its immediate contrapuntal continuation recall something like the *Peripetie*, the fourth of the Five Pieces for Orchestra, Opus 16, of Schoenberg.

The pointillism of the Humoresque is clearly not that of Debussy or Ravel but something more acerbic, more provocative and ominous, more Stravinskian in view of the sharp clash between the extreme registers of the piccolo and the bassoon. On the other hand, the clarinet melody represents a surprisingly close stylistic-expressive parallel to the soaring contour of the clarinet passage early in the Schoenberg piece, even though Schoenberg's full-bodied orchestration is dramatically different from the chamber-music transparency of the Humoresque. Nielsen's dissonant contrapuntal continuation of the "twisted" clarinet melody at first leads to near-total chaos, at least in comparison with the composer's usual procedures. Only gradually do the woodwinds discover the sobering possibility of motion in unison-octaves, or later in parallel thirds, which manages to clarify the texture and prepare the way for a harmonic resolution leading towards a cadence.

The telling factor of the atonal clarinet melody and its contrapuntal continuation is a theoretical sloppiness: the "serial technique" here seems clumsy and inadequate in terms of Schoenbergian practice. Notes are freely repeated before an 11-note series has been completed; efforts at complementation are almost absent; major-minor triads abound. It is a distorted, cumbersome splash of atonality, that is, a deliberately awkward pretense of serialism, in effect a parody (or satire!) which could hardly be taken seriously as an attempt to compose "modernist" atonality. Jonathan Kramer appears to take it seriously, however, for he drags forth the analytic arsenal of serial analysis and set theory, etc. (Kramer 1994: 328–329), thus for the moment at least becoming the butt of Nielsen's "bitter humor." Nielsen himself clearly does not take it seriously; instead, he wears atonality lightly, only temporarily**,** as a satirical mask and soon enough abandons it. During the remainder of the Humoresque, as well as in the third and fourth movements of the symphony, serialism clearly plays no role whatsoever. Even in the Humoresque, attention shifts to the peasant tune and the deployment of motivic, developmental procedures. Atonality does not signal a serious or permanent turn of Nielsen towards a more aggressively modernistic style. The Humoresque remains a uniquely experimental scherzo.

It is difficult to find another important 20th-century composer whose work might trace a similar path of stylistic development that is interrupted by a moment of extreme experimentation. Only the forth, final movement of Jean Sibelius's Symphony No. 4 comes to mind. This begins in typical Sibelian fashion, to be sure, but near the end it includes a developmental passage (from rehearsal letter O to S), where the level of dissonance content rises dangerously, and the density of the contrapuntal texture creates a complexity and harshness that remains unique yet rare for Sibelius. This represents a point of furthest advance of Sibelius towards modernism, after which Symphonies Nos. 5, 6, and 7, together with *Tapiola*, mark a return to his established personal musical path, together with touches of Neo-Classicism.

The Finale of the Fourth Symphony, however, does not reveal any satirical intent.

It is ironic that almost at the same time that Nielsen engaged in his satire of modernism in the Humoresque, in 1925, Arnold Schoenberg composed his Three Satires, Opus 28, for vocal soloists, chamber choir and a small instrumental ensemble. Schoenberg deliberately parodies not only Igor Stravinsky, specifically, but neo-classicism in general and thus presumably all composers attempting to persist in pursuing functional tonality. The work consists of two short *a cappella* choral pieces and a longer third movement, essentially a choral cantata. The music does not sound especially satirical, however, except for the opening choral movement, *Tonal oder Atonal?*. The parody is unmistakably clarified only in Schoenberg's text, sung in the vocal parts. But it seems unlikely that either Nielsen or Schoenberg knew of each other's satirical efforts. We know that Nielsen met Schoenberg in 1925 (in Beaulieu, near Nice) and found conversation with him pleasant and rewarding, although we also know that while he thought highly of *Verklärte Nacht*, he did not at all care for Schoenberg's Three Piano Pieces, Opus 11 (Maegaard 1994: 106).

The significance of the "mask" in the Humoresque – as a gesture of disguise, as pretense – deserves further reflection.

Masks appeared widely in the earlier 20th-century in the theater as well as visual arts, in painting and sculpture, serving important expressive functions and conveying "modernist" attitudes. The depiction of African masks by Pablo Picasso's in his 1907 painting *Les Demoiselles d'Avignon* is perhaps one of the best-known but only one of many uses of such masks, as the exhibition "'Primitivism' in 20th Century Art" at the Museum of Modern Art in New York in 1984 amply demonstrated. Masks appear in the sculptures of Constantin Brancusi and Jaques Lipchitz, the drawings of Paul Klee as well as the paintings of George Braque, George Rouault and Edvard Munch, among many others. Indeed, as the exhibition of the paintings of the Flemish artist James Ensor, last year at the MoMA, demonstrated, masks could also be found at the end of the 19th century. Ensor's paintings of human skeletons and figures wearing carnival masks create powerfully expressive, fantastic allegories that are often admired as precursors of 20th-century expressionism.

In 19th-century opera, masked characters figure prominently for example, in several of Verdi's works (and not only in *Un Ballo in Maschera*), and in Leoncavallo's *Pagliacci,* echoing the turn-of-the-century interest in *commedia dell'arte*. Nielsen's own second opera, *Maskarade* (1906), based on an 18th-century play, appears not to have led the composer to an exploration of early-modernist musical techniques, yet it gained considerable popularity as "the Danish national opera." Through its masks, it created a sense of modernity in that it at least temporarily obliterated outmoded class distinctions on stage and permitted some of the characters to escape their oppressed lives within a rigid society and achieve a degree of personal liberty and sense of *joie de vivre* (Rockwell 1983). Nielsen's Symphony No. 2, "The Four Temperaments" (1902), is also relevant here, because in the realm of purely instrumental music it led the composer, as it were, to put on different musical masks in the different movements by turns phlegmatic or sanguine, choleric or melancholy. In Symphony No. 2, one observes Nielsen's sense of humor, especially as he attempts to distinguish between the "sanguine" and the "phlegmatic" character; in the Humoresque of Symphony No. 6, however, the bizarre juxtaposition of pointillism and atonality to the peasant dance seems to be governed by an air of desperation and mockery. The Humoresque may be said to reflect the composer's "disillusionment with his own lack of international success, and bewilderment at the state of modern music [that] clouded his mood" (Fanning 2001: 892); although the masks render Nielsen's satire of high modernism somewhat disguised or indirect, their clumsiness and grotesqueness in turn lends them an added, bitter intensity.

In any interpretation of Nielsen's esthetic outlook, it is important to acknowledge the contribution made by his wife Anne Marie, an important sculptress and artist in her own right. In spite of their occasionally troubled marriage, it was marriage as a true meeting of minds. Anne Marie played a crucial role in Carl Nielsen's formulation of his "central esthetic preoccupations with movement, clarity, boldness and the essential drives of human nature" (Fanning 2001:

890). But Anne Marie's presence also opens an additional avenue of interpretation of Nielsen's Sixth Symphony's reference to the visual arts. I have already suggested this with my references to masks in modern painting; but it is now necessary to move beyond my preliminary characterization of the Humoresque as "Dada" and to move ahead to Surrealism. The goals of Dada were largely negative, even self-destructive, and the movement quickly disintegrated in the 1920's. But in several ways it was extended and superceded by Surrealism, which quickly spread and grew to include not only poetry but also painting as well as theater and the ballet, even politics.

Surrealism proposed, according to the various Manifesto's and other writings of André Breton and Max Ernst, to create art that would be liberated from the control or censorship of rational, logical thought, and from traditional "esthetic and moral preoccupations." And it proposed to accomplish this essentially through psychic automatism, that is, "automatic writing" (or, "automatic drawing" in the visual arts), even though soon enough this turned out to be more a symbolic or ideological program rather than a practical method for creating art. Nevertheless, Surrealism emphasized creative spontaneity and advocated the discovery of the "unconscious" or the "inner child" as artistic motivation (Ades 1974: 124–125). Of course, one might question the novelty of such an idea; inspiration for making art, in the 19th and 20th centuries, often could be said to explore unconscious regions. But Surrealist theory, especially the thinking of André Breton, was frankly indebted to the psychoanalytical writings of Sigmund Freud (Chipp 1968: 411–412). Giorgio de Chirico was only briefly a member of the Surrealist group, but he served as one of Surrealism's important forerunners; de Chirico wrote that "[…] the work of art must have neither reason nor logic; in this way it approaches the dream and the mind of the child" (Klingsöhr-Leroy 2006: 32). Art historians also point to an intense interest in children's art in the work of Paul Klee, who often achieved a Surrealist atmosphere of the "uncanny" and the "magical" (Hartt 1985: 914–915).

In formal terms, the structure of Surrealist paintings often presents a conflict of highly incompatible, even arbitrary or contradictory elements that tend to subvert narrative coherence. The paintings create shocking surprise in order to achieve an increased intensity of expression and propose to move beyond the juxtaposition of incongruous images to a new "super-reality" (*sur-realité*). The poet Lautréamont (Isidore Ducasse) had furnished the Surrealists with their "most succinct metaphor for the appearance of the marvelous within the banal: 'As beautiful as the chance meeting on a dissecting table of a sewing machine and an umbrella'" (Hamilton 1972: 389). In describing Surrealist collage, Max Ernst evoked images undergoing a "complete transmutation, followed by a pure act, as that of love: [...] the coupling of two realities, irreconcilable in appearance, upon a plane which apparently does not suit them" yet melding "into a new absolute value, true and poetic" (Chipp 1968: 427). The more arbitrary the choice of elements, the more incongruous, jolting, jarring, the more it might be possible that the work of art, as it were, through a "loving" act of mutual absorption, might achieve an expression of the "uncanny." One thinks of the paintings of René Magritte and also of Picasso, who exhibited some of his stunning collage sculptures together with the surrealists in Paris in the early 1930's.

The term "Surrealism" was coined by Guillaume Apollinaire in 1917 on the occasion of Erik Satie's ballet "Parade," with sets and costumes by Picasso, reminding us that music played a role in the development of Dada and Surrealism from the beginning (Albright 2004: 319–321). Here the obligatory incongruity that marks a Surrealist work arises in Satie's music through the sounds of street entertainments, a circus sideshow, and some amazing sirens (Erik Satie, *Parade:* III, *Prestidigitateur chinois*).

It is also appropriate at least to cite a ballet of Francis Poulenc, "The Model Animals," 1940, albeit composed about fifteen years after Nielsen's Humoresque yet usually included in the Surrealist camp. The events on stage, including masked dancers representing animals, enact a parody of human foibles, while the music is mostly typical neo-classical Poulenc. At least one scene, a combat between two roosters, is accompanied by orchestration characterized by the writer Colette as particularly "bloodthirsty" (Halbreich 1997: 13).

Carl Nielsen's Humoresque, from Symphony No. 6, presents an expressive narrative alarmingly

faithful to Surrealism in the music itself in its blunt juxtaposition of textures and thematic materials, of rhythmic scenarios and timbres, which at a crucial junction clash with the incongruous peasant dance and which, in turn, is ridiculed by the "yawn of contempt" of the trombone. But the Humoresque also concludes with an additional Coda, constructed above a quietly hysterical pedal point in the bassoon, while fragments of previous thematic materials are combined in a slowly descending, diminishing wave of energy, melding in a gesture of conflict resolution and reaching a poetic transformation of images, a "gesture of love," as it were, recalling the admonition of Max Ernst to discover the "uncanny."

The fourth movement Finale of Symphony No. 6, a theme-and-variations form, casts several backward glances towards the Humoresque's experiment with Surrealism. Sharp contrasts, of course, are often found even in Classical-Romantic variation forms, yet Nielsen's Finale seems to reach beyond the traditional (Maegaard 1994: 108–110). Especially the sixth and seventh variations assume a quasi-Surrealist stance. Both variations are based on the same transformation of the melody of the theme into a waltz! – at first, suddenly silly, but in the seventh variation quite threatening, rhythmically conflicted and texturally broken up, altogether explosive. The ninth variation, primarily for percussion instruments, includes utterly incongruous, murky croaking and groaning of the tuba (in its lowest register). The unity of the movement as a whole is certainly radically disrupted but not destroyed.

As might be expected, Nielsen's stylistic explorations in the Humoresque appear to have left palpable traces in his subsequent orchestral compositions, especially the Clarinet Concerto (1928), defining his particular kind of "neo-classical" musical modernism. Engaging the liberties of improvisatory virtuosity typical of the genre, the Clarinet Concerto employs sharply contrasting, occasionally even incongruous materials in different episodes, as well as disruptive interjections and outbursts that sometimes lead to a sense of fragmentation of the musical discourse. Pitting lyric, intimate, cantabile or playful materials against ominous, threatening, even violent gestures and militarist music, it occasionally leads to a sense of despair. But it also evokes parody or grotesquerie, transforming familiar traditional elements; occasionally this results in a clownery leading to a sense of the absurd. The concerto also includes chromatic episodes and boldly, stridently dissonant passages, briefly approaching free atonality.

Similar features appear, yet even somewhat more emphatically, in the symphonic music of a number of composers only a few years after Nielsen's Symphony No. 6 or his Clarinet Concerto, in works composed in 1928–1932 mostly in Paris; for example: Maurice Ravel, Piano Concerto in G (first and third movements); Sergey Prokofiev, Symphony No. 3, Op. 44 (first and third movements, based on music from the opera "The Fiery Angel"); Arthur Honegger, Symphony No. 1 (first and second movements); Francis Poulenc, Concerto for Two Pianos and Orchestra (first movement).

It may not be appropriate to go as far as to identify a definite Surrealist movement or phase within twentieth-century musical history, but a "surrealist attitude" nevertheless seems to have left strong traces within the modernism of the first half of the century: a musical surrealism functions very near the central core of musical modernism. And it is not a question of Surrealist painters, or the manifestoes of André Breton, having exercised a direct influence on the composers, but a more general question of a kinship of aesthetic principles and of style and technique.[1]

[1] The original presentation of this paper at the Sixth International Conference on Music Theory, Tallinn, October 15, 2010, concluded with a display of the reproductions of the two paintings cited below. I do not claim that these paintings look the way the Humoresque sounds but merely wish point to the juxtaposition of visually incongruous images that are the source of the surrealist sense of the "uncanny." In the Salvador Dalí painting "The Persistence of Memory" (1931) it is the several limp, dangling watches that contrast with the sharply outlined cliffs of the distant, rocky sea shore; and one observes a rather unlikely marine organism, a snail perhaps, in the center of the picture. In the Max Ernst painting "Approaching Puberty, or The Pleiades" (1921), the nude figure of a headless young woman seems hovering in the air above the blue of the waves, while in the upper right-hand corner, the brown, blurred smudges represent perhaps a flock of doves in flight. You may recall, that Orion pursued the Pleiades seven young maidens until Zeus came to their aid, transformed them into doves and finally installed them as a constellation in the heavens.

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Satiirilised maskid ehk sürrealism sümfoonias: Nielseni 6. sümfoonia „Humoreski" tõlgendus

Avo Sõmer

Carl Nielseni 6. sümfoonia (1925) teine osa, „Humoresk", asetab hermeneutiliste kalduvustega kuulaja enneolematute tõlgendusprobleemide ette – seda vähemalt helilooja eelnevates sümfooniates (nr. 3, 4, 5) ilmnenud stiiliarengu taustal. Varasemates helitöödes avalduv 19. sajandi lõpu helikeele sammsammuline laienemine katkeb „Humoreski" alguses plahvatuslikult, paisates esile provokatiivselt modernistlikud atonaalsed ja puäntilistlikud, Schönbergile (*op*. 16) ja Stravinskile („Petruška") viitavad stiilivõtted. Veelgi hämmastavam aga on nendele vastanduv rahvapärane külatantsuviis – kuigi tonaalne ja rütmiliselt sümmeetriline, kuid antud olukorras siiski dadaistlikult absurdne, ja seda eriti trombooni-*glissando* tõttu.

See aga, et Nielsen modernistlikust poosist siiski kiiresti loobub, näitab, et helilooja pole sooritanud mingit olulist hüpet 1920. aastate avangardi suunas; heliteos pöördub tagasi tuttavale, autori stiiliarengu rahulikult kulgevale rajale. Mõned muusikateadlased on küll püüdnud analüüsida „Humoreski" atonaalsust hulgateooria alusel, kuid see tundub olevat viljatu; parimal juhul on „Humoreski" atonaalsus vaid lohakas või oskamatult kohmakas katse luua dodekafoonilist helistruktuuri. Selgub aga, et Nielsen kasutab sellist atonaalsust sihilikult kui satiirilist maski, otsekui pilgates modernistlikke võtteid ja üksnes teeseldes modernismi. Nielseni võtted meenutavad maskide laialdast kasutust 19. sajandi lõpul, eriti ooperis, sealhulgas Nielseni enda ooperis „Maskeraad" (1906), aga ka kujutavas kunstis, näiteks inimkujude ja skelettide satiirilisi maske James Ensori maalides. Kunstilooliselt eriti tähendusrikkad on Aafrika ja Okeaania maskid varasemates Picasso, Bracque'i, Klee, Munchi ja teiste modernistide teostes. Maskid saavutavad kunstiteoses intensiivsema väljenduslikkuse, kuid samas avavad nad tee modernismis eriti olulisele kibedale irooniale.

Nielseni „Humoreskis" sisalduvad teravad kontrastid meenutavad 20. aastate sürrealistlikke maale – mitte ainult nendes peituvat mõtte- või tundeelu, vaid isegi nende kujundite ja vormide loomust ja suhteid. Sürrealistid, rõhutades kunstiteose ja loometegevuse vabanemist mõistuse ja loogika kütkeist, püüdsid väljendada subjektiivse alateadvuse ajendeid ja suundumusi. Samas ilmnesid nende maalides teravalt ühtimatud või kohatud kujundite vastandumised. Nad rõhutasid korduvalt: mida kohatum on mingi kontrast, seda tõetruum ja haaravam on teose väljenduslikkus.

Eriti avaldub sürrealistlik mõtlemine Nielseni „Humoreskis" rahvapärase, mahlaka külatantsu äkilises vastandumises – koos absurdse trombooni-*glissando*'ga! – osa modernistlikult teravale puäntillistlikule ja atonaalsele alguslõigule. Peaaegu samalaadseid kontraste leidub aga ka sümfoonia viimases osas ning eriti markantselt helilooja hilisemas klarnetikontserdis (1928). Nielsenit meenutav sürrealistlik suundumus aga ilmneb ehk veelgi teravamal kujul mitmetes aastail 1928–1932 Pariisis loodud Raveli, Prokofjevi, Honeggeri ja Poulenci heliteostes. Isegi kui pole põhjust kõnelda teatud kindlast sürrealistlikust perioodist 20. sajandi muusikaloos, on ilmne, et sürrealism kui esteetiline suund mängis modernismi kujunemisel siiski olulist osa.

ARVUSTUSED

Kapitaalne uurimus aastakümnete tagant

Лео Нормет, Симфонии Сибелиуса. Tallinn: Aleksandra, 2011, tekstiköide 304 lk., noodinäidete köide 175 lk.

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Margus Pärtlas

Pole sugugi tavaline, et teaduslik monograafia ilmub trükist 43 aastat pärast käsikirja valmimist. Just selline käekäik on osaks saanud Leo Normeti (1922–1995) uurimusele „Sibeliuse sümfooniad", mille autor kirjutas aastatel 1963–1968 ja kaitses edukalt kandidaadiväitekirjana 1969. aastal Moskva konservatooriumis. Töö ilmus tänavu suvel originaalkeeles kahe kõvaköitelise raamatuna (noodinäited on eraldi köites) Sirje Normeti initsiatiivil, Tallinnas asuva kirjastuse Aleksandra väljaandel (koostöös EMTAga), Kultuurkapitali toel, Mart Humala toimetatuna ning paljude inimeste kaasabil. Leo Normetit kui heliloojat ja muusikateadlast iseloomustava järelsõna on väljaandele kirjutanud Jaan Ross.

On hästi teada, et Jean Sibeliuse looming paiknes Normeti laia huvidespektri keskmes. Paralleelselt väitekirja kirjutamisega ja ka hiljem avaldas ta sel teemal mitmeid artikleid soome, vene, eesti ja inglise keeles. Oma Sibeliuse-vaimustust ja põhjalikke teadmisi sellest heliloojast jagas ta elavalt ka oma üliõpilastega Tallinna konservatooriumis – ühelt vanemalt kolleegilt olen kuulnud, et algselt koguni aine „Nõukogude Liidu rahvaste muusika" raames (mulle õpetas Normet terve semestri pikkust Sibeliuse erikursust 1980. aastate keskel juba õige nime all). Pole täpselt teada, kas väitekirja avaldamine raamatuna oli Normeti eluajal päevakorral või mitte (Eero Tarasti on väitnud, et oli, kuid asi jäi Moskvas katki autori soovimatuse tõttu lisada sinna kohustuslikke Marxi ja Lenini tsitaate).[1] Kandidaadiväitekirju endid Nõukogude Liidus küll ei trükitud, kuid nii mõnestki käsikirjast sai pärast kaitsmist siiski raamat. Normeti töö puhul olnuks see üsna ootuspärane, sest nii põhjalikku Sibeliuse sümfooniate käsitlust vene keeles tol ajal ilmunud ei olnud – ja ei ole tegelikult praegugi. Samuti ei saa öelda, nagu olnuks Sibelius Nõukogude Liidus ideoloogilistel põhjustel kuidagi ebasoovitav või põlu all – vähemalt tema varaseid sümfooniaid mängiti üsna sageli, neis nähti põhjamaiste rahvusromantiliste joonte kõrval ka Tšaikovski sümfooniliste traditsioonide jätku.

Oli kuidas oli, nüüd on Normeti *magnum opus* esinduslike köidetena meie laual. Jääb üle rõõmustada, et humanitaaria valdkonnas ei mängi ajafaktor nii otsustavat rolli kui tänapäeva loodus- ja täppisteadustes (viimastes võib mõnikord publikatsiooni vaid mõnekuine hilinemine muuta seal avaldatud teadustulemused väärtusetuks). Muidugi ei jää ka Normeti monograafiat lugedes selle kirjutamisaja mõju märkamata; otseselt väljendub see näiteks allikate kasutamises (Normetil puudus võimalus töötada Sibeliust puudutavate esmaste käsikirjaliste allikatega, üldteoreetilises osas on palju viidatud Assafjevile jt. vene autoritele). Samas pole paljud Normeti tähelepanekud, arutlused ja järeldused oma aktuaalsust kaotanud, eelkõige muidugi Sibeliusest ja laiemalt 20. sajandi alguse muusikast huvitatud lugeja jaoks. Töö ilmumisele lisab kaalu teadmine, et tegu on ilmselt kõige mahukama uurimusega Euroopa muusika kaanonisse kuuluvast heliloojast – teemal, mis ei aja otseselt „Eesti asja" –, mis pärit eesti autori sulest.

Uurimus koosneb autori saatesõnast, kolmest põhiosast („Sümfonisti kujunemine", „Sümfooniad" ja „Sümfooniate helikeel") ning koodast. Üle kahe kolmandiku kogumahust võtab enda alla analüütiline teine osa, kus järjekorras ja algusestlõpuni-printsiibil on detailselt kirjeldatud kõigi seitsme sümfoonia muusikalist arenguprotsessi (keskmiselt kulub ühe sümfoonia käsitlusele 30 lk. kirjateksti ja üle 20 lk. noodinäiteid). Esimene osa sisaldab biograafilisi detaile Sibeliuse noorpõlvest ja õpiaastatest ning jälgib helilooja stiili arengut kuni „Kullervoni" (1892). Kolmas osa keskendub Sibeliuse helikeele konkreetsetele aspektidele (laadikäsitlus, tämber ja orkestratsioon, polüfoonia, rütm, meloodika, vormikäsitlus) ja täidab laiendatud kokkuvõtte rolli. Saatesõnas ja eriti koodas asetab Normet Sibeliuse sümfooniad laiemasse muusikaloolisse konteksti.

Oleme harjunud, et väitekirjas või väitekirja põhjal kirjutatud teaduslikus monograafias on mõned kohustuslikud tunnused ja komponendid – selge

[1] Tarasti, Eero 2004. Leo Normet – eesti juugend. – *Sibeliuse kaudu maailma*. Leo Normet, Tartu: Ilmamaa, lk. 443.

probleemipüstitus, uurimismetoodika kirjeldus, kriitiline ülevaade senisest uurimisseisust. Normet pole neist standarditest hoolinud (küllap ei pööratud neile nelja aastakümne eest vene keeleruumis ka sellist tähelepanu, nagu tänapäeval harjunud oleme). Normeti kirjutamisstiil, mida tunneme ka tema teistest töödest, ei ole rangelt akadeemiline, sihikindlalt süstemaatiline ega „tõsiteaduslik". Pigem on see esseistlik, vabalt arutlev, lugejale rohkeid seoseid ja kohati ootamatuidki paralleele pakkuv. Teisalt, Normeti hilisemate artikli formaadis kirjutistega võrreldes on kõnealune monograafia silmatorkavalt põhjalik, detailidesse süvenev ja asjalik. Muusikateooria ja -analüüs ei olnud ju tegelikult Normeti kui õpetlase põhihuvi, rohkem köitsid teda muusika ja kujutava kunsti arengu üldisemad protsessid, eriti 20. sajandi alguse stiilivoolude virvarr, milles ta püüdis mitmesuguste kategooriate abil „korda" luua. See Normeti „tõeline loomus" ei lase teda lahti ka Sibeliuse monograafias, kuid esteetilised ja muusikaloolised arutlused on siin teoste muusikateoreetilise süvaanalüüsiga siiski parajas tasakaalus. Nagu mainitud, ei püüagi Normet oma analüüsimeetodit täpsemalt kirjeldada ega mingisse konkreetsesse paradigmasse paigutada. Avo Sõmer on tema analüüse võrrelnud Donald Francis Tovey või Charles Roseni ingliskeelsete kirjutistega.[2] Paralleele võiks kahtlemata leida ka vene autorite seast (Mazel, Zuckermann, Protopopov jt.). Normet kirjeldab üksikasjalikult motiive ja teemasid nii konstruktiivsest kui väljenduslikust küljest ning jälgib nende muutusi teose arengu käigus, keskendudes harmoonilisele kontekstile, orkestratsioonile jt. helikeele aspektidele. Tähelepanu alt ei jää välja ka vorm kui tervik ning iga sümfoonia üldine dramaturgiline kontseptsioon. Normet väldib muusika literatuurselt programmilist „lahtiseletamist", kuid ei põlga ära näiteks järskude vaskpilliakordide võrdlemist graniidirahnudega või keelpillipassaažide seostamist merelainetega – selliste muusikaväliste assotsiatsioonide eesmärgiks (millest mõned mõjuvad kulunumalt, mõned aga väga tabavalt) on muusika väljendusliku poole ja oluliste nüansside täpsem kirjeldamine, milles pole kahtlemata midagi ebatavalist ega taunimisväärset. Sibeliuse helikeelest ja stiilist kõneldes ei püüa Normet seda paigutada ühe kindla „ismi" raamidesse, vaid vaatleb seda kui keerukat sulamit klassikalistest traditsioonidest ja mitmest uuema aja suundumusest. Kõige enam protesteerib Normet veel tänini üsna levinud tava vastu paigutada Sibeliuse looming pigem 19. kui 20. sajandi muusika konteksti. Selles osas on Normeti arusaamad Sibeliuse kaasaegsusest vägagi sarnased tänapäeva tuntud muusikaloolase ja teoreetiku James Hepokoski omadega, kes käsitleb Sibeliust kõrvuti Richard Straussi, Mahleri, Debussy jt. heliloojatega modernismi esimese lainena, seda vaatamata nimetatud heliloojate harmooniakeele suhtelisele konservatiivsusele.[3]

Kahjuks pole väljaanne päris vaba trükivigadest ja muudest apsudest, millest mõni on üsna silmatorkav (vale on Normeti surma-aasta põhiköites lk. 298).[4] Ent nii mahuka trükise puhul mõjuvad need siiski pigem pisiprobleemidena.

Lõpetuseks võiks küsida, kes on uue raamatu adressaat. Eespool mainisin, et uurimus pole – meid selle valmimisest lahutavale neljale aastakümnele vaatamata – kaotanud oma sisulist väärtust ja pakub kindlasti huvi Sibeliuse ja tema ajastuga tegelevatele erialainimestele („tavalise muusikaarmastaja" jaoks jääb suurem osa Normeti tööst siiski liiga keeruliseks literatuuriks). Kui palju on selliste inimeste hulgas aga vene keele oskajaid? Tuleb tunnistada, et ilmselt üsna vähe ja valdavalt elavad nad meist ida pool. Selle tõdemusega ei taha ma seada kahtluse alla otsust anda monograafia välja originaalkeeles (tõlkimine inglise keelde olnuks erakordselt mahukas ja keerukas ettevõtmine), vaid osutada vajadusele levitada seda eelkõige Venemaa akadeemilistes muusikaringkondades. Pole sugugi võimatu, et just sealtkaudu jõuavad Normeti ideed ühel hetkel ka globaalsesse ringlusse ja saavad osaks rahvusvahelisest Sibeliuse diskursusest.

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[2] Sõmer, Avo 2005. Muusika tõlgendamise avatusest. – *Teater. Muusika. Kino,* nr. 3, lk. 73.

[3] Hepokoski, James 1993. *Sibelius: Symphony No. 5.* Cambridge: Cambridge University Press, pp. 2–5.

[4] Toon ära ka ühe lõbusa näite. Lk. 241 mainib Normet Debussy „Fauni pärastlõunat" tõlkevariandis, mida olen varem vene muusikutelt kuulnud naljana – "Послеобеденный отдых фавна" korrektse "Послеполуденный отдых фавна" asemel. Kuna sõna обед ei tähenda vene keelest mitte lõunaaega, vaid lõunasööki, tekitab esimene (Normeti kasutatud) pealkirjavariant kujutluspildi suure söömaaja järel norskavast faunist, mis on groteskses vastuolus Debussy peene helikeelega teose tegeliku iseloomuga.

Enzo Restagno, Leopold Brauneiss, Saale Kareda, Arvo Pärt, *Arvo Pärt im Gespräch*. Wien: Universal Edition, 2010 (UE 26300), 168 lk.

Andreas Waczkat
(tõlkinud Anu Schaper)[1]

Arvestades Arvo Pärdi tohutut populaarsust on lood tema loomingu uurimisega väga kehvad. Pärdi 75. sünnipäev 2010. aastal andis küll tõuke mõningate konverentside korraldamiseks, kuid publikatsioonid, mis teeksid kättesaadavaks põhjalikumaid uurimusi, võib lahedalt ühe käe sõrmedel üles lugeda: Kaire Maimets-Volti väga inspireeriva väitekirja Arvo Pärdi muusika kasutamisest filmis (Tallinn: Eesti Muusika- ja Teatriakadeemia väitekirjad, 2009) ja Peter John Schmelzi raamatu „Such freedom, if only musical: unofficial Soviet music during the Thaw" (New York jt.: Oxford University Press, 2009) kõrval pole leida midagi oluliselt uut. Kahjuks ei muuda ka siin käsitletav kogumik „Arvo Pärt im Gespräch" midagi, sest suurema osa raamatust moodustavad üksnes kaks saksa keelde tõlgitud teksti, mis ilmusid itaalia keeles juba aastal 2004 kogumikus „Arvo Pärt allo specchio. Conversazioni, saggi e testimonianze" (Mailand: Il saggiatore): 90-leheküljeline intervjuu, mille tegi Enzo Restagno Arvo ja Nora Pärdiga, ning Leopold Brauneissi napilt 60-leheküljeline sissejuhatus *tintinnabuli*-stiili. Originaalkaastööd on üksnes Saale Kareda lühike essee „Tagasi allika juurde" ja Arvo Pärdi kaks tänukõnet Görlitzi linna auhinna Internationaler Brückenpreis (2007) ning Kopenhaageni Léonie Sonningi muusikaauhinna (2008) saamise puhul. Tegu on seega suuremalt jaolt populaarteaduslike kirjutiste kogumikuga, millelt ei saa oodata Pärdi ja tema loomingu või olemasoleva teadusliku kirjanduse kriitilist käsitlust. Eriti iseloomulikult näitab seda üksikasjalik intervjuu: kuigi ekspertide küsitlemine on uurimismeetodina tavaliseks saanud, nõuab see siiski hoopis enam tõendusmaterjali. Muu hulgas antakse ühes joonealuses märkuses teada, et vestluses osales „abiline tõlkimisel". Aga mis keeles toimus intervjuu? Ja mis valiti selle publikatsiooni teksti aluseks? Kas tegu on absurdse situatsiooniga, kus Arvo ja Nora Pärdi algselt saksakeelsed vastused tõlgiti itaalia tõlkest tagasi saksa keelde?

Pole vaja väga kaua nende küsimuste juures peatuda, sest intervjuust palju uut teada ei saa. Restagno on intervjuu – mille juures ta vahetab väga sageli ära küsija ja kommentaatori rolli – pidepunktideks võtnud peamiselt Pärdi eluloo: lapsepõlv ja noorus Eestis, õpetaja Heino Elleri mõju, kokkupuude uue muusika ja ka lääne avangardiga Moskvas, *tintinnabuli*-stiili avastamine, emigratsioon, lõpuks tagajärjekas kohtumine Manfred Eicheri, plaadifirma ECM produtsendiga. Hilisemad aastad puuduvad, kuna intervjuu peegeldab 2004. aasta seisu. Üksikute biograafiliste peatuspaikade vahel on kõnelused vastavast ajast pärinevate Pärdi tähtsaimate teoste üle. Kuid kes ootab siit uut sisulist teavet teoste faktuuri või teoreetiliste aluste kohta, peab pettuma. Pärdi ütlused – kes oma sõnutsi ei räägi ka selles intervjuus oma teostest mitte kuigi meelsasti – annavad vähe uut informatsiooni. Ülekaalus on hoopis väljendid nagu „Mul on raske praegu rääkida asjadest, mis toimusid nii ammu" (lk. 21, muusikalisest kohtumisest lääne avangardiga Moskvas) või „Ma pole tõesti kindel, et ma oskaksin sellest midagi huvitavat rääkida" (lk. 74, „Miserere" kohta). Kahjuks ei piirdu Restagno sellega, vaid jätab küsija rolli ja läheb üle kommentaatori omasse, kes annab aeg-ajalt Pärdi ütlustele isegi hinnanguid: „Mul on väga hea meel kuulda, et räägite nii sügavatest ja siirastest asjadest, mida mina olen elus kõige

[1] Arvustuses toodud tsitaatide tõlked pärinevad raamatust „Arvo Pärt peeglis" (Tallinn: Eesti Entsüklopeediakirjastus, 2005), kus tsiteeritud intervjuu on avaldatud eesti keeles.

enam ihaldanud ja armastanud" (lk. 63). Populaarteaduslikus tekstis võib see olla aktsepteeritav (kuigi ka siin ei pea esiplaanil olema huvi küsija isikliku arvamuse vastu), teaduslikus kontekstis on selline rollikonflikt vastuvõetamatu.

Leopold Brauneissi sissejuhatus *tintinnabuli*-stiili on seevastu märksa suurema tähendusega. Brauneiss püüab siin teataval määral sünteetiliselt kirjeldada *tintinnabuli*-stiili, milles üksikust helist tuletatakse teised ja reastatakse nad teatud algoritmiliste põhimõtete alusel. See kirjeldus põhineb peamiselt teoreetilistel selgitustel, mida Pärt ise erinevates kohtades aeg-ajalt on andnud, kuid mitte ainult sellepärast ei jää selle artikli uudsusmäär kitsastesse piiridesse: paljugi sellest, mida Brauneiss siin selgitab, võib lugeda juba tema kirjutistest mujal, ja nimelt enamasti kontsentreeritumalt. Näitena olgu nimetatud tema artikkel „Grundsätzliches zum Tintinnabuli-Stil Arvo Pärts" (Põhimõttelist Arvo Pärdi *tintinnabuli*-stiili kohta, *Musiktheorie* 16, 2001, lk. 41–57). Tõsiselt tuleks võtta pealkirja „Sissejuhatus". Tõepoolest on suures osas tegemist Pärdi enda väidete kinnitava edasiarendusega, mitte Brauneissi avastatud lähenemisviisiga. See avaldub iseloomulikult ka kasutatud kirjanduses, milles Pärdi loomingut käsitlev sekundaarkirjandus mängib vaid väga väikest rolli. Kahjuks pole artikkel vormiliselt hästi õnnestunud: üksikud kirjandusviited joonealustes märkustes on ebatäpsed, teised väited jäävad viiteta.

Ka Saale Kareda esseee „Zurück zur Quelle" [Tagasi allika juurde], ainus originaalartikkel selles kogumikus, kuulub populaarteaduslikku, mitte teaduslikku konteksti. Isiklikus toonis sõnastatud tekst seab Pärdi *tintinnabuli*-stiilis muusika aluseks „ürgallika" (lk. 160), mille autor paigutab „harmonikaalse pütagoreismi" ja maailmaharmoonia idee lähedusse. *Tintinnabuli* algoritmid olevat sealjuures just nagu ürgkristalli, ürgalgoritmi pinnad (lk. 162); *tintinnabuli* loovat energeetilisi välju, mis olevat tihedas suguluses biokeemiku Rupert Sheldrake'i postuleeritud morfogeneeriliste väljadega. See eklektitsistlik lähenemisviis võib aidata isiklikku müstitsismi teaduslikkusega ilustada, kriitilisel vaatlusel pole aga ükski neist selgitustest vettpidav. Juba „harmonikaalne pütagoreism" ja sellega seotud muusikalise universaali oletus on kultuuriline konstruktsioon, mitte loomulik asjaolu. Selle konstruktsiooni individuaalses tähenduses pole siinkohal kahtlustki – ainult nõuab puhas teaduslik metoodika, et väited on tõestatavad, hüpoteesid ümberlükatavad. See on niisuguste kultuuriliste konstruktsioonide puhul nagu harmonikaalne pütagoreism ja parateaduslike oletuste puhul, nagu morfogeneetilised väljad, paraku võimatu. On loendamatuid põhjusi veelgi süveneda Arvo Pärdi muusikalisesse loomingusse ja otsida uusi teadmisi. Kõnealusel kogumikul õnnestub see kahjuks siiski väga ebapiisavalt.

Ingrid Rüütel, *Muutudes endaks jääda.* **Tallinn: TEA Kirjastus, 2010, 671 lk.**

Anzori Barkalaja

Ingrid Rüütli raamat „Muutudes endaks jääda" on märkimisväärselt mahukas teos. Määratluse järgi on tegu valikuga meenutustest, artiklitest ja uurimustest, mida autor on pidanud vajalikuks lugejatega jagada. Nii on tulemuseks saanud huvitav elulooraamatu variant, kus Ingrid Rüütel avaneb meile lehekülghaaval rahvaluule- ja ühiskonnateadlase identiteedikihti pidi. Isiklikule elule, mida sellise lennukõrguse ja -haardega avaliku elu tegelaste puhul on peaaegu alati üsna vähe, on heidetud valgust sissejuhatavas osas, sedagi vaid nii palju, et võimaldada mõista erialainimeseks kujunemise ajendeid ja asjaolusid. Seega kollektiivne seltskonnakroonika siit kaante vahelt täiendust ei saa, küll aga ...

Esimese peatüki „Elust ja tööst" sisu ongi ühest küljest kohustuslik reveranss eluloo formaadile. Ingrid Rüütel tundub oma loomult kinnise ja reserveeritud inimesena. Põgus eesriidekergitus, mida meile võimaldatakse, paljastab ka selge põhjustejada, mis annab vastuse sellekohasele miksküsimusele.

Seda enam on veidi kahju, et tänapäevases maailmas, kus ju kõik näib olevat lubatud, järgib autor omaksvõetud põhimõtet, et ennast avada tuleb vaid nii palju kui nõutud ning nii vähe kui võimalik. Lugude edasiandmisel Ingrid Rüütel pigem vihjab kui jutustab, ning nagu ta isegi tunnistab – pigem vastab küsimustele kui tuleb ise midagi pakkuma. Sestap ongi peatükki kokku pandud vaid varem ilmunud intervjuude ja kirjutiste kohendatud tekste. Siiski tõendab ka vihjeline ning episoodiline, võib öelda, kollaažiline pilt, et õnneks ilmestab inimeste maailma must-valgeks tõmbuma kippuvat ilmet lisaks sinisele ja punasele ka palju muid värve ning toone. Väga heaks täienduseks on seejuures rikkalik fotomaterjal.

Väga iseloomulikuna kumab ridade vahelt läbi „biograafia esitamine bibliograafia kaudu", kui mõistu väljendada Ingrid Rüütli elukäigu iseloomust tingitud reaktsiooni pühendada isikliku õnne taotlused avalikule tööle ning töö pühendada omakorda juurte ning identiteedi kihistustele eesti (ja tegelikult ka laiemalt, soome-ugri) kultuuriruumis, seda nii laiemas kui kitsamas tähenduses. Tõsimeelsele eluloo ootajale võib tunduda seejuures peatüki viimane, kulmineeruv osa – „30 aastat rahvamuusika sektori sünnist" – lausa punkarliku žanrieiramisena, valgustades pigem ametlikku tööd kui elu. Selles mõttes on esimene peatükk võtmeks kogu raamatu sisuvaliku ja loogika mõistmisel.

Teine peatükk, „Rahvaluulekoguja radadelt", koosneb ajakirjanduses aastatel 1967–1969 ilmunud olustikukirjelduslikest ülevaadetest rahvaluulekogumise ekspeditsioonide teemal. Ka praegusel ajal olulisena esile tõstetud teaduse populariseerimise teema varjus on selgesti läbi kumamas siiras huvi vana pärandi vastu ning soov kui mitte just peatada möödaniku vaimuvara kadumist, siis vähemalt jäädvustada seda olevate ja tulevate põlvkondade tarbeks. Eriti puudutab see Ingrid Rüütli armastust eesti rahvalaulude ja -muusika vastu. Peatüki lõpetab tõsine arutlus eesti rahvamuusika jäädvustamise teemal nii sisulisest kui tehnilisest küljest ning annab jälle ühe võimaluse lugeda ridade vahelt tema tegutsemismotiivide kohta etnomusikoloogia arendamisel hoolimata selle ääremaisest asendist teadus(võimu)maailmas.

Kolmas, vahest mahukaim peatükk, „Läänemeresoome rahvalaulud ja muusika", kätkeb endas kihi võrra sügavamat, spetsialiseerunumat ning detailsemat olemist ja tegemist. Peatükk koosneb teaduslikest uurimusartiklitest, samuti on kasutatud erinevaid peatükke Ingrid Rüütli doktoriväitekirjast „Eesti rahvalaulude ajaloolised kihistused etniliste suhete aspektis" (1994). Temaatika on lai, sisaldades näiteks töid, mis käsitlevad läänemeresoome traditsiooni taustal vepsa itkusid, põhjalikult vadja pulmalaule, aga ka vadja rahvalaule ja -viise laiemalt. Väga põhjalik on analüüsiv läbivaade laulueelsetest vokaalnähtustest kuni rahvalaulu enda ning selle esinemisvormideni teiste žanride siseselt ja vaheliselt, mis on varustatud noodinäidetega. Vaatluse all on ka eesti rahvamuusika

uurimise võimalused ja väljakutsed etnoloogilise lähenemise pinnalt, samuti leiame siit põhjaliku analüüsi eesti vanematest rahvaviisidest ning loomulikult uurimuse setu rahvalaulu eri kihistustest seostatuna etnokultuurilise taustaga. Ka eespool olevate uurimuste osaks oleva andmebaasipõhise võrdleva arvutianalüüsi metoodika on selgemini lahti kirjutatud artiklis „Eesti regivärsiliste rahvalaulude tüpoloogia". Peatüki lõpetavad ülevaade pärimusmuusika olemise eri vormidest tänapäeva ühiskonnas ning peegeldus eesti noorte suhtumisest rahvakultuuri ja -muusikasse, mis saadi esseevõistluse „Kuidas olla eestlane 21. sajandil" kirjatööde analüüsist, haakides teadustöise identiteeditasandi servapidi ideoloogilisega, mis rahvusteadlaste puhul on paratamatu.

Neljas peatükk, „Rahvakombed ja uskumused", on pühendatud ühele rahvakillule – kihnlastele: igakülgselt kirjeldatakse ja analüüsitakse Kihnu pulma kaudu kogukondlikku traditsiooni, selle muutumist ajas ning tulevikuväljavaateid.

Viies peatükk hõlmab teaduslikke uurimusi eesti uuemast rahvalaulust. Esindatud on uurimuslik ülevaade uuema rahvalaulu kujunemisest, aga ka Ida-Saaremaa külalauludest ja laulumeistritest, samuti 1877.–1878. aasta Vene-Türgi sõjast eesti laulutraditsioonis.

Kuues peatükk, „Pärimuskultuur tänapäeval", pöördub ideoloogiatasandile tagasi, kui mõista ideoloogia all inimese terviklikku väärtustesüsteemi, mis on kandvaks põhjaks tema maailmatunnetusele, -vaadetele ning otsustusalustele tegutsemisel.

Esimesed viis kirjutist on populariseeriva kallakuga ning käsitlevad rahvaluule rolli ja tähtsust jooksval ajaperioodil vastavalt aastatel 1970, 1986 ja 1987 ja 1988. Neist kõige põhjalikumalt on lahti kirjutatud kaks – „Folkloor ja tänapäeva kultuur" (1987) ja „Aeg, folkloor ja rahvuskultuur" (1988). Peatükk on selle poolest huvitav, et gradatsiooniliselt võib märgata kultuurikandvate kogukondade ja (vaikimisi, seda otsesõnu nimetamata) ka avaliku (vaimu)vara tugevnevat väärtustamist ning julgust vastu mõelda/öelda valitsevatele ideoloogilistele suundumustele mõlemalt poolt Berliini müüri. Esmaavaldamise aastanumbritest kumab välja glasnosti sulailma mõju. Peatüki lõpetab huvitav uurimus Eesti vähemusrahvuste kultuurirühmade väärtushinnangutest ja omakultuuri harrastamise ajenditest, millest leiab mõtlemapanevaid andmeid ja järeldusi ka – või just eriti – nõndanimetatud päriseestlaste jaoks.

Seitsmes, lõpupeatükk pealkirjaga „Rahvus, kultuur, identiteet", jätkab kuuenda peatüki suundumust, sisaldades ideede elemente kõigist eelmistest. Tekstid ise on varem ilmunud peamiselt kultuurilehes Sirp. Uudsena ilmneb (rahvus)kultuuriideoloogiliste mõtteväljenduste varasemast märksa globaalsem haare. 1988. aasta näib olevat üks murdepunktidest ning reis Kanadasse sealse Soome-Ugri Seltsi teaduskonverentsile, millest Ingrid Rüütel Sirbi sama aasta septembrinumbris kirjutas ning mille kestel tutvus ta otsese reaalkogemuse näol sealsete põlisrahvaste olukorraga, tundub olevat võimendanud seniseid mõttesuundi eesti pärimuskultuuri ja selle toimetulekuväljavaadetega seoses.

Ka teadlase või konkreetsemal juhul visuaalantropoloogi tegevus kultuuriliselt tundlike, traditsionaalsete kogukondade sisemist ja seetõttu varjatud teadmisteringi puudutava teabe edastamisel on artiklis „Eetika, rahvad, kultuurid" leidnud mõtestamist suurrahvaste kultuuriekspansiooni tingimustes eesti kultuuri püsimajäämise võtmes.

Oht kultuuriliselt assimileeruda ning seda vabatahtlikult ühe või teise hüve saavutamiseks on läbiv juhtlõng kõigis peatüki kirjutistes. Samuti jookseb läbi kultuurikontseptsiooni (kui kõigi poliitikate aluse) teadliku väljatöötamise ning süstemaatilise teostamise tähtsuse teema. Kogukonna olulisus tasakaalustamaks individualismi negatiivseid ilminguid ning traditsioonilise eetika põhiväärtused tasakaalustamaks ostu-müüdavuse suhte levimist peaksid Ingrid Rüütli hinnangul olema selle kultuurikontseptsiooni nurgakivideks. Siinkohal ei toetu ta vaid iseendale, vaid edastab võrdluse mõttes eestikeelsele lugejale näiteks ülevaate kultuurantropoloog Matti Sarmela artiklist „Suomalainen eurooppalainen".[1] Terviklikuma tekstina koonduvad need ideed ettekandeartiklis „Eesti rahvakultuur ja selle perspektiivid", mis on peatüki ja ühtlasi raamatu eelviimane kirjutis. Viimase artikli pealkirjas ja sisus peituv küsimus – „Olla või mitte olla" – on juba retooriline.

[1] Sarmela, Matti 1996. Suomalainen eurooppalainen. – *Olkaamme siis suomalaisia*. Kalevalaseuran vuosikirja 75–76, toim. Laaksonen, Pekka ja Sirkka-Liisa Mettomäki, Helsinki: SKS, lk. 16–34.

Kokkuvõttes võib öelda, et esmapilgul žanriliselt kirju ning ebaühtlane teos on sellisena õigustanud teadliku komponeerimise riski. Mulle isiklikult tundub, et Ingrid Rüütel on enesele siinkohal lubanud väikest varjatud lõbu kasutada eesti rahvalaulude loomise võtteid, nagu kordus, parallelism ning teema varieerimine, aga samuti siirdevormide mängutoomist. Isegi kui see ongi pelgalt tundumus, valmistab juba võimalus, et tegu on eheda soomeugriliku peidetud huumoriga – väikeseks ninanipsuks globaal(tarbimis)kultuurilise peavoolu seltskonnakroonika formaadile –, piisavalt vaimset rahulolu.

Tekstides leiduvad ideed, teave ja mõttearendused ning ühtlasi sõnum moodustavad samuti ühtse terviku.

Siinkohal ei võtnud ma enesele ülesandeks asuda autoriga kriitilisse dialoogi. Väitlused rahvaluuleprotsesside või -nähtuste autentsuse nüansside teemal, samuti rahvaluule või pärimuskultuuri sisutõlgenduste üle, kuuluvad muudesse ruumidesse ja vormidesse. Nii on ka hoopis teiste inimeste ülesanne hinnata Ingrid Rüütli omaaegse sotsiaalse staatuse mõju sõjatööstuskompleksi tellimusi täitva füüsikavalla jaoks piiramatult avatud rahaliste varade suunamisel rahvamuusika talletamisse, säilitamisse ja uurimisse stabiilse asutuse loomise kaudu. Hoopis omaette teemad on ühiskonna hüvanguks mõeldud ideede teostamise viisid, meeskonnavalik ning see, mil määral sallida avaliku hüve nimel erahuvides tegutsemist. Kõige olulisem on, et käesoleva raamatu kaudu tunneme ära inimese omade hulgast, inimese, kellele läheb sügavalt korda eesti kultuuri püsimine ning sellele kaasaaitamine.

KROONIKA

Muusikateadusliku elu kroonikat 2010/2011

Koostanud Anu Veenre, EMTSi sekretär

Eesti Muusikateaduse Selts

Hooaeg 2010/2011 oli EMTSile 19. tegevusaasta, mille vältel jätkas seltsi juhatus tööd 2009. aasta sügisel valitud koosseisus: Toomas Siitan (esimees), Kerri Kotta (aseesimees), Maarja Kindel, Kaire Maimets-Volt ja Anu Schaper. 30. septembri seisuga oli seltsil 79 liiget.

Muusikateadlase Karl Leichteri järgi tähistab selts iga aasta oktoobrikuus Leichteri päeva, mille kavas on traditsiooniliselt paar muusikateaduslikku ettekannet, uute muusikateaduslike väljaannete esitlus ja seltsi aastakoosolek. Seekord toimus üritus 18. oktoobril, kõlasid kaks ettekannet: Kerri Kotta luges ette Göttingeni ülikooli professori dr. Andreas Waczkati ettekande „Deconstructing Spirituality: Collage and Décollage in Arvo Pärt's Credo (1968)" ning Eesti Suursaatkonna kultuurireferent Viinis Saale Kareda kõneles teemal „Kuidas läheneda *tintinnabuli*-stiili varjatud tasanditele?". Nii ettekannete autoritele kui kuulajatele saalis oli suureks auks ja rõõmuks, et mõlemat Arvo Pärdi loomingut käsitlenud ettekannet oli kuulama tulnud ka helilooja ise.

Seoses üleminekuga eurole 2011. aasta jaanuaris määrati Leichteri päeva aastakoosolekul seltsi liikmemaksu suuruseks aastas 7 eurot, üliõpilastele ja pensionäridele 3.50 eorot (seni vastavalt 100 ja 50 krooni). Liikmemaksu tasumist arvestatakse kalendriaasta lõikes ja sellega kaasneb ajakirja Res Musica uus number.

2010. aasta sügisel uuendati seltsi kodulehte, mis nüüd asub aadressil www.muusikateadus.ee ja mille roll Eesti muusikateadusliku elu kajastajana peaks kujunema senisest ärksamaks. Kodulehel vabalt ligipääsetav info sisaldab jooksvate uudiste kõrval ka näiteks seltsi liikmete nimekirja ja meiliaadresse. Nii kodulehe eesti- kui ingliskeelsel küljel on eraldi rubriik ajakirjale Res Musica, mille alt saab vaadata väljaande seni ilmunud numbrite sisukordi ja lugeda võõrkeelseid resümeesid. Uue numbri ilmudes saab loetavaks ajakirja eelmise numbri kogu sisu. Kodulehe intranetile on parooliga ligipääs kõigil seltsi liikmetel ja sealt saab mh. järelkuulata Leichteri päeva ettekandeid.

Viiendat korda toimus EMTSi eestvõttel ka muusikateemaliste esseede konkurss, mille sihtrühmaks on muusikahuvilised gümnaasiumiõpilased. Konkursile laekus varasemate aastatega võrreldes vähem töid, kuid žürii hinnangul, mille moodustas EMTSi juhatus, oli kirjutiste tase kõrgem ja võimaldas taas välja anda kolm auhinnalist kohta ning esile tõsta veel ühe töö. Juba teist aastat järjest osutus võidutöö autoriks Pärnu Sütevaka Humanitaargümnaasiumi õpilane Eleen Änilane, seekord esseega „Kui selge või habras on täna piir süvamuusika ja levimuusika vahel?", mis avaldati ka ajakirjas Muusika. Teise koha pälvis Rasmus Peeker esseega „Millist muusikat vajab arvutimäng?" ja kolmanda Merit Jago kirjutisega „Muusika – eesmärk või vahend?". Algusest peale on olnud konkursi üheks eesmärgiks äratada noortes muusikast kirjutamise kaudu huvi ka muusikateaduse eriala vastu. Seepärast on hea meel, et konkursil osalenud ja esiletõstetud essee autor Alisson Kruusmaa („Millest sõltub muusika emotsionaalne sisu?") alustas sügisel 2011 õpinguid EMTAs muusikateaduse erialal. Auhinnad anti üle märtsi lõpul Eesti Muusika Päevade 2011 raames Eesti Muusika- ja Teatriakadeemias.

2011. aasta Tartu päev toimus 16. aprillil Heino Elleri nim. Tartu Muusikakooli ruumides. Ettekanded hõlmasid kahte teemade ringi: muusikaelu Eestis 17. sajandil ja muusikateatrit. Esinesid Aleksandra Dolgopolova (EMTA; „Kantorid ja organistid Narva saksa kirikus 17. sajandi viimasel veerandil"), Anu Sõõro (Freiburgi ülikooli doktorant ja EMTA teadur; „Johann Valentin Meder Tallinna muusikaelu kujundajana 17. sajandi teisel poolel"), Kristel Pappel (EMTA; „Muusikateatri uurimisest teatriteaduse paradigmas"), Maarja Kindel (EMTA; „Hanno Kompuse põhimõtted ooperilavastajana ja nende kajastumine tema Wagneri-interpretatsioonis") ja Maris Pajuste (EMTA; „Erkki-Sven Tüüri ooper „Wallenberg" – dramaturgia muusikas ja teatrilaval"). Päeva erikülaliseks oli Lundi ülikooli professor ja EMTSi auliige Folke Bohlin, kes tutvustas oma ettekandes pikemalt Johann Valentin Mederi ooperi „Kindlameelne Argenia" poliitilisi tagamaid („Political consequences of Johann Valentin

Meder's school opera performance at Tallinn in 1680"). Bohlini ettekandele järgnes ka diskussioon Eesti varast muusikaelu puudutavate ja eri maade arhiivides asuvate dokumentide teemal.

EMTSi igasügisene kultuurilooline ekskursioon, mida omavahel kutsutakse seltsi sügismatkaks, toimus 2010. aasta septembris Ida-Virumaale (Narva ja selle ümbrus, Valaste, Sillamäe jm.). Väga meeldejäävaks kujunesid Kohtla-Nõmme kaevandusmuuseumi, Narva linnuse ja Kuremäe kloostri külastused. Narvas võtsid seltsi vastu Tartu Ülikooli Narva kolledži direktor Katri Raik ja Eesti ajaloo lektor Kaarel Vanamölder, kes tutvustasid linna, selle ajalugu ja uurimist ning andsid ülevaate kolledži õppekorraldusest ja eripärast. Matka teisel päeval külastati looduslikult kauneid ja ajaloolisi mälestuspaiku ajaloolase Tanel Mazuri juhatusel.

2011. aasta septembris sai sügismatka kujul teoks EMTSi ammune soov külastada ühiselt Setomaad. Folklorist Andreas Kalkuni juhatusel külastati mh. Vastseliina linnust, Obinitsa, Miikse ja Saatse kirikut, Seto Talumuuseumi ja selle filiaali Saatses. Seto Talumuuseumi õuel Värskas esines seltsile ka Värska naiste leelokoor. Setu kunsti eksponeerivas Obinitsa kunstigaleriis tutvustas aga kunstnik Evar Riitsaar lähemalt ka MTÜ Seto Ateljee-Galerii tegevust. Pühapäeva hommikul osaleti Värska kiriku teenistusel, mida pidas preester Sakarias Leppik. Pärast teenistust andis Leppik seltsilistele põneva ülevaate Värska kirikuloost, tutvustades mh. sealse kirikulaulu eripära. Suurt huvi äratasid Setomaal levinud külakonna traditsioonilised palvemajad, mida nimetatakse tsässonateks.

Mõningaid väljaandeid 2010/2011 aastast

Nende muusikateadlaste publikatsioonid, kes osalevad Eesti ametlikes teadusprojektides ja/või töötavad õppejõududena kõrgkoolides, saab internetist kergesti kätte kas ETISe või vastavate kõrgkoolide aastaaruannetest. Seepärast juhime siin tähelepanu ainult mõningatele olulisematele kogumikele, samuti meie seltsi välisliikmete suurematele uurimuslikele töödele.

Kõige olulisemaks rahvusvahelise levikuga muusikateaduslikuks väljaandeks möödunud hooajast võib pidada kogumiku „Musikleben des 19. Jahrhunderts im nördlichen Europa: Strukturen und Prozesse / 19th-Century Musical Life in Northern Europe: Structures and Processes" ilmumist kirjastuse Georg Olms Verlag muusikateaduslike väljaannete sarjas (2010). Raamatut esitlesid Leichteri päeval selle koostajad Toomas Siitan, Kristel Pappel ja Anu Sõõro. Väljaanne sisaldab artikleid, mis põhinevad 2008. aastal Tallinnas rahvusvahelisel konverentsil „Muusikaelu 19. sajandil: struktuurid ja protsessid" (ühtlasi 41. balti muusikateaduse konverents) peetud, kuid kirjutamisel oluliselt laiendatud ettekannetel. Kogumiku autorite ring on rahvusvaheline ning selle neliteist artiklit on kirjutatud kas inglise või saksa keeles. Artikleid ühendab kirjutajate huvi 19. sajandi muusikaelu struktuuride ja protsesside vastu Põhja-Euroopas, mida vaadeldakse kooriliikumise ja muusikalise identiteediloomise omavaheliste seoste, muusikateatri ja linnade muusikaelu näitel. Teemadega on haaratud ka küsimused muusikaliste ideede levikust antud piirkonnas, teoste retseptsioonilugu ning muusikakeskuste ja äärealade vastastikused mõjud.

Oktoobris 2010 ilmus ka ajakirja Res Musica teine number. Väljaande koostajaks oli seekord Jaan Ross ja autoriteks eesti noorema põlve muusikateadlased – praegused doktoriõppe üliõpilased või doktorantuuri äsja lõpetanud. Kogumik sisaldab seitset artiklit ja haarab muusikateaduse eri valdkondi, autoriteks Kaire Maimets-Volt (kaitses väitekirja Arvo Pärdi filmimuusika teemal 2009), Anu Kõlar (väitekiri Cyrillus Kreegi elust ja loomingust 2010), mõlemad tööd kaitstud EMTA muusikateaduse osakonnas; Eerik Jõks (väitekiri gregooriuse laulust Yorki Ülikooli muusika osakonnas Inglismaal, 2010); Tiiu Ernits (EMTA muusikapedagoogika eriala doktorant), Gerhard Lock, Marju Raju (mõlemad EMTA muusikateaduse doktorandid) ja Brigitta Davidjants (Tallinna Ülikooli Eesti Humanitaarinstituudi kultuuride uuringute eriala doktorant). Ajakiri sisaldab ka Anu Kõlari ja Kaire Maimets-Voldi väitekirjade arvustusi (autorid vastavalt Janika Päll ja Jarmo Valkola) ning Urve Lippuse arvustust 2009. aastal Seija Lappalaineni koostatud raamatule Frederik Paciusest.

Vaadeldaval perioodil Eestis ühtegi muusikateaduse eriala väitekirja ei kaitstud, kuid EMTSi liige Eerik Jõks kaitses väitekirja 2010. aastal Inglismaal Yorki ülikooli juures ja on praegu EMTA muusikateaduse osakonna teadur (järeldoktorantuur). Dok-

toritöö on avaldatud võrguväljaandena: Jõks, Eerik 2009. *Contemporary understanding of Gregorian chant – conceptualisation and practise*. PhD thesis, University of York (http://etheses.whiterose.ac.uk/949/).

Tartu kirjastus Ilmamaa on avaldanud viimastel aastatel mitu artiklikogumikku muusikainimestelt, 2010. aastal ilmus kogumik „Helju Tauk. Muusikast võlutud". Väljaande koostas Inna Kivi ja see sisaldab pianisti, muusikateadlase ja pedagoogi Helju Taugi (1930–2005) trükisõnas ilmunud tekste muusikast, muusikutest ja muusikutega ajavahemikust 1961–1990. Kogumik sisaldab ka Kristel Pappeli arutlust Taugist kui muusikaajakirjanikust ja -teadlasest („Helju Taugi mõttemaailm", lk. 472–482).

Helilooja, muusikateadlase ja publitsisti Leo Normeti (1922–1995) töid sisaldavad kaks uut väljaannet: 2009. aastal ilmus kirjastuselt Varrak kogumik „Kahekõne Leo Normeti päevaraamatuga: mälestused, kirjad, väljavõtted päevikust", koostajaks Sirje Vihma-Normet. Kogumik sisaldab muu hulgas ka Normeti inglise, saksa, prantsuse, soome ja vene keeles ilmunud artiklite tõlkeid eesti keelde. 2011. aasta septembris esitleti Leo Normeti raamatut „Симфонии Сибелиуса" (Sibeliuse sümfooniad) kirjastuselt Alexandra. Teos on kirjutatud 1960. aastatel vene keeles ja kaitstud 1969. aastal Moskva konservatooriumi juures kandidaadiväitekirjana. Järelsõna Eestis esimest korda ilmunud väljaandele on kirjutanud Jaan Ross.

Loetelu EMTA muusikateaduse osakonna varasematest publikatsioonidest on 2011. aastast üleval ka kooli kodulehel (www.ema.edu.ee) rubriigis „Publikatsioonid". Loetelu juurest leiate ka väljaannete tutvustused.

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  Arro, Elmar 1933. *Geschichte der estnischen Musik*. Bd. 1, Tartu: Akadeemiline Kooperatiiv.

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  Rink, John 2002. The profession of music. – *The Cambridge History of Nineteenth-Century Music.* Ed. Jim Samson, Cambridge: Cambridge University Press, pp. 55–86.

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  Dahlhaus, Carl 1980. *Die Musik des 19. Jahrhunderts*. Neues Handbuch der Musikwissenschaft 6, Laaber: Laaber.
  Koudal, Jens Henrik 1996: Mobility of Musicians in the Baltic in the 17th and 18th Century. – *Musica Baltica. Interregionale musikkulturelle Beziehungen im Ostseeraum. Konferenzbericht Greifswald-Gdansk 28. November bis 3. Dezember 1993*. Deutsche Musik im Osten 8, hrsg. von Ekkehard Ochs, Nico Schüler und Lutz Winkler, Sankt Augustin, S. 137–147.

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  EMBL 2007 = *Eesti Muusika Biograafiline Leksikon*. 1. kd., toim. Tiina Mattisen, Tallinn: Eesti Entsüklopeediakirjastus, 2007.
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