

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 *Kontpunkt* 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, expository 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 Oberals auch Unter- und sogar Gegenbegriff zu “Periode” sein kann, ist eine Erbschaft, die von den musikalischen Syntaxtheorie aus der sprachlichen übernommen wurde. Als Vorderorder 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

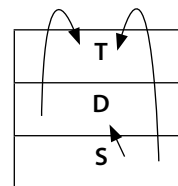
suggested hierarchy of primary triads and secondary triads, as well as hierarchical dynamic of relationship of three tonal functions. Tonic occupies the highest level, Dominant is second to it, and Subdominant is the lower-priority function; both Subdominant and Dominant create tension and resolve it 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.

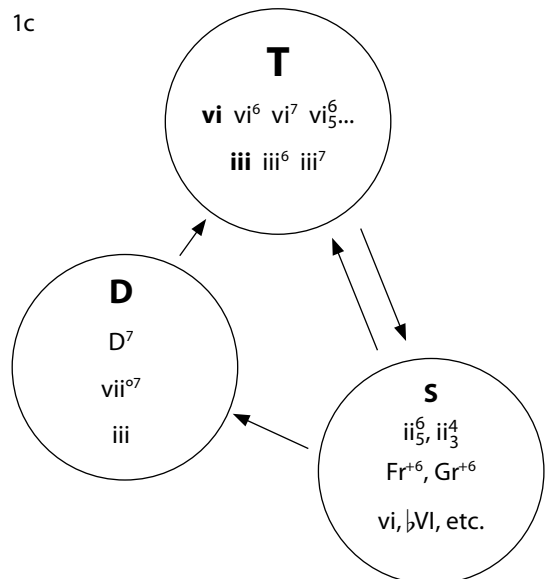
1a

| | | |
|----|----|-------------------|
| 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 $V-IV^6-V_5^6$, which is, together with $I-V_3^4-I^6$, 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 led 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 <i>allegro</i> , Large Ternary (<i>Adagio</i>), 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 <i>allegro</i> | 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 <i>allegro</i> , 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.

| | | |
|---------------|-------------------------------------|---------------------|
| <i>große</i> | <i>zusammengesetzte, erweiterte</i> | composite, compound |
| <i>kleine</i> | <i>einfache</i> | simple |

Scheme 6. Marx's Five Rondo Forms.

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

Scheme 7. Large Ternary 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 *abaca* and Large Ternary *A(ba)BA(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 form). 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* form 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).

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

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

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

| | |
|---|--|
| The middle (<i>b</i>) and a simple form: | The Middle Section (<i>B</i>) 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 <i>B</i>), 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 <i>b</i> is "sensitivity." | Very strong contrast established. For example, if basic idea is "singing style," the <i>B</i> presents " <i>Sturm und Drang</i> ". |

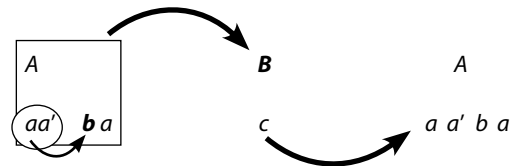
relates to the idea that this formal type brings a recurring main theme. Valentina Kholopova in her *Forms of Musical Works* mentions the *Adagio* twice. "The Lyrical Rondo of Mozartean tradition has found its continuation in the slow movement of the Sonata Pathétique" (Kholopova 2001: 106). She also 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_b major and F minor also do not suggest a drastic change. The segment in $G\sharp$ 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 $G\sharp$ -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 $G\sharp$ -minor segment (see Scheme 8). Here is the list of compositional features of the two segments in comparison (see Scheme 9).

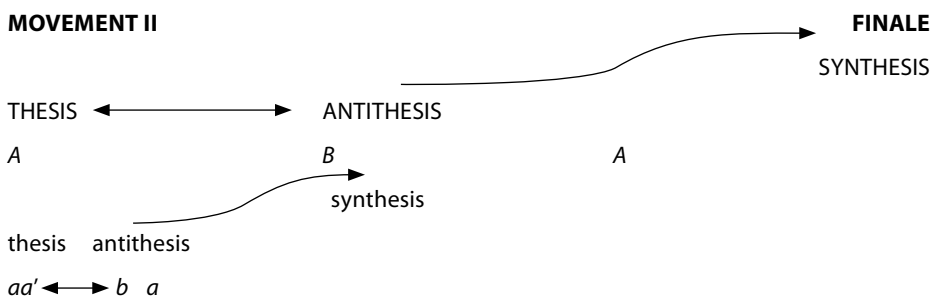
And the last argument in favor of Large Ternary as a form of this *Adagio* is the fact that by the logic of musical composition, clearly established in the Classical style, the small *b* section is related to the preceding period and to the following small-scale recapitulation, while the large *B* is 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 $G\sharp$ -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 $G\sharp$ -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_b -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 soldier is subordinate to a general only as a part of military system of ranking. Outside the military, a soldier 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.

| | | | | |
|--------------------|--------------------------------|---|---|--|
| <i>Ursatz</i> | | | Neighbor relationship of two structural tones and one intermediate in a $\hat{3}$ -line | That one replicated in a $\hat{5}$ -line |
| <i>Mittelgrund</i> | | Harmonic tone 1 to harmonic tone 2 as neighbor relationship | | |
| <i>Vordergrund</i> | 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 <i>Liedformen</i> | Rameau Harmony | Schenker Harmony | Fux Species | Tovey Rondo | Tovey Binary |
|-----------|-------------------------------|----------------------------|-------------------------------------|------------------------|----------------------------|----------------|-------------------------|
| Levels | <i>große</i> | <i>große</i> | Harmonic function | Neighbor relationship | 1 | rondo | |
| | <i>kleine</i> | <i>kleine</i> | Non-harmonic tones | Function of a chord | 2, 3, 4 | rondo | sectional or continuous |
| Principle | The degree of <i>Bewegung</i> | 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.

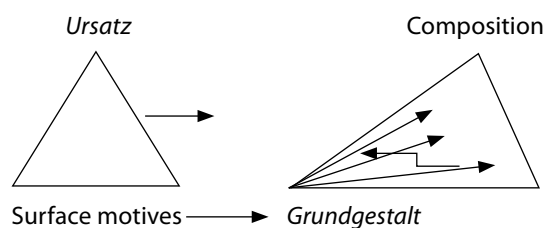
Neighbor-note relationship is by nature the aspect of small-scale structure in music. It is a feature, similar to the textural effects in miniature painting that cannot be used in the context of monumental art. It is impossible to build a large-scale musical structure solely on this principle and nobody 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 bold⁵ 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.

References

- Berry**, Wallace 1986. *Form in Music: An Examination of Traditional Techniques of Musical Form and Their Applications in Historical and Contemporary Styles*. Englewood Cliffs, N. J.: Prentice Hall.
- Cadwallader**, Allen and William Pastille 1992. Schenker's High-Level Motives. – *Journal of Music Theory* 36/1, pp. 119–148.
- Caplin**, William 1998. *Classical Form. A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. Oxford: Oxford Univ. Press.
- Dahlhaus**, Carl 2000. *Die Musiktheorie des 18. und 19. Jahrhunderts. Gesammelte Schriften*, ed. Hermann Danuser. Band 4. Laaber: Laaber Verlag.
- Forte**, Allen 1959. Schenker's Conception of Musical Structure. – *Journal of Music Theory* 3/1, pp. 1–30.
- Goetschius**, Percy 1915. *The Larger Forms of Musical Composition*. New York: Schirmer.
- Kholopova**, Valentina 2001 = Холопова Валентина Николаевна 2001. *Формы музыкальных произведений. Учебник*. Moscow: Лань.
- Lerdahl**, Fred and Ray Jackendoff 1983. *A Generative Theory of Tonal Music*. Cambridge, Mass.: Cambridge Univ. Press
- Lerdahl**, Fred and Ray Jackendoff 1983/1984. An Overview of Hierarchical Structure in Music. – *Music Perception* 1/2, pp. 229–252.
- Medushevsky** Vyacheslav V. 1981 = Медушевский, Вячеслав Вячеславович 1981. *Интонационно-фабульная природа музыкальной формы*. Manuscript of Doctoral dissertation. Moscow.
- Marx**, Adolf Bernhard 1858. *Die Lehre von der musikalischen Komposition, praktisch und theoretisch*. Bd. III, Leipzig: Breitkopf & Härtel.
- Prout**, Ebenezer 1893. *Musical Form*. London: Augener.
- Ratner**, Leonard G. 1980. *Classic Music: Expression, Form, and Style*. New York: Schirmer.
- Ratz**, Erwin 1968. *Einführung in die musikalische Formenlehre*. Wien: Universal Edition.
- Schenker**, Heinrich 1979. *Free Composition (Der freie Satz, 1935; Volume III of New Musical Theories and Fantasies)*. Ed. Ernst Oster. New York and London: Longman.
- Schoenberg**, Arnold 1967. *Fundamentals of Musical Composition*. Ed. Gerald Strang and Leonard Stein. New York: St. Martin's Press.
- Simms**, Bryan R. 1977. New Documents in the Schoenberg-Schenker Polemic. – *Perspectives of New Music* 16/1, pp. 110–124.

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 käsitus 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'ist 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 minoorresse kui mažoorresse 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 liitvormid, 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. Kaksikümmend üks sajandit kestnud lääne muusikateooria areng väärrib 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.