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SCHENKER'S *FORMENLEHRE*

edited by / a cura di Alessandro Cecchi

INDICE

<i>Guest Editor's Note</i>	7
<i>Nota del Curatore</i>	9
Jason Hooper	
<i>An Introduction to Schenker's Early Formenlehre: Implications for His Late Work</i>	11
Marc Rigaudière	
<i>Some Considerations on Schenker's Position in the Formenlehre Tradition</i>	41
Frank Samarotto	
<i>The Urlinie, Melodic Energies, and the Dynamics of Inner Form</i>	61
Alessandro Cecchi	
<i>Looking beyond the Surface: Form, Force and Structure in Kurth and Schenker</i>	79
Nicolas Meeùs	
<i>Formenlehre in Der freie Satz: A Transformational Theory</i>	99
Christopher Brody	
<i>The Independence of Structural Parameters in Schenkerian Accounts of Tonal Form</i>	115
Steven D. Mathews	
<i>Evaluating Schenkerian Analysis as a Complement to Sonata Theory, Formal Functions and Italian Schemata</i>	129
Joel Galand	
<i>Some Schenkerian Implications for Sonata Theory</i>	153
 <i>Notes on Contributors</i>	 173
<i>Notizie sugli autori</i>	177

GUEST EDITOR'S NOTE

This special issue of the «Rivista di Analisi e Teoria Musicale» collects articles developed from papers presented at the “Schenker’s *Formenlehre*” pre-organised session, one of the most successful of the 8th European Music Analysis Conference (EuroMAC), held in Leuven, Belgium in September 2014. The session was created and coordinated by Nicolas Meeùs, who circulated a call for proposals via an email forum in October 2013. A number of scholars working on both sides of the Atlantic joined the group’s mailing list and engaged in a wide-ranging discussion.

The organisation of the issue does not differ much from that of the EuroMAC session. The subsequent elaboration of the papers not only turned them into scholarly articles verified by a double blind peer review process, but also enforced some relevant aspects of the session. Particularly, it highlighted the fluctuation between two poles of attraction: on the one hand the historiographical and hermeneutic approaches based on archival research, historical semantics and history of music theories, and rooted in the tradition of continental musicology; on the other the systematic and analytical approach of music theory which mainly refers to the Anglo-American tradition. Although some of the articles are primarily attracted by one of these poles, the reciprocal implication, interaction and cross-fertilisation of the two spheres of influence comes to prevail, characterising this special issue as a whole. Another distinctive aspect is the tendency to go beyond the boundaries of the classical Schenkerian perspective, which is discussed in an exchange with other theoretical perspectives and analytical methods, thus testifying – significantly though partially – to the vitality and dynamism of Schenkerian studies today.

Historical research has shown that Schenker’s thought was not monolithic, for his theoretical perspective and analytical techniques evolved over the years and significantly changed with time. Schenker’s development is the work of a pioneer who continuously wondered about the range, meaning and importance of his research. He invented and gradually refined an extremely innovative analytical technique, not without precedents in the history of music theories. He gave very special attention to the expressive and representative means of analytical interpretation and created new forms of graphic notation. Moreover, his many publications were a test bed that offered a systematic account of intuitions that emerged

in an interplay of meta-theoretical presuppositions and empirical research, fostered by an incessant engagement with the musical works.

In the articles of this issue, Schenker's legacy comes to interact with other theoretical and analytical perspectives, and also with horizons of thought external to the field of music strictly speaking: the nineteenth-century *Formenlehre* tradition (Hooper, Rigaudière); the perspective of energetics with particular focus on Ernst Kurth (Samarotto, Cecchi); Noam Chomsky's transformational grammar (Meeùs); recent theories of musical form by Willian Caplin, Robert Gjerdingen and particularly by James Hepokoski and Warren Darcy (Mathews, Brody, Galand). References to the work of Schenker's pupils and to the translations of his works are also present: the discussion and revision of the English editions, actually, plays an important role in many of the articles in this issue.

The image of Schenker that emerges here involves not only the great theorist and analyst, but above all the man of learning, who nourished his musical thought with multifarious references to philosophy, religion and politics and much more; aspects that in the past have been often neglected or even discarded as irrelevant, but that in recent years have attracted growing scholarly attention. On the whole, the issue contributes to highlighting the complexity and nuances of a music-theoretical heritage which has assumed the dimensions of a relevant cultural phenomenon.

Alessandro Cecchi

NOTA DEL CURATORE

Questo numero monografico della «Rivista di Analisi e Teoria Musicale» raccoglie articoli nati da relazioni presentate a una delle sessioni più partecipate della VIII European Music Analysis Conference (EuroMAC) che si è tenuta a Leuven, in Belgio, nel settembre 2014. La sessione, di cui il presente fascicolo riprende il titolo (“Schenker’s *Formenlehre*”), è stata ideata e coordinata da Nicolas Meeùs, che ha diramato una proposta tramite un forum online nell’ottobre 2013. Questa ha raccolto numerose adesioni dalle due sponde dell’Atlantico, dando vita a un ampio dibattito.

L’articolazione di questo volume non si discosta molto da quella della sessione convegnoistica. La trasformazione delle relazioni in saggi scientifici, corroborata da una doppia *peer review* anonima, ha rafforzato alcune caratteristiche della sessione, evidenziando la fluttuazione degli articoli tra due poli di attrazione: da una parte gli approcci di taglio storiografico ed ermeneutico, basati sulla ricerca archivistica, sulla semantica storica e sulla storia delle teorie musicali, e fortemente radicati nella tradizione musicologica continentale; dall’altra gli approcci di taglio sistematico e analitico, che rimandano alla *music theory* di tradizione angloamericana. Benché alcuni articoli si muovano più nelle vicinanze di uno dei due poli, sono soprattutto le contaminazioni e le reciproche interazioni tra le due sfere di influenza a prevalere, caratterizzando il volume nel suo complesso. Un ulteriore aspetto qualificante è la tendenza allo sconfinamento: nessuno degli articoli si mantiene entro i confini della prospettiva schenkeriana classica, che viene fatta interagire con altre tradizioni teoriche e con altre metodologie di analisi, offrendo un quadro parziale ma significativo della vitalità e del dinamismo degli odierni studi schenkeriani.

Gli sviluppi della ricerca hanno dimostrato che il pensiero di Schenker non può essere considerato un universo monolitico, dal momento che la sua prospettiva teorica e le sue tecniche analitiche si sono modificate e affinate gradualmente, con il passare degli anni. Il percorso di Schenker si configura come quello di un pioniere che si è interrogato senza sosta sulla portata, sul senso e sull’importanza delle sue ricerche; che ha forgiato e perfezionato una tecnica analitica fortemente innovativa, ma non estranea a presupposti ben radicati nella storia delle teorie musicali; che ha dedicato un’attenzione assolutamente inedita ai mezzi di espressione e rappresentazione dell’interpretazione analitica, inventando nuove forme di

notazione grafica; che ha praticato l'attività pubblicistica come un banco di prova per dare forma sistematica a intuizioni nate dal continuo interscambio tra i suoi presupposti meta-teorici e una ricerca empirica alimentata da un incessante confronto con le opere musicali.

Negli articoli raccolti in questo volume, l'eredità di Schenker viene fatta interagire con altre prospettive teoriche ed analitiche, ma anche con orizzonti di pensiero estranei all'ambito strettamente musicale: la tradizione della *Formenlehre* ottocentesca (Hooper, Rigaudière); la prospettiva energetica, con particolare riguardo a Ernst Kurth (Samarotto, Cecchi); la grammatica trasformazionale di Noam Chomsky (Meeùs); le più recenti teorie della forma musicale elaborate da William Caplin, Robert Gjerdingen e, soprattutto, da James Hepokoski e Warren Darcy (Mathews, Brody, Galand). Non mancano inoltre riferimenti ai lavori degli allievi diretti di Schenker, e neppure alla questione delle traduzioni delle sue opere, visto che la discussione e la revisione delle edizioni in lingua inglese svolge un ruolo decisivo in molti degli articoli di questo numero.

In definitiva, l'immagine di Schenker che emerge da questo volume non è solo quella del grande teorico e analista, ma anche e soprattutto quella di un uomo di cultura che ha alimentato il suo pensiero musicale con una pluralità di riferimenti alla sfera della filosofia, della religione, della politica e di molto altro ancora; aspetti che in passato sono stati spesso trascurati, perché considerati non pertinenti o poco rilevanti, ma che negli ultimi anni hanno cominciato a catalizzare in modo crescente l'attenzione degli studiosi. Nel suo insieme, il volume contribuisce a mettere in luce la complessità e le sfumature di un retaggio teorico-musicale che ha assunto la dimensione di un rilevante fenomeno culturale.

Alessandro Cecchi

Jason Hooper

AN INTRODUCTION TO SCHENKER'S EARLY *FORMENLEHRE*: IMPLICATIONS FOR HIS LATE WORK

Abstract

This article introduces Heinrich Schenker's early *Formenlehre* – from his first major theoretical statement, *Der Geist der musikalischen Technik*, to the first published mention of the *Urlinie* in his explanatory edition of Beethoven's op. 101. A tension between conformational and generative approaches to form emerged in Schenker's thought during this time. These two approaches are shown to collide in his conception of sonata form in the 1920s. Although interruption offers one way to reconcile this apparent contradiction, I contend that form exerts its own force – a force that intrudes from outside voice leading's dynamic transformation into the foreground. As a result, Schenker's late conception of musical monocausality, which is based in part on his monotheistic religious beliefs, is called into question.

All theories of musical form exist along a continuum.¹ At one end of this continuum lies what Mark Evan Bonds calls the “conformational approach” [Bonds 1991, 13-16]. This approach demonstrates how individual compositions exemplify an abstract schema – thus, form subsumes content. At the opposite end of this continuum lies what Bonds calls the “generative approach.” This approach demonstrates how a unique composition evolves as an ongoing process – thus, form is content (and content form). Although productive theories accommodate both approaches, a latent tension between them often remains. In what follows, I uncover this tension in Schenker's early *Formenlehre* – from his first major theoretical statement, *Der Geist der musikalischen Technik*, to the first published mention of the *Urlinie* in his explanatory edition of Beethoven's op. 101 [Schenker 2007; 2015;

1. I thank William Rothstein for his comments on an earlier version of this article; the University of Massachusetts Amherst Translation Center for their help transcribing Fig. 3, Fig. 4, and Fig. 5; and the College of Humanities & Fine Arts at the University of Massachusetts Amherst for supporting this work through a faculty research grant.

Pastille 1990]. With this newfound understanding we are invited to reimagine his late approach to form [Schenker 1979, 128-145].

Schenker's early *Formenlehre* was largely a conformational approach in search of a generative mechanism. By 1917 he had discovered this mechanism: a "methodically fluent line" propelled by the dynamics of consonance and dissonance realised via passing tones; or, what Schenker described as "little causal motors" in an early draft of *Der freie Satz* [Cook 2007, 63-64].² Before this discovery, his generative approach to form was rather traditional, much of it at home in the second half of the nineteenth century [Hooper 2011; Smith 1996]. His theory relied on motivic development in particular, with sonatas by C. P. E. Bach and Beethoven often serving as exemplars.³ In *Harmonielehre*, Schenker [1954, 49-52, 55-57] used the exposition of a fugue by J. S. Bach to illustrate how a subject (equivalent to a motive) is traditionally introduced beginning on the tonic and answered on the dominant. Thus, motivic development is intimately connected with the expansion of the "tonal system". It is not entirely clear what Schenker means by this term, although it likely relates to his concept of *Diatonie*, or the interrelationship of diatonic scale degrees within a key.⁴ Simply put, as new motivic variants are generated, new harmonies (or new *Stufen*) are required to express them.⁵

2. «Von elementarster Gewalt äußert sich in der horizontalen Richtung die Kausalität der fließenden Linie; sie ist es, die längst bei sich weiß, was da kommen wird, die Knotenpunkte der Linie verteilt, die kleinen kausalen Motore der Durchgänge u. Vorhänge zu Leben u. Wirkung aufruft. Zu ihr, von der alles kommt, gehen schließlich auch alle Wirkungen ein» [Oster Collection, file 51, item 1382; italics for underlining in the original]. Here the term *Vorhänge* means accented dissonances more generally rather than suspensions alone [Schenker 1976, 54n4]. See Siegel [1999] for the early history of *Der freie Satz*. For an in-depth discussion of musical causality in Schenker's thought, see Cook [2007, 63-81].
3. For Schenker's commentary on C. P. E. Bach's sonatas, see *Ein Beitrag zur Ornamentik* [Schenker 1976, 27-44]. Schenker's unpublished manuscript, titled *Der Weg zum Gleichnis* [Schenker n.d.], addresses motivic development in Beethoven's late piano sonatas. Motivic development is also discussed in *Der Geist der musikalischen Technik* [Schenker 2007, 319-322], *Harmonielehre* [Schenker 1954, 4-13, 211-214], and *Über den Niedergang der Kompositionskunst* [Schenker 2005, 53-54, 75, 81, 121].
4. By using the term "tonal system", I allude to passages in Schenker's *Harmonielehre* where he directly links motivic development to «die Schaffung des Systems der Töne» (Schenker 1954, 20-21, 211-214; 1906, 32; italics for spaced type in the original). This is likely a vestige of an earlier manuscript titled *Das Tonsystem* [Oster Collection, file 31, items 360-386; see Wason 2006, 172-180].
5. For a brief description of the *Stufe* and its role in Schenkerian theory, see Drabkin [2002, 817-818]. See Schachter [1999] for a more detailed study of *Stufen*, keys, and the related concept of *Diatonie* in Schenker's work. For a history of Viennese fundamental-bass theory that extends beyond Schenker, see Wason [1985].

[illegible]

Fig. 1. W. A. Mozart, Piano Sonata in A major K 331, first movement, theme [Oster Collection, file 83, item 152].

Fig. 1 illustrates how this general connection between motive and harmony in Schenker's thought informs one of his unpublished analyses from the Oster Collection.⁶ (The analysis was likely carried out after the publication of *Harmonielehre* in 1906; how long after is unclear, since the document is not dated.) Here Schenker uncovers a profound connection between motives and *Stufen* in the first movement of Mozart's Piano Sonata in A major, K 331. He analyses this familiar theme as a three-part song form, which he notates as a_1 - b - a_2 at the top of the page. On the document's first stave of notated music, the right-hand melody in bb. 1-4 traverses two motives of a step-wise descending third (each is shown with a bracket beneath the score). Schenker indicates that the first motive expresses tonic harmony – namely, the upper voice (E_4 - D_4 - $C\sharp_4$) descends in parallel thirds with an inner voice ($C\sharp_4$ - B_3 - A_3). Both stepwise thirds begin and end on notes belonging to the underlying tonic chord; the D_4 and B_3 are heard as passing tones. A similar pattern occurs in b. 4. Here the upper voice ($D\sharp_4$ - $C\sharp_3$ - B_3) and its accompanying inner voice (B_3 - A_3 - $G\sharp_3$) both begin and end on notes belonging to the underlying dominant seventh chord.⁷

Although Schenker first proposed a connection between motive and harmony in *Harmonielehre*, the expression of a harmony through a stepwise motive is more characteristic of his work beginning around 1920. By then he had infused a traditional conception of the motive with the principle of “melodic fluency” (*fließenden Gesang*) [Schenker 1987, 94-100; 2015, Fig. 29, Fig. 38]. According to this principle, melodies move predominantly in stepwise motion, with leaps balanced by steps in the opposite direction to create a connected, wave-like shape overall. Even in Schenker's mature theory, all linear progressions (*Züge*) are melodically fluent motives that compose-out some harmonic interval.⁸ This interaction between motive and harmony, in coordination with Schenker's law of repetition, eventually gives rise to larger formal units articulated by cadences [Schenker 1954, 4-13, 211-231].

Schenker's analysis of Mozart's Piano Sonata in C major, K 330, found in *Harmonielehre* illustrates this idea (see Ex. 1). The opening bars are analysed as a period (although a strange one at that).⁹ The *Vordersatz* ends with an imperfect

6. The Oster Collection is located at the Music Division of the New York Public Library, Astor, Lenox, and Tilden Foundations. For more information on this archive, see Kosovsky [1999].

7. That Schenker does not indicate the chordal seventh in this analysis is unsurprising. He often uses Roman numerals to indicate *Stufen* as chord roots rather than complete harmonies *per se*.

8. For how Schenker's conception of the motive changed over time, see Cadwallader-Pastille [1992].

9. In this case, Schenker hears a period because this schema involves a sense of incomplete closure, followed by a repetition that leads to a sense of complete closure [Schenker 1954, 215-216]. However, Schenker's conception of the period around the time of *Harmonielehre* is quite general: it is a proposition-response paradigm that does not require any particular

authentic cadence (*unvollkommenen Ganzschluß*) in b. 8, while the *Nachsatz* ends with a perfect authentic cadence (*vollkommenen Ganzschluß*) in b. 12 [Schenker 1954, 216-218; 1906, 287-290]. Regarding the perfect authentic cadence, Schenker writes:

Such step progression, IV-V-I, may occur anywhere – at the beginning, in the middle, or at the end of a musical thought. [...] If we consider such a step progression, I-IV-V-I, from the harmonic angle alone and disregard any question of form, we find that it emphasises, first of all, the tonic [*Stufe*] and, second, the key of the tonic. If we now consider that, in addition, the return to the tonic [*Stufe*] coincides with the formal conclusion – as it does in this consequent – and that it thus signifies a return to the harmonic point of departure, we see that the motion has reached its goal: form as well as harmony have closed their cycle [Schenker 1954, 217].¹⁰

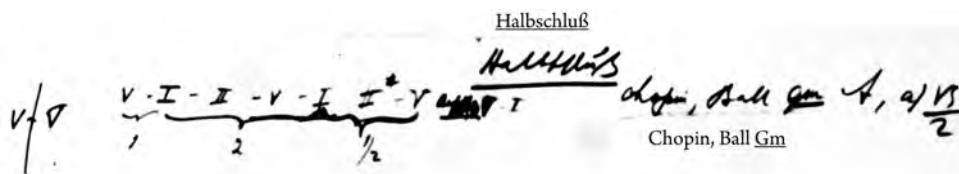
Ex. 1. W. A. Mozart, Piano Sonata in C major K 330, first movement, bb. 11-12 [Schenker 1906, Ex. 246, Ex. 248, Ex. 250].

thematic design or cadential structure. Today most analysts would analyse this passage as an eight-bar sentence with a repeated continuation phrase that “corrects” the imperfect authentic cadence in b. 8 to a more conclusive perfect authentic cadence in b. 12 [Caplin 1998, 47-48, 47n50; Neuwirth 2015, 128-130].

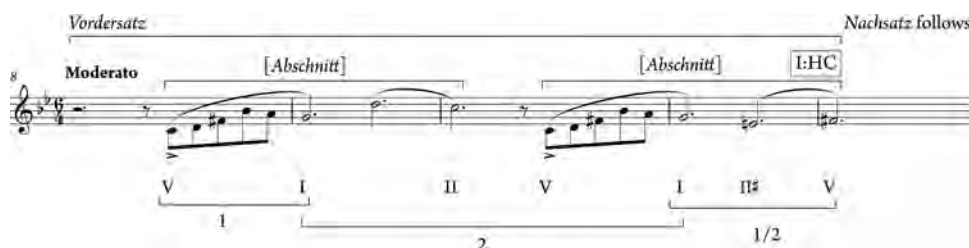
10. I have modified this translation somewhat (i.e., Borgese translates *Kreislauf* as “circle” rather than “cycle”): «Dieser Stufengang IV, V, I kann indessen wohl überall – am Anfang, in der Mitte wie auch am Schlusse eines Gedankens – vorkommen. [...] Harmonisch allein betrachtet und von jeder Form losgelöst, sehen wir einen solchen Stufengang I, IV, V, I seine Wirkung immer zunächst zu Gunsten einer Tonika und in weiterer Folge auch ihrer Tonart äußern. Kommt aber dazu noch die Tatsache, daß – wie oben im Nachsatz des Mozartschen Beispiels (Fig. 250 [Ex. 1 here]) – die Tonika gar nun mit dem Ende der Form zusammenfällt und somit denn auch die Rückkehr zum ersten harmonischen Ausgangspunkt bedeutet, so sehen wir die treibenden Kräfte endlich an ihrem Ziele, Form wie Harmonie haben einen vollen Kreislauf absolviert» [Schenker 1906, 287-288].

In fact, this passage implies two cycles: (1) the progression of harmonic degrees (*Stufengang*) and (2) form as a beginning-middle-end paradigm. These cycles may or may not be aligned – again, a IV-V-I progression can occur anywhere in a musical thought – although they must align to create a satisfactory cadence. When cadences do occur, Schenker describes their final harmonies as *Stufen als Satzteiler*, or *Stufen* that divide the form [Schenker 1906, 297].¹¹

This idea is explored further in Ex. 2a. Schenker's analysis of Chopin's Ballade n. 1 in G minor op. 23 demonstrates how a single musical thought with beginning, middle, and end can incorporate three progressions towards the tonic, although the last attempt is unsuccessful. The first progression towards the tonic in Ex. 2a begins on the dominant (V-I); the second progression effects a complete harmonic cycle (I-II-V-I); the third progression reaches only as far as the dominant – thus, a half cadence. However, this example is telling not for what it includes, but for what it leaves out. As Ex. 2b shows, the two melodic ideas (*Abschnitte*) and the three harmonic progressions towards the tonic are out of alignment until the cadential arrival in b. 12. In other words, while there are three progressions towards the tonic, there is only one *Satzteiler*. Moreover, the first two progressions, which successfully reach the tonic *Stufe*, are somehow less conclusive than the final progression, which reaches only as far as the half cadence's dominant *Stufe* in b. 12. The *Stufengang* alone is unable to effect a cadence.



Ex. 2a. F. Chopin, Ballade n. 1 in G minor op. 23, bb. 8-12 [Oster Collection, file 83, item 418].



Ex. 2b. F. Chopin, Ballade n. 1 in G minor op. 23, bb. 8-12.

11. A few years later, Schenker describes several dominant *Stufen* as “dividers” (*Teiler*) of the form in his commentary on J. S. Bach’s *Chromatische Phantasie und Fuge* [Schenker 1984, 23, 23n9].

On the left side of Ex. 2a, Schenker draws a line separating two dominants. This line indicates a grouping boundary, although whether it indicates a boundary between the ballade's introduction and the theme proper beginning in b. 8, or a boundary between the *Vordersatz* and the *Nachsatz* that follows the half cadence in b. 12 is not clear. I assume the latter, since the point of this example appears to be the half cadence (*Halbschluß*) labelled at the top. The *Vordersatz* reaches a momentary point of rest at the half cadence in b. 12; this division is felt more strongly once the *Nachsatz* repeats the initial melodic idea beginning on a dominant seventh chord parallel to bb. 8-9 (not shown).¹² But since a *Stufengang* is unable to effect a cadence on its own, this line must manifest a force that intrudes from outside the logic of harmonic progression – a force that is strong enough to split a single dominant *Stufe* into two distinct entities. Before Schenker incorporated interruption into his theory, no explanation based on harmony or voice leading alone could account for this discontinuity.¹³ Until then, such a division was based on grouping, design – or, in this case, the larger period schema.

This example will prove useful when we consider the relationship between voice-leading levels (*Schichten*) and more traditional forms in Schenker's late theory, which is to say, the relationship between William Rothstein's concepts of "inner form" and "outer form" respectively.¹⁴ In Schenker's *Der freie Satz* [1979], a special brand of monocausality generates a composition from background to foreground, but might the outside force that we encountered in Chopin's ballade be at work here, too?

While Schenker's early polemics privileged the generative in theory, he often relied on the conformational in practice.¹⁵ Fig. 2a shows his taxonomy of full-movement forms, which likely dates from sometime between 1911 and 1916 (Fig. 2b shows my transcription).¹⁶ This taxonomy begins with one-part form, followed by two-part form, and continuing until the progression ends with six-part sonata form. These increasingly complex schemas combine aspects of A. B. Marx's rondo forms and song forms [Marx 1837-1847]. Like the rondo forms, these schemas culminate in sonata form; but like the song forms, they lack anything resembling

12. It is also possible to hear an authentic cadence that overlaps with b. 13 (not shown). I thank L. Poundie Burstein for suggesting this alternative.

13. For a nuanced account of interruption, see Samarotto [2005].

14. For more on inner and outer form, see Rothstein [2007, 104]. Rothstein's distinction, which he derives from the work of Felix Salzer [1952, I, 223-226], has a long history inside and outside the Schenkerian literature; see Webster [2009, 123-125] and Hooper [2011, 35-36].

15. Schmalfeldt [1991, 234] and Smith [1996, 193, 196] recognize this disparity as well, although in the context of Schenker's late work.

16. Fig. 2a and Fig. 2b originally appear in Hooper [2011, Ex. 14]. Used with kind permission of «Theory and Practice».

Marx's *Gang*.¹⁷ Schenker's conception of sonata form is particularly unusual. At one level, it comprises six parts (first, second, and closing themes in both the exposition and recapitulation, notated as a_1 - b_1 - c_1 and a_2 - b_2 - c_2 respectively); however, the transition section does not count as an independent part of the exposition or the recapitulation. Yet, at a higher level, sonata form does comprise the three customary parts: exposition, development, and recapitulation (notated as a_1 - b - a_2).

Schenker makes extensive notes regarding the six forms in Fig. 2a. For example, at the top of Fig. 3, he lists various two-part forms (e.g., waltzes by Schubert, themes by Handel and Beethoven). As highlighted by the dashed box at the bottom left-hand side of the page, he also outlines two-part form's various tonal plans. Roman numerals indicate the beginning and ending harmonies of each section (a_1 and a_2). Schenker also indicates that a modulation may occur near the end of the a_1 section, followed by a "return-modulation" (*Rückmodulation*) at the beginning of the a_2 section. In the footnote at the bottom of the page, he describes the latter as an *Embryo* for the b section of a fully developed three-part form.

Notes regarding three-part form are shown in Fig. 4. Schenker explores different repetition schemes in the middle of the page. Below that, he demonstrates how forms can be combined hierarchically, where each large section of a three-part form sprouts its own two-part form. At the very bottom of the page, Schenker lists possible key relationships: often there is a contrasting key for the b section, while a modulation and a return-modulation are shown to occur near the end of the a_1 and b sections respectively.

Fig. 5 presents Schenker's notes on rondo form. This form is created when three-part forms are linked together with an elision. For example, to construct a five-part rondo, the a_2 section of one three-part form (a_1 - b_1 - a_2) elides with the a_1 section of another three-part form (a_1 - c_1 - a_2), resulting in a_1 - b_1 - a_2 - c_1 - a_3 . The nine-part rondo shown in the middle of Fig. 5 thus comprises four three-part forms with three elisions. In Fig. 6 Schenker analyses six different rondos by a variety of composers (see the leftmost column).¹⁸ Parts of the form are listed across the

17. Marx's term "Gang" is not easily translated into English. As Scott Burnham writes, «'run' seems too trivial, and 'transition' too specific, too redolent of Anglo-American manuals on form» [Marx 1997, 14]. Perhaps the closest that Schenker ever gets to a *Gang* in his early *Formenlehre* is sonata form's *Durchführung*. I thank Wayne Petty for bringing the similarities between the forms in Fig. 2a and the forms in Marx's [1837-1847] work to my attention. However, this similarity may in fact be due to Schenker having read Hugo Riemann's *Katechismus der Kompositionslehre* [1889], which was greatly influenced by Marx's work, and Stephan Krehl's *Musikalische Formenlehre* [1902-1903], which was influenced by Riemann. We know that Schenker owned Marx [1837-1847], Riemann [1889], and Krehl [1902-1903]; all three treatises were included in a catalog of Schenker's books sold after his death in 1935 [Eybl 1995, 172-173, 175].

18. Fig. 6 originally appears in Hooper [2011, Ex. 16]. Used by kind permission of «Theory and Practice».

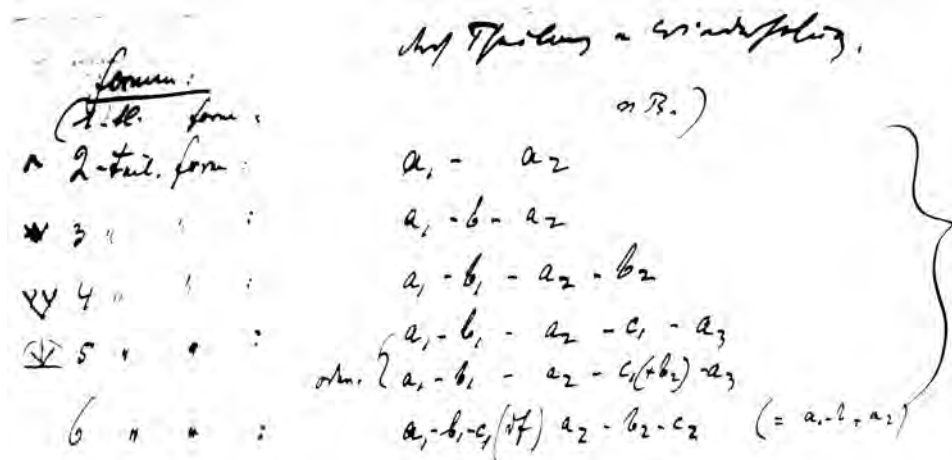


Fig. 2a. Schenker's taxonomy of full-movement forms [Oster Collection, file 83, item 255].

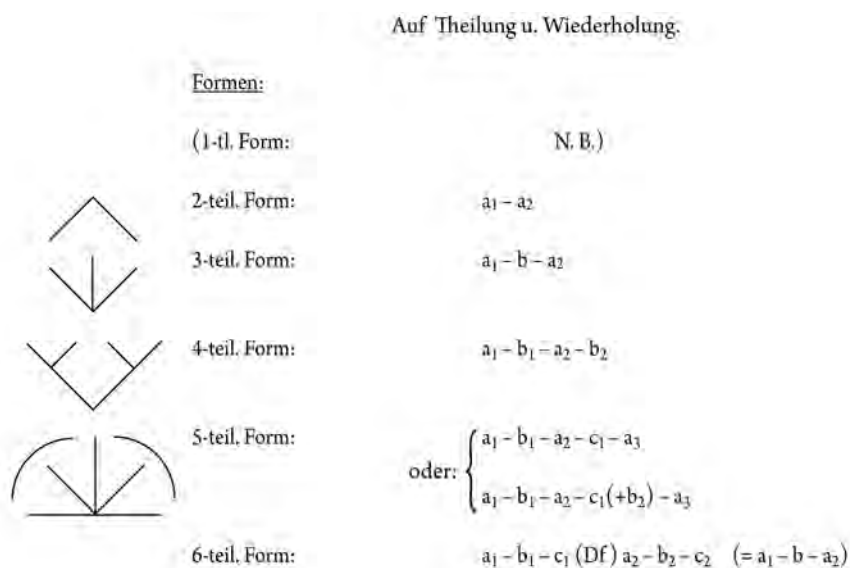


Fig. 2b. Transcription of Fig. 2a.

top of the diagram (see the capital letters with subscript Arabic numerals), while optional transitions (*Übergänge*) are indicated between them. The corresponding sections of each rondo are vertically aligned in the diagram, while branching structures model lower levels of form within each section. It is hard to imagine a more conformational approach.

Fig. 7 shows three analyses of selected choral works by Brahms. Schenker divides the *Schicksalslied* op. 54 into two large sections.¹⁹ The first section is analysed as a four-part form in the key of E $\flat$ major that sets the text's first two stanzas; the second section is analysed as a three-part form in the key of C minor that sets the third stanza. The C-major postlude functions as a coda. In the middle of Fig. 7, Schenker analyses the first movement of Brahms's *Requiem* op. 45 as a four-part form. The movement's primary key is F major, but according to this analysis, the form proper ends with the B $_2$ section in the subordinate key of D $\flat$ major. This is a radical departure from Schenker's later approach to form [Hooper 2011, 52].

19. Fig. 7 originally appears in Hooper [2011, Ex. 15]. Used by kind permission of «Theory and Practice».

2ff. Form
a₁ - a₂
9. Ver

1) Selbstständig.
 Ein einzelnes Gebilde
 (?) / Beeth. Fant. cis^m Sonate

*1) Selbstständig.
 für einzelne Gebilde (?) / Beeth. Fant. cis^m Sonate*

Aber mehrere Selbstständige zu einem Großen ^{blos} [illegible] u. [illegible]

*Also mehrere selbstständige zu einem Großen (vermehrt u. gekürzt,
 z. B. Walzer von Schubert
 Schumann, Davidsbündlertänze
 oder: als Thema nachfolg. Var.
 z. B. Beeth. Son. op. 109, 111
 Händel, B^{dur} Th. mit Var.
 oder: Arioso in Beeth. Sonate As^{dur} op. 110.
 No. Arioso in Beeth. Son. As^{dur} op. 110.*

Vollständiger Parallelismus von a₁ u. a₂ auszuschließen (?)

*Vollständiger Parallelismus von a₁ u. a₂ ausschließen (?)
 a₂ bedarf einer Abwechslung:
 a₂ bedarf einer Abwechslung:
 für vollständigen Gegensatz aufzukommen: 1) Motiv oder
 2) Tonart oder endlich:
 Ein bescheidener Gegensatz an 3) Motiv u. Tonart*

Die Einheit darf ^{dadurch} aber nicht gesprengt werden.

in der Tat darf die Einheit nicht gesprengt werden.

Sonstige Parallelismen

daher: *z. B. 3. 4. I - I₁ I - I₂ (illegible)
 N. B. 4. 5. I - I₁ I - I₂ (illegible)
 I - I₁ * Rückm. - I Rückm.
 I - I₁ * Rückm. - I Rückm.
 I - I₁ * Rückm. - I Rückm.
 I - I₁ * Rückm. - I Rückm.*

(Bezeichnung „arietta“ für Thema aus 111 vielleicht auf den Mangel an P. zurückzuführen?)

Bezeichnung „arietta“ für Thema aus 111 vielleicht auf den Mangel an P. zurückzuführen?

Beeth. Thema nach 109, 111
 Händel B^{dur} Thema
 Beeth. Arioso
 As^m Ces^d - Rück. As^m

* Solange durch den Gebrauch der Tonika angezeigt wird, daß die alte Ton. fortbesteht, wird aber nur eine Entwickl. zu V nicht schon aber eine volle Mod. angewiesen sein.
 Da die Aufbau neuer Motivbildung zu Anfang das a₂ u. namentlich wenn dies auch von [illegible] Tonarten begleitet sind, ist [illegible: das Embryo?] [illegible] nachfolg. Form [b section in a three-part form] zu erblicken.

*Solange durch den Gebrauch der Tonika angezeigt wird, daß die alte Ton. fortbesteht, wird aber nur eine Entwickl. zu V nicht schon aber eine volle Mod. angewiesen sein.
 Da die Aufbau neuer Motivbildung zu Anfang das a₂ u. namentlich wenn dies auch von [illegible] Tonarten begleitet sind, ist [illegible: das Embryo?] [illegible] nachfolg. Form [b section in a three-part form] zu erblicken.*

Fig. 3. Schenker's notes regarding two-part form [Oster Collection, file 83, item 259].

1) Selbstst.

2) *Salzst.*

Schubert: Walzer
Chopin: Noct. fis d, f^m
Brahms: op. 117 Gd.
Schumann: Warum? Vogel als Prophet.
 Schumann: "Warum," Vogel als Prophet.

Chopin: Noct. Fis^{dur}, F^m
Brahms: op. 117 Es^{dur}

Trägt also das ganze Stück bei guter Ausbildung der einzelnen Theile, besonders des mittleren.

Weiderholung der einzelnen Theile:

• Wiederholung d. einzelnen Theile:
 $a_1 - b - a_2$
 Meistens:
 unentf. : $a_1 - [b - a_2]$

Brahms: Requiem II. Ges^{dur} Theil
Brahms: Requiem II. Ges^{dur} Theil
 (c) (f) (c) (f)

z.B. Chopin, Noct. f^m
 Beeth. Son. F^m Finale, As^{dur} Theil

Spaltung:

... Geltung:

Wiederhol. u. Spaltung combinirt.

• Wiederhol. u. Spaltung combinirt.
 " und Variat. "
 " und Variat. "

Haydn, 54. 2. Adagio
 Haydn, 54. 2. Adagio

• formale Körper der a₂, unentf.
 bei Geltung der a₁
 Eventuelle Kürzung des a₂, namentlich bei Geltung der a₁:

$a_1 \sqrt{b} a_2$
 Brahms, op. 13, Begräbnisges.

Tonartendisposition.

bleibt in der Tonart

<u>Tonartendisposition:</u> bleibt in der Tonart " modult " modult	Bleibt in der Ton. modult b " bleibt in der Ton, " modult " modult rückmodult	a_2 a_2 a_2
---	---	-------------------------

Fig. 4. Schenker's notes regarding three-part form [Oster Collection, file 83, item 275].

5 ff) Rondo.



Ausbau der einzelnen [illegible: Glieder?].

... *ausbauen die einzelnen Glieder.*
Liedform. Liedform
Gruppenbau. Gruppenbau

... *in der Regel A2 gekürzt:* Moz. Rondo & ca. Moz. Rondo A^m
in der Regel A2 gekürzt: Beeth. Rondo aus Son. Es^d op. 7
Moz. Klavierquart. G^m

[illegible: Zusammenziehung?] von C u. B2 durch Ellision von A3

... *zusammenziehung von C u. B2 auf Ellision von A3*
Mozart, Klqu. G^m
Mozart, Klqu. G^m

A1- B1- A2- C1- A3- B2- A4 + C2 + A5

... *A1 - B1 - A2 - C1 - A3 - B2 - A4 + C2 + A5*
Beeth. Son. A^d op. 2. Fin.
Beeth. Son. A^d op. 2. Fin.

Kammermusik mit mehreren Instrum. bevorzugt
Gruppenbau statt Liedformen, wegen der Gelegenheit der Contrastierung.

... *Kammermusik mit mehreren Instrum. bevorzugt*
Gruppenbau statt Liedformen, wegen der Gelegenheit
der Contrastierung.
Moz. Klquart. G^m
Moz. Klquart. G^m

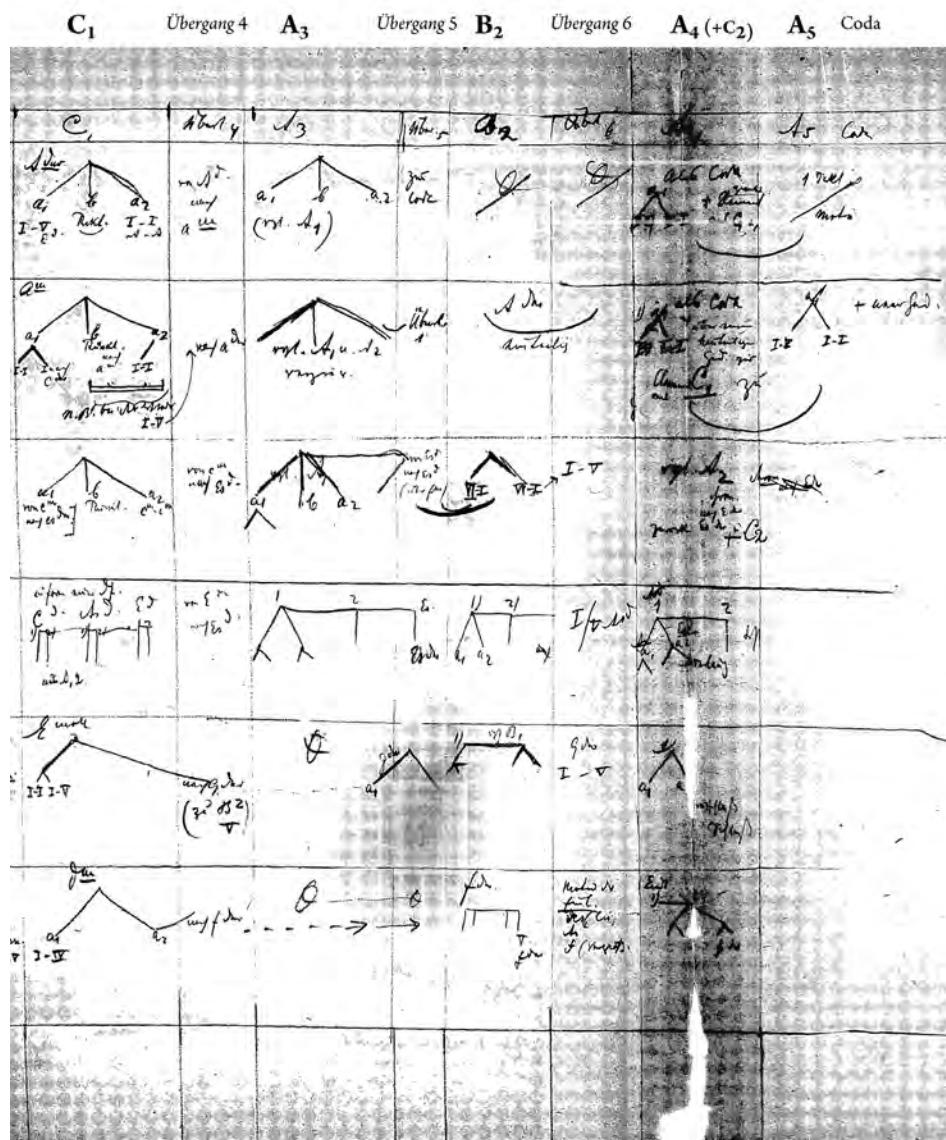
Die Modl. zwischen den [illegible: einz.?] Gl.

... *Die Modl. zwischen den einz. Gl.*

Fig. 5. Schenker's notes regarding rondo form [Oster Collection, file 83, item 288].

	A ₁	Übergang 1	B ₁	Übergang 2	A ₂	Übergang 3
W. A. Mozart, Rondo in A minor, K 511	<i>Mozart</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
L. van Beethoven, Piano Sonata in A major op. 2 n. 2/IV	<i>Beeth. Son. A. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
L. van Beethoven, Piano Sonata in E-flat major op. 7/IV	<i>Beeth. Son. E. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
L. van Beethoven, Piano Concerto in E-flat major op. 73/III	<i>Beeth. Kl. Kon. E. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
W. A. Mozart, Piano Quartet in G minor, K. 478/III	<i>Mozart Kl. q. G. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
J. Brahms, Clarinet Sonata in F minor, op. 120 n. 1/IV	<i>Brahms, Klarinet. Son. F. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>
R. Schumann, Piano Quartet in E-flat major, op. 47/IV	<i>Schumann Kl. Quart. E. m.</i> 	<i>Übergang 1</i> 	<i>B1</i> 	<i>Übergang 2</i> 	<i>A2</i> 	<i>Übergang 3</i>

Fig. 6. Schenker's conformational approach to rondo form [Oster Collection, file 83, item 294].



[Fig. 6 continued.]

Ein deutsches Requiem op. 45 I.

Fig. 7. Choral works by J. Brahms (from top to bottom): I. *Schicksalslied* op. 54; *Ein deutsches Requiem* op. 45, I. *Selig sind, die da Leid tragen*; *Ein deutsches Requiem* op. 45, II. *Denn alles Fleisch, es ist wie Gras* [Oster Collection, file 83, item 324].

In this case, a conformational form trumps the overall tonal trajectory, whereby the form proper does not include the return of the primary key. Perhaps Schenker does not analyse this movement as a five-part rondo ending in the primary key because this form would lack a contrasting C section. (In that case, the five-part rondo in Fig. 2a notated as $a_1-b_1-a_2-c_1-a_3$ would become $a_1-b_1-a_2-b_2-a_3$ instead.) At the bottom of Fig. 7, the second movement of Brahms's *Requiem* is analysed as two three-part forms separated by an elaborate transition (*Überleitung*).

Schenker's early *Formenlehre* culminates in six-part sonata form, or what he often called "cyclic form" (*cyklischen Form*). This form best exemplifies the drama of motivic development, as described in *Harmonielehre* [1954, 12-13] and Schenker's unpublished typescript *Über den Niedergang der Kompositionskunst* [Schenker 2005, 43-60]. With sonata form, new motives help generate new *Stufen* at a local level; but at a global level, a single *Stufe* can underlie an entire group (e.g., the exposition's second group might correspond to a deep-level dominant *Stufe*). However, before *Harmonielehre* (namely, in commentary on C. P. E. Bach's keyboard sonatas in *Ein Beitrag zur Ornamentik* [1976]), Schenker defined a group by its unifying key rather than its underlying *Stufe* (or *Stufen*) operating within a larger diatonic framework.²⁰ In fact, he continued to rely primarily on key areas (or *Stufen als Tonarten*) to define formal sections well into the 1920s (discussed below).

Despite Schenker's emphasis on motivic development at the expense of schematic forms in early writings such as *Harmonielehre* [1954] and *Ein Beitrag zur Ornamentik* [1976], his approach to sonata form was still largely conformational in practice. In fact, through the analysis of selected string quartets by Joseph Haydn, Schenker discovered four distinct types of exposition, which he labelled A through D.²¹ Fig. 8 reproduces Schenker's unpublished notes regarding the Type-A exposition. In the rightmost column, he lists the first movements of four Haydn string quartets by opus and number. The two remaining columns on the left side of the page show his formal analysis of each quartet's exposition. The leftmost column includes annotations concerning each exposition's first group (*erster Gedanke*; see the Roman numeral I at the top of the figure); the middle column shows annotations concerning each exposition's second group (*zweiter Gedanke*; see the Roman numeral II at the top of the figure). In this case, the first group of each exposition is structured as a two-part form (period) whose consequent ends with a half cadence in the primary key. Since Schenker requires that all transitions modulate to a new key, this part of the form is absent entirely; see the annotation

20. For example, compare the commentary in Schenker [1976, 28] with the commentary in Schenker [1954, 241-250].

21. These unpublished analyses are found in the Oster Collection, file 83, items 87-91.

“ohne Mp.” (*ohne Modulationspartie*) written at the top of the page.²² Note that all of the expositions listed in Fig. 8 do not establish a subordinate key until the onset of the second group.

The four types of exposition described in Schenker’s unpublished notes on sonata form are summarised in Fig. 9a-d.²³

ohne Mp. [Modulationspartie]

I. [Gedanke] II. [Gedanke]

1) J. Haydn, op. 33 n. 6/1

2) J. Haydn, op. 33 n. 1/1

3) J. Haydn, op. 33 n. 3/1

4) J. Haydn, op. 54 n. 3/1

Fig. 8. Schenker’s conformational approach to Type-A expositions in selected string quartets by J. Haydn [Oster Collection, file 83, item 87].

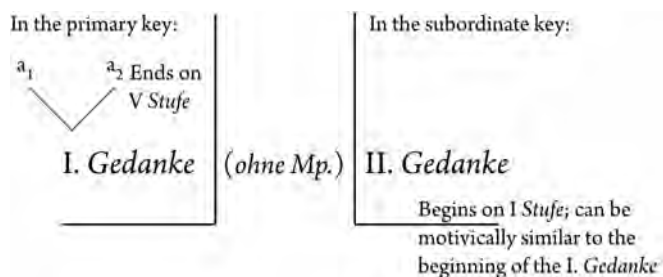


Fig. 9a. Type-A exposition: Transition absent [Oster Collection, file 83, item 87].

22. Remember, Schenker’s diagram of six-part sonata form in Fig. 2a was based on a three-part exposition (*erster Gedanke* - *zweiter Gedanke* - *Schlußgedanke*). He may have learned this schema from Anton Bruckner, with whom Schenker studied at the Vienna Conservatory from 1887 to 1889 [Federhofer 1985, 5-6]. For Bruckner’s three-part conception of the exposition in the first movement of his Fourth Symphony, see Grandjean [2001, 74-75, Ex. 13].
23. Hooper [2014] provides a more detailed account of Schenker’s early conception of sonata form.

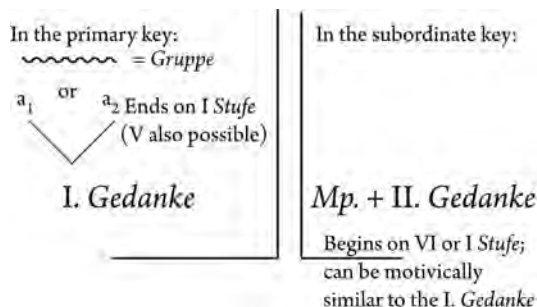


Fig. 9b. Type-B exposition: Transition and II. *Gedanke* fused together [Oster Collection, file 83, items 88 and 89].

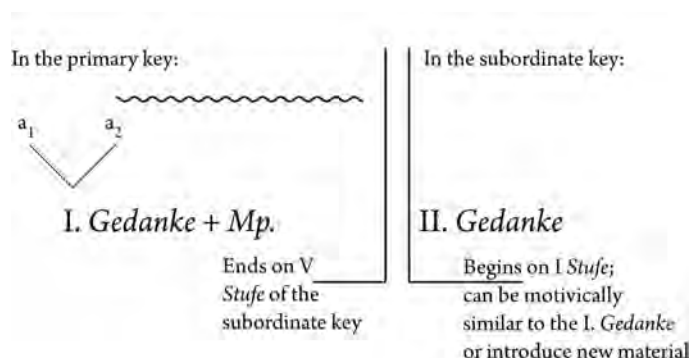


Fig. 9c. Type-C exposition: I. *Gedanke* and transition fused together [Oster Collection, file 83, item 90].

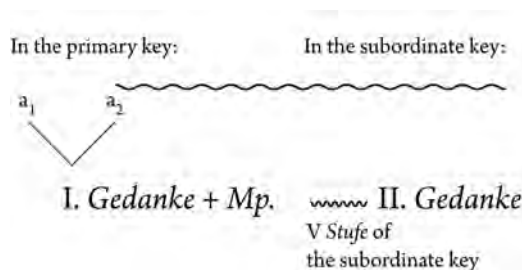


Fig. 9d. Type-D exposition: End of I. *Gedanke* and beginning of II. *Gedanke* both fused with the transition [Oster Collection, file 83, item 91].

In Fig. 9a, the Type-A exposition described above begins with a two-part first group that ends with a half cadence in the primary key. A second group in the subordinate key follows, while a transition is absent. In Fig. 9b, the Type-B exposition begins with a two-part first group that usually ends with an authentic cadence in the primary key, while a transition in the subordinate key follows. The end of the

transition is fused with the beginning of the second group. In Fig. 9c, the Type-C exposition begins with a two-part first group in the primary key. The transition also begins in the primary key, but it eventually modulates to the subordinate key and ends with a half cadence. In this case, the end of the first group and the beginning of the transition are fused together, which Schenker indicates using a wavy line. The second group follows in the subordinate key. In Fig. 9d, the Type-D exposition is shown as a combination of the Type-B and Type-C expositions: the end of the first group and the beginning of the transition are fused together (Type-C), while the end of the transition and the beginning of the second group are also fused together (Type-B). This is Schenker's solution to what is often described today as the "continuous exposition" (he uses the first movement of Haydn's "Joke" Quartet op. 33 n. 2 as an example).²⁴ Moreover, the Type-D exposition represents a clear break from most nineteenth-century *Formenlehren*, which rely primarily on a contrasting theme to establish a second group. Schenker only requires that a second group establish a subordinate key.²⁵

How different Schenker's early conformational approach to sonata form appears when we compare it to the generative approach described in «Chapter 5» of *Der freie Satz* [1979]. Nonetheless, remnants of his earlier work persist even after he had apprehended the background and its dynamic transformation into the foreground. For example, consider Schenker's analysis of Beethoven's Piano Sonata in F major op. 10 n. 2 from his 1926 essay *Vom Organischen der Sonatenform* [Schenker 1996, 25-28]. This analysis is shown in Fig. 10.

24. More recently, William Caplin and Nathan John Martin have advocated for this kind of "fusion" (or "boundary blurring") as an explanation for what otherwise might be described as a "continuous" exposition – however, their description of this phenomenon is perhaps closer to Schenker's Type-B exposition than his Type-D exposition [Caplin-Martin 2016, 23-26, Fig. 1]. For a lengthy debate on whether this type of exposition should be conceived as either "continuous" or "two-part", see Caplin-Martin [2016] and Hepokoski [2016]. For differing analyses of the "Joke" Quartet's first movement in particular, see Caplin-Martin [2016, 18-23, Ex. 7] and Hepokoski-Darcy [2006, 54-57, Ex. 4.1].
25. Regarding the first movement of Beethoven's Piano Sonata in A major op. 101, Schenker writes: «Now it would amount to a misjudgment of the nature of sonata form if one were to espy a contradiction in such a procedure, for the point of emphasis in that form is above all the modulation between the first and second theme—that is, the opposition of the keys, not that of the thematic aspect; for this reason, the second theme can under certain circumstances be related to the first, or may even be identical to it, so long as it occupies the territory of an opposing key» [Schenker 2015, 21-22]. Schenker's original German reads: «Nun hieße es aber das Wesen der Sonatenform verkennen, wenn man in einer solchen Inhaltsführung schon einen Widerspruch erblicken wollte, denn worauf jene vor allem Gewicht legt, ist die Modulation zwischen 1. und 2. Ged., d. i. der Gegensatz der Tonarten und nicht der der Thematik, weshalb denn der 2. Ged. unter Umständen mit dem ersten auch verwandt sein, sogar sich decken darf, wenn er nur eben auf dem Boden einer gegensätzlichen Tonart steht» [Schenker 1921, 27].

a) Tonalität: I- u. s. w.

b) Tonalität: I- V

c)

d) (1. Quintenzug) (8) (Diss. Dg.) (8)

e) (8) (Kona. Dg.) (8)

f) (8) 10 8-10 8-7 (2. Quintenzug)

g)

h) Takte: 9 (1. Ged. V.S.-) 12 -N.S. Md. 21 2. Ged. V.S.- 25 -N.S.) 27 29 31 38 59 47 49 51 54 55 (Schlußged.) u. s. w.

i)

j)

k) u. s. w.

Fig. 10. Sketch of L. van Beethoven, Piano Sonata in F major op. 10 n. 2, first movement, bb. 1-55, with voice-leading levels aligned [Schenker 1996, 26-27, Fig. 4].

At level b, we find the expected *Stufengang* for a major-mode exposition: the first group typically corresponds to a tonic *Stufe*; the end of the transition typically corresponds to a major supertonic *Stufe*; and the second group typically corresponds to a dominant *Stufe*. But once we examine the outer form shown at level h, we find that only the first of these correspondences holds. The deep-level supertonic arrives in the middle of the second group (see level h, b. 31). The dominant at level b does not arrive until near the end of the second group (see level h, b. 49).²⁶ Furthermore, compare levels e and h with level b: the dominant that begins the second group in b. 21 (see level h) is heard as consonant support for a passing tone (see level e) within the composing-out of the initial tonic harmony through a 5-6 exchange (see level b). This analysis presents a radical divorce of inner and outer form. In fact, Schenker's analysis of the outer form betrays his much earlier approach: it is a Type-C exposition based on key areas, not deep-level *Stufen*.²⁷ As a result, the outer form contradicts the spans of generative voice leading and harmonic composing-out that are shown in the sketch. But if form is conceptualised as a manifestation of forces that emanate from the background alone – as in Schenker's late *Formenlehre* – how do we account for this apparent contradiction?

Perhaps Schenker intended his outer-form analysis in Fig. 10 (level h) to demonstrate what a nameless theorist (used pejoratively) might hear. In other words, it is an analysis to be disproved. Schenker's polemics in *Vom Organischen der Sonatenform* might support this view, but given his earlier approach to sonata form in Fig. 9a-d, we should not dismiss this analysis too soon. Indeed, ten years earlier, Schenker would have analysed this exposition in exactly this way. Schenker also could have constructed an analysis that aligns inner and outer form – for example, the passing dominant that begins the second theme in b. 21 could have been raised to a higher status – but I think this alternative would lead us away from the main point of his essay. The non-congruence of inner and outer form is precisely what makes a sonata “organic” – at least in 1926. Schenker means to convey a sense that the inner form, which is based on an improvisational impulse stemming from the composer's imagination, knows no bounds [Rink 1993; Petty 1995; Koslovsky 2010]. In other words, these sweeping gestures of continuous voice leading cut across the divisions of the outer form. In a comment regarding Fig. 10, Schenker marvels at the motion into an inner voice from F₄ to B₃ shown most clearly at level d [Schenker 1996, 25-26]. This fifth-progression (*Quintzug*)

26. For a similar analysis of this exposition's outer form, see Caplin-Martin [2016, 10-11, Ex. 3]. Perhaps it is ironic that Caplin and Martin's analysis agrees with Schenker's, since today many Schenkerians would delay the onset of the subordinate group until a deep-level dominant *Stufe* is reached. Also, note that according to Sonata Theory, this second group is an example of a “trimodular block” [Hepokoski-Darcy 2006, 170-177].

27. See Schachter [1999, 142-151].

binds together the first group, the transition, and the beginning of the second group – even as the second group begins within the span of a tonic prolongation. The “organic” is not a strict one-to-one correspondence between inner and outer form; rather, it is a coherence that emerges from their constructive conflict, much like Schenker’s concept of “synthesis” (*Synthese*).²⁸

However, by the time *Der freie Satz* was published in 1935, synthesis had been replaced by Schenker’s belief that all aspects of a composition originate from a single source: the *Ursatz* and its transformation into the foreground [Cook 2007, 258-261]. Schenker came to this idea not only for logical consistency, but also for theological reasons. The latter is an important aspect of Schenker’s late thought that we should take quite seriously [Alpern 2014]. In a passage suppressed in all later editions of *Der freie Satz*, Schenker writes:

By confessing, both in its creation and in its finished state, only *one prime cause* in the background, a work is arranged *monotheistically*. In that case, so-called heathens are those who, whether creative or re-creative, consider only the foreground of the work and lose themselves in its particulars, while confessors of a true divinity are those who worship the background. In the artwork, too, the one prime cause remains immutable in the background, and deviating toward the cravings of the foreground heathens is a sin against the spirit of monotheism [Snarrenberg 1997, 154, cit. in Cook 2007, 260].²⁹

Fig. 11 illustrates this idea. Dated 1 January 1932, this document is taken from a collection of Schenker’s aphorisms located in the Jonas Collection (box 51, file 5, p. 281).³⁰ A similarity is drawn between the indivisibility (*unteilbar*) of both God and *Ursatz*. The first level (*Schicht*) is likened to the creation of Adam and Eve. Perhaps the subsequent levels represent the generations of the Old Testament.

28. See Cohn [1992a; 1992b] for more on constructive conflict in Schenker’s work. Lubben [1993, 60n5] describes how in the early 1920s Schenker used the term *Synthese* in two ways. First, he used it to mean the «consequence of the ubiquitous guiding light of the *Urlinie*» [*ibid.*]. However, I wish to invoke the second meaning of *Synthese*, which «dispenses with the guiding hand of the *Urlinie* or *Ursatz*. In the context of specific analyses, Schenker would often use the term even when his discussion made it perfectly clear that he did not consider the *Ursatz* or *Urlinie* to be exerting total control over the situation» [*ibid.*]. For more on organicism and its role in Schenker’s thought, see Solie [1980], Pastille [1984], Keiler [1989], Korsyn [1993], and Duerksen [2008].

29. «Indem ein Werk, werdend und geworden, im Hintergrunde nur *eine Ursache* bekennt, ist es wie *monotheistisch* gerichtet: Gleichsam Heiden sind deshalb jene, die schaffend oder nachschaffend nur den Vordergrund des Werkes gelten lassen und sich an seine Einzelheiten verlieren, Bekenner eines wahrhaft Göttlichen dagegen jene, die den Hintergrund anbeten. Auch im Kunstwerk bleibt die eine Ursache im Hintergrund unwandelbar, eine Abweichung nach den Gelüsten der Vordergrund-Heiden ist Sünde wider den Geist des Monotheismus» [Schenker 1935, 5; italics for spaced type in the original].

30. Fig. 11 is taken from the holdings of Special Collections & University Archives, UCR Library, University of California, Riverside. Used with kind permission of Ms. Irene Schreier Scott.

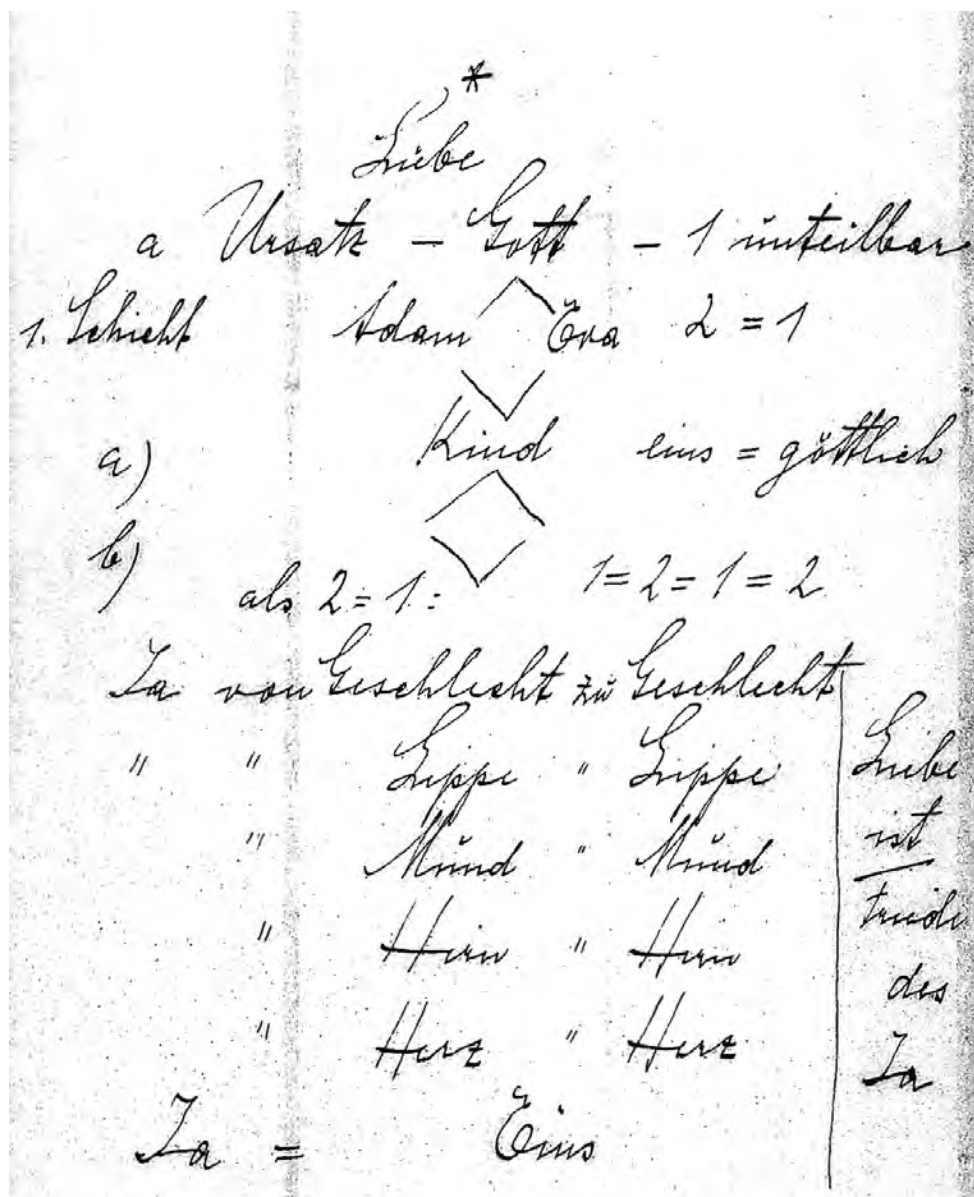


Fig. 11. From Schenker's aphorisms: «Liebe, Ursatz, Gott», dated 1 January 1932.

If the *Ursatz* is truly music's Divine Creator, then form's basis in anything else hardly seems possible. But what if this belief were mistaken? Following the lead of Richard Cohn [1992a; 1992b], Charles Smith [1996, 196] and Nicholas Cook [2007, 258-261, 284-289], I propose that the overt monism in *Der freie Satz* is not the whole story, for lurking beneath Schenker's blustery polemics dismissing

traditional outer forms as mere epiphenomena lies a covert force that also shapes deeper levels of voice leading. We encountered these conflicting forces already in our discussion of Fig. 10.

But what about the polemics in «Chapter 5» of *Der freie Satz* that clearly argue against more traditional conceptions of outer form [Schenker 1979, 131, 133]? Perhaps Schenker protests too much. Certainly outer form is infused with voice leading's dynamic transformation from background to foreground, but might voice leading also be infused with the dynamics of outer form? Indeed, how else can we explain the line that divided the dominant *Stufe* into two distinct entities in Schenker's analysis of Chopin's ballade (Ex. 2a)? How else can we explain Schenker's motivation for inventing the concept of interruption (*Unterbrechung*)? Through interruption, Schenker was able to integrate his mature voice-leading theory with the conformational forms that he had developed more than twenty years earlier (Fig. 2a and Fig. 2b). But strict interruption – given certain voice-leading conditions – is an operation that asserts an inner-form discontinuity to reflect an outer-form discontinuity.³¹ Interruption is the manifestation of a force from outside the dynamics of continuous voice leading. To admit this is to deny a monotheistic view of the musical work, and to call Schenker's theory of musical monocausality into question.

At the beginning of this article, I claimed that Schenker's early *Formenlehre* was a conformational approach in search of a generative mechanism. Now consider whether the converse statement is also true, but in the context of his late *Formenlehre* – namely, that it was a generative approach in search of conformation [Hooper 2011; Smith 1996]. In «Chapter 5» of *Der freie Satz* [1979], Schenker used conformational outer forms to justify his generative theory of organic voice-leading coherence (as in the case of interruption). I have substantiated this view by introducing Schenker's early approach to form, for this is his theory's fundamental conceit: to understand a phenomenon, we must first know its origin.

31. Or, as Frank Samarotto writes: «Schenker did not need a concept of interruption to show voice-leading coherence; indeed, it does not follow naturally from the species model. It is precisely because he wished to recognize formal design that interruption was added, demonstrating that his approach recognized form much more than has been acknowledged (and often in very subtle ways)» [Samarotto 2005, 9].

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Sintesi dell'articolo

Il saggio prende in esame i primi scritti e gli appunti inediti di Schenker, per mettere in luce la tensione tra approccio "conformazionale" e approccio "generativo" alla forma musicale. L'approccio conformazionale descrive il modo in cui diverse composizioni realizzano uno schema astratto; in tal senso, la forma organizza e sussume il contenuto (M. E. Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration*, Harvard University Press, Cambridge MA, 1991, pp. 13-16). L'approccio generativo, invece, illustra il modo in cui una singola composizione si dispiega in quanto processo evolutivo; in questo senso, la forma è contenuto e il contenuto è forma (J. Hooper, *Heinrich Schenker's Early Conception of Form, 1895-1914*, «Theory and Practice», 36, 2011, pp. 35-64).

Attraverso l'esame dei documenti inediti conservati presso la Oster Collection della New York Public Library, l'articolo offre una introduzione alla *Formenlehre* di Schenker dal suo primo importante scritto teorico, *Der Geist der musikalischen Technik* («Musikalisches Wochenblatt», 26/19, 1895), alla prima occorrenza del concetto di linea fondamentale (*Urlinie*) nell'edizione commentata della Sonata per pianoforte op. 101 di Beethoven (in *Beethoven, die letzten fünf Sonaten: kritische Ausgabe mit Einführung und Erläuterung*, a cura di H. Schenker, Vienna 1921).

Come altri teorici prima di lui (ad esempio Adolf Bernhard Marx), anche Schenker aveva individuato una serie di forme musicali via via più complesse. In base a un accurato studio dei quartetti di Haydn, aveva inoltre identificato quattro tipologie di esposizione della forma sonata. Una di queste tipologie ispira in modo evidente l'analisi della Sonata per pianoforte in fa maggiore op. 10 n. 2 di Beethoven, inclusa

da Schenker nel secondo volume di *Das Meisterwerk in der Musik* (Drei Masken, München 1926). Questa tipologia formale, tuttavia, si trova in evidente contraddizione con le trasformazioni della condotta delle parti illustrate nei suoi schizzi, al punto tale che l'approccio conformazionale viene a confliggere con l'approccio generativo.

Un misterioso aforisma conservato nella Oswald Jonas Memorial Collection della University of California suggerisce come il monoteismo di Schenker sia alla base della sua convinzione che la forma è il prodotto della trasformazione dinamica e progressiva di un livello profondo in un livello esterno. Schenker identifica la struttura profonda (*Ursatz*) con Dio e il primo livello dell'elaborazione compositiva con la creazione di Adamo ed Eva, mentre i livelli successivi sembrerebbero rappresentare le generazioni dell'Antico Testamento. Se l'*Ursatz* è davvero identificabile con un Creatore Divino, è ben difficile che il fondamento della forma possa essere individuato in altro.

Seguendo la linea tracciata da Richard Cohn (*Schenker's Theory, Schenkerian Theory: Pure Unity or Constructive Conflict?*, «Indiana Theory Review», 13, 1992, pp. 1-19), Charles Smith (*Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre*, «Music Analysis», 15/2-3, 1996, pp. 191-297) e Nicholas Cook (*The Schenker Project: Culture, Race, and Music Theory in Fin-de-siècle Vienna*, Oxford University Press, Oxford-New York 2007, pp. 258-261, 284-289), l'articolo sostiene che il "monismo" dichiarato dell'ultimo scritto pubblicato da Schenker, *Der freie Satz* (1935), corrisponde solo in parte all'effettiva realtà delle cose. La violenta polemica che riduce le forme tradizionali a meri epifenomeni nasconde infatti la presenza di una forza che forgia anche i livelli più profondi della rappresentazione schenkeriana: si tratta della forza esercitata dalla forma musicale, che si insinua "dall'esterno" nella trasformazione dinamica della conduzione delle parti. Sottolineando il ruolo decisivo della forma, l'articolo mette in discussione la concezione "monocausale" di Schenker, che tende a sottolineare unicamente il ruolo costruttivo dei processi strutturali.

Marc Rigaudière

SOME CONSIDERATIONS ON SCHENKER'S POSITION IN THE *FORMENLEHRE* TRADITION

Abstract

Despite Schenker's sarcastic comments on many aspects of the traditional theory of forms, it is undeniable that his analytical work until *Das Meisterwerk in der Musik II* (1926) still largely made use of terms and concepts that belonged in the nineteenth-century. Furthermore, his numerous citations show his thorough knowledge of theoretical writings by different authors, including Adolf Bernhard Marx, Hugo Riemann, Ernst Kurth and Hugo Leichtentritt. This is also confirmed by the inventory of his personal library. However, Schenker's use of the *Formenlehre* terminology is often idiosyncratic. A noteworthy instance is the pair of terms *Vordersatz/Nachsatz* (antecedent/consequent), which Schenker uses in order to describe interrupted structures, even in cases where antecedent and consequent are clearly asymmetric in length and motivic content. With regard to thematic units, Schenker retains the term *Motiv* (motive), even though in *Der Tonwille* years he uses it in conjunction with his early concept of *Urlinie*, whence the specially coined term *Urlinie-Motiv*. As for the schematic representation of musical forms, Schenker includes quite traditional formal tables up to *Der Tonwille* and will never give up referring to the established formal patterns, to which he adds undivided form (*ungeteilte Form*) and 4-part form (*vierteilige Form*).

1. Introduction

At the end of the nineteenth century the study of musical form (*Formenlehre*) still relied on the method that had been devised in Heinrich Christoph Koch's time. The apprenticeship progressed from small syntactic units (regular, then irregular) to small forms to large forms, and this was achieved through joining and expanding small units. The *Formenlehre* generally incorporated sections relating to genres, in many cases under the title "*angewandte Kompositionslehre*". In some authors priority was given to genres [Czerny 1849-1850; Schubert 1863], while in other forms and genres were handled together, with no clear distinction

[Skuherský 1879; Klauwell 1894], and some later treatises [Leichtentritt 1911] still presented these features.

As a theoretical genre, the *Formenlehre* underwent few changes during the nineteenth century: the most innovative approaches by Adolf Bernhard Marx [1837-47] and Johann Christian Lobe [1844; 1867] offered decompartmentalised studies of musical composition (*Kompositionslehre*). Lobe incorporated a reinforced study of thematic work (*thematische Arbeit*), in which the motivic play was inseparable from syntax and metrics – an aspect that was still present in Stephan Krehl's theory of form [1902-1903] at the beginning of the twentieth century.

In his published works Heinrich Schenker did not deal systematically with the *Formenlehre* in the usual meaning before the last chapter of *Der freie Satz*, yet he constantly dealt with issues of musical form. One could say that he was basically involved in musical form, but totally indifferent – if not opposed – to the *Formenlehre* as theoretical genre. In case he had decided to follow the German tradition, the *Formenlehre* should have been the subsequent volume of his *Kompositionslehre*.

Despite his overt rejection of the *Formenlehre*, Schenker's many hostile statements should not be taken at face value. In *Der freie Satz* he criticises the use of many traditional terms because they rely on a motivic logic. His blacklist includes such terms as *Satz*, *Satzkette*, *Periode*, *Doppelperiode*, *Thema*, *Vordesatz/Nachsatz* in the field of song form [Schenker 1935, 212; 1956, 202; 1979, 131], and *erster Gedanke*, *Hauptgedanke*, *Hauptthema*, *Hauptsatz*, *Satzgruppe* in that of sonata form [1935, 216; 1956, 205; 1979, 133]. However, Schenker's terminology incorporates the usual vocabulary, even if the combination of terms from different theoretical traditions is peculiar to him. Since he tends to blend elements from different sources – both older and coeval – it is impossible to identify a prevailing influence. Moreover, the authors and traditions that he strongly criticises are nonetheless present in his writings, including his late works. In order to identify sources from which Schenker may have drawn, one can consider on the one hand the treatises he directly quotes or references, and on the other hand his personal library's inventory. Besides Marx and Hugo Leichtentritt, Schenker's bibliographic references include Hugo Riemann, August Halm and Ernst Kurth among many others. Schenker's knowledge of Marx seems thorough; Marx's treatises appear in the *Literatur* section of his writings.¹ And his relationship – friendly or not – with several contemporary theorists including Leichtentritt, Krehl and Halm, is well documented by Schenker's diary entries.²

1. See for instance his long quotations concerning Beethoven's Sonata op. 2 n. 1 in *Der Tonwille* 2 [Schenker 1922, 43-46].

2. See Schenker Documents Online (<http://www.schenkerdocumentsonline.org/index.html>).

The inventory of Schenker's library should be used with care: according to Martin Eybl the possibility that Hinterberger, the bookseller, inserted pieces from other origins in the catalogue cannot be excluded [Eybl 1995, 159]. However, the list includes authors of *Formenlehren* proper (Marx, Krehl and Riemann) and authors of other kind of treatises (Halm, Gotthilf Friedrich Ebhardt, Sigfried Wilhelm Dehn, Simon Sechter, Ernst Friedrich Richter, Samuel Jadassohn, Hermann von Helmholtz, Rudolf Louis and Ludwig Thuille). Moreover, the clues given by Hinterberger's list do not exclude that Schenker may have been aware of many other theoretical works.³

The present article adopts a lexicological perspective: I try to identify possible sources of each of the terms used by Schenker so as to specify the peculiar way he uses it. In so doing I only consider terms that appear repeatedly in Schenker's writings before *Der freie Satz*.⁴ These are grouped in two categories: small units and thematic elements. The issue of formal description will be touched on briefly in the third part of this article.

2. Small units

2.1. *Vordersatz/Nachsatz*

The pair of terms *Vordersatz/Nachsatz* was common in the nineteenth century. Marx, who contributed much to its dissemination, is a probable source for Schenker. The terms were also used by various theorists among whom Ferdinand Gotthelf Hand [1841], Ernst Friedrich Richter [1852], Benedict Widmann [1862], August Reißmann [1866], Ludwig Bussler [1878], Max Julius Loewengard [1904], Alfred Richter [1904] and Leichtentritt [1911]. On the other hand Riemann [1877] used them seldom and Lobe did not use them in the musical meaning⁵ – he termed the two members of a period as *Satz* [Lobe 1844, 5] – nor did Krehl. These terms are still in general use today.⁶

Theorists generally associate the pair of units that constitutes the period with two essential characteristics: symmetry (2×4 or 2×8 bars) and motivic parallelism. For some of them a simple resemblance (*Ähnlichkeit*) does suffice [Leichtentritt 1911, 9].

3. In *Der Tonwille* 2, Schenker [1922, 43] quotes Marx's *Kompositionslehre* from an earlier edition than the one listed by Hinterberger.
4. The corpus of Schenker's published works to which I will refer includes: *Gesammelte Aufsätze 1891-1901*, ed. by Hellmut Federhofer [1990], *Harmonielehre* [1906], *Beethovens neunte Sinfonie* [1912], *Erläuterungs-Ausgabe* of Beethoven's Sonata op. 109 [1913], *Der Tonwille* [1921-1924], *Das Meisterwerk in der Musik* [1925; 1926; 1930].
5. The terms appear only in a grammatical meaning, regarding the text of a *Lied* [Lobe 1867, 88].
6. See, among numerous instances, Kühn 2010, 55.

The strong presence of the pair *Vordersatz/Nachsatz* (included in the “black-list”) is striking in Schenker’s works, all the more so since the theorist used it variously, ranging from the conventional meaning⁷ to atypical instances in which the two determining elements (symmetry and motivic parallelism) are missing. It is also striking that the open/closed duality is unessential to Schenker. A case in point is this remark in *Harmonielehre*:

One might feel tempted to think that the perfect full close be used at the conclusion of the consequent, while the antecedent should always be concluded by an imperfect full close. This may hold true for most cases; such a connection between form and cadence, however, is not absolutely obligatory, and a perfect full close may occur also at the conclusion of an antecedent [Schenker 1954, 217].⁸

As an instance, Schenker chooses a passage from a sonata by Haydn reproduced in Ex. 1, in which the antecedent ends with a perfect authentic cadence,⁹ but in which motivic parallelism remains clearly audible and symmetry only slightly disturbed by a small extension of the consequent phrase.

253] Haydn, Sonate E-moll.

7. This case is seldom [Schenker 1906; 1913].

8. «Man könnte freilich danach versucht sein zu glauben, daß der vollkommene Ganzschluß vielleicht immer nur ans Ende des Nachsatzes, dagegen ans Ende des Vordersatzes stets ein unvollkommener gehöre. Mag dies auch in den meisten Fällen zutreffen, so ist dennoch ein solcher Zusammenhang von Form und Kadenz keineswegs ein unbedingter, und es kann auch am Ende des Vordersatzes ein vollkommener Ganzschluß vorkommen» [Schenker 1911, 288-289].

9. Another instance is the antecedent of the first *Gedanke* in Beethoven’s Ninth Symphony, first movement, bb. 17-35; Schenker notes that it ends on a tonic [Schenker 1912, 7].



Ex. 1. Haydn, Piano Sonata in E minor, Hob. XVI/34, I. Presto, bb. 30-42, from *Harmonielehre* [Schenker 1906, 289].

In other cases, the delimitation of the antecedent or the consequent is problematic. In the example from Beethoven's Ninth Symphony, second movement (Ex. 2), the end of the consequent ignores a sequence [Schenker 1912, 139].¹⁰



Ex. 2. Beethoven, Ninth Symphony, second movement, bb. 65-72, from *Beethovens neunte Sinfonie* [Schenker 1912, 139].

This problem is partly avoided in *Der Tonwille*, because Schenker fuses the consequent and the *Modulation* in a single unit called *Nachsatz und Modulation*. Examples of this are Mozart's Sonata K 310 in *Der Tonwille* 2 [Schenker 1922, 7-24; 2004, 55-71] and Haydn's Sonata Hob. XVI/52 in *Der Tonwille* 3 [Schenker 1922, 3-21; 2004, 99-117].¹¹

10. The example is deduced from Schenker's table (unnumbered p. 136) and marginal subheadings (p. 139).

11. In the second instance however, Schenker does not give up locating the modulation on his *Urfinie-Tafel*.

In *Der Tonwille* 6 [Schenker 1923, 23; 2005, 19], he explicitly associates the antecedent/consequent structure with the interrupted line $\hat{5}\text{-}\hat{2}||\hat{5}\text{-}\hat{1}$.¹² The passage under scrutiny is the second idea in the finale of Beethoven's Fifth Symphony (bb. 45-63) in Ex. 3. Antecedent and consequent are markedly unbalanced in length (4+15 bars) but Schenker calls on the concept of expansion (*Dehnung*) in order to reduce the effective 15 bars of the consequent to an abstract 6-bar model, according to the following scheme:

49-50 = 1-2

50-57 = expansion of 2

58-61¹³ = expansion of 3-4

62-63 = 5-6

The image displays two staves of musical notation. The top staff, labeled '45' in a box, shows the beginning of the antecedent phrase. It features a treble clef, a key signature of one flat (B-flat), and a 2/4 time signature. The melody is marked with a 'b)' and a '(Fl.)' (flute). The bottom staff, labeled '50' in a box, shows the beginning of the consequent phrase. It features a bass clef, a key signature of one flat, and a 2/4 time signature. The melody is marked with a 'Vcl.' (violin). The score includes various musical notations such as notes, rests, and dynamic markings. The bottom staff also includes Roman numerals (I, V, CB., IV, V-I, II, V, I) indicating harmonic structure.

Ex. 3. *Urlinie-Tafel* to Beethoven's Fifth Symphony, fourth movement (extract), from *Der Tonwille* 6 [Schenker 1923, 23].

The notion of expansion depends on a reading that gives priority to the notes belonging to the *Urlinie* over figuration, and which allows to enhance the impression of correspondence between the antecedent and the consequent. The large $\hat{5}\text{-}\hat{6}\text{-}\hat{5}$ movement of the consequent can be seen as an expansion of the initial neighbouring motion (bb. 45-46) and the final descent $\hat{5}\text{-}\hat{2}$ (bb. 61-62) as an equivalent to the

12. $\hat{1}$ is not really present but rather implied: it happens as the first note of the *Schlußgedanke*, with a downwards register displacement.

13. The text reads at first «bar 58 and bar 61» but then Schenker names «the expansion in bars 58-61» [Schenker 2005, 19-20].

slower descent of the antecedent. The expansion of bb. 50-57 is «filled out with a transition (*Durchgang*) in the string parts» [Schenker 2005, 19], whose motivic significance is emphasised by Schenker: it is based on the descending fourth-motive of the antecedent, which had been taken from the end of the modulation (bb. 41-42) and also appears in an ascending form. The correspondence between this first expansion and b. 2 of the antecedent is justified by the fact that the *Urlinie* is «at rest» on $\hat{5}$ during this passage.

The terms *Vordersatz/Nachsatz* become less frequent in *Das Meisterwerk*. An interesting case can be seen in *Das Meisterwerk III* [Schenker 1930, 37 *et seq.*] concerning the second idea¹⁴ of Beethoven's Third Symphony, first movement. This idea is described as an antecedent/consequent pair and the two members are compared in detail. It is noticeable that the sketch [*ibid.*, 37] suggests an extension of the consequent up to b. 144; this reading presupposes the acceptance of a strong imbalance between both phrases.

If the criterion of quantitative symmetry is not met, an examination of the score reveals that the criterion of motivic parallelism applies only in part, at the beginning of the phrases, and that the consequent incorporates material with no equivalent in the antecedent (see in particular the phrase starting at b. 109 with its characteristic *sforzandi* on the second beats). Fig. 1 (confirmed by Schenker's graphs of the movement) shows that the parallelism between the two phrases does not involve the motivic content but the structural design.

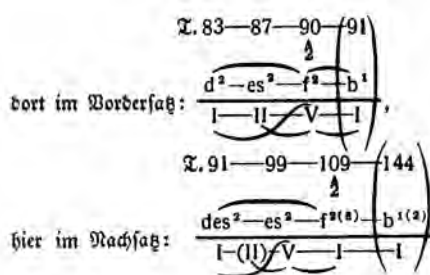


Fig. 1. Schenker, *Das Meisterwerk III* [1930, 37].

Schenker's Figs 2 and 3 (middleground) [1997, 11-13] show that the whole second idea is under control of a $\hat{2}/V$ prolonged by a descending fifth-progression (F^3-Bb^3). In Fig. 6 (foreground) [1997, 14-15] the fifth-progression is split into two progressions corresponding to the antecedent and the consequent respectively, each of them preceded by an initial ascent (*Anstieg*). An intermediary graph

14. Identified as such in the text – «des sog. zweiten Gedankens» [Schenker 1930, 34] – and in Figs 3 and 6.

between Schenker's Fig. 3 and 6 is proposed in Ex. 4. The amplification of the consequent may be explained in two ways. First, the initial ascent, starting this time on D $\flat$, is expanded by several procedures, including a 6-bar standing on G 3 (bb. 103-108). Secondly, the descending fifth-progression itself is strongly expanded: not only each pair of tones (*Tonpaar*) F-E $\flat$ and D-C is repeated,¹⁵ but a short version of the fifth-progression is interpolated just before the arrival on B $\flat$.¹⁶ It should also be noticed that the harmony is quite different in the antecedent and in the consequent. In the first case, $\hat{2}$ is reached with a I-ii-V progression in B $\flat$ major; in the second, with a I-II-V-I progression. The fifth-progression in the antecedent is consequently harmonised by a mere V-I, while it gives birth to a fully-fledged I 5 -I 6 -II-V-I in the consequent. Among these two presentations, the second one is the more "authentic", since it is retained at the third level of the middleground, in such a way that the consequent seems to be the core of the second idea.

The image contains two musical graphs, (a) and (b), representing the structure of Beethoven's Third Symphony, first movement, measures 83-144. Graph (a) shows the antecedent (measures 83-91). It features a treble staff with a melodic line and a bass staff with a harmonic line. The melodic line starts with an 'initial ascent' (measures 83-87) and ends with a 'fifth-progression' (measures 89-91). A bracket labeled 'n. n.' (non-natural) is placed over the final measure (91). Graph (b) shows the consequent (measures 91-144). It also features a treble staff with a melodic line and a bass staff with a harmonic line. The melodic line starts with an 'initial ascent' (measures 91-102) and ends with a 'fifth-progression' (measures 142-144). A bracket labeled 'interpolated fifth-progr.' is placed over the final measure (144). Below the graphs, a key signature change is indicated: E $\flat$ to B $\flat$ and V to I.

Ex. 4. Graph of Beethoven, Third Symphony, first movement, bb. 83-144: (a) antecedent (bb. 83-91); (b) consequent (bb. 91-144).

Considering what one could term "structural content", antecedent and consequent can indeed be construed as approximately equivalent. Thus Schenker

15. See Schenker's annotation "Wdlg" (*Wiederholung*, repetition) in his Fig. 6.

16. See Schenker's annotation "*eingeschalteter Quintzug*" (interpolated fifth-progression) in his Fig. 6.

conspicuously contradicts the usual definitions of the period in accordance with his own structural logic, to which we can gain access only by raising the notion of motivic parallelism to a higher (middleground) level.

Finally, in Schenker's late writings the use of the antecedent/consequent vocabulary – omnipresent in his work – tends to be more and more related to the underlying structure than to the syntactic articulation of the surface.

2.2. *Taktgruppe*

The term *Taktgruppe* is used during the nineteenth century by various authors and persists until the present. Gottfried Weber [1817, 100], Widmann [1862, 14], Riemann [1877, 73] and Leichtentritt [1911] very often link it to a small syntactic unit composed of a definite number of bars, most often two. Schenker often uses it in the same way, along with a set of variants like *Taktpaar* [Schenker 1913, 36], *Viertakgruppe* [Schenker 1930, 81] – a term used by Leichtentritt too – *Achttaktgruppe* [*ibid.*] and *Viertakter* [*ibid.*, 94]. But his most characteristic use of it applies to a group that is provided with coherence as a formal unit whenever he wants to avoid referring to a particular syntactic model. The translation in *Masterwork* gives “section” or “passage” as equivalents in this case [Schenker 1997, 38]¹⁷, in general it applies to long units. It is an equivalent to the term *Gruppe* and Schenker applies both indifferently. This second kind of usage can be found in *Beethovens neunte Sinfonie* and in *Das Meisterwerk*.¹⁸ In his study of Beethoven's Ninth Symphony, Schenker uses this term to identify different kind of sections – sections that eschew any traditional formal typologies in the fourth movement (these can be defined by orchestral changes and sometimes coincide with double barlines), and in the development sections in the Scherzo (see Fig. 2).

17. Indeed three different translations are used in *Masterwork*: “section”, “group”, “passage”.

18. *Meisterwerk II*, Finale of Mozart, Symphony no 40: group 117-144 [Schenker 1926, 153]; *Meisterwerk III*, Beethoven, *Third Symphony*: group 114-154 [Schenker 1930, 59].

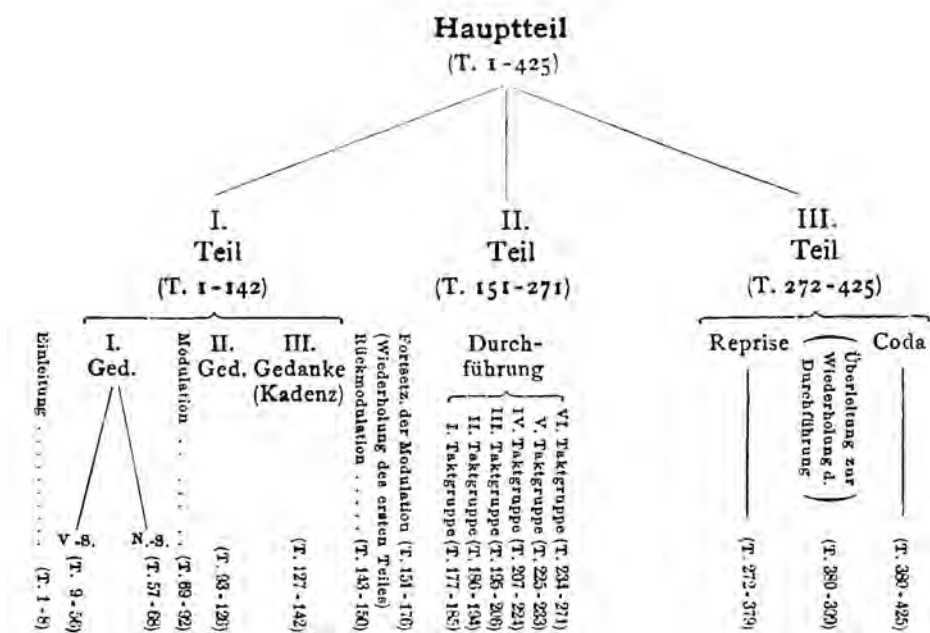


Fig. 2. Formal scheme of Beethoven's Ninth Symphony, second movement (extract), from *Beethovens neunte Sinfonie* [Schenker 1912, 137].

The groups can gain coherence by key – e.g., groups I, II and III, in E minor, A minor and F major [Schenker 1912, 166] – or by thematic content – for instance, group IV is linked to a new motive [*ibid.*, 167]. In some cases, groups are associated to specific prolongations. In *Der Tonwille 2* – Beethoven, Sonata op. 2 n. 1, first movement [Schenker 1922, 44] – the unity of the group brought by the melodic descent C-E (bb. 69-81) is explicitly mentioned in response to Marx's analysis that considers the end of this passage as a *Gang* (properly as *gangartig*). In *Das Meisterwerk III* – Beethoven, Third Symphony, second movement, "Maggiore" – Schenker associates a group with a linear unit.¹⁹ It has to be noticed, however, that the $\hat{5}$ - $\hat{1}$ descent literally covers bb. 91-98, whereas the group covers bb. 91-101. The last bars are an expansion of the arrival on $\hat{1}/I$.

3. Thematic elements

Several terms related to thematic analysis that will later appear in the blacklist are strongly represented in the corpus that predates *Der freie Satz*.

19. «mit der letzten Taktgruppe, die $\hat{5}$ - $\hat{1}$ führt» [Schenker 1930, 58].

3.1. *Thema and Gedanke*

Schenker uses *Thema* and compound terms like *Hauptthema*, *Themengruppe* and so on. *Thema* appears in most cases in quotations or in the context of theme and variations but can also designate a fugue subject, unless he prefers to use the more specific pair of terms *Führer/Gefährte* [Schenker 1926, 59-60]. However, one can consider this term as marginal within Schenker's lexical practice, in which it is replaced by the term *Gedanke*.

This term is not neutral if compared to *Thema*. Christoph von Blumröder has noted that in the eighteenth century it was associated with reason (e.g., Johann Adolph Scheibe) or with language (e.g., Johann Joachim Quantz, Carl Philipp Emanuel Bach) [Blumröder 1991, 286 *et seq.*]. In the nineteenth century it gained a psychological or poetic dimension [*ibid.*, 293], which is certainly present in Schenker's early writings. It took a special meaning with German Idealism: *Gedanke* was the *Idee* of the work of art. According to Jadassohn, «each musical idea [*Gedanke*] shapes its form according to its spiritual content».²⁰

The term *Gedanke* was in use up to the end of the nineteenth century and during the first half of the twentieth century. Instances can be found in Ebhardt's *Die höhern Lehrzweige* [1830] – a book present in the Hinterberger list as item n. 106 – in Marx's *Lehre* (especially vol. II), but also in Lobe and Jadassohn. Furthermore, it is well known that Arnold Schoenberg was interested in this concept.

Schenker makes an extensive use of the generic term and its derivatives: *Kerngedanke*, *Gedankengruppe*, *Gedankenkomplex*, *Hauptgedanke*, *Schlussgedanke*. This strong representation of the term is a distinctive feature of his early theoretical language. In *Das Meisterwerk II* and *III* he begins to step back: phrases like «der sogenannte 2. Gedanke» are increasingly present [Schenker 1926, 35]. In *Das Meisterwerk III* (Beethoven, Third Symphony) Schenker uses *erster Gedanke* with this specification: «according to the usual theory of sonata form».²¹ Here he probably overestimates the level of generalisation in the use of the term.

Schenker might at first have been tempted by the idealist connotation of the term, which transcends the notion of musical material to suggest a possible organic development. However, what leaves him more and more unconvinced over time, and explains his cautious use of the term *Gedanke*, is the difficulty to delimit complete and consistent units within the musical flow. This progressive rejection of the term must be understood in the light of an idealised conception of musical composition that Schenker expresses strongly in this period: the theorist credits

20. Quoted in Blumröder [1991, 293] from the second edition (1894, p. 98); original text: «sich jeder musikalische Gedanke seine Form seinem geistigen Inhalte gemäss gestaltet» [Jadassohn 1885, 112].

21. «nach der allgemein üblichen Lehre der Sonatenform» [Schenker 1930, Anhang, Bild 1].

the genius with a process of creation that can be compared with improvisation for its spontaneity, which produces coherence and continuity in the musical fabric. One may recall the image of the “sonata breath” (*Sonatenatem*) invoked about Domenico Scarlatti [Schenker 1925, 127] as well as the following sentence: «*the whole must be created by improvisation*, if it is not to be a mere assemblage of individual parts and motives in accordance with a set of rules» [Schenker 1996, 23].²² In more general terms, this involves Schenker’s acknowledgement of the incompatibility between the traditional formal segmentation and his structural point of view.

3.2. Motiv

In his early writings Schenker assimilates the organicistic view of the motive.²³ In *Beethovens neunte Sinfonie* he offers detailed motivic descriptions, as exemplified by the motivic table of the first movement [Schenker 1912, 8], intended to show the «multiplicity of components from which the idea is made of».²⁴

The notion of motive is still present in the subsequent writings [Schenker 1913]. As in the case of the pair antecedent/consequent, Schenker connects it increasingly with the *Urlinie*, which is confirmed by the use of the term *Urlinie-Motiv* as early as *Der Tonwille* 2 [1922]. In the first essay of *Der Tonwille* 7, devoted to Beethoven’s “Appassionata”, Schenker insists on the relationship between the *Urlinie-Motiv* (a neighbour-note motive C-D $\flat$ -C) and the minor second sub-motive (*Teilmotiv*) to which it gives birth. The *Urlinie-Motiv* is a generating motive, which gains its special meaning from its status of *Urlinie* segment. Besides its ubiquitous presence at foreground level, emphasised by square brackets in Schenker’s *Urlinie-Tafel*, this motive also appears as a means of unifying the whole thematic material. In Schenker’s Fig. 1, which can be considered as a middleground graph, the neighbour-note motion is common to each section of the exposition: first idea (*Vordersatz*, *Nachsatz* and modulation), second idea, and third idea (concluding

22. «Das Ganze muß aus dem Stegreif erfunden sein, wenn es nicht nur eine Klitterung von einzelnen Teilen und Motiven im Sinne eines Schemas sein soll» [Schenker 1926, 46]. See also in *Der freie Satz*: «The quality of improvisation evident in the works of the great masters makes it impossible to conceive of an intellectual and chronological separation between a so-called first and second theme» [Schenker 1979, 138]. Original text: «So ist bei den großen Meistern schon durch die Improvisation eine geistige und chronologische Trennung zwischen einem sogenannten ersten und zweiten Gedanken unmöglich» [Schenker 1935, 223; 1956, 211].
23. See *Johannes Brahms. Fünf Lieder für eine Singstimme mit Pianoforte, Op. 107*, in «Musikalisches Wochenblatt» 22, 1891: «Fast nur ein einziges Motiv bildet die Keimzelle des Vordersatzes» («Nearly one single motive builds the nucleus of the antecedent», Schenker 1990, 3). See also the term *Urmotiv* [Schenker 1912, 4].
24. «die Mannigfaltigkeit der einzelnen Bestandteile, aus denen der Gedanke zusammengesetzt ist» [Schenker 1912, 7-8].

theme): see Ex. 5, second line (*Urlinie-Satz*). Moreover, Schenker is fascinated by the close linkage of these ideas by means of overlapping, which is rendered graphically by the crossed slurs in *Tonwille* 7 [1924, 4].

Fig. 1.

Wirkliche Lage der Oberstimme:

Urlinie-Satz:

Wirkliche Lage der Unterstimme:

F moll: 1 V | VI V I IV V I IV V I b3 h5 b3 h5 V I b3 III VI V I b3 V I b3 IV V I IV V

Ex. 5. Graph of Beethoven's Sonata op. 57, first movement (extract), from *Der Tonwille* 7 [Schenker 1924, 3].

It must be remarked that the notion of *Urlinie-Motiv* depends on the meaning of the term *Urlinie* in the years of Schenker's *Der Tonwille*, that is, a freely undulating structural melodic line, and that it will disappear in *Das Meisterwerk*.

4. Formal description

As far as formal description is concerned, I will consider two points: the typology of musical forms and their synoptic representation.

4.1. Typology of forms

Schenker constantly exhibits a rhetorical distance with the usual typology of forms. Nevertheless he widely uses the corresponding terminology, especially the terms *Liedform* or *Sonatenform*. In the nineteenth century *Liedform* referred to various two- or three-part forms, including Minuetto and Scherzo.²⁵ In his printed works, Schenker does not use *zweiteilige Liedform* directly, which only appears in quotations.²⁶ Regarding the three-part forms he uses *dreiteilige Form* or *dreiteilige Liedform* without distinction. Schenker's critical comments concerned more the thematic units than the formal designations themselves.

25. See Bussler with regard to the «*grosse dreiteilige Liedform*» [1878, 38].

26. One occurrence in *Der Tonwille* 2 [Schenker 1922, 48] in a quotation from Riemann; one in *Das Meisterwerk I* [1925, 87], regarding Spitta.

Another distinguishing feature of Schenker's *Formenlehre* is his insistence on forms he considers as under-theorised: "undivided form" (*ungeteilte Form*) and "4-part form" (*vierteilige Form*).

Ungeteilte Form is a term specific to Schenker. Apparently, he does not use it before *Der freie Satz*. However, *einteilige Form* (one-part form) can be found in *Leichtentritt* with regard to 8-bar or 12-bar units [1911, 14-15] and in Krehl's *Formenlehre*²⁷ [1902, 44 *et seq.*] with regard to 8-bar (exceptionally 16-bar) units. Schenker provides various examples, which correspond for the most part to small pieces or even sections of pieces, like the 9-bar stanza of Brahms's *Mädchenlied*. Although this reminds us of Krehl's examples, particularly the 8-bar strophic Lied *Abendstern* op. 79 n. 1 by Schumann, the term *ungeteilte Form* is probably set in opposition to *einteilige Form*. Actually, it refers to the fact that the form results from an undivided *Urlinie*, even though repetitions may interrupt the formal course. The *Urlinie* is Schenker's only reference point, and this is the reason why he carefully avoids any indications concerning length and motivic content, while Krehl identifies form with a 8-bar unit or *großer Satz*.²⁸

Vierteilige Form is mentioned at least twice by Schenker before *Der freie Satz*: in the *Erläuterungs-Ausgabe* of Beethoven's Sonata op. 109 [1913, 36] and in *Der Tonwille* 2 with regard to Mozart's Sonata K 310, second movement [1922, 10]. The second movement (*Prestissimo*) of Beethoven's op. 109 is interpreted as sonata form, but Schenker also puts forward the hypothesis of a 4-part form (A1–B1:A2–B2), given the «organic profound junction» (*organisch intensive Anschluß*) of the third with the second idea (see Fig. 3).²⁹

Sonata form			4-part form
I. Themengruppe:			
(drei Teilgedanken)	a)	T. 1-8	A1
	b)	T. 9-24	
	c) {	V.S.: T. 25-28	
		N.S.: T. 29-32	
Modulation:			
II. Gedanke:		T. 33-56	B1
III. Gedanke:		T. 57-69	
Durchführung:		T. 70-104	Rückleitung
Reprise:		T. 105-177	A2–B2

Fig. 3. Formal scheme of Beethoven's Sonata op. 109, from *Erläuterungs-Ausgabe* [Schenker 1913], and alternative reading as a 4-part form.

27. Krehl's *Formenlehre* appears in Hinterberger's list.

28. In Krehl [1902], the possibility of a "kleiner Satz" is also mentioned, but the 1932 edition does not mention it any longer.

29. See Schenker [1913, 36] for the left part of the table (literal quotation). The right part ("4-part form") is inferred from the verbal description.

Although Schenker never clearly defined the 4-part form [Smith 1996, 237], in *Der freie Satz* he claims that this must not be considered as an «altered or mutilated» sonata form [Schenker 1979, 141]. However, in this case I feel that the alternative reading comes down to the question whether the movement is a full sonata form or a sonata form without development, the second solution being strongly implied by the term *Rückleitung* (retransition). In any case Schenker offers no reasons to prefer one reading to the other.

4.2. Synoptic representation of form

The synoptic representation of each movement that Schenker uses in his writings up to *Der Tonwille* recalls the technique Marx had already used, even if the latter insisted much more on the proportions, to which Schenker was fully indifferent.³⁰ Schenker uses this technique in *Beethovens neunte Sinfonie*, and later also in the *Erläuterungsausgaben* and *Der Tonwille*. In *Das Meisterwerk* it disappears: the analyses of Mozart's Symphony n. 40 in vol. II and Beethoven's Third Symphony in vol. III are striking by the absence of any formal table. This suggests that the progressive radicalisation that affects the description of syntactic and motivic units also affects the description of the outer form: whenever possible, Schenker tries to set his "organic" conception of form against the additive or "mechanistic" conception based on combination of small, intermediate and large units.

It may be thought that the analysis of short pieces by Bach and Chopin in *Das Meisterwerk I* is a distinctive feature of a transitional period in which Schenker carefully avoids elaborating formal patterns in order to concentrate on continuity. The same is nearly true in *Das Meisterwerk II*. Except for Mozart's Symphony n. 40, which displays a return to the analysis of large forms, here Schenker favours fugues, dances and variations. In *Das Meisterwerk III*, he reaches the peak of the analyses of large forms with Beethoven's Third Symphony.

5. Conclusion

Schenker constantly uses the traditional analytical vocabulary, which is needed in the absence of a set of consistent substitute terms. Thus the purpose of his extended critical commentaries on the theoretical literature is ambiguous. Do they aim at breaking with the past (then why spending so much time with them?) or,

30. It has to be underlined that in Schenker's conception of form the structural weight of events is not related to their length.

on the contrary, at preserving the link with the past, so as to progressively build an equivalence grid between the “old” concepts and those he strives to establish?

In spite of the persisting link with the past, we should not fail to recognise the early and constant tendency, in Schenker’s works, to avoid naming musical sections in a way that refers too directly to traditional syntactic units or formal functions, whence the interest in the concept *Taktgruppe*, which turned out to be essential in the development of Schenkerian theory of form. It is also to emphasise the progressive tendency to relate the groups to structurally coherent units: at first with reference to such factors as key or motivic content, then to foreground events, and finally to middleground features. From this point of view, the strikingly asymmetric antecedent/consequent pair that I have mentioned in connection with Beethoven’s Third Symphony (*Das Meisterwerk III*) is perfectly representative of the synthesis Schenker strived to achieve between two theoretical worlds.

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Sintesi dell'articolo

Schenker ha spesso usato toni sarcastici per criticare alcuni aspetti della *Formenlehre* tradizionale, ironizzando sulla tendenza dei teorici a concentrarsi in modo accanito sull'identificazione di temi e motivi, fino a trasformarsi in una sorta di “contatori di motivi” (*Motiv-Statistiker*). Eppure nei suoi scritti – almeno fino al secondo volume di *Das Meisterwerk in der Musik* (1926) – anche Schenker ha fatto ricorso a termini e concetti mutuati dalla tradizione precedente. I numerosi riferimenti alla letteratura teorica che compaiono nei suoi lavori – a partire dal suo studio sulla Nona Sinfonia di Beethoven – documentano una conoscenza molto approfondita delle opere di

teorici come Adolf Bernhard Marx, Hugo Riemann, Ernst Kurth, Hugo Leichtentritt e August Halm, che sono registrate anche nell'inventario della biblioteca personale di Schenker.

Dietro il rifiuto ostentato della *Formenlehre* tradizionale si nasconde dunque un'attitudine più sfumata, che in questo articolo viene approfondita e messa a fuoco nei suoi aspetti più significativi. Fino ai tre volumi dell'opera teorica *Das Meisterwerk in der Musik* (Drei Masken, München 1925, 1926 e 1930), Schenker utilizza tranquillamente la terminologia tradizionale, che verrà invece esplicitamente rifiutata nella sua ultima opera *Der freie Satz* (Universal, Wien 1935). In ogni caso, anche quando Schenker utilizza termini e concetti della *Formenlehre*, lo fa sempre in modo atipico e del tutto personale. La coppia concettuale "antecedente"/"conseguente" (*Vordersatz/Nachsatz*) rappresenta un esempio eclatante: benché si tratti di termini ripresi da Marx, Schenker li sposta progressivamente dal loro campo di applicazione abituale. Privandoli dei loro attributi essenziali (dualità aperto/chiuso, parallelismo o corrispondenza motivica), Schenker li associa alla struttura dell'interruzione, impiegandoli in situazioni in cui i due membri, antecedente e conseguente, sono molto diversi tra loro. Lo stesso vale per il concetto di "gruppo di battute" (*Taktgruppe*), un termine piuttosto generico, che non è legato a precise funzioni formali, e che il teorico utilizza ogni volta che intende designare unità formali dotate di coerenza strutturale.

Per quanto riguarda le unità fraseologiche, il linguaggio teorico di Schenker continua a riservare uno spazio rilevante a termini come "idea" o "pensiero" (*Gedanke*) e "motivo" (*Motiv*), ma tende a svincolarli dal loro significato abituale per avvicinarli progressivamente al concetto di *Urlinie*, come dimostra l'occorrenza del termine *Urlinie-Motiv*. Anche il suo atteggiamento nei confronti della rappresentazione schematica delle forme musicali non è affatto univoco. Il teorico rinuncia ad accompagnare le sue analisi con schemi formali tradizionali soltanto dopo *Der Tonwille* (1921-1924), ma perfino in *Der freie Satz* (1935) – dove introduce la definizione di nuove tipologie formali come la "forma indivisa" (*ungeteilte Form*) o la "forma in quattro parti" (*vierteilige Form*) – Schenker continua prevalentemente a far riferimento, anche dal punto di vista terminologico, alle tipologie formali tradizionali.

Frank Samarotto

THE *URLINIE*, MELODIC ENERGIES, AND THE DYNAMICS OF INNER FORM

Abstract

Schenker's *Ursatz* may be an effective model of tonal unity, but that very unity renders its connection with form unclear. This article considers this question from the point of view of energetics. The descent of the *Urlinie* would seem to enact a decrease in energy, a problematic assertion for most music. This apparently static picture of the *Ursatz* is clearly at odds with the dynamics of formal shaping. Obviously many factors closer to the surface may counteract the impression of stasis. Nonetheless I believe it is possible to uncover a rapport between deeper voice leading and the events of the surface. This involves the injection into the *Urlinie* of conflicting melodic energies as a way of shaping the internal dynamics of a work and motivating its unfolding inner form. Proceeding from suggestive comments by Schenker, this article will examine some ways in which surface diminutions may infuse energy into a static *Kopfton*, at once digressing from it and sustaining it. This approach situates Schenker within the school of energetics, while recognising his differences with Ernst Kurth. This article takes a cue from an early *Tonwille* essay on a Bach prelude, where Schenker finds fourth progressions that "actually strive upward", creating interference with the descending *Urlinie*, and proceeds to examine longer pieces by Bach that similarly do not follow any preset formal schema. A mechanism is proposed whereby 1) the interference generated by the superposed inner voices creates resistance to the main melodic line, and 2) that resistant diminution can be understood to confer its energetic quality onto that line. The larger goal is to reconsider the role of the Schenkerian background in shaping the inner form of tonal music.

The *Urlinie*, in Schenker's last and most familiar formulation, is an elegantly simple model of tonal unity, serving, as Schenker put it, as the guarantor of coherence in a tonal masterwork. However, it is less clear that it can also serve as a motivator of form. To be sure, the *Urlinie* succinctly and clearly expresses the tonal space of the triad, by filling it with passing motion. One also presumes that Schenker

understands this passing motion to be invested with the same quality of directional tension, or *Spannung*, that characterises lower-level linear progressions. This tension is important to Schenker – he says so many times – equal in importance to the specificity of the interval spanned (which is how he distinguished himself from Ernst Kurth).

However, it is not clear what role this tension has in shaping formal processes in a particular given musical work. I can see two difficulties that concern me. The *Urlinie* is, of course, a descending melodic line. In itself it enacts a *decrease* in energy, arriving at the most stable possible goal in its final tonic pitch. Obviously this does not reflect the overall shape of most tonal pieces, nor even most phrases. Some increase in tension must surely be in play. Perhaps even more problematic is this: the tension of the *Urlinie*, as with any linear progression, must reside in the passing motion, in the conceptually dissonant passing tones that fill out its boundary interval. By implication, then, the *Urlinie* is not invested with tension until that motion is underway. However, it is quite common for the background *Kopfton* to be prolonged for long stretches of time, most of a piece, with descent coming quickly at the end. Now this accounts very well for the effect of the structural cadence, for the release of tension that cadence brings. But it does not explain whence the tension arises during that steadily prolonged *Kopfton*, let alone how it could have any rapport with the shaping of form throughout that prolongation. Viewed in this light, Schenker's background might indeed suggest a curiously static picture.

Obviously there are many factors closer to the surface that counteract this stasis, be they rhythmic, motivic, formal and so on, and these must surely be considered also. Nonetheless I believe it is still possible to uncover the participation of deeper voice leading in rapport with the events of the surface. To be of interest, the *Urlinie* ought to be more than a passive bystander while the salient musical action unfolds. This paper proposes a perspective that seeks to activate a static background. It involves the injection into the *Urlinie* of conflicting melodic energies as a way of shaping the internal dynamics of a work and of motivating its unfolding inner form. Proceeding from suggestive comments by Schenker, I will examine some ways in which surface diminutions may infuse energy into the static *Kopfton*, at once digressing from it and also sustaining it. For clarity's sake, we will begin with more surface voice leading, since the issue of direction and tension as is present there as it is in the background. With the reader's indulgence I will also invoke energetics (as I believe Schenker's work embraces),¹ but will propose a

1. See the insightful essay by Lee Rothfarb [2002, 927-955].

definition of energy specific to my project.² My longer analyses will hew towards works, all by Bach, that do not follow any preset formal schema. I hope to recast deeper voice-leading levels as intimately involved with shaping of inner form.

First we examine some remarks by Schenker. They are the sort Schenker makes frequently; I chose this passage as particularly felicitous. The figure is from *Meisterwerk I*; in this part of the essay he is concerned with distinguishing the *Urlinie*, by which he means the main structural line, from the other melodic activity that attracts the ear. The complete passage is as follows (Schenker's references refer to Fig. 1):

Should the ear follow the high notes in bars 3-5? Prolongation and *Ursatz* decide to the contrary (see Figs. 3b and 3a [in my Fig. 1]). But why the supersession [Überschneidung] of the *Urlinie* in bars 3-5? The reason is this: it not only provides for a more buoyant type of voice-leading [*eine lustigere Stimmführung*] in bars 5-8 (see Fig. 3c [in my Fig. 1]), but above all motivates the high register, which is to become the true register of the *Urlinie* in the second $\hat{5}-\hat{1}$ progression [Schenker 1994, 106].

Fig. 3 T.

5 10 15 20

a) *Unterquinteller* (VI)-II-V-I

b) *Quintzug* I II V I

c) *Ursatz* *Unterquinteller* (VI)-II-V-I

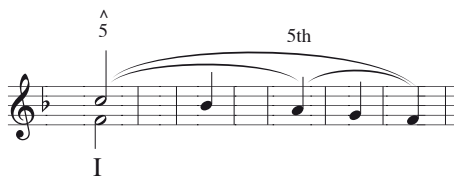
Fig. 1. Schenker, *The Masterwork in Music I*, «Further Considerations of the *Urlinie*: I».

2. This definition clearly resonates with the notion of musical forces developed by Steve Larson and fully set out in Larson 2012. My concern here, however, is more specifically bound to the issue of the role of voice leading in energetic shaping of form.

As you can see, John Rothgeb's elegant translation is not quite literal (though it serves my purpose well) but that is not the point. How can voice leading be more buoyant? Or less? Or anything for that matter? And how does such voice leading motivate a change in register of the structural voice? Clearly Schenker is pointing to relationships among the strands of voice leading that are not strictly specified by the logic of prolongation.

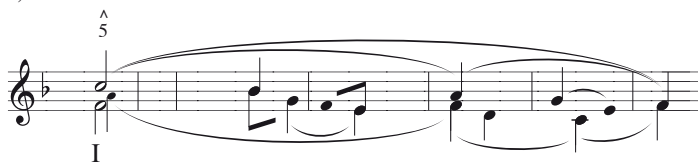
Those relationships may yet be valid. My first foray into teasing this apart is set out in Ex. 1. For greater focus, Ex. 1a selects out just the first descending fifth progression covering bb. 1-7. Ex. 1b adds diminution below this line, in such a manner as to do little to obscure the aural continuity of the descending fifth. I characterise these diminutions as low energy exactly because they generate little interference with main line. Given below is a possible realisation of this voice leading, one which I have designed to be quite banal. It lacks spark, weakly enacting a gesture of gradually decreasing energy. Ex. 1c addresses Mozart's actual melody. The sketch below the score indicates the presence of superposed inner voices, as is also implied in Schenker's analysis. Above the score is a representation of what I am calling melodic energies. I am treating the notation flexibly; in general open note heads follow the main structural voice; stemless notes are less structural but add essential melodic energy. These latter counteract the weighted descent of the descending fifth. Responding to the initial upward motions, the registral flip in b. 3 adds buoyancy, beckoning other notes to fill in the melodic gap. (Note the disjunction symbol before the high G; such disjunctions will be quite important later.) There are two effects: the upward bounce seems to add lift to the melody, drawing more notes upward. Even more important, the high notes momentarily occlude the path of the main line, creating interference, and generating a higher energy diminution.

a) Schenker's falling fifth progression



b) the same with a hypothetical low energy diminution

1) sketch

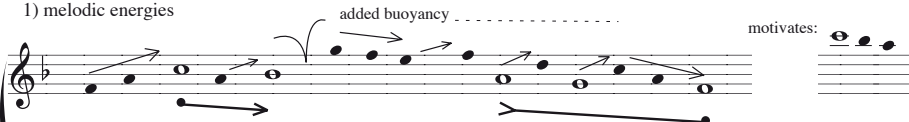


2) possible realization



c) the actual piece with higher energy diminution

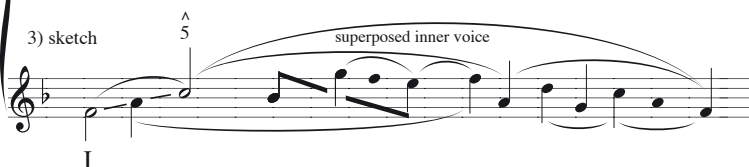
1) melodic energies



2) score



3) sketch



Ex. 1. A gloss on Schenker's analysis of Mozart, K 332, first movement, bb. 1-7.

However, this does not fully explain the mechanism operative here. For that I must digress briefly into a bit of abstraction. This derives from a critical passage

found in *Kontrapunkt* II, a passage that Schenker references elsewhere as fundamental to his theory. It reads as follows:

Alongside all of the corporeality (which is always to be understood as independent) of the intervals available in strict counterpoint, the first appearance of the dissonant passing tone produces *a curious intrusion of the imaginary*: it consists in the covert retention, by the ear, of the consonant point of departure that accompanies the dissonant passing tone on its journey through the third space. It is as though the dissonance would always carry along with it the impression of its consonant origin [emphasis added; Schenker 2001, 57-58].

This is a significant passage, as close to a definition of *Auskomponierung* as Schenker ever articulated. He makes a clear distinction between what he calls the corporeality of intervals and their aspect as imaginary. In my current work I am recasting this as a dichotomy between materiality and conceptuality. I will demonstrate by abstracting from the previous analysis. The vertical fifth in Ex. 2a is pure materiality, a corporeal interval, pure sound construed as a material object. Ex. 2b adds dissonant passing tones against an imagined *cantus firmus* tone F. Ex. 2c refers to Schenker's "curious intrusion"; the consonances C and A are imagined as extending conceptually into the time spans of their succeeding passing tones, as if the originating tones continued to sound. My Ex. 2d is a more radical extension from Schenker. The first passing tone B $\flat$ is now understood not as a separate entity but instead as the tone C in a state of motion, in an energised condition; similarly for the A and its passing tone (recall here Kandinsky's maxim that a line is a point set in motion).³ This has a powerful implication; I suggest that a prolonging diminution be considered an attribute of the entity being prolonged; that the latter acquires directionality from the following passing tone, like a particle acquiring spin. (I am reminded of Rameau's faulty but telling analogy between dissonant suspensions and collisions of solid bodies [1971, 79].) We can thus say that the head tone of this motion takes on the dynamic quality of that motion and is energised by it. This allows for what we might term secondary effects. Ex. 2e takes us back to the Mozart examples; the passing B $\flat$, already mildly energetic, is greatly energised by the change of direction and abrupt register shift. The passing motion encounters resistance, the resistance generates energy, that is, it requires more effort to connect, or rather, for our musical ear to make that conceptual connection. That greater energy is passed back to its point of origin, and the *Urlinie* is infused with tension from the outset.

3. «The geometric line [...] is the track made by the moving point» [Kandinsky 1947, 57].

a) a “corporeal” interval (= materiality)



b) with passing tones against a cantus firmus



c) the “curious intrusion of the imaginary”



d) passing tones reconceived as energetic entities in motion



e) the passing tone encounters resistance; resistance generates energy



Ex. 2. Materiality and conceptuality as derived from Schenker.

I am simplifying of course; real pieces, especially good ones, contain a much more multifarious play of energies, even rather simple ones. The Bach “Little” Prelude that was the subject of a brief essay in *Tonwille* 4 [Schenker 2004, 145] will

provide a case in point. Ex. 3a provides the score; Ex. 3c reproduces what Schenker often calls an *Urlinie* table, charting the whole piece. Equally important is Ex. 3b above it, which shows fourth progressions that, Schenker says, «actually strive upward».⁴ In the essay it is a separate figure but I have aligned it with the *Urlinie* table for clarity. The latter two fourths actually do strive upwards, occurring mostly in the upper register. The *Urlinie* table, however, treats them as inner voices, which is how they function with respect to the *Urlinie*. So the situation is similar to the supersessions in the Mozart. But what put the striving into these fourth progressions? For that we must look closer. For context, Ex. 3d provides my own sketch, but Ex. 3e focuses on the melodic energies. The first fourth progression is the main line prior to the arrival of the *Kopftön*; thus it serves the initial ascent. That line is set in motion by the opening arpeggio, but it encounters resistance when B $\flat$ and C reach over to fall back to the main notes. The last reaching over is the largest and serves to bring in the *Kopftön* E, which appears pre-energised, as it were. Conceptually of course, the *Kopftön* is prolonged throughout the entire time span of the opening tonic, and the inner-voice fourth progression is a diminution supporting it, *whose energetic quality it acquires*.

2.

Ex. 3a. Bach, Little Prelude in C major, BWV 939, score.

4. *Ibid.* Dubiel finds this assertion worthy of extended comment [*ibid.*, 145, footnote 2].

Ex. 3b. Schenker's fourth progressions that «strive upward».

Ex. 3c. Schenker's *Umlinie* table.

Ex. 3d. The author's sketch.

Ex. 3e. Melodic energies at the beginning and ending.

My reading of the close of this piece is not quite as Schenker has it, and the difference is important for my purpose. Energy will get us in motion, but energy must be discharged for an ending to feel satisfactory. The last fourth progression, G-A-B-C, begins in the high register, replicating the opening material, but, significantly, ascent breaks off at the A, and B to C take their place as inner voices. That high A instead makes a clear connection to G, the other end of the resolution pair, A-G and B-C. With this energy discharged, the *Urlinie* may comfortably close. Even though that fourth progression has nothing to do with it structurally, the *Urlinie* absorbs its energy gain and shows a rapport with its resolution of tension. The formal shaping is defined by energetic infusion, and the relaxation thereof.

I move on now to two much more complex works by Bach, treating these more summarily but gaining thereby a larger formal scope. The first is another prelude: that in E $\flat$ minor from Book I of the *Well-Tempered Clavier*. Ex. 4a presents some details of the voice leading through b. 15 as well as an overview of the entire piece. With that as reference, our main focus will be the tracking of melodic energies, as shown in Ex. 4b. Schenker has an early analysis of this piece, not reproduced here, that places great emphasis on motivic thirds [Schenker 2004, 38-45]. I find such thirds also, immediately evident in bb. 1-4 in Ex. 4b. As before, open notes signify structural framework; the lone B $\flat$ that starts the prelude will tread the path of a descending third, but before it does so an energetic lift is conferred by the upward arpeggio – a lift that gently draws the structural line a half step up to C $\flat$, an incomplete neighbour. That C $\flat$ will yield to the downward trajectory, and therefore considerably more melodic energy is required to set this prelude convincingly in

1) bb. 1–16

from:

2) summary of entire prelude

Ex. 4a. Bach, Prelude in E $\flat$ minor, *Well-tempered Clavier*, Book I: sketches.

The musical score for Ex. 4b is written in a single system on a five-line staff. It begins with a treble clef and a key signature of three flats (B-flat, E-flat, A-flat). The notation includes various melodic lines with annotations and measure numbers in circles.

- Measure 4:** A single note on the first line (F4) is marked with a horizontal line below it and the label "IN".
- Measure 6:** A melodic line starts on the second line (G4), moves up to the third line (A4), and then down to the second space (F#4). It is annotated with "lift" (arrow from 4 to 6), "motive disjunction" (curved arrow from 6 to 16), and "desc 3rd" (arrow from 6 to 16).
- Measure 16:** The melodic line continues from measure 6, moving up to the third space (B4) and then down to the second space (F#4). It is annotated with "lift" (arrow from 6 to 16), "motive disjunction" (curved arrow from 6 to 16), "desc 3rd" (arrow from 16 to 26), and "lift unfulfilled..." (arrow pointing right).
- Measure 20:** A melodic line starts on the second space (F#4), moves up to the third space (B4), and then down to the second space (F#4). It is annotated with "lift fulfilled." (arrow from 16 to 20), "inversion" (arrow from 20 to 26), and "ascending register transfer" (arrow from 20 to 26).
- Measure 26:** The melodic line continues from measure 20, moving up to the third space (B4) and then down to the second space (F#4). It is annotated with "motive disjunction attempts to close..." (arrow from 20 to 26), "...fails." (arrow from 26 to 29), and "regaining original register" (arrow from 26 to 29).
- Measure 29:** A melodic line starts on the second space (F#4), moves up to the third space (B4), and then down to the second space (F#4). It is annotated with "cadenza evaded!" (arrow from 29 to 32).
- Measure 32:** A melodic line starts on the second space (F#4), moves up to the third space (B4), and then down to the second space (F#4). It is annotated with "regaining original register" (arrow from 29 to 32).
- Measure 35:** A melodic line starts on the second space (F#4), moves up to the third space (B4), and then down to the second space (F#4). It is annotated with "motive disjunction attempts to close..." (arrow from 32 to 35), "...succeeds." (arrow from 35 to 37), and "Urline closes in original register" (arrow from 35 to 37).
- Measure 37:** A melodic line starts on the second space (F#4), moves up to the third space (B4), and then down to the second space (F#4). It is annotated with "Urline closes in original register" (arrow from 35 to 37).

Ex. 4b. Melodic energies.

motion. Once again interference with the main line supplies that energy: First the arpeggio repeated a fourth higher, and, yet more powerfully, a highly disjunctive leap of a diminished seventh down, a leap that will not be forgotten. When the descending third is finally realised, the final $A\flat$ to $G\flat$ are so overshadowed that they release no energy at all – the line is impelled to the upper octave, to gradually make its way down, via thirds, to $C\flat$, recalling the incomplete neighbour.

Thus far, melodic interference has energised the *Urlinie*, but not truly deflected it; the cadence on V in b. 16 returns to our opening register. That is not to be sustained. A renewed energetic vigour takes hold after that cadence; the lift unfilled before the cadence (see the high $C\flat$ - $C\sharp$ towards the end of the first staff of Ex. 4b) exerts its pull, effecting an ascending register transfer, and a new cadence, on IV. Notice that now the energies of melodic interference have penetrated to deeper levels: not only has *Urlinie* activity shifted to a higher register, but the energised cadence on IV has relegated the prior arrival on V to the status of a divider. (Compare the summary sketch in Ex. 4a.) Now both registers vie for primacy, but it is the motivic melodic disjunction, that between $C\flat$ and $D\sharp$, that will be decisive in allowing the prelude to move towards closure. The diminished seventh would naturally discharge its energy by closing inward, and indeed, approaching the cadence in b. 29, it attempts to do so. However, that cadence is poignantly evaded. For a few bars, the upper register is conspicuously avoided; absent the energetic lift, the *Urlinie* sinks back to its original register. We wait until b. 35 for the motivic disjunction to resurface, again spread out over two octaves, but also (refer to the score) voiced in the outer parts as well. The resolution of the interval is explicit and effective, and its energy is discharged, allowing the cadence to be successful and fully closural. The final peroration echoes the motivic disjunction but absorbs its dissonance in inner voices, leaving the *Urlinie* undisturbed.

My final example is not a prelude but an allemande, a genre which can be fairly free within the confines of its two reprises. My voice-leading sketch is provided in Ex. 5a, but I will focus more on the melodic energies tracked in Ex. 5b. The opening is searching and uncertain: is A to be taken as a structural anchor or does it pass quickly to $B\flat$? The disjunctive leap to $C\sharp$ could serve to reinforce the tonic, as happens quite often, and is thus appropriately called a structural disjunction. It aims to close back into the tonic chord, but the line is twisted askew, by the superjection of a high E. The music pauses, as if caught off guard, but resumes its work in the lower register. It is not long before the upward sixth leap shows its influence: On the top staff of Ex. 5b we see the sixths impel the upper voice into the higher register, ascending by step and culminating in the expanded sixth D - $B\flat$, the cadentially decisive Neapolitan sixth. At the capstone of this arch we attain an *Urlinie* C, initiating a third progression that will reinstate an otherwise static *Kopft*on A.

First reprise

(5) (4) (6) (8) (11) (14)

(5) 3rd I 5 III V 7th (= 2nd) 6ths a: II^{b6} 6 V⁷ II⁷ V⁷ 3rd I 5

Second reprise

(20) (22) (27) (30)

(5) 3rd I 5 III V 7th (= 2nd) 6ths a: II^{b6} 6 V⁷ II⁷ V⁷ 3rd I 5

7th (= 2nd) 6ths NN IV 5 V⁷ 3rd I 5

Ex. 5a. Bach, Partita in D minor, Allemande: sketch.

First reprise

Second reprise

cf. ending of the Chaconne:

Ex. 5b. Melodic energies.

I will pass more quickly over the second reprise, focusing again on how the energies created by melodic disjunctions must be discharged for the final cadence to be satisfactory. In this case both disjunctions recur and both are resolved; most conspicuously the E-G sixth, now in its downward form, is reconciled to tonic closure in both its registers. A possible glimpse into even larger formal processes is provided by the ending of the celebrated Chaconne that concludes this partita. The disjunctive sixth that opens the whole partita now returns to close it. Perhaps only a full circle ending could effectively discharge the energy of that tour de force of variation.

These two longer examples explore the possibility that foreground details are not necessarily hierarchically divorced from the background; rather they may exhibit a deep rapport with the *Urlinie* by keeping its implicit presence active through infusions of energy, and, in the release of that energy, allowing its closure to be persuasive. Now it is a fair question whether I am discussing form in any traditional sense. I would argue that I am sharing ideas similar to those of Adolf Bernhard Marx, who saw motion (*Gang*) as a fundamental force of music conceptually prior to formal design, or of Kurth, for whom motion was more foundational even than individual pitches. I believe my approach here reveals the dynamics of an inner form – form as shape rather than form as articulation. It may also point to significant reconceiving of the notion of Schenkerian hierarchy, one in which levels are not discrete entities but as the same entity in varying energetic states. I began this essay with a picture of the *Urlinie* as moribund and static; I hope I have succeeded in painting a picture of the *Urlinie* as alive and crackling with energy.

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Sintesi dell'articolo

La linea fondamentale (*Urlinie*) è un modello di unità tonale semplice ed elegante che, secondo Heinrich Schenker, dovrebbe garantire la coerenza di un'opera, anche se il rapporto tra l'*Urlinie* e la dimensione formale della musica rappresenta uno degli aspetti più controversi della teoria schenkeriana. In questo articolo lo studio della forma musicale viene affrontato in una prospettiva "energetica", nel tentativo di verificare se – e in che modo – l'*Urlinie* concorre a modellare e a generare la forma di un pezzo. In generale, bisogna considerare che il profilo discendente dell'*Urlinie* delinea un processo di *decremento* energetico che raggiunge la sua meta – cioè il punto di massima stabilità – solo con l'approdo alla tonica conclusiva. Di conseguenza, la condotta dell'*Urlinie* di per sé non permette di descrivere la dinamica della forma di gran parte dei pezzi di musica tonale, in cui entra necessariamente in gioco, a ogni livello, anche un qualche tipo di *incremento* della tensione. Bisogna inoltre considerare che in un'analisi schenkeriana la nota iniziale (*Kopfton*) dell'*Urlinie* spesso viene prolungata per quasi tutta la durata del pezzo, dal momento che il suo movimento discendente verso la tonica si realizza solo in prossimità della conclusione. In altri termini, la discesa della linea fondamentale offre un quadro piuttosto statico del livello profondo, e dunque non è ben chiaro in che modo essa possa contribuire a modellare la forma di un pezzo.

In realtà ci sono molti altri fattori, più vicini al livello di superficie del pezzo, che contribuiscono a contrastare questa impressione di stasi, e che permettono di

stabilire un rapporto più diretto tra la condotta delle parti nel livello profondo e gli eventi di superficie. Questo rapporto si realizza attraverso l'immissione, all'interno dell'*Urlinie*, di energie melodiche contrastanti che contribuiscono a delineare l'articolazione della forma dell'opera. Partendo da alcuni suggestivi commenti di Schenker, questo articolo illustra i procedimenti che permettono alle diminuzioni di superficie di trasmettere energia alla *Kopfton* (e cioè alla nota iniziale dell'*Urlinie*, tendenzialmente statica), preservando la sua funzione di stabilità ma al tempo stesso innescando dei processi di digressione dinamica. Questo approccio, che negli ultimi anni ha incontrato un consenso sempre crescente tra gli studiosi, permette di ricontestualizzare la teoria di Schenker nell'ambito delle concezioni energetiche della forma, ma anche di rimarcare le differenze tra il suo approccio analitico e quello di Ernst Kurth.

L'articolo parte da una delle prime analisi pubblicate in *Der Tonwille* in cui Schenker, esaminando un preludio di Johann Sebastian Bach, evidenzia la presenza di progressioni di quarta che «tendono verso l'alto», creando un'interferenza con la linea fondamentale discendente. Successivamente vengono presi in esame altri pezzi di Bach più estesi, ma caratterizzati anch'essi da una forma piuttosto fluida, che non segue uno schema prefissato. Le analisi evidenziano che, se da un lato l'interferenza generata dalla sovrapposizione delle voci interne crea una resistenza al movimento della linea melodica principale, d'altra parte è proprio il proliferare delle diminuzioni ciò che permette alla linea principale di acquisire una forte qualità energetica. In definitiva, l'obiettivo dell'articolo è quello di rivalutare – attraverso l'esame di vari esempi – la funzione del livello profondo schenkeriano nella definizione della forma interna dei pezzi di musica tonale.

LOOKING BEYOND THE SURFACE: FORM, FORCE AND STRUCTURE IN KURTH AND SCHENKER

Abstract

This article examines the position of form and *Formenlehre* in energetic theories of music emerged in the first decades of the twentieth century, with particular focus on Kurth and Schenker. Unlike Halm, who rejected the typological perspective of *Formenlehre* so as to propose an approach to individual works conceived as living organisms, Kurth's and Schenker's relation to the *Formenlehre* changed over time according to their theoretical development. Kurth increasingly distanced himself from the *Formenlehre* approach during the 1920s, until he unexpectedly proposed a reconciliation in *Musikpsychologie* (1931). Schenker, who did not explicitly reject the *Formenlehre* perspective until the mid-1920s, later gradually realised that his new approach implied an overturning of that perspective, until he proposed his new *Formenlehre* in *Der freie Satz* (1935). This article investigates the role of outer form in the meta-theoretical framework of these authors, going on to examine how some of their pupils and followers have supported or subverted their meta-theoretical premises in order to better reconcile with the *Formenlehre* tradition.

The present article contributes to mapping the field of German-speaking music theories during the first decades of the twentieth century.¹ The focus is on form as concept and *Formenlehre* as an approach in energetic theories of music, with particular emphasis on their position in the meta-theoretical frameworks of Kurth and Schenker. Methodologically the article relies on conceptual history and analysis of discourse: it discusses their terminology in relation to the fundamental concepts so as to shed light on explicit or implicit preconditions of their theories at different stages of development and evaluate their epistemological implications.

1. I thank the anonymous reviewers for their helpful comments and suggestions.

1. Energetics between aesthetics of music and music theory

The music-aesthetical and theoretical category «energetics» (*Energetik*), introduced in the 1930s by Rudolf Schäfke [1934, 393-450] and recently reconsidered by Edward Lippman [1992, 393-397], Rafael Köhler [1996] and Lee Rothfarb [2002], refers to authors characterised by very different, even antithetic approaches to music such as Heinrich Schenker (1868-1935), August Halm (1869-1929), Ernst Kurth (1886-1946) and few others. Their shared features have been identified under the following headings:

- A permeating energetic vocabulary through which they tend to identify the essence of music as “force” (*Kraft*), “tension” (*Spannung*), “movement” (*Bewegung*), “life” (*Leben*) in order to emphasise form as “process” (*Formvorgang*), “dynamics” (*Formdynamik*), action of “forming” (*Formung*) and “becoming” (*Werden*);
- The emergence of a vitalistic interpretation of the idea of “organism” (*Organismus*), in itself already central to the nineteenth-century theories of musical form, which corresponds to a passage from a framework heavily influenced by Idealism, to a new paradigm relying more on Arthur Schopenhauer, Friedrich Nietzsche, Wilhelm Dilthey’s Historicism, Theodor Lipps’s and Henri Bergson’s different versions of Vitalism;
- The rejection of both perspectives involving the role of meaning and expression of feelings in music (Hermann Kretzschmar’s hermeneutics and the *Gefühlsästhetik*) and the opposite view of Eduard Hanslick’s aesthetic formalism in favour of new conceptions of objectivity in music, based on the idea of inherent musical laws;
- The heavy disapproval of the predominant methods of teaching musical composition, more or less directly inspired by the abstract formal typologies of nineteenth-century *Formenlehre*.

All of these aspects pertain more to the meta-theoretical than to the strictly music-theoretical domain and reflect the shared milieu in which different theoretical proposals emerged between the 1910s and mid-1930s. Despite the different generations to which they belong, the hostility between Schenker and Kurth is particularly striking while investigating musical form within the context of energetics. Both had been in contact with Halm: Schenker was on friendly terms with him from the 1910s and shared with him a general view of musical culture; Kurth was highly influenced by Halm’s approach, being rhetorically effective, analytically insightful, conceptually innovative and without any trace of academicism.

Halm does not see contradictions between the traditional idea of form and his consideration of form as process. Rather, he emphasises the progress of music towards «always more efficient embodiment [*Verkörperung*] of [...] pre-existing form» [Halm 1947, 32, my translations], so that this form comes to represent a stronghold against chaos and disorganisation. If he defines form and particularly sonata form as «the great organism» it is not by reason of its coherent juxtaposition of formal sections but for establishing a «synergy [*Zusammenwirken*] of organised forces» [*ibid.*, XLIII]. Halm's analyses show that these forces mainly correspond to harmonic tensions, which underlie specific formal processes and explain how pre-existing forms take shape in single musical works.

The “nominalist” tendency of Halm's analyses emerges particularly when he focuses on sonata form development, a section he considers as free from conventions and nevertheless subject to the harmonic laws that composers decide to adopt in concretely forging it. His analysis of the development of Beethoven's Sonata op. 2 n. 1, first movement, is in this respect exemplar. Halm identifies the «formal law» of the development in a reversal of the harmonic process around a clear «caesura» ($A\flat-b\flat-c||c-b\flat-A\flat$) and the subsequent «crisis» that leads to the dominant of the main tonality (F minor) and triggers a tension or «will [...] to recapitulation [*Wiederkehr*]» supported by a hesitation on the dominant [Halm 2002, 35-39, my translations]. The “essentialist” tendency materialises when he compares sonata form to «a higher organic unity, a synthesis of which the cadence in harmony offers an image and perhaps a model [*Vorbild*]» [*ibid.*, 19], thus highlighting the central role of tonal coherence.

With respect to these coexisting tendencies, Kurth seems particularly interested in the former while Schenker clearly prefers the latter. However, while in Halm “energetic” and more traditional concepts tend to coexist and blur, both Kurth and Schenker elaborate complex strategies in order to specify their terminology in relation to the main concepts to which they refer. This is relevant to the concept of form, for they, in different ways, introduce a rather abrupt semantic substitution: they refuse the traditional meaning of the term and redefine the concept on new grounds, shifting from the idea of an outer, abstract and typological scheme to the idea of a concrete process of forming through which inherent formal laws are established. Consequently, they come to leave out the idea of pre-existing form in favour of the formation of musical works as living organisms.

On the historical level it is interesting to note that both Kurth and Schenker, who similarly to Halm behaved initially as non-systematic music thinkers, gradually recognised and followed a tendency towards an all-encompassing theory of music involving the study of harmony, counterpoint and form as main branches of investigation. It is symptomatic that both deployed more systematic attempts

only during the 1930s, that is, at the end of their theoretical evolution, and that exactly at this stage they decided to come to terms with the perspective of *Formenlehre*. In both cases the result was halfway between a reconciliation and a re-foundation on new ground. This was possible only after the 1920s, a decade during which Kurth increasingly took a distance from the *Formenlehre* tradition, while Schenker gradually realised that his new theory of music implied an overturning of the perspective of *Formenlehre* and temporised in order to achieve a convincing explanation of form within his theory.

2. Kurth's metaphysical-historical concept of form

In his *Bruckner*, printed in 1925, Kurth offers a philosophy of form involving a metaphysics of force which is connected to a philosophy of history. While in the first perspective form is defined as a «coercion» (*Bezwungung*) of noumenic «force» (*Kraft*) to a phenomonic configuration termed as «outline» (*Umriß*) [Kurth 2000, 239, my translations], in the second the musical work emerges as the product of a «formal sense» (*Formgefühl*), a historical force which shapes music culture as style [*ibid.*, 233]. Kurth's metaphysics draws explicitly on Schopenhauer's vitalistic re-interpretation of Kantian issues. His philosophy of history roots in Dilthey's epistemology of *Geisteswissenschaften* [Dilthey 1883; 1910] and in a critical reinterpretation of Guido Adler's concept of music history as a living organism based on the coherent succession of styles [Adler 1885; 1911; 1919]. This explains why Kurth mainly published historical-stylistic investigations that included theorisation of specific branches of music theory: counterpoint in a book on Bach [1917], harmony in a study devoted to Romanticism with focus on Wagner's *Tristan* [1920], and form in the monograph on Bruckner [2000].

Kurth's definition of musical form as «transformation of force into form», that is, as a «concept of tension» which refers to the «interaction [*Wechselwirkung*] [...] between force and its coercion in outlines» [Kurth 2000, 233-234], directly reflects his philosophical or metaphysical assumptions. The polemical stand against the *Formenlehre* tradition, which can be traced back to Halm's influence, is a consequence of the aforementioned definition: «the theory that restricts itself to the assignment of tracking some divisions of themes, periods, groups of phrases etc. up to the description of the whole outline is on a highly imperfect and mostly wrong path», [*ibid.*, 233-234]. In Kurth's opinion musicologists adopting this approach have «forgotten that in music we have no form but a formal process» [*ibid.*, 234]. It is to underline that, that Kurth develops this new concept of form in relation to Bruckner: it is the specificities of his symphonies to suggest the increasing importance of energetic processes (intensifications, densifications,

highpoint outbursts) as relevant in shaping form, as opposed to classical compositions, built rather on prominent musical outlines, clear formal partitions and syntactic articulation.

This is evident in Kurth's approach to the first movement of Bruckner's Ninth Symphony. In bb. 1-96 Kurth hears a lengthy «symphonic wave» (*symphonische Welle*) that undergoes four energetic phases: a «preliminary development» (*Vorentwicklung*) (bb. 1-26), which includes an unexpected harmonic «turn» (*Wendung*) (bb. 19-26), a gradual, lengthy «intensification» (*Steigerung*) (bb. 27-62) which leads to a powerful *crescendo* and instrumental densification (bb. 51-62), the consequent «highpoint» (*Höhepunkt*) which coincides with the exposition of the first and main theme (bb. 63-75), and an «after-tremor» (*Nacherschütterung*) – a reverberation of the highpoint's outburst with the function of a transition to the second theme (bb. 76-96) [*ibid.*, 279-282, 450, 682-685]. Later, Kurth shifts his attention to a lengthy passage (bb. 321-420). This is characterised by the restatement of the last phase of the aforementioned «intensification» (bb. 321-325) together with the first part or antecedent of the main theme (bb. 326-332), which is immediately elaborated through sequences (bb. 333-354) to make way for a further development process leading to a second highpoint (bb. 355-397). In the whole passage Kurth hears «a twofold formal event» (*ein formales Doppelereignis*), that is, a restatement «woven into the development» [*ibid.*, 693-695]. This is followed by an episode of energetic compensation (bb. 400-420) leading to a reprise of the *Gesangsthema*, to which the character of formal fulfilment has been transferred. Kurth considers the energetic process of this movement as the primary aspect, and its detailed description replaces the traditional formal account.

Considering this drastic stance, it is surprising that Kurth reconsiders his position few years later, in the systematic treatise *Musikpsychologie*, published in 1931. This offers an expansion to his theory. Within his concept of musical form as a transformation of forces into outlines, Kurth introduces the new idea of a progressive cooling down, whose result he names «motivic consolidation» (*motivische Festigung*). It is this passage that leads from the categories of «form in the widest sense» to those of «*Formenlehre* in the strict sense» [Kurth 1990, 285, my translations]. While the former include processes such as «development, passage, intensification, wave [...], tensional relation [...], compensation and purposefulness» [*ibid.*, 285], the latter focus on «repetition», «variant», «juxtaposition» and «contrast», to include «motivic and thematic phenomena» [*ibid.*, 285-286]. Both sets of categories are «fundamental concepts of form» [*ibid.*, 285] but are in a different position: «All these concepts of the second kind are based on those of the first kind without suppressing them but, rather, constantly containing them as precondition; the fundamental concepts of the first kind emerge as

the undercurrent of the more visible and apparent formal concepts of the second kind» [*ibid.*, 286].

In so far as Kurth proposes a hierarchical relation, his theoretical evolution is in continuity with his former proposal. On the other hand, it is also an unexpected conceptual turn, because it represents the premise for a full legitimisation of *Formenlehre*. This is no longer considered as wrong, but just restricted to a specific compositional and analytical level, of course the most outer and superficial one. In so doing, Kurth implicitly readmits the perspective of *Formenlehre*, leaving it unchanged.

A conceptual map of Kurth's meta-theoretical framework in *Musikpsychologie* (1931) relative to *Bruckner* (1925) is offered in Fig. 1.

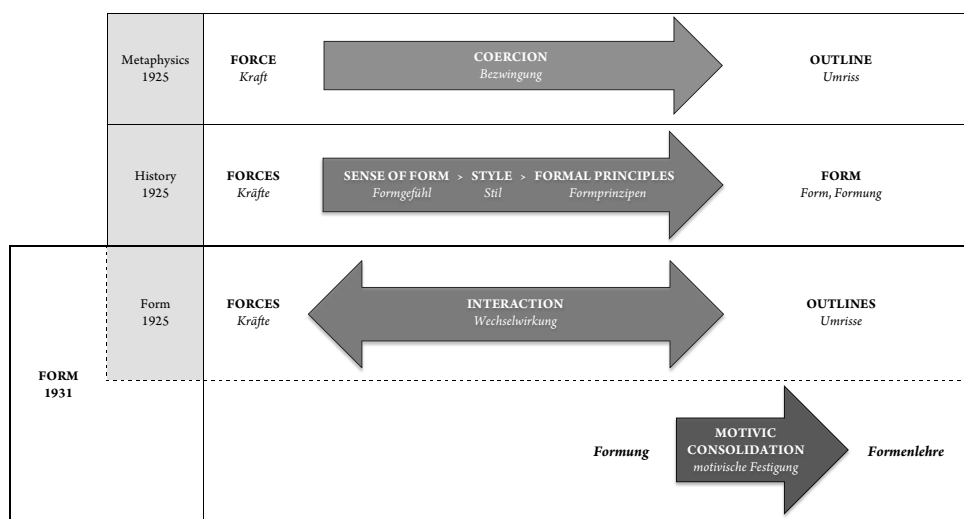


Fig. 1. A conceptual map of Kurth's theory of form in *Bruckner* (1925) and *Musikpsychologie* (1931).

An early reconsideration of Kurth's theoretical framework is found in the dissertation of his pupil Rudolf von Tobel, *Die Formenwelt der klassischen Instrumentalmusik* [1935]. This is at the same time a continuation of Kurth's *Musikpsychologie* and an attempt to recover his more radical position in *Bruckner*. In the first direction Tobel clarifies Kurth's formulations by introducing a distinction between form and «type» (*Typus*) so as to avoid using the same term for different concepts: «each work has its own form, it is a form, and each form is a concrete work; only types are abstract: they gather forms with some similarities together in groups» [Tobel 1935, 2, my translations]. In the second direction he claims that the concept of form can only refer to the energetic concept, intended as the «original and actual sense», which was «obscured» (*getrübt*) by the *Formenlehre* perspective [*ibid.*, 5].

The introduction of the concept of “type” allows Tobel to follow the path of a reconciliation with the *Formenlehre*. The content overview of his dissertation [*ibid.*, VIII-X] clearly shows that Tobel refers to aspects connected with the level of motivic consolidation. On the other hand, he proposes a classification of forms, for which he uses the term *Typenlehre* [*ibid.*, 13] instead of *Formenlehre*, even if the connection with this tradition cannot be denied. His five types – sonata, rondo, variations, tripartite and bipartite forms – are presented in order of importance: the first three are the most discussed, while the last two are reduced to few considerations. The concluding chapter deals with the «dynamics of form» (*Formdynamik*) and is intertwined with historical discussions, according to the idea of a «strong connection [...] between practice, theory [...] and history» [*ibid.*, 12], which was a relevant point to Kurth. Yet, Tobel claims that «not the forms [...] but only the types [...] must be explained historically» [*ibid.*, 17], which does not prevent him from maintaining as a main point the freedom of musical creation: although influenced by types, styles and historical contexts, «the genius creates from himself, freely and spontaneously, multifarious forms» [*ibid.*, 17]. Tobel thus reaches an agreement between the typological perspective of the traditional *Formenlehre* and the nominalist perspective of Kurth’s energetics. This was possible because Kurth’s concept of form explicitly referred to the metaphysical level. The forces he grasped from the surface of the musical works were tensions and processes mainly based on the deployment of parameters such as dynamics, timbre and density. Consequently, he did not aspire to re-interpret syntax and formal typologies, but to offer a new foundation starting from a metaphysics of force. In other words, the subordination of *Formenlehre* categories to a wider concept of form is a matter of meta-theoretical assumptions.

3. Schenker’s physical-naturalistic concept of structure

In order to point out Schenker’s idiosyncratic position relative to the other exponents of twentieth-century energetics, a comparison with Kurth’s more explicit conceptual framework can be helpful. Schenker’s most relevant characteristic is the analytical technique, which is at the same time premise and implication of his theory. The hermeneutic circle between meta-theoretical presuppositions and analytical applications contributes to shaping a theoretical framework that changes over time.

What Schenker pretends to discover through his analytical technique is a blend of art and nature. In the second issue of *Der Tonwille* [1922] Schenker reduces the multiplicity of musical phenomena to two principles: one is «consonance», which «belongs to nature», and the other «dissonance», which «belongs to art»

[Schenker 2004, I, 51; 1922, 3]. But it is particularly nature which stands for the metaphysical invariant: stable natural laws clearly replace the historically changing principles of the different musical styles in Kurth's framework. The concept of "force" is also present in Schenker, but in a different position: considering the predominance of nature, it refers to physics. According to the first edition of *Der freie Satz* [1935] the «event [*Ereignis*] of form in the foreground can be described, in almost physical-mechanical sense, as a transformation of force [*Kraft-Verwandlung*] – of forces which flow from the background to the foreground through the levels» [Schenker 1935, I, 207; 1979, I, 162].² Conversely, Schenker describes the levels as «energy transformation [*Energie-Verwandlung*] of that life which originates in the *Ursatz*» [1935, I, 19; 1979, I, 160]. In order to grasp the sense of the metaphor it is important to recognise that in physics energy transformation means at the same time energy conservation – which, by the way, may offer an alternative reading of the Latin epigraph Schenker chose as his motto: «*semper idem sed non eodem modo*».

In Schenker even the idea of music history is connected with his theory and analytical technique. In *Der Tonwille* history means grasping the steps of the gradual emergence of natural laws of tonal coherence and voice leading. It is not the variability of musical styles, but rather the evolution – described as a natural process – of specific aspects of musical composition that is striking:

When and how did the law of consonance [...] first work its way into and fulfill itself in successions of tones [...], so that the tonal successions [...] could be experienced as a unit? Did this occur even before the initial attempts at polyphony, or later? [...] After the law of consonance found fulfillment in the vertical dimension in the age of polyphony, which artists were the first to produce an agreement between the vertical and horizontal triad and so forge a path to a horizontal (melodic) elaboration [*Auskomponierung*] that was also attested by the vertical dimension? [...] Did an *Urlinie* tie them together? [...] When did diminution, in the form of motives and ornaments, obtain its laws? [...] Finally, how did all these forces cause forms to arise, in the sense of those limitations that are indispensable for any sort of human creative endeavor? [Schenker 2004, I, 52; 1922, 4].

This same conception of music history emerges in *Der freie Satz*, where «voice-leading phenomena» are considered as gradually evolving from the epoch of early counterpoint, during which they were «like flowers in bud [*knospenhaft*]», to later stages of music history, when they developed to «bearers of forms

2. I offer my English translation of all the passages taken from the first edition of *Der freie Satz* [Schenker 1935]. In order to allow a comparison with Ernst Oster's translation [Schenker 1979], which I modify according to the original text, I provide references to both editions.

[*formenträchtig*] and able to give rise, through diminution, to entire sections and large form» [Schenker 1935, I, 197; 1979, I, 128].

If under the aforementioned perspectives Schenker's later theory is in continuity with the previous remarks, it is only in *Der freie Satz* that Schenker develops his opposition to the *Formenlehre*: «music finds no coherence in a "motive" in the usual sense. Thus I reject those definitions [...] which rely on the motive or its manipulation by means of repetition, variation, extension, fragmentation, dissolution [...] and also on phrase, phrase-group, period, double period, theme, antecedent and consequent» [1935, I, 212; 1979, I, 131]. Consequently, in his theory all of these categories «are replaced with specific concepts of form which [...] are based upon the content [*Inhalt*] of the whole and its individual parts» [1935, I, 212-213; 1979, I, 131]. This is symptomatic of a turning point which occurred meanwhile, since Schenker in *Der Tonwille* still used traditional formal categories with no signs of impatience.

What Schenker terms as "content" should more appropriately be explained in connection with structure. Although the term *Struktur* basically does not occur in his writings, such terms as *Umlinie* and *Ursatz*, together with the idea of the background (*Hintergrund*), have a structural meaning in so far as they intercept processes that lie beneath the surface and logically organise the musical work in terms of overall tonal coherence. Thus, the term "structure" here is fully justified from the perspective of conceptual history. On the other hand, the fact that Schenker's pupils and followers were to adopt the term "structure" and even *Struktur* to indicate these aspects resolves any doubts.

Schenker explains the relation between deep structure and superficial phenomena clearly. In the anticipation of his account of musical forms at the beginning of *Der freie Satz* he writes:

One might ask: if all the *Umlinien* are the same, where does the dissimilarity of forms in the foreground come from? Should we not have a special concept of form to explain this, a concept coordinated [*beigeordnet*] from the outset with the *Umlinie*? The answer is: When the *Umlinien* are congruent with the concept of tonal space [*Tonraum*], the homeland of all the forms in the foreground emerges. Be they two-, three-, four-, or five-part forms, all receive their coherence [*Zusammenhang*] only from the *Ursatz*, that is, from the *Umlinie* in the tonal space; thus is the superordination [*Überordnung*] of the *Ursatz* consistently explained. [1935, I, 39; 1979, I, 16]

In the same sense Schenker identifies the novelty of his theory of form in the «derivation [*Ableitung*] of all the forms as the most external foreground from the background and middleground» [1935, I, 210; 1979, I, 130]. Evidently, he explains the relation between structure and form in hierarchical terms of subordination, in logical terms of derivation and in philosophical terms of foundation. This is in

step with the meta-theoretical assumptions of most exponents of energetics, who introduce the metaphor of deep principles against superficial phenomena so as to map the field of music in the light of metaphysics.

In order to overcome the gap between deep structure (background or deep middleground) and superficial form (as external foreground) Schenker introduces new concepts and explains processes that can be grasped only in terms of his theory and analytical technique, that is, from the perspective of a logical primacy of structure and of a hierarchical subordination of form to structure. As for the elaboration of the «bass arpeggiation» (*Baßbrechung*), the span I-V can be complicated with the interposition of intermediate degrees (II, III, IV): the hesitation on one (or more) of these degrees can lead to a tonicisation which in turn can produce or sustain a formal section (this is the most frequent case). With regards to the possible elaborations at the level of the *Urlinie*, one *Kopftön* can lead to formal articulation by means of «mixture» (*Mischung*), that is, the structural passage from one mode to another, particularly a back and forth motion. A second possibility is the upper «neighbouring note of the first order» (*Nebennote erster Ordnung*), frequently to $\hat{3}$ or $\hat{5}$. Another case in point is «interruption» (*Unterbrechung*), which proves to be relevant not only for its repercussions on form, but also for its meta-theoretical implications. This concept refers to an intermediate event which leads to form indirectly, that is, by means of divisions introducing «articulation» (*Gliederung*) at the level of structure [1935, I, 213; 1979, I, 132]. Though not without preparation in Schenker's earlier writings, this concept cannot receive its meaning before the combination of *Urlinie* and bass arpeggiation, which emerges only in the 1930s [Arndt 2012]. It is already used, at different levels, in *Fünf Urlinie-Tafeln* [Schenker 1933], but was a highly problematic issue during the elaboration of *Der freie Satz*, particularly in its relation to *Gliederung* [Marston 2013]. However, in *Der freie Satz* it is a crucial factor producing two- and three-parts forms, including sonata form. Schenker's idea is that different types of interruption in the *Urlinie* determine and consequently explain formal partitions in the surface, thus establishing a unidirectional relation.

A conceptual map of Schenker's proposal in *Der freie Satz* is offered in Fig. 2.

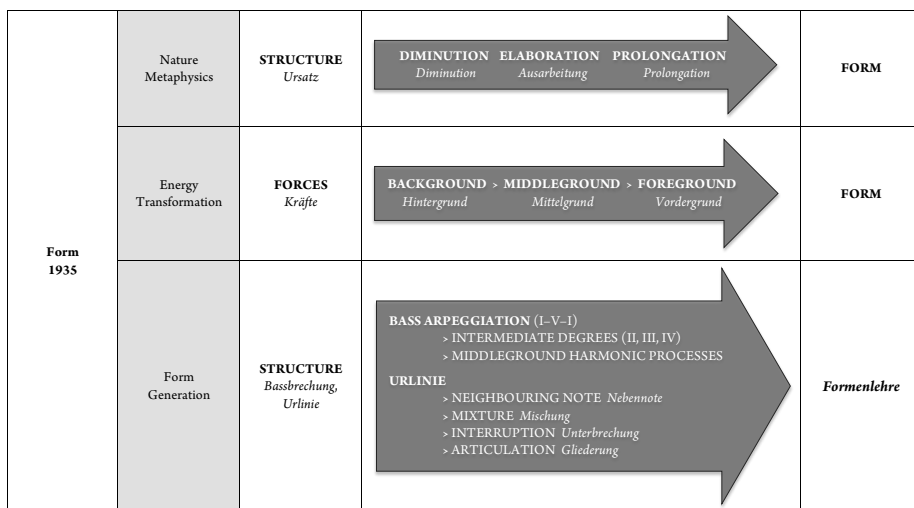


Fig. 2. A conceptual map of Schenker's theory of form in *Der freie Satz* (1935).

4. Schenker and the problem of form

In order to be successful, Schenker's derivation of form from structure should rely on necessity. Only if specific "events" in the background can be invariably related to specific aspects of the formal articulation of the surface could one properly speak of derivation. This is a rather problematic point of Schenker's discourse. Two symptoms of the problem are striking for the present meta-theoretical evaluation: the use of the traditional formal terminology and the representation of form offered by his musical examples.

Concerning the first, Schenker continues to refer to song form, sonata form and rondo form, thus presuming that his new idea of structure can be put directly in relation with traditional formal categories. But these, as historical and cultural aspects, logically precede and interact with tonal coherence, rather than deriving from it. The reason for this can be explained more in terms of a music-theoretical contest than the inner consistency of Schenker's theory. In the 1930s Schenker, with the support of his pupils, needs to position himself as a competitor in the field of music studies: in order to acquire a prominent position, he has to present a theory as complete as possible, so as to include not only harmony, counterpoint and voice leading, but also a new explanation of musical form in the traditional sense of *Formenlehre*. In proposing the absorption or incorporation of *Formenlehre* within

his coherent music-theoretical system, Schenker claimed to suppress its categories while at the same time still relying on traditional terminology.

Concerning the second symptom, Schenker's examples in *Der freie Satz* report on form in traditional, schematic terms, and the fact that formal indications are generally within parentheses and in marginal position speaks in favour of a less demanding relation. Yet, they provide more than a mere support for readers. The indexed letters or abbreviations referring to the succession of formal sections aim at describing the relation between the location of structural events in Schenker's terms and a traditional representation of form so as to show possible correlations. This also refers to the ways Schenker approached form within his theorisation and sketches in the early years of his theoretical development [Hooper 2011, 49-56]. Although Schenker claims the contrary, in *Der freie Satz* formal indications do not propose, let alone demonstrate, an actual derivation or implication, but simply show the synchronisation of form and structure in a flexible way. A relevant case of mixture with strong formal implications is Chopin's Mazurka op. 17 n. 3 [Schenker 1935, II, Fig. 30, a], a tripartite form whose sections exactly correspond to a structural $\hat{3}\hat{3}\hat{3}$ supported by $I\text{-}\hat{b}\text{VI}^{\text{b}}\text{-I}$, that is, $A\hat{b}\text{-F}\hat{b}(=E)\text{-A}\hat{b}$. Neighbouring notes of the first order with formal significance can be found in the first part of Mozart's Rondo K 511 [*ibid.*, Fig. 155, 4] and in Chopin's Ballade op. 23 [*ibid.*, Fig. 153, 1]: the $\hat{5}\text{-(n.n.)-}\hat{5}$ at the level of the *Urlinie*, supported by middleground $I\text{-VI-(I)}$, corresponds in both cases to $A_1\text{-B-A}_2$. In Chopin's Mazurka op. 17 n. 1 [*ibid.*, Fig. 76, 5] a first upper neighbouring note of $\hat{5}$ supported by II articulates the A_1 section as $a_1\text{-b-a}_2$, and a second one supports a Trio (B) on IV. But other examples show a loose synchronisation: in Chopin's Étude op. 10 n. 2 [*ibid.*, Fig. 42, 1] the B section begins on a middleground III which only later reaches VI supporting the upper neighbouring note of $\hat{5}$, and does not correspond to a structural event in the strict sense of the word.

As for interruption, a clear correspondence between form and *Kopftöne* is in Chopin's Nocturne op. 9 n. 2 [*ibid.*, Fig. 84], a tripartite form: A_1 and B are perfectly synchronised to the structural $\hat{3}/I$ and $\hat{2}/V$ before the interruption, and A_2 regularly begins with the $\hat{3}$ after the interruption. An interrupted bipartite form is in Chopin's Prelude op. 28 n. 3 [*ibid.*, Fig. 76, 2], with A_1 and A_2 beginning on $\hat{3}$, before and after the interruption. But in the first part of the second movement of Mozart's Sonata K 331 [*ibid.*, Fig. 35, 1], A_1 is subdivided into $a_1\text{-b-a}_2$ with no clear reference to structural aspects: a_1 comprises the passage from $\hat{3}/I$ to $\hat{2}/V$ (b. 11), while b arrives 8 bars later, after the repeat sign, which is a clear traditional and superficial way to identify formal articulation, in so far as it is based on the score. Interruption represents perhaps the most problematic aspect. Schenker is frequently unable to show how the division of the interrupted *Urlinie* can produce specific

formal articulations in itself, which means: independently of the aforementioned processes as neighbouring notes and middleground harmony. This is particularly the case of sonata form. One relevant problem is that Schenker frequently represents sonata form as uninterrupted. In the first movement of Beethoven's Sonata op. 57 "Appassionata" [*ibid.*, Fig. 154, 4]: the exposition is clearly articulated into three sections (main thematic areas) corresponding to $\hat{5}/I$, $\hat{5}/III^{b3}$ and $(b\hat{5})/III^{b3}$ (this includes the passage to $\hat{4}$); the development begins a few bars after $\hat{3}$ and includes the passage to $\hat{2}/V^{b3}$; the recapitulation begins on a structural V even if this is intended as fifth of F minor (b. 135). Another problem is that the main formal sections of interrupted sonata form, particularly the development and the reprise, rarely have a strict correspondence with the main structural events, so that interruption seems not to represent a proper "solution" to sonata form. As shown in the case of Beethoven's Sixth Symphony, first movement [*ibid.*, Fig. 154, 5, a-b], the development section does not end, for Schenker, with the return of the main theme in F (b. 279), but only after the resolution of the dominant in the violins (b. 289).

Actually, in *Der freie Satz* structure and form prove to be rather independent variables. With some exaggeration, one could bring Heisenberg's uncertainty principle into it and state that structure and traditional form cannot be exactly known simultaneously, and this by reason of Schenker's meta-theoretical assumptions. His idea of tonal coherence relies on completely different principles than formal types. If the former can be investigated as a matter of logical development, the latter are mainly a matter of history: like genres, forms are cultural institutions that cannot be determined as subservient to structure. Contrary to the claims of derivation made by Schenker, in *Der freie Satz* form and structure meet in some place, but what place exactly cannot be determined in advance, only explored as a result of historical and analytical investigation: one can investigate the single musical work in terms of the actual synchronization between formal partitions and structural events so as to explain their relation in descriptive terms, but the necessity of their implication in only one sense cannot be demonstrated a priori. Form is, in fact, repetition of models or patterns that are pragmatically anterior to the specific shaping of musical works. In this sense, form is neither matter of diminution and composing out nor of derivation from interruption and other structural events in the background, but rather of cultural and historical conventions.

5. Salzer's reconciliation

Concerning the relation between structure and form, the last section of *Der freie Satz* appears to many as a provisional and still unsatisfactory work in progress which did

not reach its definitive formulation [Drabkin 2002, 186; Hooper 2011, 36]. Although Schenker's rhetoric, according to his authentic belief, presented his explanation of forms as the answer and the solution, it was, rather, the beginning of a question, posing a problem that was not so easy to solve. This is the reason why some pupils and followers decided to explicitly reconsider the framework of his theory.

Felix Salzer decided for a deep reconciliation with the *Formenlehre* perspective, which implied a reformulation of the whole theory, though presented as continuation and expansion – one may say: “prolongation” – of basic theoretical features of *Der freie Satz*. In *Structural Hearing*, published in 1952, he tries to refine some logical passages in Schenker's discourse, particularly concerning the relation between structure and form. Terminologically, this aspect emerges strikingly in the second German edition [Salzer 1977] to which I will refer. Salzer identifies three «factors of composition»: the «functions of structure and prolongation» that are responsible for granting the «coherence [*Zusammenhang*] of a composition»; the function of form intended as «architectural organization or articulation of structure [*Gliederung der Struktur*]»; the aspects of «rhythmic-thematic articulation» (*thematisch-rhythmische Gliederung*) [Salzer 1977, I, 185-186, my translations]. The first two factors still rely on Schenker's conceptualisation, with some significant differences, the most striking being the distinction between «inner form» (the «forms of the detail») and «outer form» or «form of the whole organism [*Gesamtorganismus*]» [*ibid.*, I, 186]. Subsequently, Salzer establishes an analogy between the relation of structure to prolongation and of outer form to inner form, thus suggesting a correspondence between structure and outer form on the one hand, prolongation and inner form on the other. Yet, it is by introducing the third factor (rhythmic-thematic articulation) and particularly by considering this as co-determinant alongside other factors that Salzer comes to terms with the *Formenlehre* tradition and therefore with the surface of the musical work.

Concerning form, Salzer's argumentation seems more coherent than his master's, who still used the traditional formal terminology for “song-form”, “sonata-form” and “rondo-form”. In maintaining Schenker's point of the derivation of form from the articulation of the *Urlinie*, Salzer's terminology strictly refers to «one-part, through-composed form» – a concept introduced anew in *Der freie Satz* – «two-part form» and «three-part form» [*ibid.*, I, 194-209]. Compared to Schenker, Salzer avoids defining four-part form as a separate issue and prefers to discuss «individual forms» all together with the «fantasy» [*ibid.*, I, 209-212]. But the most significant expansion of Schenker's theory is Salzer's distinction of «structure form» (*Strukturform*) and «prolongation form» (*Prolongationsform*) [*ibid.*, I, 187] in order to separate the formal articulation corresponding to background events in the *Ursatz* and form produced by outer events at the level of

prolongation, particularly in the middleground. In so doing he establishes a different kind of correlation, while basically accepting that interruption and other structural events can produce formal partitions. In Salzer the question concerning traditional forms goes unanswered: both structure forms and prolongation forms are presented as issues deriving from the intersection of structure and rhythmic-thematic articulation, not as traditional forms based on historical traditions or cultural conventions.

6. Forte's and Snyder's corrections, Smith's reconsideration

Schenker claimed for a deduction of form from structure in order to replace the old *Formenlehre* typologies with a logical explanation of forms as outer manifestations of background events. His meta-theoretical reference to nature rather than history, together with the idea of a primacy of tonal coherence over detailed motivic and thematic articulation, turned the multifarious relation between formal articulation and specific events in the background into a problem that was hard to solve. Salzer identified the problem and proposed to solve it by introducing other factors of composition besides the functions of structure and prolongation. His graphs, on the other hand, did not take up Schenker's challenge to integrate form and structure and explain them in terms of a productive correlation. In order to realise this ideal, more recently Charles Smith [1996] has decided to follow the other direction, consciously conforming Schenkerian graphs – background included – to the representation of outer form. This proves to be relevant to the present discussion in two respects: first, for the implications of Smith's perspective on the meta-theoretical framework of Schenker's analysis; second, for the implicit meta-theoretical change and transformation that was necessary to make this position just as possible within the confines of Schenkerian theory.

The relation between form and background has been often debated so as to correct Schenker's analytical inconsistencies. Allen Forte [1959] devoted an article to the revision of Schenker's graph of Händel's Air in B $\flat$ in *Der freie Satz* [Schenker 1935, II, Fig. 103, 6]. In proposing a different structure, Forte replaced Schenker's idea of an uninterrupted $\hat{5}$ - $\hat{1}$ with an interrupted *Urlinie* $\hat{3}$ - $\hat{2}$ || $\hat{3}$ - $\hat{1}$, commenting as follows: «[Schenker's] misreading is to be attributed to his failure to recognize that the motion to $\hat{5}$, lacking the raised fourth degree, is not conclusive. But, having decided that the fundamental line operates within the space of a fifth, he then forces his reading to conform» [Forte 1959, 19]. Forte clearly refers to Schenker's inconsistent application of the rules of his analytical method in this case, not even mentioning that the interrupted structure corresponds more clearly to the formal articulation of the piece. John Snyder [1991] discussed the difference between

Schenker's analysis of Mozart's Sonata K 545 (first movement) in *Der Tonwille*, where it is interpreted as $\hat{5}-\hat{1}$, and the passing references to the same movement in *Der freie Satz* [Schenker 1935, II, Figs. 47, 1, c; 88, c; 124, 5a], where it is mentioned as interrupted form $\hat{3}-\hat{2}||\hat{3}-\hat{1}$. Snyder clearly prefers to consider this movement as an uninterrupted form. This corresponds to the peculiar formal shape of this movement, whose definition as a sonata form is in many respects debatable.

Smith goes beyond these discussions. In any case he draws more general implications. His point is that Schenker did not and could not start his analyses without a pre-comprehension of form in the traditional sense. If this is what Schenker did unconsciously, why not turn this principle to a conscious analytical approach? It is an egg of Columbus in so far as it offers an apparently easy solution, which anyway presumes a not-so-easy breaking of unspoken rules. Even if Smith confirms that Schenker's attempt for a reconciliation of structure with form has to be taken seriously, his discourse implicitly admits that Schenker's meta-theoretical assumptions are more an obstacle than a pathway to the solution of the problem of form. Putting Schenker's claims aside and taking analysis as an a posteriori construction, Smith removes the background and its relation to middleground and foreground from the domain of Schenker's metaphysics of nature so as to treat them as a matter of analytical technique. It is this radical change in meta-theoretical perspective that permits a proper solution to the problem of form. Smith gets to the root cause of the issue and reconciles the conventional aspects of form with structure even before the analysis begins. On these premises, Smith not only re-sketches Schenker's uninterrupted $\hat{5}-\hat{1}$ for Händel's Air from the Suite n. 1 in B $\flat$ in *Der freie Satz* [Schenker 1935, II, Fig. 103, 6] as $\hat{3}-\hat{2}||\hat{3}-\hat{1}$, which clearly corresponds to its bipartite form [Smith 1996, 206, Ex. 3 (b)], but also reconsiders Schenker's graphic interpretation of Chopin's Étude op. 10 n. 12 "Revolutionary" [Schenker 1935, II, Fig. 12] as an interrupted structure $\flat\hat{3}-\hat{2}||\flat\hat{3}-\hat{1}$ [Smith 1996, 215, Ex. 13 (b)] strictly corresponding – as Smith puts it – to «an unambiguous three-sections open form around an exotic harmonic relationship» [*ibid.*, 264].

7. Form between force, structure, and conventions

Kurth's and Schenker's theoretical developments show analogies that rely on the common framework of energetics. Both focus attention on form as process and on formal principles shaping the individual work rather than on abstract formal typologies and schemes. Both pretend to look beyond the score so as to grasp deeper events that provide an authentic or true explanation of musical works and overcome the superficial interpretation of *Formenlehre*, that they consider under many respects as wrong and misleading. Both decide to come to terms with the

Formenlehre tradition at the end of their theoretical development so as to recover outer form from within their new perspective. At the same time, they present significant differences. While Kurth's meta-theoretical framework is based on a philosophy of history sustained by a metaphysics of force, the metaphysics of nature which inspires Schenker's concept of tonal coherence is tempered by analysis, that is, a graphic representation of the logical derivation of musical processes from a deep structure through many levels of transformation. Both are innovative, but for different reasons: Kurth for the unprecedented attention to forces and tensions that are mainly observed through secondary parameters such as melodic curve, register, dynamics, timbre and instrumental density; Schenker mainly for his analytical technique that show the derivation of formal processes from a fundamental structure. Both try to overcome the *Formenlehre* tradition and have to accept forms of reconciliation, but with different results. The analytical level that Kurth intercepted was purely energetic and in itself was not in conflict with form and syntax. For this reason, both Kurth and his pupils were able to readmit the *Formenlehre* perspective as relevant to the analysis of superficial phenomena intended as the consolidation of dynamic forces in outlines. Kurth himself was aware of his meta-theoretical presuppositions and able to rethink his theory so as to take into account the outer form. Schenker's attempt was more daring and demanding, because he came to challenge *Formenlehre* on its own ground, that is, to explain outer form by means of his concept of structure to such an extent that he came to propose a new *Formenlehre*. In so doing he introduced the false problem of demonstrating forms by reason of structural principles strictly based on tonal coherence and its logical derivations.

Schenker's pupils and followers were aware that the formulations reached in *Der freie Satz* were unsatisfactory and problematic, particularly concerning the derivation of outer form from structure. On the other hand, in *Der freie Satz* Schenker used music analysis so as to test the inner coherence of his own theoretical system, rather than as a means for acquiring new insight into the musical works. However, while Kurth did not inaugurate a long tradition, Schenker's challenge was intriguing and difficult enough to allow for a continuation of his theoretical and analytical efforts. Recent developments in the long Schenkerian tradition show how the complete historicisation of Schenker's meta-theoretical framework has produced an awareness of unspoken rules that prevented its reconciliation with a relevant aspect of musical composition: form as a matter of social, historical and cultural conventions. This pre-exists the musical works and cannot be reduced to a function of tonal coherence. Actually, the most convincing attempts to solve the problem of form from a Schenkerian perspective take traditional form as a point of departure rather than a point of arrival.

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Sintesi dell'articolo

Il saggio prende in esame il concetto di forma e *Formenlehre* nelle teorie energetiche della musica emerse nei primi decenni del ventesimo secolo, e in particolare nella riflessione teorica di Ernst Kurth e Heinrich Schenker. A differenza di August Halm, che rifiutava la prospettiva tipologica della *Formenlehre* per proporre un approccio individuale alle opere musicali intese come organismi viventi, il rapporto di Kurth e di Schenker con la *Formenlehre* non è stato sempre improntato a un netto rifiuto, ma si è modificato nel corso del tempo. Kurth si era distanziato progressivamente dalla *Formenlehre* fino a proporre polemicamente, nell'opera *Bruckner* (Hesse, Berlin 1925), una nuova teoria della forma musicale; qualche anno dopo tuttavia, in *Musikpsychologie* (Hesse, Berlin 1931), avrebbe proposto una riconciliazione del tutto inaspettata con le categorie tradizionali. Schenker, che in *Der Tonwille* (1921-1924) usava tranquillamente le categorie formali tradizionali, successivamente prese atto del fatto che il suo nuovo approccio analitico implicava un rovesciamento della prospettiva della *Formenlehre*; per molti anni rinviò la soluzione del problema fino a quando, nella sua ultima opera *Der freie Satz* pubblicata pochi mesi dopo la sua morte (Universal, Wien 1935), arrivò a proporre i lineamenti essenziali di una "nuova *Formenlehre*".

L'articolo discute il rapporto tra le varie declinazioni che il concetto di forma assume nella diversa impostazione meta-teorica dei due autori. Nel caso di Kurth, il

concetto di forma si pone in rapporto di opposizione dialettica con il concetto di forza, che a sua volta ispira una metafisica di stampo vitalista e una filosofia della storia che interpreta i diversi stili musicali come manifestazioni di impulsi culturali ed epocali. Nel caso di Schenker, invece, sia il concetto di forza che la filosofia della storia si definiscono in rapporto a una struttura fondamentale che garantisce la coerenza tonale delle opere musicali. Tale struttura viene intesa come una legge di natura in grado di stabilire l'ambito di azione efficace (o legittima) della composizione musicale in quanto pratica artistica. Di conseguenza, il concetto tradizionale di forma viene definito come il livello più esterno e superficiale della composizione musicale.

Questo attrito tra forma e forza da una parte, e forma e struttura dall'altra, crea difficoltà che si tramutano in altrettanti problemi teorici. Nel caso di Kurth, il suo allievo Rudolf von Tobel in *Die Formenwelt der klassischen Instrumentalmusik* (Haupt, Bern-Leipzig 1935) prosegue senza ripensamenti nell'opera di riconciliazione tra forma interna – che indica processi musicali pervasi da forze e tensioni – e forma esterna – che presiede tanto all'articolazione sintattica, quanto alla corrispondenza dell'organizzazione architettonica complessiva a schemi formali astratti. Per quanto riguarda Schenker, alcuni allievi e studiosi schenkeriani hanno adottato strategie diverse per venire a capo del problematico rapporto tra struttura fondamentale (*Ursatz*), o livello profondo (*Hintergrund*), e forma intesa come livello più esterno e superficiale dell'opera. L'articolo si concentra solo sulle strategie che implicano una riconsiderazione critica o un radicale ripensamento dei presupposti meta-teorici di Schenker. Tra i suoi allievi diretti, Felix Salzer è colui che più di ogni altro, in *Structural Hearing* (Boni, New York 1952), si è sforzato di recuperare l'approccio della *Formenlehre* dall'interno di una prospettiva schenkeriana. Altri studiosi, come Allen Forte (*Schenker's Conception of Musical Structure*, «Journal of Music Theory», 3/1, 1959, pp. 1-30) e John Snyder (*Schenker and the First Movement of Mozart's Sonata K. 545: An Uninterrupted Sonata-Form Movement?*, «Theory and Practice», 16, 1991, pp. 51-78), hanno proposto correzioni a singole analisi di Schenker giudicate inadeguate alla luce del suo stesso metodo di analisi, mentre Charles Smith (*Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre*, «Music Analysis», 15/2-3, 1996, pp. 191-297) ha chiarito come una riconciliazione della prospettiva di Schenker con la *Formenlehre* possa realizzarsi in base al presupposto di una precomprensione della forma da parte dell'analista. Secondo Smith la struttura fondamentale non viene individuata o scoperta dall'analisi schenkeriana, bensì scelta e orientata in relazione ai risultati che se ne vogliono trarre; è dunque plausibile che l'analista selezioni la struttura fondamentale di un brano in modo che possa conformarsi alla rappresentazione della forma esterna. In tal modo la forma si rivela un principio indipendente dalla struttura e dalla sua elaborazione artistica, palesando la sua natura di convenzione storico-culturale che preesiste alla composizione stessa e ne orienta il processo creativo, interagendo in modo paritetico con le istanze della coerenza tonale.

FORMENLEHRE IN DER FREIE SATZ: A TRANSFORMATIONAL THEORY

Abstract

In *Der freie Satz*, Schenker stresses the innovational character of his description of forms. Yet his *Formenlehre* does not appear so different from more traditional ones. My claim is that the novelty resides in Schenker's description of the growth of forms through the levels of prolongation, in a truly transformational process. The forms in the foreground are not different from those of more traditional descriptions. Schenker however does not describe them as mere successions of formal parts, but as the result of a progressive transformation through the levels, from their utter unity in the background to their diversity in the foreground. Such a description is analogous to the later transformational theory of Noam Chomsky, which it prefigures, and is a striking expression of Schenker's theory as a whole.

In *Der freie Satz* (§ 306) Schenker claims that «all forms [...] have their origin in, and derive from, the background»; this, he adds, «is the innovative aspect of my explanation of forms».¹ That this aspect is indeed innovative cannot be doubted: it is the very reason why Schenker's theory of forms still deserves our

1. The word “transformational” in the subtitle of this article may lead to misunderstanding with English-speaking readers more familiar with David Lewin's usage than with Chomsky's. The obvious alternative would have been the word “generative”, which however would have suggested a closer connection with the theory of Lerdahl and Jackendoff [1983] – a connection I am reluctant to make for reasons that will appear in the text (see also note 7). Lewin alludes to the point at stake here when, after stressing that his theory is only loosely inspired by Schenker, he writes: «My large-scale networks [...] are not 'Ur' structures. They do not generate lower-level structure in a Chomskian sense; they do not synthesize the dialectic progressions of lower-level processes in an ultimate Hegelian *Einheit*» [Lewin 2007, XIII]. The main difference between Schenker's and Lewin's transformational theories is that Schenker describes transformations through the structural levels, from background to foreground, while Lewin discusses transformations in the temporal unfolding of music. This difference emerges in the shift of meaning from Schenker's use of the German *Prolongation* to the use of “prolongation” in English-speaking Schenkerism further discussed below. A closer examination of the matter, which I will have to leave for another occasion, would probably reveal that Schenker's and Lewin's transformations are not as remote from each other as they might seem at first sight.

attention. What must be questioned, however, is whether Schenker's somewhat formidable claim can be sustained and whether forms truly have their origin in the background. But did Schenker really claim that? The excellence of Oster's translation cannot be doubted, but at times it suffers from over-interpretation, from a projection of the translator's own conceptions upon those of Schenker. Recent Schenkerian exegesis shows how careful one has to be when reading Schenker's convoluted German.²

Let us consider what Schenker exactly claimed. I begin with § 306:³

OSTER'S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
All forms appear in the ultimate foreground; but all of them have their origin in, and derive from, the background. This is the innovational aspect of my explanation of form.	<i>Das Neue in der nachfolgenden Darstellung der Formen liegt in der Ableitung aller Formen als eines äußersten Vordergrundes von dem Hinter- und Mittelgrund.</i>	What is <i>new</i> in the following <i>description of forms</i> resides in the derivation of all forms as an outermost foreground from the background and the middleground.

Oster's translation may seem superficially correct, but it is problematic in that, while Schenker underlines the novel aspect of the *description of the forms* (stressing *Darstellung der Formen* with *Sperrdruck*) as an operation of *derivation* (*Ableitung*), Oster stresses the origin of the forms themselves. Oster's translation makes use of the verb "derive" as intransitive, but *ableiten* (*Ableitung*) is transitive. Oster says that forms «derive», as this were an essential property of the forms themselves, while Schenker probably means that they "are derived", making it clear that this is a matter of description – today we would say a matter of analysis. Above all, Oster says that forms «have their origin», which goes beyond the meaning of *Ableitung* and is nowhere found in Schenker's text. And, because of this mention of the origin, which he wants to situate in the background, Oster is compelled to leave the middleground out. The two statements could be summarised as follows: «forms

2. «Most English-speaking Schenkerians who also have a working knowledge of German will probably admit that Schenker's prose is difficult to translate» [Drabkin et al. 1994, XIII].
3. My quotations from Schenker's *Der freie Satz* are taken from the first edition [1935]. Oster's translations are from *Free Composition* [Schenker 1979]. My own literal translations are not meant so much to make good English as to help reading Schenker's German. Words in spaced type (*Sperrdruck*) appear in roman in the original and in italic in the translation.

are derived [in their description] from the background and middleground» (Schenker);⁴ «forms have their origin in the background» (Oster).⁵

The matter of the generation of forms had already been dealt with in § 301. Oster's translation conveys the idea that voice-leading phenomena are "form-generative"; but, once again, this is not exactly what Schenker says:

OSTER'S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
In the music of the early contrapuntal epoch, [...] the basic voice-leading events [...] had not yet come to fruition, like flowers in bud. Who would have suspected, at that time, that these phenomena, through the process of diminution, were to become form-generative and would give rise to entire sections and large forms!	<i>In der vertikal-kontrapunktischen Epoche, [...] lagen die Stimmführungserscheinungen [...] noch knospenhaft da – wer hätte damals geahnt, daß sie je formenträftig werden und durch Diminuierung ganze Formteile und große Formen erstehen lassen können!</i>	In the vertical-contrapuntal epoch, [...] the manifestations of voice leading [...] remained in bud. Who would then have suspected that they were gradually to become bearers of forms and that, through the process of diminution, they could let entire form sections and large forms arise!

The translation of *formenträftig* as «form-generative» is problematic – the German word, strictly speaking, means “pregnant with form”, “form-bearing”. There are also more subtle nuances: Schenker distinguishes between two facts: the first, that “manifestations of voice leading become bearers of forms”; and the second, that they “allow forms to arise through diminutions”. Oster, on the other hand, somehow conflates these two, saying that diminutions make the

4. Schenker repeats this at the end of § 306: «Precisely from the fact that I derive the forms from the background and middleground, I gain the advantage of brevity in their description» (*Gerade daraus, daß ich die Formen aus dem Hinter- und Mittelgrunde ableite, ziehe ich für ihre Darstellung den Vorteil der Kürze*). He does not say that “forms derive”, but that *he* derives them.
5. Eric Laufer [1981, 162] goes further, rewording Oster's phrase in the singular: «form derives from the background», as if it were the formal principle itself, rather than the individual forms, that were concerned. Oster's translation is quoted also by Nicholas Cook [2007, 285]. Cook apparently believes that to Schenker forms exist in themselves but as «epiphenomena, simply the outcomes of deeper processes, the projection of background and middleground on the foreground: you cannot theorise them in their own right». At a most abstract level, Cook appears to believe that Schenker's position may be considered idealist: forms, for him, can be viewed from different angles or at different stages of “projection on the foreground”, but cannot be fully theorised. Schenker's conception, however, appears to me more clearly nominalist: forms exist mainly in their descriptions. His new *Formenlehre* does not aim at proposing novel forms, but only a novel way of describing them – and as such he does theorise them, as he actually claims (see the quotation from § 306 in note 6 below). Such abstract considerations, however, go beyond my present purposes. In the long footnote in *Free Composition* [Schenker 1979, 139], Oster mentions the middleground when he writes that in § 306 Schenker shows «how the forms, as they appear in the foreground, derive from background and middleground», though neglecting to specify, on this occasion, that they “have their origin” there, as he had done in the translation of § 306.

voice-leading events both «become form-generative» and «give rise to [...] forms». I understand Schenker's statement as saying that (1) the manifestations of voice leading contain a potentiality, a possibility of forms, and that (2) they will let forms arise (from this latent possibility) through the process of diminution. Oster, on the other hand, claims that the manifestations of voice leading become "form-generative" through the process of diminution.

Charles Smith, who wrote the most thorough study of Schenker's *Formenlehre*, quotes Jonas' translation of § 301 and, like Jonas, stresses the "form-generating" power of the basic voice-leading events. He writes: «In other words, form finds its origins in the harmonic-contrapuntal prolongations of a single coherent background shape – as indeed does every aspect of a tonal piece», and adds – quoting Neumeyer and Tepping [1992, 102] – that this concept of generative form is intended to produce «a uniquely organic, consequential form» [Smith 1996, 200]. Yet Smith does not draw all the consequences of his statement. Later in his article he keeps discussing formal categories: these, he writes, can be deduced from different types of «fundamental structures» that justify different «sectionalisations» of the form [*ibid.*, 201].⁶ One of the main features of many of the "fundamental structures" illustrated, however, is that they are interrupted: Smith overlooks the fact that interruption, in Schenker's theory, is a deep-middleground and not a background feature. This may seem an unnecessary distinction, but it shows that formal "sectionalisation" arises only as the result of a transformation of the background at a later level. In other words, interruption is a first step of differentiation in a process of form generation that is by essence transformational.

Whether Oster's translation of § 301 is acceptable depends on what he meant by "form-generative". Certainly, forms cannot originate in the background – all the more so because all Schenkerian backgrounds are the same. Diminutions, which by nature belong to later levels, can "let entire form sections and large forms arise", but in a manner that remains to be clarified. What I intend to show in this article is that the idea that the background *generates* form(s) can only rest on a wrong conception of what a transformational theory is. I will indicate how Schenker's theory of form may be considered to anticipate on the generative theory of Noam

6. Smith further argues that in Schenker the meaning of formal "part" is not clear. There is no a priori reason, however, to believe that Schenker had a different conception of formal parts than his contemporaries. Schenker's analyses in *Der Tonwille* and in *Das Meisterwerk in der Musik* remain conventional in their description of musical forms; and despite having announced at least twice a forthcoming «Essay of a new theory of form» (*Entwurf einer neuen Formenlehre*) [Schenker 1912, VII; 1922, XVI], he did not really come to it before *Der freie Satz*. At the end of § 306 he writes: «However short I make it, I consider myself happy to be able to offer, at least in this form, the 'Essay of a new theory of form' that I promised for decades». Nothing in all this indicates that the forms described in Schenker's new theory would be different from the traditional ones: it is their theorisation that is new, not the forms themselves.

Chomsky and I will show that its novelty does not reside in the forms themselves, but in the description of their generation as the result of transformations. I will conclude that transformation is not only “the novel aspect” of Schenker’s *Formenlehre*, but also the essence of his theory considered as a whole.

What is a transformational theory? Certainly it is not a theory meant to *generate* all phrases of a language, nor all compositions or forms of a musical system; it is a theory that reveals rules (it is a *grammar*) of the production of linguistic phrases or musical statements. It is a theory that expresses the idea that, behind the processes by which specific utterances of language or music are produced, there exists a limited set of rules that can transform a deep structure in an individual utterance. A transformational, generative theory does not *generate* utterances, it merely explains how they are generated, by an «infinite use of finite means» [Humboldt 1836, 106; see Chomsky, 1965, 8].⁷ One way of understanding this generation is to conceive the hypothesis of an abstract deep structure, an *Ursatz*, from which the transformational rules can produce concrete individual surface manifestations.

Schenker was utterly aware of the transformational character (in the most general meaning of the term) of his theory of form – and of his theory at large, as the continuation of § 301 clarifies:⁸

7. As hinted to in note 1 above, transformations may also be considered to apply to elements other than a deep structure, mainly to evolutions through the temporal unfolding of the utterance. The question remains whether the transformed element, in such a case, can be considered to somehow represent a “fundamental structure”, a *Grundgestalt*, or the like. It must be added that a transformational theory needs not necessarily be a theory of musical competence or cognition. The fact that Chomsky later developed his own theory as a cognitive theory, and that Lerdahl and Jackendoff [1983] followed him on this point, encouraged the idea that a theory can be defined as “transformational” only if grounded in psychology or cognition. The parallelism between Schenker’s and Chomsky’s theories is rejected precisely on this ground (see, for instance, Sloboda 1986, 11 ff.). As David Lightfoot explains in his Introduction to Chomsky’s *Syntactic Structures* [2002, vi], the theory at first «contains nothing on cognitive representations». A transformational grammar describes complex grammatical structures as transformations of simpler ones. The fact that these transformations may model cognitive processes is an important but secondary feature. Cognitive processes are not without importance in Schenker (see Snarrenberg 1997 and Temperley 2011) but they do not come to the fore in the presentation of his *Formenlehre* in *Der freie Satz*. Moreover, Chomsky presented his generative theory as a formal theory, which also is not a necessary condition for a transformational theory in general. Lerdahl [2009, 187–188] recognises the transformational character of Schenker’s theory, but explains that he cannot retain it as a model for the Generative Theory of Tonal Music for many reasons: the arbitrariness of the *Ursatz* and its non-rhythmic character, the inapplicability of Schenker’s theory to music of other times and cultures, its lack of formalism and, above all, the fact that «it was not clear how generating a piece could reveal much about mental structures and their principles of organization». On Schenkerian theory as a generative theory, see also Meeùs [1993, 80–85].
8. This text, although present in the second edition of *Der freie Satz* [Schenker 1956], where the reference to p. 19 is replaced by a reference to § 83, is omitted from Oster’s translation. It

SCHENKER

Das Ereignis der Form im Vordergrund läßt sich geradezu physisch-mechanisch als eine Kraftverwandlung ansprechen, als eine Verwandlung der vom Hintergrund zum Vordergrund durch die Schichten zuströmenden Kräfte (s. S. 19).

ROTHGEB'S TRANSLATION, SLIGHTLY MODIFIED

The occurrence of form in the foreground can be explained almost physically-mechanically as an energy transformation, as a transformation of the forces that flow from background to foreground through the levels.

The reference to page 19 in the German text must refer to this passage:⁹

SCHENKER

*Die Gesetze der Stimmführung, organisch verankert, bleiben in Hinter-, Mittel- und Vordergrund immer dieselben, auch wenn sie Verwandlungen erfahren. In ihnen drückt sich das semper idem sed non eodem modo aus [...].
Wie das Leben eine ununterbrochene Energie-Verwandlung ist, ebenso stellen Stimmführungsschichten eine Energie-Verwandlung des Lebens vor, das im Ursatz seinen Ursprung hat.*

OSTER'S AND ROTHGEB'S TRANSLATIONS,
MODIFIED

The laws of voice-leading, organically anchored, remain always the same in background, mid-dleground and foreground, even when they undergo transformations. In them, the *semper idem sed non eodem modo* expresses itself [...].
Much as life is an uninterrupted transformation of energy, so the levels of voice-leading present a transformation of life energy that has its origin in the *Ursatz*.

Schenker's list of forms, even as late as in *Der freie Satz*, is not in itself essentially different from more traditional ones: it is certainly not in this list that one can find the originality of his *Formenlehre*. What is new in his description is precisely what he himself claimed: that the derivation of forms is deduced from the background and the middleground. In referring all forms to the utter unity of the background, in presenting them not as concatenations of more or less independent parts but as the result of an organic, progressive, transformational growth through the levels of prolongation, Schenker is able to provide a functional description of form, in which each part ensures its own dynamic function within a unified whole. He writes (§ 308):

OSTER'S TRANSLATION

[...] the fundamental significance of the particular prolongation is always of paramount importance; at the outset, the prolongation assigns to each part its task with great exactness.

SCHENKER

[...] *über alles erhebt sich die grundlegende Bedeutung der Prolongation, die jedem einzelnen Teil seine Aufgabe von vornherein auf das bestimmteste zuweist.*

A MORE LITERAL TRANSLATION

[...] above everything stands the fundamental significance of prolongation, which from the outset assigns to each individual part its function with utmost certainty.

appears in *Free Composition* as Appendix 4, text P (with the reference to § 83 as in Schenker 1956).

9. The second paragraph is omitted from Oster's translation and published as Appendix F by Rothgeb [Schenker 1979, 5-6 and Appendix 4, text F].

A word is called for at this point about the meaning of the German word *Prolongation*,¹⁰ by which Schenker clearly refers to the passing from one level to the next: he describes the levels as *Prolongationsschichten* (“levels of prolongation”). His first usage of the term is in *Harmonielehre*, when he speaks of «the original and inalienable meaning of this or that rule of voice-leading in strict writing; and how the prolongation of such rule presents itself in free composition» [Schenker 1906, 228].¹¹ The term is ubiquitous in his later publications, but is not explicitly put in relation with his *Formenlehre* before *Der freie Satz*. It is in the sense of passing from one level to the next that it is used in § 308: the «fundamental meaning of the prolongation» is the meaning of the process by which one passes from background to middleground and from middleground to foreground, the transformation that gives rise to the form. What is usually called “prolongation” in Schenkerian English, on the other hand, is the inscription in time of an element, usually a harmonic degree. A process which Schenker calls *Auskomponierung* (“elaboration”).¹² When Oster mentions the “particular prolongation” in the text above (nothing in Schenker’s German suggests a “particular” prolongation), he probably refers to the American meaning of the word. But his translation indirectly conveys the idea that each part of the form may belong to, or consist in, a “particular elaboration”, and that the form itself may result from a concatenation of such elaborations, while Schenker means that the global transformations of the work assign to each part its particular function within an organic whole.

Schenker’s indications on the origin and growth of forms must be understood in this transformational context: forms have their origin in the transformations, and the extent to which the utter unity of the background will be modified in the process cannot be predicted before the form somehow freezes at the surface. For instance, when he writes as follows (§ 307):

OSTER’S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
The undivided progression of the fundamental line generates undivided form.	<i>Der ungeteilte Ablauf des Urlinie-Zuges wird zur ungeteilten Form.</i>	The undivided development of the Urlinie results in (<i>wird zur</i>) undivided form.

10. *Prolongation* is somewhat uncommon in German and may originate in legal vocabulary. Adele T. Katz [1935, 315] appears responsible for the shift in the meaning of the English “prolongation”, which she defines as «the extension of the simple form of Horizontalization [the arpeggiation] by filling in the Space».
11. E. Mann Borgese, the translator of Schenker [1954, 177], realised the ambiguity of the word *Prolongation* and felt compelled to add «the prolongation or extension of such rule» (my emphasis).
12. In *Free Composition*, the English “prolongation” is more than once used to translate *Auskomponierung* (and “prolonged” for *auskomponiert*): see, e.g., § 32, 165, 177, 206, 227, 247, 248, 249, 297, 311, 313, 320, etc. Differently, Oster translates *Auskomponierung* as “composing out”, while others use “compositional elaboration” or, short, “elaboration”.

he cannot mean that the “undivided progression of the fundamental line” is that of the background, for the *Urlinie* there *always* is undivided. Only if the *Urlinie* remains undivided through all the subsequent prolongation levels, it may result in an undivided form – *Ablauf* probably refers here to the process of transformations from background to foreground, not to a linear progression in time of the *Urlinie* itself at the foreground level.

Schenker further explains that repetitions of the *Urlinie* do not mean division and do not affect the undivided form. Nevertheless, he adds (§ 310):

OSTER’S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
Occasionally the bass arpeggiation I–V–I alone suffices to establish a ternary form, even when an undivided fundamental line is repeated, as in Fig. 75.	<i>Unter Umständen genügt auch bei Wiederholung eines noch ungeteilten Urlinie-Zuges schon die Baß-brechung I–V–I allein, um eine Dreiteiligkeit zu begründen (s. Fig. 75).</i>	In some circumstances, even with the repetition of an undivided <i>Urlinie</i> , the bass arpeggiation I–V–I alone suffices to establish a ternary form (see Fig. 75).

What Schenker does mean here is slightly ambiguous. The form indicated by his Fig. 75 (see my Fig. 1) actually develops through three levels of prolongation:

- The repetition of the *Urlinie* [A_1 A_2], at a deep middleground level, does not suffice to create a two-part form. Most probably it is this repetition that Schenker has in mind when he writes of “a repetition of an undivided *Urlinie*”.
- The elaboration of V, at the same level or at a later one, pulling apart the repetitions of the *Urlinie*, creates the ternary form A_1 –B– A_2 , even although the repetition of the *Urlinie* had not sufficed to split the form.
- New repetitions of the undivided *Urlinie*, at a more superficial level, divide both A_1 and A_2 into two parts, labelled in lower case letters, a_1 and a_2 .

Fig. 1. *Der freie Satz*, Fig. 75 (simplified) – Chopin, Mazurka op. 41 n. 2.

Schenker justifies two- and three-part forms on the basis of articulation (*Gliederung*), but immediately adds that subsequent prolongations can further divide the form, either articulating its parts, for instance when one of the parts of a three-part form subdivides into a two-part form (§ 309):

OSTER'S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
Two-part form evolves most naturally from the division $\hat{3} \hat{2} \hat{3} \hat{2}$ $\hat{1}, \hat{5}-\hat{2} \hat{5}-\hat{1}, \hat{8}-\hat{5} \hat{5}-\hat{1}$. [...] Even within larger forms which derive from the first or the second level, a two-part form may appear at a later level.	<i>Zur zweiteiligen Form führt am natürlichsten die Gliederung $\hat{3} \hat{2} \hat{3} \hat{2} \hat{1}, \hat{5}-\hat{2} \hat{5}-\hat{1}, \hat{8}-\hat{5} \hat{5}-\hat{1}$. [...] Doch kann auch innerhalb größerer Formen, die sich von der ersten oder zweiten Schicht herleiten, in einer späteren Schicht eine zweiteilige Liedform auftreten.</i>	The articulation $\hat{3} \hat{2} \hat{3} \hat{2} \hat{1}, \hat{5}-\hat{2} \hat{5}-\hat{1}, \hat{8}-\hat{5} \hat{5}-\hat{1}$ leads most naturally to two-part form. [...] Yet within larger forms, deduced from the first or the second level, a two-part Lied form [a_1-a_2] may appear at a later level.

or when subsequent levels of prolongation further divide a form already made binary by an interruption (§ 310 b):

OSTER'S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
Division plays the most important role in three-part form also, even though at the first level it brings binary characteristics to the fore, as a consequence of $\hat{3} \hat{2} \hat{3} \hat{2} \hat{1}$ or $\hat{5}-\hat{2} \hat{5}-\hat{1}$.	<i>Die Gliederung hat den meisten Anteil auch an der Dreiteiligkeit, obwohl sie zufolge von $\hat{3} \hat{2} \hat{3} \hat{2} \hat{1}$ oder $\hat{5}-\hat{2} \hat{5}-\hat{1}$ der ersten Schicht zunächst die Zweiteiligkeit hervorkehrt.</i>	The articulation has the most important share in three-part form also, even if because of $\hat{3} \hat{2} \hat{3} \hat{2} \hat{1}$ or $\hat{5}-\hat{2} \hat{5}-\hat{1}$ at the first level the binary character comes first.

In both § 309 and § 310 b, the examples discussed by Schenker concern forms that develop at different levels. In § 309, the first part of large three-part forms arising at the first or second prolongation level is divided and becomes a two-part Lied form at a later level.¹³ In § 310 b, an interruption at the first level, even although it first produces a binary character, is transformed at a later level either by some elaboration of the V of the interruption, or by a retransition. In all of these cases, forms are multi-layered and undergo transformations in the process of “prolongation”.

Other elaborations described in § 310, such as a mixture (Figs. 30a and b; 40.6) or a neighbour note (Figs. 7b; 40.1; 42.1 and 2; 85), can produce three-part forms too, but these obviously are produced at a rather superficial level and their *Urlinie* remains rather undivided.

Schenker's claim, in all this, is not that forms derive from the background, for all *Ursätze* have the same form: forms cannot be individualised at that level. To him, on the contrary, individual forms arise during the transformations from background to foreground. At each step, at each prolongational or transformational level, the form acquires more of its individuality, which will fully bloom only in

13. This usually happens by an interruption in the first part. Schenker refers in both editions of *Der freie Satz* to his Fig. 110 e3, the second movement of Beethoven's Sonata op. 26, but the reference disappears from *Free Composition*: the reason probably is that in this case the two-part form of the first section results from an unusual interruption, on V/VI instead of V; in addition, repetitions of the theme blur the form.

the foreground. What is new in Schenker's *Formenlehre* is by no means the nature of the forms described, nor their nomenclature, nor their inventory, as other contributions hereby evidence (see Hooper and Rigaudière in this volume). The innovational aspect resides in the description of forms as resulting from progressive transformations from the absolute unity of the background to the individuality of the foreground. Schenker writes in 1930:¹⁴

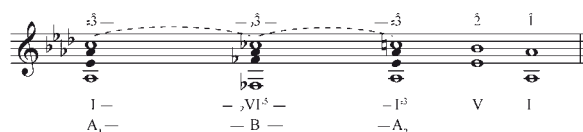


Fig. 2. *Der freie Satz*, Fig. 30a (first level) – Chopin, Mazurka op. 17 n. 3.

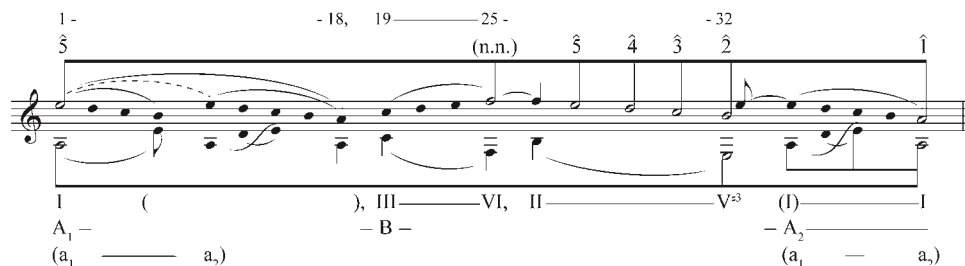


Fig. 3. *Der freie Satz*, Fig. 42.1 (simplified) – Chopin, Étude op. 10 n. 2.

14. Schenker [1930, 20-21]; translation by Ian Bent [Schenker 1994, 8] modified. The translation of this text is difficult; my suggested modifications to Bent's translation must be justified. *Aufblätterung*, which Bent translates as "proliferating", in my opinion conveys an idea of "splitting" (or, more technically, of "delamination") of superposed layers (*Blätter*, "sheets"), confirmed by the mention of "ever new layers of voice-leading" in the continuation of the phrase. I think also that "gathering" may render *sammelnd* better than "moulding", because it stresses the active role of elements giving rise, rather than adapting themselves, to a form. Bent's mention of prolongations (rather than layers of voice-leading) "expanding across ever greater spans" probably reflects the modern American Schenkerian view of prolongations as temporal spans (see above). The important question of *Hintergrund-Tiefe* and *Vordergrund-Breite* will be commented in my main text. See also Schenker [1930, 20] and its translation by Bent [Schenker 1994, 7], which expresses similar ideas and leads to Schenker's first complete description of the *Ursatz* in its canonic form.

BENT'S TRANSLATION	SCHENKER	A MORE LITERAL TRANSLATION
I trace the proliferating of the first horizontal by means of <i>Prolongations</i> [...], and the way in which they blossom into ever newly-forming layers of voice-leading, expanding across ever greater spans and moulding themselves into various forms, until they culminate in the final unfolding <i>at the foreground as the highest stage of intensification</i> [...] With all of this the <i>cohesiveness of the total content of a piece is provided and established as a unity between the depths of the background and the breadth of the foreground</i> .	<i>Ich verfolge sodann die Aufblü- rung der ersten Horizontale in Pro- longationen [...], wie sie in immer neuen Stimmführungsschichten sich immer mehr dehnend und in verschiedenen Formen sammelnd bis zur letzten Ausfaltung im Vordergrund als der höchsten Steigerung gedeihen [...] Mit all dem ist der Zusammen- hang des ganzen Inhaltes eines Tonstückes als eine Einheit der Hintergrund-Tiefe und Vordergrund-Breite gegeben und begründet.</i>	I trace the splitting of the primal horizontal [the background's <i>Urlinie</i>] in <i>prolongations</i> [...], as they blossom in ever new levels of voice-leading, always expand- ing and gathering themselves into various forms, until their last unfolding at the <i>foreground as the highest intensification</i> [...] With all this the <i>cohesiveness of the total content of a piece is given and established as a unity of the background-depth and of the foreground-breadth</i> .

The “unity of the background-depth and of the foreground-breadth” is an essential concept in Schenker’s *Formenlehre*. The “foreground-breadth” is that in which the various parts of the form follow each other, forming the linear, temporal development which we usually associate with the very idea of form. The “background-depth”, on the other hand, denotes the link that even the most individualised forms maintain with the primal unity of the *Ursatz*. It is this depth that determines the function of the parts at the surface level and their hierarchy.¹⁵ But the text quoted above also indicates that the transformational aspect of Schenker’s theory does not concern form exclusively, but also the overall “cohesiveness” (*Zusammenhang*) of musical works and their “content” (*Inhalt*). It then appears that “form” is only one aspect in which the cohesiveness of a work expresses itself, and that “content” – an elusive but important term in Schenker’s vocabulary – is another aspect. The study of Schenker’s “content”, however, will have to be left for another occasion. The whole idea, in any case, is repeated on more than one occasion in *Der freie Satz*, for instance:¹⁶

15. Cook [2007, 70-72] notes that Schenker already had mentioned two causal dimensions in the second volume of *Kontrapunkt*, when he considered «the prescription of fluent melody (causality in the horizontal dimension) with that of completeness of triads (causality in the vertical dimension)» [Schenker 1922, 31], but added a third dimension – depth – in the text from *Das Meisterwerk* quoted here.
16. Schenker [1935, 20; 1979, 6; see also 1935, 17; 1979, 5; 1930, 21].

SCHENKER

Der musikalische Zusammenhang ist aber nur zu erreichen durch einen Ursatz im Hintergrund und dessen Verwandlungen im Mittelgrund und Vordergrund.

OSTER'S TRANSLATION, SLIGHTLY MODIFIED

Musical coherence can be achieved only through a fundamental structure in the background and its transformations in the middleground and foreground.

The *Ursatz*, Leslie Blasius explains, as «the originating musical statement or utterance, bears record of that moment when the vocal sound or noise is first shaped, first distinguished as an extraordinary human activity, as music» [1996, 79]. This «vocal sound or noise» is the primal *Klang*, the idea offered by nature and transformed by man into the primal triad. The *Ursatz* is that which first “shapes” (i.e., “gives form to”) the tonal space of the triad, making it perceptible to human ears in both horizontal and vertical dimensions, that is, in both the temporal succession of the parts of the form and the organic transformations which allow it to arise. The *Ursatz* gives a first impetus to a series of transformations that lead to the foreground and to the fully grown individual form and content of the work – *semper idem sed non eodem modo*. This not only is Schenker's *Formenlehre*, it is the essence of his whole theory.

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Sintesi dell'articolo

Anche se nella sua ultima opera *Der freie Satz* (Universal, Wien 1935) Schenker rivendica con forza il carattere innovativo della sua concezione della forma musicale, in realtà la sua descrizione delle tipologie formali non si discosta in modo rilevante da quella della *Formenlehre* tradizionale. In questo articolo si dimostra che la novità della prospettiva di Schenker non va cercata nella descrizione delle forme del livello esterno, ma piuttosto nell'idea che le forme musicali si sviluppino attraverso diversi livelli di elaborazione e di "prolungamento" (*Prolongation*) secondo un percorso che si configura, a tutti gli effetti, come un processo trasformatore. Schenker non concentra la sua attenzione sulla dimensione architettonica della forma intesa come successione di parti, sezioni e unità musicali, ma piuttosto sulla forma intesa come risultato di una progressiva trasformazione attraverso i vari livelli della struttura musicale, a partire da uno stadio di massima unitarietà nel livello profondo fino alla massima diversificazione nel livello esterno.

Schenker utilizza il termine tedesco *Prolongation* per descrivere una particolare applicazione delle regole del contrappunto rigoroso, che vengono interpretate in modo progressivamente più libero man mano che si procede dal livello profondo verso i livelli più esterni. Lo slittamento semantico che ha caratterizzato l'uso del termine *prolongation* in lingua inglese, adottato da gran parte dei teorici schenkeriani anglofoni, ha portato ad associare questo termine all'idea di un dispiegarsi nella dimensione del tempo, di uno svolgimento attraverso la temporalità dell'opera.

Questo uso semantico presuppone tuttavia una concezione della forma intesa – in modo piuttosto tradizionale – come una successione di sezioni formali. Schenker, al contrario, concepisce la forma come il risultato di una crescita organica nel corso della quale l'unità e l'identità del livello profondo si dissolvono gradualmente, e man mano che ci si avvicina al livello esterno subentrano forme più diversificate e

individualizzate. È questo il significato del motto latino che Schenker pone in epigrafe alle sue opere teoriche: *semper idem sed non eodem modo* (“sempre identico, ma non nello stesso modo”). Ad esempio, una tecnica di elaborazione come l’interruzione permette di trasformare un livello profondo di per sé unitario in una forma binaria che a sua volta, nei successivi livelli della struttura musicale, può essere ulteriormente suddivisa per dar luogo a forme tripartite o quadripartite.

Questa concezione della forma manifesta importanti punti di contatto con la teoria trasformazionale di Noam Chomsky (*Aspects of the Theory of Syntax*, MIT Press, Cambridge MA, 1965), che nel corso dell’articolo vengono evidenziati e approfonditi per dimostrare come la teoria della forma di Schenker possa essere interpretata, nel suo complesso, come una teoria trasformazionale.

THE INDEPENDENCE OF STRUCTURAL PARAMETERS IN SCHENKERIAN ACCOUNTS OF TONAL FORM

Abstract

Schenkerian theory distinguishes two components of musical structure, thematic design and tonal structure, whose respective roles in creating musical form are left unclear in Schenker's own work: the *Versuch einer neuen Formenlehre* from his capstone *Free Composition* (1935) disclaims any reliance on thematic design, while his analyses show a clear awareness of it. Recent criticism, seeking to explain the relationship between the two components, has tended to suggest either that they must be in perfect agreement, or else that they do not constrain each other in any systematic way. This article proposes instead that they constrain each other only partially (or "fractionally"), a view which becomes evident when Schenker's analyses in his *Versuch einer neuen Formenlehre* are taken as a totality rather than individually. In a repertoire context, the two components "agree" when a particular thematic design implies a particular tonal structure, and *vice versa*, a condition that I show is mostly but not entirely the case with the examples in Schenker's *Versuch*.

1. Introduction

So revolutionary were Schenker's conceptual innovations in tonal theory and analysis that, if anything, he may get too little credit for one of the most useful notions we have today:¹ the division of musical form into two principal components, thematic design and tonal structure (the "two-component model").² It might seem at first that nothing is specifically Schenkerian about this idea, and indeed perhaps nothing is *necessarily* Schenkerian about it: we can easily enough read such non-Schenkerian texts as Caplin's *Classical Form* [1998] or Hepokoski

1. A version of this paper was read at EuroMAC Leuven 2014. I wish to acknowledge Wayne Petty and Peter H. Smith for helpful comments on that occasion, and two anonymous reviewers for their remarks on an earlier draft.
2. Other terms for the components have been «outer form» and «inner form» [Rothstein 1989] or simply «design» and «structure» [Rothgeb 1971], among others.

and Darcy's *Elements of Sonata Theory* [2006] with an eye to how they analyse the relationship between thematic design and tonal structure. And yet few if any non-Schenkerian texts on musical form explicitly use anything like the two-component model. This might seem to be a strength in the Schenkerian tradition, and insofar as the model is useful, it is. However, I will suggest that the two-component model in Schenker's writings embodies a tension – or a discomfort, or a weakness – in his formulation of his theory, and only over time has it been transformed by the likes of Felix Salzer, William Rothstein, Charles Smith, and Peter H. Smith into a strength. At the same time, I find something inspiring in Schenker's opaque comments on musical form that was obscured from the outset by the rigid ideology of his late writings,³ and that has been stripped out by later efforts to systematise a "Schenkerian theory of form".

In the following, I will first explore that tension in Schenker's account of form and give an overview of how it led, via some of Schenker's later followers, to the productive two-component model in widespread currency today. I will then examine two important recent attempts to repair, in roughly opposite ways, the obvious weaknesses of Schenker's account. Ultimately, however, I will suggest a different refocusing of our attention around a Schenkerian theory of form, one that shifts attention away from individual works and towards the repertoires in which they are embedded. While also revisionist, this modification to Schenkerian theory is in other ways very much in the spirit of what Schenker was aiming at.

2. Schenker's *Versuch einer neuen Formenlehre*

The final section of *Free Composition* [Schenker 1979, 128-145] described as a «*Versuch einer neuen Formenlehre*», constitutes the principal attempt of Schenker's later years to make general comments about form. The tension that I perceive in these pages comes from Schenker's bold and perhaps uncompromising theory of the nature of form as read against the flexible analyses in the chapter, which owe a substantial debt to conventional, nineteenth-century formal theory. Schenker

3. Although it is beyond the scope of this article to trace the progression of these ideas through Schenker's many publications, we can observe a growing discomfort with traditional (thematic) formal terminology during the last decade of his life. In his analysis of Mozart's G minor Symphony K 550 [Schenker 1996, 62], he uses the term "second idea" without calling special attention to it («*zweite Gedanke*»; in the English translation, William Drabkin prefers the rendering «second group»). Four years later, writing about Beethoven's *Eroica* Symphony [1997, 17], he uses the term presumably for its convenience but prefaces it with «so-called» («*sogenannte*»), holding it at a distance if not signaling outright distaste for it. By the time of the *Versuch* from *Free Composition*, discussed below, he was expressing that aversion in much stronger terms. I thank an anonymous reviewer of this article for calling these usages to my attention, although the interpretation of them is my own.

does not offer a *definition* of form, but Michael Russ helpfully glosses the new Schenkerian concept of form as the «[t]emporal distribution of the Fundamental Structure and principal voice-leading motions» [Russ 1993, 272]. Russ's definition is especially apt for the discourse of the early pages of the *Versuch*, when Schenker repeatedly refers to form as something that emanates from the background; in these pages he insists on the basically illusory nature of most of the thematically-driven markers of form in the conventional sense. Yet as the *Versuch* proceeds, his disavowal of the thematic aspect of form becomes at times very tenuous.

The first form Schenker describes is "undivided" or one-part form, which is not a conventional – that is to say, thematic – formal category at all. For Schenker it refers instead to works in which there is no division of the background – no division in the domain of tonal structure. Of one-part form he writes: «Repetitions indicated by :||, or those written out in full, constitute neither an interruption of the fundamental line nor, consequently, a division of the form» [Schenker 1979, 130]. Counterintuitively to some readers, this may well include eighteenth- and nineteenth-century works that are split in half with repeat signs and thus whose thematic design is bipartite. Proceeding next to discuss song forms, Schenker produces the following dismissive assertion:

[M]usic finds no coherence in a 'motive' in the usual sense [that is, mere surface thematic repetition]. Thus, I reject those definitions of song form which take the motive as their starting point and emphasise manipulation of the motive by means of repetition, variation, extension, fragmentation, or dissolution. I also reject those explanations which are based upon phrases, phrase-groups, periods, double periods, antecedents, and consequents. My theory replaces all of these with specific concepts of form which, from the outset, are based upon the content of the whole and of the individual parts; that is, *the differences in prolongation lead to differences in form* [*ibid.*, 131, emphasis added].

In these passages, both drawn from the first few pages of the *Versuch*, Schenker rather hotly emphasises the discontinuity of the aspect of form he wants to discuss from conventional formal structures based on thematic identity («periods, double periods» etc.). At this stage in the chapter, readers are clearly meant to understand that form is a matter of tonal structure, not of thematic design. Yet this straightforward (if debatable) argument is put into disarray by the subsequent discussion of three-part song form. Here Schenker writes: «Many paths lead to the three-part form A₁-B-A₂» [*ibid.*, 132]. In the elaboration that follows, Schenker makes clear that by this he means that a number of different tonal structures are correlated in predictable ways with the conventional *thematic* ABA form.⁴ In

4. These are discussed further below, Part 4.

what I take to be a sign of Schenker's discomfort with this argument, he is vague about what the latter designations mean, not explicitly stating that A_1 and A_2 are so named because of thematic identity. However, of the 19 examples he gives of three-part song form, the outer A sections are in fact thematically identical in all but one.⁵ So it seems almost certain that, however much Schenker may wish to distance himself from form based on thematic design, a core notion of "three-part form" exists for him that is essentially coextensive with the old-fashioned idea of ternary form.

Schenker's remarks on the second theme in sonata-allegro form are particularly nuanced and insightful while again overstating the ideological dimension of his case. He begins by blustering:

The composing-out of $\hat{2}/V$ or $\hat{5}-\hat{3}/I-III$ is designated by conventional theory as the second theme, the subordinate theme, the lyrical theme, or the like; occasionally there is reference to two subordinate themes, to a new section, a dissolution of the subordinate theme, to one or even two closing themes. Once more I must emphasise that these are in every respect inadequate terms and concepts which *afford no insight* into sonata form [Schenker 1979, 135, emphasis added].

He goes on to note the existence of sonata movements in which the tonal-structure element is more or less as expected but in which no real second theme is discernible. Yet he then allows: «It cannot be denied that a lyrical quality makes the perception of the section which evolves from the $\hat{2}$ easier, but despite the convenience of this lyricism for composer and listener, structural division is the principle which is basic to sonata form» [*ibid.*, 136].

One way we can understand the tension at work in this *Formenlehre* is as an incommensurability between Schenker the theorist and Schenker the analyst. As theorist, he takes the hard line, insisting that conventional, thematically-driven formal entities have no musical reality whatsoever, that they «afford no insight» into structure. As analyst, despite his much greater interest in the tonal-structural phenomena he describes, his practice clearly leaves room for form in the conventional sense as well. He thus opens up the possibility of hearing pieces as richly complex tapestries, woven from the warp of tonal structure and the weft of thematic design. The disjunction between theory and practice in the *Formenlehre* has left for subsequent Schenkerian scholars the task of mending either the theory or the analytical practice to bring them into conformity with each other.

5. The exception – truly proving the rule! – is his Fig. 153,1 (Chopin's G minor Ballade).

3. Rationalising Schenker's theory of form

The idea that musical form could be conceived of as operating along two distinct parameters – thematic design and tonal structure – was a productive one for Schenkerians in the twentieth century. Felix Salzer's influential *Structural Hearing* [1952] attempted to codify the distinction into the rather opaque categories he dubbed «form», «structure» and «design». More usually, as in John Rothgeb's *Design as a Key to Structure in Tonal Music* [1971], just the two terms «structure» and «design» were used, the former corresponding to Schenkerian voice-leading and the latter to other musical elements. The two-component model was given its definitive statement in William Rothstein's *Phrase Rhythm in Tonal Music* [1989], in which he renamed the two components «inner form» and «outer form». Inner form, he wrote, is «the tonal dynamic of a work – its large-scale harmonic and linear layout». Outer form is «the thematic aspect of a piece, as well as its layout into phrases and periods» [*ibid.*, 104]. Rothstein's writing on this topic is probably closest to the spirit of Schenker's analytical practice (as opposed to his theoretical claims) in his pragmatic description of a variety of formal patterns that occur in tonal music, some of which emphasise tonal structure at the expense of thematic design and others the converse. As Rothstein was quick to assure readers, he was not attempting to completely theorise the relationship between inner and outer form. By the 1990s, however, it seems that the lack of a satisfying theoretical account of that relationship was felt more keenly. In this section I discuss two main strategies that appeared for producing such an account, exemplified by Charles J. Smith and Peter H. Smith (hereafter C. Smith and P. Smith, respectively).

C. Smith's long article *Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre* [Smith 1996] appeared in the journal *Music Analysis*. In different ways, C. Smith both accepts and rejects the two-component model of form. On the one hand it is an indispensable background idea for him, a separation of which we can readily conceive at least in principle. Yet one of his grounding assumptions is that tonal structure and thematic design do not operate as independent entities in actual works of music. As he puts it, «the traditional forms are trustworthy guides to large-scale shape – sometimes the most trustworthy guides available» [*ibid.*, 194]. By this he means that the most important moments in thematic-design form, such as the beginnings and endings of sections, the onsets of new themes, phrase boundaries, and the like, should be assumed to temporally coincide with the most important moments in Schenkerian structure, that is, notes with background or deep-middleground status.

His other grounding assumption is more openly revisionist where Schenkerian theory is concerned; he states: «[W]here a Schenkerian background contradicts

a trustworthy traditional form (as often happens in the ‘Formenlehre’), *we should be at least as ready to rethink the background as we are to reject the form*» [*ibid.*, 195, emphasis in original]. The analytical method suggested by this second assumption is not unknown to Schenkerian work prior to C. Smith. Rothgeb puts forth the idea that where decisions about Schenkerian tonal structure are not obvious, then one might use design features of a piece to guide those decisions. Rothgeb, however, follows Schenker in his views on the ontological supremacy of tonal structure – voice leading is, he says, «a foundation of coherence upon which the most elaborate configurations of the musical surface acquire significance» [Rothgeb 1971, 230]. C. Smith’s formulation turns this on its head – design, he suggests, is often what is most obvious about a piece, and why should a piece’s most obvious features not also be its most ontologically fundamental – the springboard, as he puts it, for the remainder of an analysis? C. Smith’s paper, which then presents an immense compendium of analyses and templates, indeed springs from that second assumption.

What aspect of Schenker’s *Versuch* is the antecedent of C. Smith’s approach? It is certainly not the overblown theoretical element, the one that insists that outer form is mere illusion. Rather than doing as Schenker says, C. Smith does as Schenker (mostly) does. As we saw above concerning Schenker’s three-part song forms, his analytical practice does tend to hear important moments in thematic design as coinciding with deep events in tonal structure. C. Smith can be read as identifying two flaws in Schenker: the first, between Schenker’s theory and his analytical practice; the second, that even Schenker’s analytical practice is not always self-consistent (as in his interpretation of Chopin’s G minor Ballade as a ternary form). Responding to both of these flaws, his article re-theorises the relationship between thematic design and tonal structure, and advocates a more systematic analytical practice.

Insofar as the Schenkerian analytical enterprise has flexibility and imaginative artistry at its core, the effect of both of C. Smith’s modifications to it is a constricting one. While some of his re-sketchings are convincing, one cannot help feeling that they are in service of a kind of rigidity: there is little conceptual breathing room between thematic design and tonal structure, no sense that these distinct musical forces can be arrayed in a limitless variety of ways according to composers’ wishes and whims.

It is quite the opposite for Peter H. Smith, in a series of articles written in the 1990s and 2000s and culminating in the 2005 book *Expressive Forms in Brahms’s Instrumental Music*. P. Smith takes it as axiomatic that tonal structure and thematic design are in principle independent from each other and can, and often do, project very different formal hierarchies for a single piece. Confronted with this situation,

which he calls «dimensional noncongruence», P. Smith argues that the analyst's job is to describe and interpret the complexity that results, not to explain it away by forcing the different musical dimensions to agree with each other. He writes: «A movement's form consists of the total structure that emerges through a *counterpoint of musical dimensions*» [Smith 2005, 31, emphasis added]. This felicitous phrase recalls to mind much of what we learned (including from Schenker himself, in *Kontrapunkt*) about the importance of keeping contrapuntal lines independent from each other. In order to maintain their autonomy, they must not move too often in parallel, and must have different contours, including melodic apexes at different moments. For P. Smith, then, dimensional noncongruence is to be expected in all tonal repertoires – he cites examples from Mozart as well as from Brahms – and is a crucial source of musical interest and expression.

P. Smith's dimensional noncongruence, though in stark disagreement with C. Smith, is nevertheless not the inverse of C. Smith's theory. Whereas C. Smith requires the agreement of thematic design and tonal structure, P. Smith sets up a space in which any degree of agreement between the two parameters is allowable. Because agreement requires little explanation, his work tends to emphasise situations in which the parameters disagree, and explains with considerable nuance the resulting complexity. Still, P. Smith's theory is also a revisionist reading of Schenker – though by emphasis more than by substance. P. Smith makes no particular claim that tonal structure is a deeper or more important aspect of a piece than thematic layout. For a “counterpoint of dimensions” to arise, some equality of the dimensions must be postulated, and it is this which Schenker so sharply dismissed.

4. A third way: fractional independence and a repertoire-based theory of form

The two Smiths – like other latter-day Schenkerians from Salzer to Rothstein – are in agreement that (contra Schenker) thematic design is too important a feature of tonal music to be dismissed. They are opposed, however, concerning the *independence* of the formal components thematic design and tonal structure. C. Smith feels that in well-formed analyses they are not independent at all: that although we can conceive of them as distinct, in practice they are more like two sides of the same coin. P. Smith feels that they are not only distinct in principle but actually do operate independently some of the time, and focuses much analytical attention on pieces in which their distinctness is most noticeable.

Inspired by different facets of Schenker's *Versuch*, I find that there are aspects of each of these rationalisations that do not at all capture my intuitions about how structure operates in repertoires. At times, dimensional noncongruence is too overwhelmingly present to theorise away. For instance, Schenker analyses

Chopin's "Revolutionary" Etude as a two-part (interrupted) tonal structure.⁶ C. Smith disputes this in the strongest terms, implying that the piece's phrase structure is in fact ternary and that Schenker's graph wrongly conceals this, yet his re-analysis succeeds only in pushing this fundamental incommensurability elsewhere in the work, like an air bubble in a water balloon.⁷ I cannot similarly disagree with Peter Smith's work, yet owing to its late-nineteenth-century repertoire focus, it lacks Schenker's emphasis on the significance of genre; in Schenker's account the relationship between thematic design and tonal structure is quite predictable most of the time, and it seems to me that we should want our theory to reflect this fact. To return to P. Smith's metaphor, we might say that the dimensional counterpoint is full of parallel octaves.

On a sympathetic reading of the *Versuch*, Schenker can be seen as trying to square this circle, trying to respect the basically contradictory impulses behind C. Smith's and P. Smith's approaches. How does one construct form in a way that *both* holds structural parameters to be independent entities *and* accounts for the fact that tonal structure and thematic design seem to interact in very similar ways in wide swaths of repertoire? If we want to steer a middle course between parametric correlation and parametric independence, how do we theorise thematic design and tonal structure as being "a little bit" independent of each other? This seems to have caused tension for Schenker especially because of another aspect of his ideology: the focus on the individual work as the locus of musical structure. As Charles Smith put it, Schenker's theory is «the prototypical particularist theory of music, if not of musical form» [1996, 193] – that is, it prefers to approach each work largely from first principles, not by explicitly comparing it to other works or to an idealised formal stereotype.

It is the particularist assumption that I propose to jettison, shifting the locus of parametric independence to repertoires of pieces rather than pieces themselves. Let us return to Schenker's explication in *Free Composition* of three-part (ABA)

6. Schenker 1935; 1979, Fig. 12. Here and in a much more detailed graph [Schenker 1969, 54–61], it is made clear that each of the two parts is in turn interrupted, for an overall structure consisting of three fourth-progressions (1 descending to 5 in the bass), followed at last by the complete descent of the *Urlinie*. No comment is made in conjunction with either graph about the phrase structure of the Etude, or about the salience (or lack thereof) of the PAC in VII at m. 28.
7. «Schenker's formal misrepresentation of that piece is egregious» [Smith 1996, 214]. By this he means that, in two analyses of the work, Schenker does not represent the cadence in VII as a deep middleground event, instead subsuming it into a fourth-progression lasting from m. 21 to m. 41. Yet C. Smith's re-sketching (*ibid.*, Ex. 13b, 215) represents that arrival on VII as deeper than the retransitional dominant of m. 41, a choice suggesting the view that, with VII as the upper third of V, only one of the two chords needs to be represented in the background for a coherent tonal structure. As such, C. Smith's graph – for all its eccentricity – purports to repair a problem with Schenker's, yet just relocates the problem.

form [Schenker 1979, 132-33]. There, he says that there may be a number of tonal structures that lead to ternary form:

1. The three events of the bass arpeggiation may each spawn a section.
2. Various division schemes may be correlated with the events of three-part form; the basic idea of each of these is that the dominant prior to the interruption is extended long enough to constitute a section of the form.
3. Mixture at the first level of the middleground may align with three-part form.
4. Finally, a neighbour note may create a B section in three-part form.

Although these tonal structures may lead to three-part form, some of them are also quite compatible with thematic designs other than three-part form. Certainly the bass arpeggiation itself is compatible with undivided form, two-part form, and others. Interruption is a key feature in many two-part forms and sonata movements in addition to its appearance in three-part forms. And although Schenker does not give as many examples, some of his schematics in *Free Composition* also suggest that even mixture and neighbour notes can appear in the first level of the middleground in the context of forms other than three-part form.

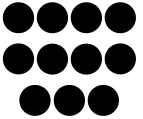
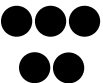
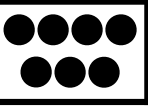
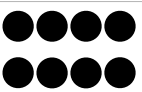
		Tonal structure			
		I-V-I (undivided)	Interruption	Mixture	Neighbor
Thematic design	One-part/ prelude				
	Two-part				
	Three-part				

Fig. 1. A matrix representing a repertoire with the structural options enumerated in sections B1 and B2 of Schenker's *Versuch einer neuen Formenlehre*, Section 5 of *Free Composition*.

The matrix given as Fig. 1 represents a repertoire of tonal compositions, each dot standing for a piece of music. A piece is located within the matrix at the junction of its tonal structure (from four options across the top) and its thematic design (from three options down the left side). The pieces represented in the matrix correspond to those discussed by Schenker in sections B1 (undivided form) and

B2 (the song forms) of the *Versuch* chapter. While this repertoire does not reflect a randomly chosen sample of tonal compositions, it encapsulates Schenker's views about which kinds of combinations of tonal structure and thematic design are possible in tonal compositions of brief to moderate duration. For instance, the four tonal structures that may correlate with three-part form are seen along with their prevalence in the bottom row of the table.⁸

About this hypothetical repertoire we can make two important observations. One is that tonal structure gives us substantial information about thematic design. If we know only that a piece has an interrupted structure, we can guess with highly imperfect accuracy – but slightly better than chance – that its thematic design will be ternary. Likewise, if we know that a piece has an ABA thematic design, we can guess that it will have an interruption in the tonal structure, and our guess will be correct at a rate higher than chance. (The conjunction of those options is the cell highlighted with a thick border.) But neither of these correlations is ironclad; there are plenty of pieces with one of these structural features but not the other. There are nearly as many interrupted structures in the repertoire with two-part design as with three-part design. And in fact interruption is only the second most common tonal structure in the repertoire for three-part design, with neighbours being even more common. What we have is a *partial* correlation between tonal structure and thematic design: they convey information about one another that is neither useless nor perfectly predictive. Across the repertoire as a whole, then, the structural parameters of tonal structure and thematic design are not independent – they move in tandem to some extent – nor are they perfectly in lockstep. This general situation, which is the norm in tonal repertoires, is what I refer to as *fractional independence*.

Under fractional independence, what do we analysts confront when approaching a musical work? I am arguing that we cannot afford to dispense with the information from a work's repertoire context. Tonal structure and thematic design can have any number of relationships within individual pieces, but more importantly they can be related within generic contexts in a variety of ways too. We can understand the two parameters as exerting a kind of gravitational force on each other, trying to be in phase with one another and *usually* succeeding. It is only by an application of an outside force that they can be wrested apart from one another,

8. These are the following:

- Undivided tonal structure: Ex. 75.
 - Divided tonal structure: Ex. 7a; Ex. 22b; Ex. 76,3; Ex. 109e,3; Ex. 46,1; Ex. 53,3.
 - Mixture: Ex. 30a; Ex. 30b; Ex. 40,6.
 - Neighbour: Ex. 7b; Ex. 40,1; Ex. 42,1; Ex. 42,2; Ex. 85; Ex. 153,1; Ex. 153,2; Ex. 153,3.
- Similar enumerations from Schenker's *Versuch* chapter underlie the remaining rows of the matrix.

and, as Peter H. Smith's analyses so ably demonstrate, there is always an interesting story to be told when this happens. But we are only in a position to know how unusual a work is in this regard – how much compositional “effort” had to be exerted – when we understand how the structural parameters normally correlate within the work's generic context. As has been demonstrated in recent years by Hepokoski and Darcy's “Sonata Theory” approach, it is precisely the predictability of generic norms that makes departures from them so expressively potent.

Finally, under fractional independence, how shall we understand the *Versuch einer neuen Formenlehre* from *Free Composition*? Schenker tended to work at two extremely different sizes of repertoire: either the individual work (with little or no explicit reference to its similarities or differences with other works) or the entire tonal tradition as he understood it (with sweeping generalisations about tonality and structure). *Free Composition* in particular is concerned with the latter – finding examples of similar voice-leading structures in works with no real generic relationship – while many of the shorter essays in *Meisterwerk* and *Tonwille* are concerned more with the former. The *Urfinie* can be understood in part as Schenker's inspired realisation that if, say, a Bach prelude and a Brahms symphony have any structure in common, that structure must be (a) a tonal one, not a thematic one, and (b) very simple, subject to nearly unlimited processes of expansion and elaboration. Likewise, when analysing a single work in isolation, Schenker is perfectly free to focus on the tonal phenomena that interest him – who is to say that those phenomena are not the “real” structure of the work? Yet when considering repertoires of intermediate size – say, the repertoire of works in sonata-allegro form – it is all but undeniable that sometimes thematic design does more to describe the similarities between pieces than tonal structure does. While not prepared to admit this in quite so many words – in the face of his theory's totalising emphasis on tonal structure – Schenker's analyses show a clear understanding of this fact. The frustrating inconsistencies of Schenker's manner of organising his chapter actually point towards the flexibility of his analytical approach, and, perhaps surprisingly, the undogmatic way in which he combines the parameters when dealing with moderately-sized repertoires. Of the many facets of Schenker's work, this sensitivity to repertoire context – even if he had not fully theorised it himself – is surely among the most worthy of emulation.

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Sintesi dell'articolo

La teoria schenkeriana distingue due componenti della struttura musicale: articolazione tematica e struttura tonale. Nell'opera teorica di Schenker, tuttavia, il diverso ruolo di queste due componenti nella creazione della forma musicale non viene chiarito. Nel "Versuch einer neuen Formenlehre" [Saggio di una nuova

Formenlehre], sezione conclusiva del trattato *Der freie Satz* (Universal, Wien 1935, pp. 207-232), Schenker nega qualunque tipo di dipendenza della forma dall'articolazione tematica; al tempo stesso, però, le sue analisi dimostrano una chiara consapevolezza dell'importanza di questo aspetto. La questione riveste un particolare interesse nella teoria schenkeriana, e le risposte che vengono fornite dalla letteratura recente si muovono in due direzioni opposte. Alcuni, come Charles Smith (*Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre*, «Music Analysis», 15/2-3, 1996, pp. 191-297) tendono a suggerire una perfetta sintonia tra le due componenti mentre altri, come Peter Smith (*Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in His Werther Quartet*, Indiana University Press, Bloomington-Indianapolis 2005), sembrano più propensi a ritenere che le due componenti non giungano mai a vincolarsi reciprocamente in modo sistematico.

L'interpretazione proposta in questo articolo si distingue dalle precedenti nella misura in cui suggerisce che le due componenti siano reciprocamente dipendenti ma solo in modo parziale, in base a un criterio che l'autore definisce in termini di "indipendenza frazionaria". Secondo questa visione, determinate combinazioni di struttura tonale e articolazione tematica risultano estremamente probabili, nel senso che dimostrano una sorta di attrazione reciproca paragonabile alla forza gravitazionale, ma non sono strettamente necessarie.

Per verificare questa chiave di lettura occorre abbandonare la prassi interpretativa abituale, che tende a concentrarsi sull'analisi separata dei singoli pezzi, e provare invece a valutare le analisi proposte da Schenker nel "Versuch" complessivamente, come una totalità. Per conseguire questo obiettivo, l'autore inserisce tutti i pezzi analizzati nel "Versuch" (articolati in una, due o tre parti) all'interno di una matrice bidimensionale. Se le due componenti si trovassero in perfetta sintonia, la matrice dovrebbe mostrare che una particolare struttura tonale corrisponde invariabilmente a una specifica articolazione tematica, e viceversa. Se le due componenti dovessero invece risultare del tutto indipendenti, allora la matrice non dovrebbe mostrare dei raggruppamenti omogenei (*cluster*) concentrati intorno a determinate combinazioni di articolazione tematica e struttura tonale. In realtà, in alcuni casi la matrice evidenzia la formazione di simili *cluster*: per esempio, tutti i brani che sono indivisi dal punto di vista dell'articolazione tematica risultano essere indivisi anche dal punto di vista della struttura tonale. Altri tipi di correlazione risultano invece meno univoci e scontati. Quando si passa alle forme *Lied* tripartite, infatti, emergono quattro diverse opzioni relative alla struttura tonale, alcune delle quali sono riscontrabili anche nel contesto delle forme *Lied* bipartite.

In definitiva, il quadro complessivo delle relazioni tra le due componenti della forma che emerge da questa analisi del "Versuch" di Schenker evidenzia la pertinenza del concetto di "indipendenza frazionaria", che denota uno stato intermedio tra la completa indipendenza e la correlazione diretta.

Steven D. Mathews

EVALUATING SCHENKERIAN ANALYSIS AS A COMPLEMENT TO SONATA THEORY, FORMAL FUNCTIONS AND ITALIAN SCHEMATA

Abstract

The following essay argues that Caplin, Gjerdingen, and Hepokoski and Darcy explicitly and implicitly borrow ideas from the works of Heinrich Schenker while simultaneously relegating Schenkerian concepts, making anti-Schenkerian protests, and opposing certain Schenkerian interpretations in their own work. It also proposes that Schenkerian analysis can be used as a complement to the three aforementioned approaches. The first part demonstrates that Caplin's terminology and hierarchical conception of musical form invites accompanying Schenkerian graphs. The second part suggests that Schenker, in his 1923 analysis of the first movement of Mozart's K 545, noticed a schema similar to Gjerdingen's Prinner. The third part contends that a Schenkerian interpretation of K 545 by Snyder aligns with Hepokoski and Darcy's Type 2 sonata. The conclusion takes note of recent significant developments in field of Schenkerian studies that promote a healthy engagement with other theories.

1. Introduction

Since the 1990s, music theorists working in the United States and Canada have produced a number of treatises that take the various instrumental forms of the common-practice repertoire as their subject.¹ Scott Burnham, writing within the context of the history of Western music theory, characterises this period of innovative thinking about form as evidence that theorists «have become attracted

1. This essay is a revised form of the paper I presented at EuroMAC 2014 in Leuven, Belgium. I wish to thank the anonymous readers, Nicolas Meeùs, Alessandro Cecchi and the other scholars on the “Schenker's *Formenlehre*” session for the opportunity to join in the discussion and share these thoughts. I also want to thank David Carson Berry for reviewing early drafts of this paper and the Presser Foundation (Haverford, Pennsylvania) for funding my travel to Leuven.

to treatments of form that highlight a play of conventions» *contra* previous «abstract notion[s] of form» [Burnham 2002, 903]. Consequentially, authors have been asked to debate the merits of their ideas. For example, in Pieter Bergé's *Musical Form, Forms, and Formenlehre* (hereafter, *MFFF*) the authors of two significant volumes on form in tonal music – William Caplin and James Hepokoski – each get a chance to defend their thoughts on the subject and write a critique of the opposing method [Bergé 2009].² In a review of *MFFF*, Mitch Ohriner generally agrees with the editor's conclusion regarding the apparent «endorsement of methodological pluralism» by Hepokoski and Caplin for participating in such a debate [Ohriner 2010, 154]. However, Ohriner is also sensitive to Bergé's call for «a further need to evaluate other theories with an awareness of their unique ambitions», an area in which «both Hepokoski and Caplin occasionally stumble» [*ibid.*]. In other words, despite their insights, these two authors seem to isolate themselves within their respective views on musical form.³

In addition to the arguably myopic positions taken by Hepokoski and Caplin, they find an area of agreement in their mutual rejection of Heinrich Schenker's abstract theory of form. As Ohriner mentions in his review, «these authors ironically believe that previous theories, such as [Schenker's], discourage a tolerant engagement with other theories by asserting their own analytical intolerance» [*ibid.*, 155]. Similar exclusions appear in the published work of Robert Gjerdingen, such as his seminal treatise on eighteenth-century Italian partimenti and schemas, *Music in the Galant Style*. According to Gjerdingen, analysis following Schenker's theory of tonal hierarchy amounts to the pursuit of finding a «metaphysical solution to a self-inflicted problem» [Gjerdingen 2007, 424-425]. It is true that Schenker was a theorist who touted the following radical prognostication, to take just a single instance from a large sample, in the introduction to his posthumous treatise, *Free Composition* (*Der freie Satz*): «Philosophers and aestheticians will be able to establish a general theory of music as an art only after they have absorbed my concepts» [Schenker 1979, xxiv]. Still, it remains insincere for theorists who exhibit similar rhetoric to discredit Schenker's ideas because of a natural authorial proclivity to promote them.

It is an altogether different situation when confronted with the present topic of Schenker's *Formenlehre*, as Schenker has received much criticism from his followers. The problem stems from the final chapter of *Free Composition*, in which

2. The work on *Formenlehre* by James Webster is also scrutinised in *MFFF*, but it is not a subject for the present article. Also, although Hepokoski contributed to *MFFF*, Warren Darcy – Hepokoski's co-author for *Elements of Sonata Theory* – did not; nevertheless, the third part of this article will focus primarily on Hepokoski and Darcy's joint effort.
3. Musicologists have expressed similar sentiments [e.g., Morrow 2013, 6].

Schenker proposed his inchoate “new theory of form”. As Charles Smith noted in a landmark study, Schenker’s *Formenlehre* did not impact any subsequent *Formenlehre* since its publication in 1935, «even those constructed from a Schenkerian perspective» [Smith 1996, 192]. Crucially, Smith adds the following: «When discussing form, Schenker’s disciples typically retain only his all-encompassing scepticism about traditional formal models, together with his general observation that form is derived from fundamental structure and is not an independent parameter» [*ibid.*]. However, according to Jason Hooper, who recently studied Schenker’s early unpublished work on form, this “new theory of form” «was never entirely new and had several important connections with prior theory» [Hooper 2011, 38]. With the advantage of studying this archival material, Hooper perceives a «tension» between Schenker’s early writings that follow traditional *Formenlehre* and his original theory of organic coherence that he introduced in *Free Composition*, which obviously developed and finally emerged only later in life [*ibid.*, 59–60]. Thus, it is clear now that the *Formenlehre* of Schenker’s nineteenth-century predecessors influenced his own theory, despite his published complaints and declarations to the contrary. But have our innovative twenty-first-century theorists on form and schemas fallen into a similar predicament vis-à-vis Schenkerian analysis?

In the following essay, I present an argument that Caplin, Gjerdingen and Hepokoski and Darcy explicitly and implicitly borrow ideas from Schenker in the presentation of their own approaches to the analysis of form in tonal music. I aim to show – just as Hooper revealed in the case of Schenker’s *Formenlehre* – that the influence of Schenker remains relevant even in the works of these specific non-Schenkerian theorists. My goal is to illustrate that Schenkerian analysis can be used as a complement to these theories in the analysis of musical forms of the common practice period. I consider the following treatises in turn: *Classical Form* [Caplin 1998], *Music in the Galant Style* [Gjerdingen 2007] and *Elements of Sonata Theory* [Hepokoski-Darcy 2006].

2. Caplin’s ideal theory of form and Schenkerian hierarchy

Caplin’s theory of formal functions is quite logical and systematic on its own terms, as it is primarily focused on a spectrum of tightly and loosely knit thematic designs in the instrumental music of Haydn, Mozart and Beethoven. It has been called a «revival of taxonomic *Formenlehre*» [Burnham 2002, 907]. Moreover, Caplin recognises «the relevance of other theoretical approaches, precisely because the scope of his own theory is so consciously and rigorously delimited» [Bergé 2009, 167].

While this may be true, in the fourth sentence of *Classical Form*, Caplin cites Schenker's *Formenlehre* as one of the reasons traditional *Formenlehre* has fallen out of favour [Caplin 1998, 3]. At the same time, Caplin elevates one of Schenker's contemporaries, Arnold Schoenberg (and Schoenberg's student Erwin Ratz), as the main prior source of his theory of formal functions [*ibid.*]. This is surprising as both Schenkerian and Schoenbergian theories share «categories or ideal types» as noted by Janet Schmalfeldt, who was perhaps the first to attempt to “reconcile” these two specific methods of thought [Schmalfeldt 1991, 235]. The mere notion that Schmalfeldt and others felt this intuitive conceptual similarity is not insignificant.⁴ Moreover, when Caplin's theory was in development, Kofi Agawu [1991] suggested the idea of synthesising extroversive (i.e., topical and extramusical) and introversive (i.e., purely musical) signs into general formal categories of beginnings, middles and endings. As shown in Fig. 1 (Agawu's Ex. 3.1), Agawu does not hesitate to use Schenkerian notation to convey the prolongation of introversive signs. Making the case for such fusion, Agawu notes the following: «Nominally, the Ursatz enshrines a progression from stability through instability back to stability; that is, the first member provides a stable point of departure (beginning), is undermined (middle), and is returned to the initial point of stability (ending)» [*ibid.*, 53].

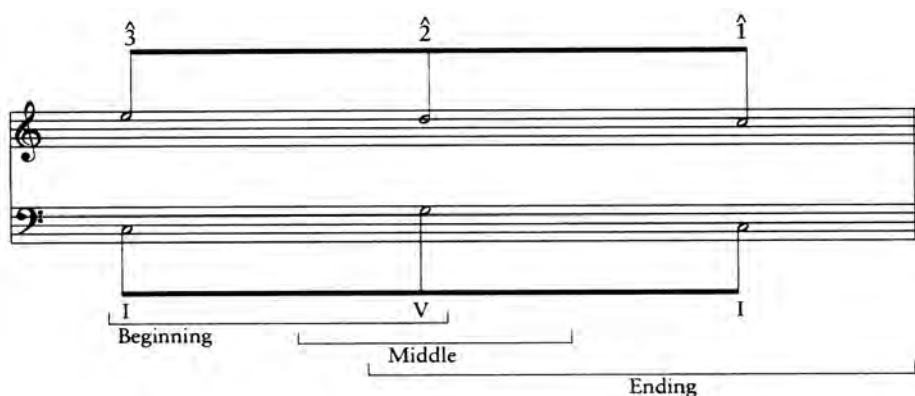


Fig. 1. An abstract Schenkerian interpretation of beginnings, middles and endings in tonal music [Agawu 1991, 53].

In «What are Formal Functions?» from *MFFF*, Caplin sets out to unpack his main concept, of which he believes *Classical Form* «did not sufficiently address» [Caplin 2009, 21]. In the essay, he creates a logical and detailed hierarchical diagram

4. Schmalfeldt's recent monograph, *In the Process of Becoming*, transmits the history and criticism regarding the attempts to reconcile these two schools of thought since her 1991 article [Schmalfeldt 2011, 12-17].

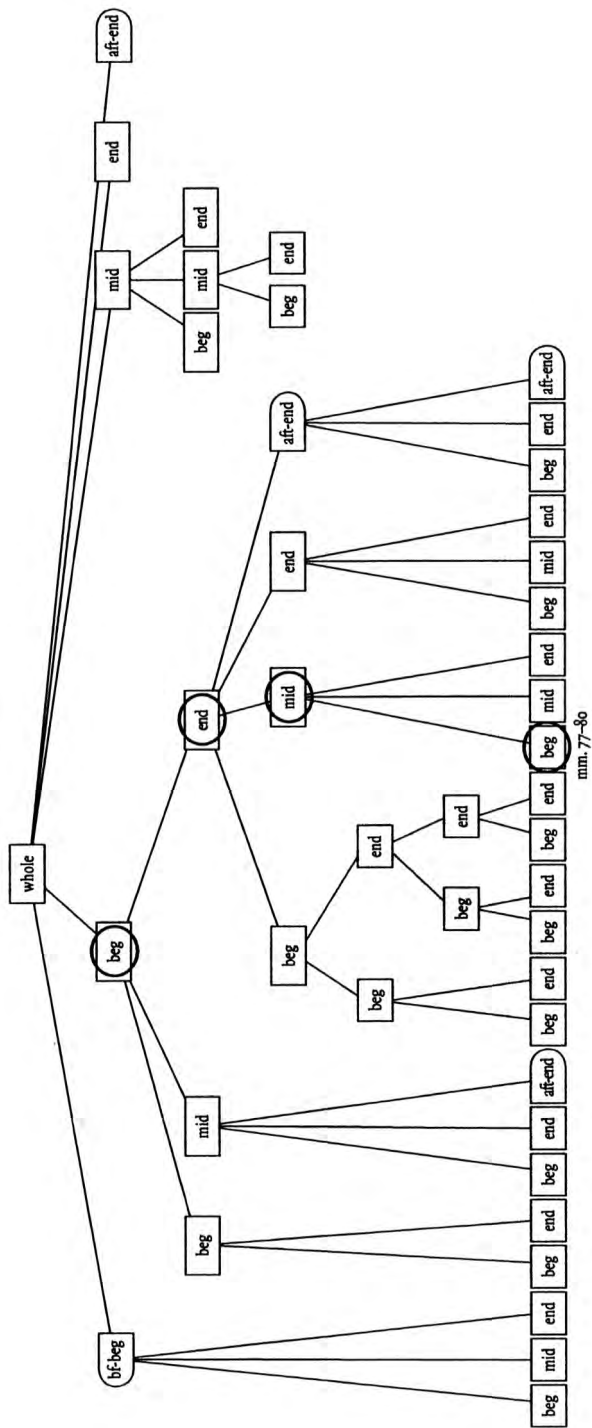


Fig. 2. A hierarchical time-span diagram [Caplin 2009, 26].

[illegible]

Fig. 3. An example of a Schenkerian *Urinie-Tafeln* [Schenker 1969, 47].

of beginning, middle and ending spaces. Fig. 2 (Caplin's Fig. 1.3), for example, reproduces Caplin's temporal breakdown of the first movement of Beethoven's First Symphony. Without referring to Schenkerian theory, Caplin writes, «This figure reflects what Kofi Agawu has called the 'beginning-middle-end' paradigm of introversive semiosis» [Caplin 2009, 25]. Notably, Caplin does not include accompanying Schenkerian analyses; he is satisfied with the detailed flow-chart representation of the movement. This kind of top-down image, however, calls to mind the multi-layered analyses in *Five Graphic Music Analyses* [Schenker 1969] or even the prolongational reductions and tree diagrams from *A Generative Theory of Tonal Music* [Lerdahl-Jackendoff 1983]. For example, Fig. 3 reproduces a portion of Schenker's *Ursatz-Tafeln* of Chopin's Etude in F Major, which reveals the stratified prolongation of the *Ursatz* deductively through the background, middleground and foreground. It seems as if Caplin and Schenker conceive of tonal musical structure in a hierarchical manner, with each level betraying a slightly different formal shape.⁵ But Caplin, unlike Agawu and Schmalfeldt, does not consider adding Schenker's «contrapuntal archetypes» to his theory of formal functions [Schmalfeldt 1991, 235].

This does not mean that Schenker's influence upon Caplin's theory is non-existent in his writing and teaching, however. From his *MFFF* essay, Caplin states the following about the clues for identifying and differentiating formal functions:

Here we must distinguish among hierarchical levels, for the criteria change depending upon whether the formal unit in question resides near the foreground or else embraces a larger stretch of time. At lower levels, the primary criterion is the kind of harmonic progression supporting the passage, in particular, whether the harmony is prolongation, sequential, or cadential. In general, prolongation progressions engender a sense of formal initiation, sequential ones express medial functions, and cadential progressions create formal closure [Caplin 2009, 34].

The word that jumps out to Schenkerians in the passage above is “prolongation”, almost as if Caplin is indirectly inviting them to supply graphic analyses that complement his formal diagrams. Further, when I spoke with a former student of Caplin following my presentation at EuroMAC 2014, he directed my attention to the progressions and abstract examples in the second chapter of *Classical Form* – based on a combination of scale-degree and Riemannian functional theories – as evidence for Caplin's subtle appreciation of the Schenkerian perspective. Nevertheless, Caplin is careful to point out the following qualification in the footnotes for this chapter: «The concept of prolongation derives, of course, from the

5. A primary goal for Caplin in *Classical Form* was to «provide functional interpretations for all levels in the formal organization of a movement» [Caplin 2009, 62-63].

theories of Heinrich Schenker. This book adopts a considerably more restricted notion of prolongation than that found in traditional Schenkerian analysis» [Caplin 1998, 262 n. 8].

3. Eighteenth-century Italian schemata: Gjerdingen's critique of Schenker

Unlike Caplin's *Classical Form*, Gjerdingen's *Music in the Galant Style* manages to be implicitly Schenkerian while maintaining an explicitly anti-Schenkerian tone. For instance, Gjerdingen describes the «American embrace» of Schenker's «chauvinistically German doctrine» as «theory-driven historiography» [Gjerdingen 2007, 435].⁶ While I agree with Gjerdingen's historically valid critique of Schenker's narrow purview and with Gjerdingen's humanistic approach towards understanding the galant style, the Italian schemata he presents as part of a «cognitive hierarchy» nevertheless reveal that both Schenker and the Italians were concerned with figured bass and voice-leading [*ibid.*, 425]. To delimit Schenker's theoretical and analytical contributions – especially in a general way by not specifying, for instance, those before or within *Free Composition* – as inextricably bound to his ethnic prejudices, while certainly progressive and noble, also reflects an equally partisan view that leaves little space for a nuanced appreciation or complementary integration.

I will expand on Gjerdingen's theory below, but first there is another partimento theorist who actually finds room to include Schenkerian comparisons and contributions towards understanding common-practice eighteenth-century contrapuntal progressions. For example, Giorgio Sanguinetti writes in *The Art of Partimento* of an ascending stepwise bass line that can be harmonised a number of ways. A typical accompaniment, shown in Ex. 1 (Sanguinetti's Ex. 9.33), features an 8-7-6-interval pattern against the ascending bass line. During each repetition of this pattern, the recouping of the octave to prepare the suspension followed by the inevitable melodic descent (the resolution) embodies a particular Schenkerian diminution. As Sanguinetti suggests: «This technique has much in common with the Schenkerian concept of reaching over, or *Übergreifen*. Indeed, Heinrich Schenker describes *Übergreifen* as the result of the transfer of an inner voice to a position higher than the structural top voice» [*ibid.*, 138]. In other words, because the sevenths must descend, they serve as upper neighbour notes to the sixths; the octaves will be demoted or subsumed as projections from the bass.⁷ Fig. 4

6. Regarding the reception of Schenkerian theory in the United States, David Carson Berry provides a detailed history [Berry 2005].

7. Given this didactic example and Sanguinetti's brief overview of «reaching over», the latter may deserve some further explanation. Allen Cadwallader and David Gagné describe *Übergreifen*

reveals the basic ascending sequence of parallel sixths that prolongs the dominant between two tonic harmonies.



Ex. 1. The ascending partimenti in major (a) and minor (b) are decorated with 7-6 suspensions [Sanguinetti 2012, 138].

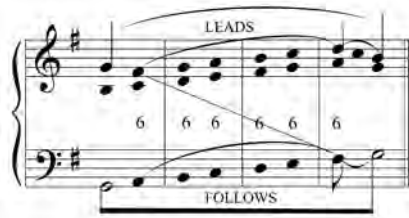


Fig. 4. Schenkerian middleground layer of Ex. 1a.

However, Sanguinetti also notes the following crucial distinction between composition and improvisation: «In partimento schemata, this overlapping is only hinted at, but in musical literature [...] the two voices involved in this motion often actually overlap each other» [*ibid.*]. Textures with four or more voices, as shown in Ex. 2 (Sanguinetti's Ex. 9.27), provide greater opportunity for literal voice overlap. By looking closely at the stem direction in the treble system of Ex. 2, the alto voice leaps over the soprano voice as both voices contribute to an elaborated linear ascent from F in b. 1 to D $\flat$ in b. 3.

as «a technique by which a *descending* tone succession decorates and prolongs a single tone or expands a broader *upward* motion, such as an arpeggiation, an upper neighbor figure, or a rising linear progression» [Cadwallader-Gagné 2007, 139-140; orig. italics]. In this case, the descending 7-6 motion embellishes a rising linear progression from F $\sharp$ to D.

Grave

Ex. 2. Pergolesi, *Stabat Mater*, opening bars [Sanguinetti 2012, 131].

Furthermore, Sanguinetti alludes to a subtle distinction between performance practice – or a kind of learned improvisation from a given partimento (e.g., Ex. 1) – and serious composition (e.g., Ex. 2) in the following observation: «Obviously, in partimento playing the stepwise ascending line is the only perceived effect, and the notation does not need to be rigorous» [*ibid.*, 131]. According to Matthew Brown [2010], this is a distinction that C. P. E. Bach also shared in his *Essay on the True Art of Playing Keyboard Instruments*. Although he viewed Bach as one of his select heroes,⁸ Schenker considered improvisation and composition as nearly synonymous activities. According to Brown, Schenker simultaneously favoured the «similarities rather than the differences» between composition and improvisation and «believed that composers acquire their sense of long-range coherence by improvising» [*ibid.*, 20-22].

It is perhaps from this Schenkerian context that some scholars – namely David Damschroder and David Temperley – have critiqued *Music in the Galant Style* for its curious exclusion of Schenker's concepts in favour of a position that conceives of eighteenth-century musical form as practiced excellence in the sequential deployment of individual schemata.⁹ Damschroder, for instance, notes the following omissions from the treatise: «Though Gjerdingen acknowledges that his

8. As is well known, Schenker saw his theories as an extension of both Fux and C. P. E. Bach's eighteenth-century treatises on counterpoint and thoroughbass, respectively [Schenker 1979, XXI-XXII].

9. One of Gjerdingen's inspirations for this theory is Leopold Mozart's remark about good compositional technique and *il filo* ("the thread") [Gjerdingen 2007, 369-397].

perspective addresses only part of what constitutes galant music, his 500-page tome does not offer samples of how a synthesis with other analytical methodologies might be» [Damschroder 2012, 167]. Furthermore, Temperley observes the following in his review:

[Although] there is little evidence for large-scale Schenkerian structures (e.g., the *Ursatz*) in galant compositional thought, lower-level Schenkerian structures – middleground linear and harmonic progressions – often seem quite relevant and readily apparent. Indeed, there is a Schenkerian aspect to Gjerdingen’s own methodology, in that the schemata he posits are essentially middleground voice-leading patterns that can be elaborated in a variety of ways; and many of the schemata are in fact patterns often seen in Schenkerian analysis [Temperley 2006, 288].

While Temperley speaks in general terms, it is clear that Schenker noticed a pattern similar to one of Gjerdingen’s schemata in at least one of his less-conservative publications prior to *Free Composition*. Consider Schenker’s 1923 *Der Tonwille* analysis of the first movement of Mozart’s Piano Sonata in C Major, K 545; two excerpts have been reproduced in Fig. 5. Schenker tracks a decorated fifth progression throughout the movement and annotates this pattern with brackets and scale-degrees above the top staff. For Schenker, the most noticeable instantiations of this pattern – which resembles Gjerdingen’s Prinner (see Fig. 6) – lie in two different locations: first, the initial appearance in bb. 5-8, and second, the two consecutive decorated progressions at bb. 46-49 and 50-53 that enact a modulation back to the tonic (C major). Both Gjerdingen and Schenker view these reoccurring patterns as structurally significant parts of the movement.¹⁰



Fig. 5. Two excerpts (bb. 1-12 and 46-57) from Schenker’s 1923 analysis of the first movement of K 545 [Schenker 2004, 157].

10. Gjerdingen suggests «one might better subtitle this work *The Art of the Prinner*» [Gjerdingen 2007, 359].

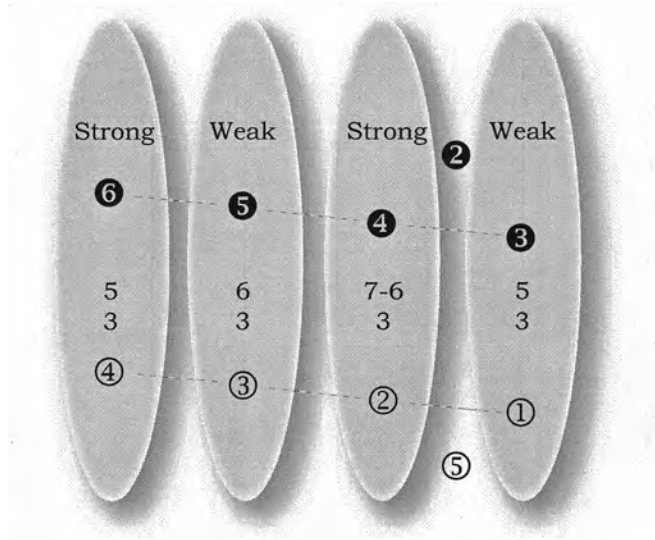


Fig. 6. The Prinner schema in scale-degrees and figured bass notation with metric preferences [Gjerdingen 2007, 455].

In spite of this coincidence, theorists who follow contemporary schema theories, such as Gjerdingen's, seem to turn a blind eye to Schenker. Vasili Byros, for example, writing on the Prinner in his review of *Music in the Galant Style*, states that he has not found this «stereotyped phrase in the discourses of modern music theory» [Byros 2012, 116]. Yet Schenker even shows the scale-degree reinterpretation during the modulating Prinner in bb. 46-53, a particular form of the Prinner that is also «lost on modern ears» [*ibid.*]. Semantically, Gjerdingen and Schenker differ in the interpretation of basically the same musical pattern, but it is a pattern that undoubtedly stood out to Schenker in this piece well before Gjerdingen named it.

4. Motion towards the goal: Schenker and Sonata Theory

Contrary to Caplin and Gjerdingen, Hepokoski and Darcy consider the Schenkerian implications of their Sonata Theory, as they outline in a short section of their *Elements of Sonata Theory* [Hepokoski-Darcy 2006, 147-149]. Further, they quote Schenker directly as a qualified influence when introducing the historical contexts of Sonata Theory in the following description:

At the heart of [Sonata Theory] is the recognition and interpretation of *expressive/dramatic trajectories towards generically obligatory cadences*. For the present, we might only register the degree to which this concern resonates with Heinrich

Schenker's much-quoted description of musical motion and dramatized process in *Free Composition* (*Der freie Satz*, 1935): The goal and the course to the goal are primary. Content comes afterward: without a goal there can be no content. In the art of music, as in life, motion towards the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from which the creative mind can derive content that is ever new [Hepokoski-Darcy 2006, 13; orig. italics].

At the same time, Hepokoski and Darcy are critical of certain Schenkerian interpretations that supposedly do not fit with their theory. Consider, for instance, one subsequent Schenkerian analysis of the first movement of Mozart's Piano Sonata in C Major, K 545. John Snyder [1991] argues that the apparent recapitulation in the key of the subdominant at b. 42 does not signal a true recapitulation – where both the primary theme and tonic key return simultaneously, or what James Webster [1986] calls a «double return» – but instead signals the continuation of the development. Fig. 7 (Snyder's Fig. 9b) shows a middleground Schenkerian analysis of this movement that features an extended prolongation of the *Kopftón* beyond b. 42. Hepokoski and Darcy criticise Snyder for «overlooking the rotational principle» of this sonata [Hepokoski-Darcy 2006, 267 n. 21]. However, Snyder's view actually supports one of their principal concepts – the Type 2 Sonata, or the «sonata without recapitulation» [*ibid.*, 353 et seq.]. Fig. 8 (Hepokoski and Darcy's Fig. 17.1) reproduces the layout of a Type 2 sonata form. Hepokoski and Darcy suggest that one could indeed interpret the subdominant «recapitulation» as part of a development section that signals the second rotation of themes in a «double-rotational sonata that had included no self-standing, independently rotational (or episodic) developmental space» [*ibid.*, 267]. Indeed, there is no double return of primary theme and tonal harmony, thus this movement could be interpreted as being in dialog with their Type 2 paradigm. Even though Hepokoski and Darcy consider this movement an ambiguous case that transcends a single sonata type and encourage analysts to «explore the compositional interaction between the two principles», they paradoxically «cannot endorse» Snyder's Schenkerian interpretation [*ibid.*, 267 n. 21].¹¹

11. Hepokoski and Darcy are hesitant to call the first movement of K 545 a particularly solid example of their Type 2 sonata. Instead, it exhibits the qualities of both the Type 2 and the Type 3 sonata, which betrays a flexible aspect of Sonata Theory. (The Type 3 sonata conforms to the typical textbook definition of sonata form with three parts: exposition, development and recapitulation.) Specifically, Hepokoski and Darcy consider this movement as a «Type 3 variant» with Type 2 aspects, such as the apparent extension of the Closing Zone following the repeat sign at b. 29 [Hepokoski-Darcy 2006, 266-267]. However, the Type 3 interpretation mandates that bb. 29-42 are interpreted as a true development section that leads to a true recapitulation in the wrong key, which nullifies any hard requirement of a double return for a recapitulation.

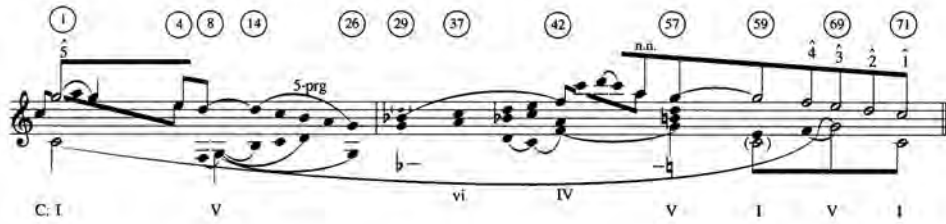


Fig. 7. An uninterrupted Schenkerian analysis of the first movement of K 545 [Snyder 1991, 68].

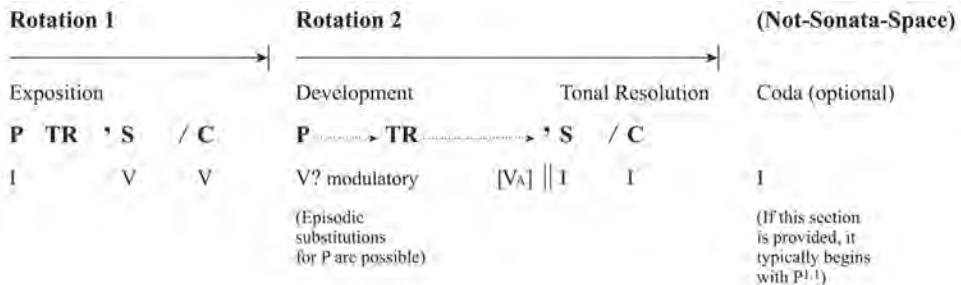


Fig. 8. An overview of the Type 2 sonata [Hepokoski-Darcy 2006, 354].

A deeper understanding of the similarities between Schenkerian analysis and Sonata Theory illustrates how they serve complementary roles. Like Schenker's theory of organic coherence and Caplin's formal functions, Sonata Theory operates through a hierarchy and is teleological. For example, in the recapitulation the goal of a secondary theme that begins in the tonic key is to secure or confirm that tonic through a perfect authentic cadence called the Essential Structural Closure (ESC). Hepokoski and Darcy write the following about the structural significance of a perfect authentic cadence that closes a tonic secondary theme: «The tonic is solidified and stabilized only at or very near the end, at the point of the I: PAC [i.e., perfect authentic cadence in the tonic key] that completes the generically obligatory musical process towards which the block had been driving – the ESC» [*ibid.*, 231]. Sonata theory specifically operates under a hierarchy of cadences and «the most structurally important cadence in a sonata is the ESC (completing the essential sonata trajectory) – the generic goal towards which an entire sonata form strives» [*ibid.*, 250]. In the first movement of K 545, the ESC occurs at b. 71 and marks the first satisfactory I: PAC in the second rotation of themes that essentially closes the sonata. It fulfils the promise of its parallel dominant moment in the exposition at b. 26, the Essential Expositional Closure (EEC).

An accompanying graph like Snyder's complements these general descriptions of Sonata Theory modules and structural cadences with the details of harmony and voice leading. It shows how the final descent of the *Urlinie* coincides with the first significant perfect authentic cadence in C major (the ESC) of the entire movement and also conveys the sonata-without-recapitulation concept through a Schenkerian graph. Further, Hepokoski and Darcy's main critique of Snyder's analysis, which amounts to Snyder ignoring Sonata Theory's definitive outer-form rotational principles, is a specious claim because Snyder's article was published well before Hepokoski and Darcy's novel ideas became prominent.

Crucially, Snyder departs from Schenker's own published graphs of this piece: in his 1923 *Der Tonwille* analysis, Schenker considers the subdominant return of the primary theme as one of Mozart's «brilliant stroke[s]»; twelve years later in *Free Composition*, Schenker's graph of this movement features an interrupted third progression that completely disregards the subdominant return, as shown in Fig. 9 (Schenker's Fig. 47). As Schenker's theories evolved over his life, his graphic representations of sonata form movements became increasingly axiomatic in that he began to equate the start of the recapitulation with the regaining of the *Kopft*on and tonic harmony. For example, in *Free Composition* Schenker declares the following condition: «Only the prolongation of a division (interruption) gives rise to Sonata Form» [Schenker 1979, 134].¹² In *Der Tonwille*, however, Schenker provides a less conservative graph of the first movement of K 545, which may have inspired Snyder to question the validity of Schenker's approach to sonata form in *Free Composition*, hence the subtitle of Snyder's article (*An Uninterrupted Sonata-Form Movement?*). Moreover, a deeper conceptual dissonance is present upon considering the following: if sonata form can only be generated, in Schenkerian terms, through an interrupted structure – which almost mandates a double return – then how can this concept be applied to a sonata without a recapitulation (i.e., the Type 2 sonata) in Sonata Theory terms?

12. Schenker marks the presence of an interrupted structure with the parallel vertical lines located above the repeat sign in the middle of the upper staff of Figure 9. He started making this annotation in the third and final volume of his *The Masterwork in Music* series [Schenker 1997], which was published in 1930.

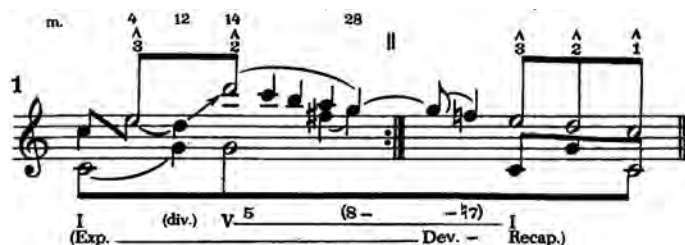


Fig. 9. Schenker's 1935 analysis of the first movement of K 545 from *Free Composition* [Schenker 1979, Fig. 47].

An answer to this question requires a degree of flexibility and creative reinvention on the part of Sonata Theory adherents and Schenkerians. William Marvin, for example, identifies the problem with maintaining that the concept of interruption logically works in sonatas that fall into a dialogue with the Type 2 model, such as the first movement of Mozart's Piano Sonata K 311, as follows:

From a Schenkerian perspective, the lack of a double return has implications for the musical form at the deepest level of voice-leading. A strict application of Schenker's theories precludes deriving this movement from an interrupted *Urlinie*. Even a looser application of interruption – one that denied the requirement of thematic and tonal reprise – leaves open the question of where the recovery of $\hat{3}/I$ occurs [Marvin 2012-2013a, 235-236].

At least in the case of Fig. 9, Schenker privileges harmony over melody – a double return notwithstanding.¹³ Regardless, Hepokoski and Darcy's ambivalence about the form of the first movement of K 545 should be accepted because it reflects a situation that Schenker and many other analysts have encountered – whether or not the analyses follow one methodology or another.¹⁴ By writing a musical analysis, each individual attempts to accurately transform the musical work into their personal experience following a period of reflection on the work itself: a process, according to Carl Dahlhaus, that «never achieves closure» [Dahlhaus 1980, 215, cit. in Damschroder 2012, 182]. The unique differences between each method, then, are never trivial.

13. Marvin [2011] uses Fig. 9 as an example of «Interruptions Without Reprise» in Schenker's *Free Composition*. Further, William Drabkin and Suzannah Clark also observe Schenker's re-assignment of the recapitulation in his later analysis [Drabkin 2002, 828, n. 21; Clark 2011, 209].
14. Other notable Schenkerian analyses of this movement include Sly-Laufer [2001] and Wen [2002]. I would also like to thank Nicolas Meeùs for sharing his unpublished article, *Mozart, Sonata en do majeur, DV545, premier mouvement, Allegro*, which includes a history of the struggle Schenkerians have experienced with this movement.

5. Conclusion

It is interesting that Schenkerians of the twenty-first century embrace the present array of options regarding *Formenlehre*, given Schenker's strong dismissal of his contemporaries and many of his predecessors.¹⁵ In fact, the situation seems to be inverted for at least two reasons. The first one is quite simple: those of us who engage in the work of music theory and analysis are influenced by multiple sources of prior knowledge whether we are aware of it or not. The second, more specific, reason comes from the general (mis)understanding of Schenker's incomplete *Formenlehre* as written in his final treatise, *Free Composition*.

It is worth noting, however, that around the turn of the twenty-first-century, Schenkerian research has blossomed into a dedicated field of variegated nuance. For example, theorists and musicologists have collaborated to produce more English translations of Schenker's published analytical work in German, such as the two *Der Tonwille* volumes and the three *Meisterwerk* volumes [Schenker 1994; 1996; 1997; 2004; 2005]. Further, archival research in the Oster Collection, the Felix Salzer Papers and the ongoing Schenker Documents Online project continue to lift the veil on Schenker's methods of teaching, working and thinking. During the same calendar year, two different music theorists published massive bibliographies devoted to Schenkerian research [Berry 2004; Ayotte 2004]. Other historical projects [e.g., Cook 2007] elucidate and magnify the implications of Schenker's cultural and political views on his musical ideas.

Furthermore, recent publications reveal an eagerness among some theorists to compare, debate and present complementary analyses of the same passages of music using both Schenkerian analysis and other methods. For example, comparisons between Schenkerian theory and Neo-Riemannian functions [Rings 2007; Goldenberg 2007], phrase rhythmic designs [Beach 2012; Ng 2012], performance considerations [Schenker 2000; Bergé-D'hoë-Caplin 2009; Bergé-D'hoë-Schuermans 2012], and Sonata Theory [Cadwallader 2008b; Darcy 2008] have been presented in the *Journal of Schenkerian Studies* and at the Fourth and Fifth International Schenker Symposia in New York City.¹⁶ One recent monograph, in particular, David Damschroder's *Harmony in Haydn and Mozart* [2012], confronts the work of other theorists directly through an analytical forum. Favouring a particularly harmonic flavour of Schenkerian analysis and Hepokoski and Darcy's

15. According to Jason Hooper, Schenker was particularly dismissive of the *Formenlehren* of A. B. Marx, J. C. Lobe, E. F. Richter, Hugo Riemann and Anton Bruckner (Schenker's teacher) [Hooper 2011, 37].

16. In 2013, the second volume of articles that stemmed from the Fourth International Schenker Symposium was published [Burstein-Rogers-Bottge 2013]. While Schenkerians wait for the articles from the Fifth International Schenker Symposium that was held in March 2013, reports about the conference have been published [Marvin 2012-2013b; Koslovsky 2013].

Sonata Theory, Damschroder aims to reveal intersections, alternatives and contradictions between his methodology and that of his selected peers.¹⁷

In *The Schenker Project*, Nicolas Cook notes the following about the future of Schenkerian studies:

A Schenkerian – or post-Schenkerian – analytical practice predicated on the interaction of different parameters or structural principles needs ways of representing such interaction more explicitly than the traditional Schenkerian graph, whether through the incorporation of different elements within a single representation or through the use of complementary representations [Cook 2007, 295-296].

Instead of ignoring the plethora of insightful contemporary and previous thinkers on form in tonal music, embracing certain aspects of their thought can potentially allow us to make progress. If we are able and willing to shift our understanding of any one of these theories from fully systematic or autonomous to something more measured and open, then we can begin view these ideas as thoughtful analytical guidelines that allow us to realise musical works from multiple angles. Just as Schenker insisted that «it is the temporal-horizontal axis of musical motion [...] that alone generates musical content» [Schenker 1997, 2], we find theorists today engaging with similar exclusionary arguments. Instead of following Schenker's lead in that regard, let's embrace the diversity of ideas about form in tonal music for the health of our music theory enterprise.

17. *Harmony in Haydn and Mozart* inspires the present article, as I find that Damschroder successfully integrates the outer form frames of Sonata Theory with the inner form structure of Schenkerian analysis [Mathews 2014]. For example, Damschroder [2012, 166-182] uses Hepokoski and Darcy's Type 2 sonata as an outer form to his Schenkerian analysis of the third movement of Haydn's String Quartet in G minor, Op. 20, No. 3, which features a subdominant return of the Primary Zone at b. 66. In other words, like Snyder's analysis of K 545, Damschroder considers this return as part of the form's development section.

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Sintesi dell'articolo

Questo lavoro prende le mosse da tre recenti volumi sulla forma musicale – di William Caplin (*Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, Oxford University Press, New York 1998), James Hepokoski e Warren Darcy (*Elements of Sonata Theory*, Oxford University Press, Oxford-New York 2006) e Robert Gjerdingen (*Music in the Galant Style*, Oxford University Press, Oxford 2007) – per interrogarsi sulle ragioni del loro atteggiamento contraddittorio nei confronti di Schenker e dell'analisi schenkeriana. Tale atteggiamento si manifesta nella tendenza a riprendere in modo più o meno esplicito idee sviluppate da Schenker, ma al tempo stesso a sminuire e ridimensionare i concetti schenkeriani, a polemizzare apertamente con il loro ideatore e a contrapporre ai risultati delle sue analisi le proprie interpretazioni. L'approccio sviluppato da Gjerdingen sulla base degli schemi e dei partimenti italiani del secolo XVIII è stato ampiamente criticato proprio per questa ragione (D. Temperley, *Review of Music in the Galant Style, by Robert O. Gjerdingen*, «Journal of Music Theory», 50/2, 2006, pp. 277-290). Al tempo stesso, Caplin e Hepokoski e Darcy hanno dimostrato una certa resistenza a considerare le loro rispettive metodologie di analisi come approcci complementari a quello lineare-contrappuntistico dell'analisi schenkeriana (*Musical Form, Forms and Formenlehre: Three Methodological Reflections*, ed. by P. Bergé, Leuven University Press, Leuven 2009; M. Ohriner, *On Methodological Pluralism in Music Analysis*, «Indiana Theory Review», 28/1-2, 2010, pp. 143-156).

Anche la *Formenlehre* di Schenker è stata criticata dagli studiosi tanto per le sue incongruenze e lacune quanto per le eccessive pretese di innovatività (C. Smith, *Musical Form and Fundamental Structure: An Investigation of Schenker's Formenlehre*, «Music Analysis», 15/2-3, 1996, pp. 191-297). D'altra parte, recenti indagini d'archivio hanno suggerito che la *Formenlehre* di Schenker non è poi così innovativa come si pensava un tempo: nonostante il rifiuto polemico, essa incorpora non pochi elementi della *Formenlehre* tradizionale (J. Hooper, *Heinrich Schenker's Early Conception of Form, 1895-1914*, «Theory and Practice», 36, 2011, pp. 35-64).

Alla luce di queste considerazioni, l'articolo cerca di dimostrare come l'analisi schenkeriana possa essere considerata a tutti gli effetti un approccio complementare alle tre recenti prospettive teoriche prese in esame. La prima parte dell'articolo spiega in che modo la terminologia e la concezione gerarchica della forma musicale di Caplin possa essere utilmente accompagnata da grafici schenkeriani di supporto. La seconda mostra come Schenker, nella sua analisi del primo movimento del K 545 di Mozart del 1923, adotti uno schema del tutto simile al "Prinner" di Gjerdingen,

che viene considerato come un modello strutturale ricorrente. La terza parte, infine, nega che l'interpretazione schenkeriana della sonata mozartiana K 545 di John Snyder (*Schenker and the First Movement of Mozart's Sonata K.545: An Uninterrupted Sonata-Form Movement?*, «Theory and Practice», 16, 1991, pp. 51-78) possa allinearsi allo schema della Sonata di Tipo 2 di Hepokoski e Darcy.

Joel Galand

SOME SCHENKERIAN IMPLICATIONS FOR SONATA THEORY

Abstract

In *Elements of Sonata Theory* (2006), James Hepokoski and Warren Darcy devote comparatively little space to the Schenkerian implications of their approach, but what they do write is intriguing, opening up broad avenues for research. This article contributes to that project by confronting Schenkerian theory with the hierarchy of “default” strategies that Hepokoski and Darcy erect around the “medial caesura” (MC). In their “first-level default” exposition type, an MC on a half-cadential V in the new key effects a two-part division at the juncture between transition and secondary theme. Lower-level defaults include the possibility of an MC being articulated by a *perfect authentic cadence* in the new key (i.e., no local “interruption” effect). Techniques like the “blocked MC” may attenuate the caesura, or there may be more than one MC (as in the “tri-modular” block), or the MC may be absent altogether, yielding a “continuous”, rather than two-part, exposition. How do these strategies collectively provide a conceptual scheme against which we can map possible Schenkerian middleground approaches to the $\hat{2}/V$ of the underlying interruption form? Conversely, how can Schenkerian voice-leading transformations provide a grid for categorizing and elucidating Hepokoski and Darcy’s defaults?

In their monumental *Elements of Sonata Theory*, James Hepokoski and Warren Darcy [2006] devote comparatively little space to the Schenkerian implications of their approach, but what they do write is intriguing, opening up broad avenues for research. This article contributes to that project.

In a brief passage entitled «Some Schenkerian Implications» [*ibid.*, 147-149], Hepokoski and Darcy are concerned with showing, first of all, how their parsing of sonata form maps onto Schenker’s model. To that end, they provide the graphs (not actually by Schenker) reproduced here as Fig. 1a and juxtaposed with Fig. 1b, their model of a two-part sonata exposition.

EXAMPLE 7.7a Schenkerian Views of Sonata Form: Major mode

Exposition Development Recapitulation

PT. 1 PT. 2 PT. 1 PT. 2

I V 8-7 I V I

EXAMPLE 7.7b Schenkerian Views of Sonata Form: Minor mode

Exposition Development Recapitulation

PT. 1 PT. 2 PT. 1 PT. 2

i III V 6 8-7 i V i

Fig. 1a. Summary of Schenkerian sonata-form paradigms [Hepokoski-Darcy 2006, 148].

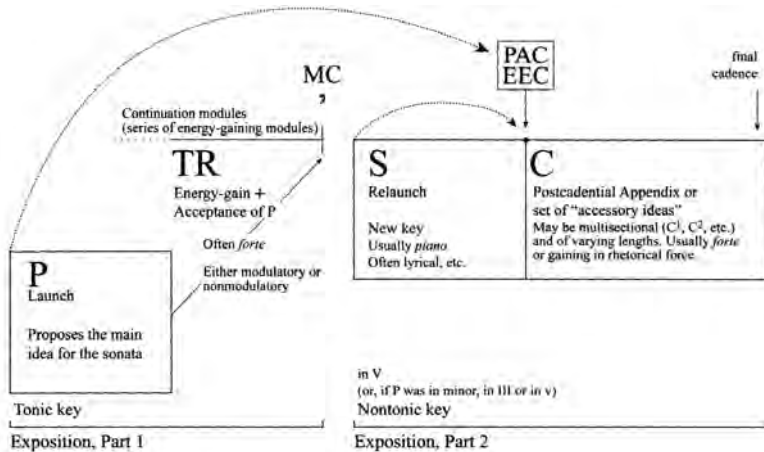


Fig. 1b. Map of the two-part exposition [Hepokoski-Darcy 2006, 17].

In the two-part exposition, there are two main trajectories: the first begins with the primary theme (P), gains energy through the transition zone (TR), and comes to a stop with the medial caesura (MC). The second trajectory occupies the secondary-theme zone (S) and leads to the essential expositional close (EEC). Secondly, Hepokoski and Darcy speculate on how their notion of the EEC might correspond to Schenker's fifth-progression, or *Zug*,¹ in the key of the dominant that prolongs scale degree $\hat{2}$, specifically the $\hat{2}$ to which the first branch of the Schenkerian interruption paradigm is directed. When, as is often the case, the second part of the exposition contains several such fifth-progressions, which one corresponds to the EEC? Hepokoski and Darcy, in line with eighteenth-century and early nineteenth-century theorists like Koch and Reicha, and also with Rothstein [1989, 116], generally opt for the first satisfactory perfect authentic cadence (PAC) in the new key, while identifying the many rhetorical strategies by which the EEC might be deferred, an already achieved PAC notwithstanding. Consequently, for Hepokoski and Darcy, the closing group (C) of a sonata exposition may assume monumental proportions and include several linear progressions in the new key. William Caplin, on the contrary, has argued for including within S all phrases effecting PACs in the new key, while restricting C to codettas with no cadential content [Caplin 1998, 99]. Published responses to Hepokoski and Darcy's *Sonata Theory* and to Caplin's *Theory of Formal Functions* have typically seized upon their conflicting demarcations of secondary and closing zones [Bergé 2009]. The main arguments have been summarised and evaluated elsewhere in light of Schenkerian theory [Galand 1999; 2013a; 2013b]. What follows, therefore, leaves aside Hepokoski and Darcy's own musings on the Schenkerian implications of their work, focusing instead on another aspect of Sonata Theory – namely the hierarchy of default strategies the authors erect around the medial caesura (MC).

Tab. 1 summarises Hepokoski and Darcy's array of MC options.² How do these strategies collectively provide a conceptual scheme against which we can map possible middleground approaches to the $\hat{2}/V$ of the underlying interruption form? Conversely, how can Schenkerian voice-leading transformations provide a grid for categorising and elucidating Hepokoski and Darcy's various strategies?

1. Because Hepokoski and Darcy tend to adopt the German *Zug* rather than the current English equivalent, I will sometimes follow their usage, especially when engaging closely with their text.
2. Tab. 1 does not pretend to catalog every type of modification or "deformation" that appears in Hepokoski and Darcy's work, but it lists their four principal possibilities (i.e., "defaults") and a few representative modifications, of which the most relevant for the present article are the "blocked medial caesura" and the "trimodular block".

	Major	Minor
First-level default	V: HC	III: HC or v: HC
Second-level default	I: HC	i: HC
Third-level default	V: PAC	III: PAC or v: PAC
Fourth-level default	I: PAC	i: PAC

Medial caesura modification:

- **Caesura fill (CF):** Anything from a perfunctory filling-in of a General Pause to an elaborate descending linear progression over V of the new key that can produce a V: PAC effect, thereby vying for status as a V: PAC MC or even as an EEC.

Some examples of MC Deformations:

- **Inversion of V or V⁷ at MC point** (e.g., Beethoven, *Coriolan* Overture).
- **VII: PAC MC in minor** (e.g., Beethoven, Piano Sonata in D op. 10 no. 3, second movement).
- **“Wrong key” MC** (the CF may accomplish the actual modulation, as in Schubert’s “Unfinished” Symphony, first movement).
- **Blocked MC:** energetic TR runs into a blockage on a predominant or cadential 6/4, at which point texture and dynamics are typically reduced and there appears «a CF-like passage that ends with a gentle V: PAC elided or flush-juxtaposed with the onset of S» [Hepokoski-Darcy 2006, 47].

Multiple MCs:

- **MC declined (a few of several possibilities):**
 - o Return to tonic after a proposed I: HC MC (e.g., a grand antecedent is followed by a grand consequent of the dissolving type leading to the actual MC).
 - o A proposed I: HC MC is followed by new material (sometimes S-like in all other respects) in tonic key.
 - o After a proposed I: HC MC, music suddenly veers off into an unexpected key and, rather than producing a PAC in the proper key, leads to further TR, which produces the definitive MC.
 - o After a proposed first-level default MC, the new key is accepted, but further TR rhetoric ensues, rather than a proper S (e.g., Haydn, Symphony No. 85 “La Reine”, first movement). This category shades into the TMB (below).
- **Postmedial Caesura (PMC):** Additional MC effect, following an otherwise satisfactory PAC. The material leading up to the PMC, at first presumed to be in C-space, is reinterpreted as an S² (e.g., K 332, first movement, bb. 56-86, with PMC at b. 70).

- **Trimodular Block (TMB):**

P	TR	TM ¹	⇒ TM ²	TM ³	C
I	→I: HC MC	V (S-rhetoric but unable to produce EEC)	→→V: HC MC (dissolves back into TR rhetoric)	→V EEC (new, “successful” S)	

Tab. 1. Two-part exposition subtypes: medial-caesura defaults, options and deformations.

Of the numerous defaults, modifications and deformations Hepokoski and Darcy propose for the treatment of the MC, the first-level default is the one most expected, the one that most readily conforms to our first-blush intuitions about how sonata expositions generally work. Here, the transition leads to a half cadence (HC) on the dominant of the new key, of which the MC is the terminal gesture. In the next-level default, the MC centres on a half cadence in the original tonic. The remaining categories in Tab. 1 are analytically challenging and sometimes counterintuitive. I will explore some of these, beginning with the caesura-fill technique (CF), a seemingly straightforward modification of the MC that, upon reflection, soon enmeshes us in a dense, overlapping network of analytical options.

In most situations, the CF straightforwardly bridges a general pause (GP) between the MC and the launch of S. Even when expanded, the CF's function is usually not in doubt. Few analysts would interpret the subsequent onset of S as an elided PAC.³ It may, superficially, produce that effect, but Hepokoski and Darcy are categorical that this apparent authentic cadence is «merely local, not structural. It is not to be taken for either a PAC: MC or an EEC» [2006, 484, n. 29]. At times, though, composers actually do articulate the two-part expositional division with a PAC: MC in the new key, when no viable half-cadential caesura emerges in the preceding music. This situation corresponds to Hepokoski and Darcy's third-level default (see Tab. 1) and is not to be confused with the CF. The latter follows the MC rather than producing it; it is a post-cadential event. And yet, if a CF is sufficiently expanded – especially if that expansion features a persistent *forte* dynamic and a forceful, *Zug*-like $\hat{5}$ - $\hat{1}$ descent – things become more complicated: «Nevertheless, strong occurrences [of a CF] can give the impression of rejecting the originally sounded V: HC MC by converting it decisively into a V: PAC ('Not there... but *here!*')» [*ibid.*, 41]. One may wonder how the conversion to the V: PAC can be “decisive” if we are only dealing with an “impression”, but the rhetoric here is symptomatic of the formal complexities involved. It is indeed difficult to distinguish, analytically, between a particularly decisive CF and a V: PAC MC.

Hepokoski and Darcy's touchstone example of a V: PAC MC is the first movement of Mozart's String Quartet in D, K 155. Here, although Mozart gestures towards a possible first-level default HC MC in bb. 20-23, he abandons that option at b. 24 «in order to plunge into the emphatic V: PAC MC at bar 28» [*ibid.*, 28-29]. This is no mere caesura fill: the conversion from a potential HC to an actualised PAC is decisive, as is borne out by adopting a Schenkerian perspective (see Fig. 2).

3. Rossini's Overture to *La gazza ladra*, bb. 162-171, presents a fairly straightforward instance of an expanded CF with a weakly supported $\hat{5}$ - $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$. The passage is discussed by Hepokoski and Darcy [1997, 131-132].

P 8 12 13 TR 20 24 S C 28

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28

I II⁶ V I A: I IV [V] V (I)=V/IV IV V I

Possible V: HC MC here, but overlaps with renewed, forte activity that effects a quasi-auxiliary cadence.

V:PAC MC (H&D, 27)

Fig. 2. Mozart, String Quartet in D, K 155, first movement.

The transition ends with a middleground linear progression in the key of the dominant (bb. 24-28), one that is given strong harmonic support, albeit in the form of what Roger Kamien has termed the «quasi-auxiliary cadence» [Kamien 2005; 2006]. A linear progression articulated by a quasi-auxiliary cadence is not initially anchored by its tonic goal. The initial $\hat{5}-\hat{4}-\hat{3}$ might be supported only by $V^{8-7}-I$, or, as in K 155, the tonic might emerge only in the middle of the phrase (moreover, in this instance, it is immediately reinterpreted as an applied dominant to IV). A similar quasi-auxiliary cadence also articulates the onset of S in the first movement of Mozart's Sonata for Two Pianos, K 448/375a, which Hepokoski and Darcy use to illustrate the passage cited earlier, in which the authors seem to violate their own strictures concerning the CF («it can give the impression of rejecting the originally sounded V: HC MC by converting it decisively into a V: PAC»). In the case of K 448, they decide that the expanded CF leads to «the 'real' MC» after all [Hepokoski-Darcy 2006, 41]. How, then, do we decide whether we are dealing merely with the “impression” of a V: PAC MC or with a “decisive” or “real” one? If there is a way to clarify analytically the distinction between a CF and a PAC: MC, it might be through the lens of Schenkerian theory. As a working hypothesis, we could state that if enough of the linear progression is harmonically supported – if there is at least an auxiliary or “quasi-auxiliary” cadence undergirding the

span – then any previous “flirtation” with a potential HC: MC has been converted decisively to a PAC: MC.⁴

Hepokoski and Darcy’s fourth-level default, the I: PAC (or IAC) MC, is one of their more difficult concepts to accept. When it comes to mid-eighteenth-century sonata-forms of modest scope, such as Mozart’s Symphony in D, K 45, first movement (I: IAC MC, b. 16), we can readily agree with Hepokoski and Darcy’s contention that «the I: PAC or IAC at the end of P is asked to do double duty as the rhetorical MC» [*ibid.*, 29]. For more complex movements, however, some analysts will find it hard to wrap their heads around the I: PAC MC concept. Consider the first movement of Mozart’s String Quartet in A, K 169. Fig. 3 provides a Schenkerian graph of the exposition.

Fig. 3. Mozart, String Quartet in A Major, K 169, first movement.

There are three phrases: bb. 1-11, 12-19 and 20-34. The third phrase is organised as a sentence with a repeated, three-bar basic idea, followed by a continuation featuring fragmentation into one-bar units, and then by a two-bar cadential idea: $(2 \times 3) + [(3 \times 1) + 2]$.⁵ The continuation is expanded by means of an evaded cadence at b. 30 (bb. 30-33 present a varied repetition of bb. 26-29), and the PAC at b. 34 elides with a three-bar, post-cadential codetta. The strongest internal caesura

4. I submit, *pace* Hepokoski and Darcy, that this question of more-or-less supported *Züge* can also be decisive when there are multiple candidates for the terminal boundary of the S, namely the EEC. Schenker identified b. 83 in the first movement of Beethoven’s “Eroica” Symphony as the beginning of S (not of C, as do Hepokoski and Darcy), partly because of its new character («das erste wahrhafte Singen und Reden»), but also because the ensuing period brings about the first *Zug* that is not a *Leerlauf* (Schenker’s term for an unsupported linear progression). See Schenker [1997, 17-18] and Hepokoski and Darcy [2006, 187-190].
5. Here, and throughout this article, I adopt the terminology for inter-thematic formal functions established in Caplin [1998].

in the exposition coincides with the I: PAC at b. 11. Rhetorically, this has the hallmarks of an MC, with its octave drop in the bass and its general pause on beat 3, and perhaps for those reasons, Hepokoski and Darcy identify a I: PAC MC here. What I am nonetheless proposing as the V: HC MC at b. 19 is, to be sure, unusual in so far as the material leading to it has remained *piano* throughout – no typical TR rhetoric here. That the linear progression bringing about the subsequent EEC is of the quasi-auxiliary cadence type further attenuates the MC effect. Moreover, there is no gap at b. 19: at the moment of the half-cadential arrival, the second violin initiates the *forte* accompanimental figure to the subsequent phrase. There is a reduction in texture, however, with the remaining strings dropping out, then re-entering at b. 20. And the sentential organisation of what follows suggests that b. 20, not b. 12, initiates a theme. From the Schenkerian standpoint, bb. 12-19 constitute a well-formed TR. For these reasons, rather than identifying an early and unusual I: PAC MC at b. 11, I prefer to hear an MC at b. 19, achieved through a dominant lock on V/V – exactly halfway through the exposition, as expected – followed by a syntactically complete sentence form in the new key.

In Sonata Theory, a V: PAC at the MC point can also arise from a deformation for which Hepokoski and Darcy coin the expression “blocked medial caesura”. With the blocked MC, not only must the preceding music arouse the expectation of a first-level default MC – perhaps even to the point of achieving a dominant lock – but the energetic drive to that MC has to come to an abrupt halt. Within the elaborate network of norms, defaults, options and deformations that make up Sonata Theory, the blocked MC is one of the most difficult to describe. Here is how Hepokoski and Darcy do it:

Shortly before the expected articulation of the MC chord [...] the *forte* music seems to run into a dynamic blockage (like the hitting of a wall) perhaps on a predominant chord or perhaps with the arrival of a cadential 6/4. Thus the drive to the normal MC completion is prematurely shattered in mid-phrase. At this point the dynamics will be suddenly reduced to *piano* (suggesting, perhaps, a caesura-fill texture), and a bridge-like arc of music is cast forth to connect the blocked MC (the predominant or 6/4 chord) to the S-theme proper [...]. The expressive impact of the whole is similar to that of observing a projectile cast forth and sailing in the empty space of air in order to land gracefully at its destination. The impression provided is that a normative CF-bridge cannot be built over the empty caesura-gap. Because the normative MC was not permitted to occur, one cannot properly anchor the CF on this side of the gap. Lacking this anchor, something else will have to be shot forth over the abyss, something that will land on the S-side of the chasm. The blocked MC effect usually results in a gentle CF-like passage that ends with a gentle V: PAC elided or flush-juxtaposed with the onset of S. [Hepokoski-Darcy 2006, 47].

The writing here is impressively catachrestic: a drive ends by hitting a wall; the wall dissolves to reveal an abyss over which a bridge-like arc, unanchored on one side, fails to provide access; only flight will access the other side. It is scarcely surprising that the musical passages Hepokoski and Darcy cite to illustrate the blocked MC are all analytically challenging.

But is it necessary to invoke the blocked MC to parse the first-movement exposition of Haydn's Symphony n. 83 ("La Poule")? Hepokoski and Darcy hear such a blockage on the cadential 6/4 at b. 41. In their reading, the V: PAC that follows b. 45 constitutes the MC, and what follows is the S [*ibid.*, 47]. Fig. 4 presents a Schenkerian graph of the passage in question, from the onset of the TR at b.17 through what Hepokoski and Darcy deem the beginning of S.

DISSOLVING CONSEQUENT

Fig. 4. Haydn, Symphony n. 83 in G Minor "La Poule": TR and S with possible "blocked medial caesura".

The graph is annotated to entertain both their reading and mine. The issue at hand is whether Haydn actually sets up «the expected articulation of [an] MC chord» in the music immediately leading up to b. 41. Bars 33-36 form a standard, tonally stable sentence presentation (2×2), and the continuation introduces the expected fragmentation of the basic idea. Once the predominant ii6 has been extended for three bars (38-40) and moved onto the cadential six-four (bb. 41-43), it becomes evident that we are in the midst of the type of sentence continuation that is based on an expanded cadential progression.⁶ For the blocked MC inter-

6. On sentence continuations based on expanded cadential progressions, see Caplin [1998, 19-20].

pretation to work here, there would have to be signals of an imminent MC somewhere around bb. 38-40. Such signals are not forthcoming, or, in any case, they are much weaker than those sounded earlier (bb. 25-30), where there was another extended ii6 that did drive effectively to a III: HC via a characteristic $\hat{4}\text{-}\hat{\#4}\text{-}\hat{5}$ bass progression. Might we not regard b. 17 as initiating a normative TR of the dissolving consequent type (bb. 1-16 end with a half cadence, and bb. 17-18 repeat bb. 1-2), attaining a dominant lock in the new key at b. 30? In this reading, bb. 31-32 present a CF featuring a $\hat{6}\text{-}\hat{5}\text{-}\hat{4}\text{-}\hat{3}$ descent; S, an expanded sentence form, follows in bb. 33-45. From the Schenkerian standpoint, that sentence comprises a complete tonal utterance in the key of III; unlike our two preceding examples, there is no auxiliary or quasi-auxiliary cadence that could conceivably attenuate the thematic onset at b. 35 and push the MC articulation forward to b. 45.

In contrast to Haydn's "La Poule", the exposition of Mozart's "Linz" Symphony [Hepokoski-Darcy 2006, 47] presents an altogether more persuasive instance of the blocked medial caesura; the concept provides a beautiful way into the movement's puzzling path to the S. The drive towards the MC effectively "hits a wall" with the expansion of II beginning at b. 58. This pre-dominant expansion continues, with flagging energy, descending register, and reduced dynamics, until b. 66, where a potential V: HC MC immediately yields to a lyrically expressed auxiliary cadence that effects a V: PAC MC instead. From the Schenkerian perspective (see Fig. 5), the auxiliary cadence goes a long way towards making the blocked MC interpretation persuasive, fusing the approach to the PAC at b. 71 with the rest of the TR into a single formal and tonal gesture. (That the S begins off tonic, on a tonicised submediant, means that the MC PAC goal of the TR does double duty as the initiation point for the bass arpeggiation that supports the S.)⁷

7. My discussion of the auxiliary cadence here is indebted to Laufer [1999]. Hepokoski and Darcy cite the first movement of Mozart's "Prague" Symphony and the Overture to *Idomeneo* as further instances of the blocked MC [Hepokoski-Darcy 2006, 47]. In the former, an auxiliary cadence effects the V: PAC MC, as in the "Linz". In the latter, however, only a caesura-fill over dominant pedal bridges the gap between the cadential 6/4 at b. 41 and the S at b. 45.

P TR S

20 42 50 53 58 65 66 71 72 76/84 79/87

"blockage" on II

V: HC MC suggested at m. 66 soon yields to an auxiliary cadence, effecting a V: PAC MC instead.

I⁵ G: II V⁵ [V] V I⁶ II⁶ V I VI IV V I

Fig. 5. Mozart, Symphony n. 36 in D "Linz", K 425: TR, blocked MC, S.

If the first V: PAC occurs sufficiently late in the exposition – usually past the 65% or 70% mark – following a large, caesura-free central section, Hepokoski and Darcy abandon the MC concept, proposing instead the category of continuous exposition.⁸ Tab. 2 summarises its two subtypes, of which only the first concerns us here.

Subtype 1:	P	TR	⇒FS	EEC / C
Subtype 2:	P	TR	→ "early" PAC followed by varied cadential repetitions	→EEC / C-theme?

Tab. 2. Continuous exposition subtypes.

The transition (TR), perhaps after first suggesting a drive towards a conventional MC, merges with a large, central expansion section that eventually reaches a V: PAC. That PAC serves as the exposition's EEC; what follows is a closing section. Hepokoski and Darcy represent the central portion of this three-part scheme schematically as TR→FS, where the arrow stands for "becomes" and "FS" stands for *Fortspinnung*. Fig. 6 provides a Schenkerian representation for one of their principal examples of a continuous exposition, the first movement of Haydn's "Joke" Quartet.

8. Their discussion of continuous exposition is found on pp. 51-64; the 65-70% figure appears earlier, on p. 28.

TR ⇒ FS

B $\flat$: I⁵⁻⁶ II V 5-6 IV (V VI) II V VI IV⁵ V I (EEC)
 V: HC MC suggested Auxiliary cadence (II)

Fig. 6. Haydn, String Quartet in E $\flat$ op. 33 n. 2 “Joke”: continuous exposition.

The TR begins conventionally enough and appears to be leading towards the generically expected V: HC MC at b. 19. Instead, the passage abruptly veers off in a different direction, producing an auxiliary cadence in the new key at b. 21. That auxiliary cadence marks the midway point of the linear progression producing the $\hat{5}\text{-}\hat{4}\text{-}\hat{3}\text{-}\hat{2}\text{-}\hat{1}$ descent in the dominant key. The eight-measure phrase that completes it owes its breadth to the reinterpretation of potential cadential 6/4 chords (bb. 25-26) – imbued with the virtuoso rhetoric that often signals these chords – as passing within an expanded subdominant.

It turns out that auxiliary (or sometimes quasi-auxiliary) cadences are one of the principal means of establishing the secondary key in continuous expositions. Such is the case in the first movements of Haydn’s Symphonies n. 93, 96 and 97; of his String Quartets op. 74 n. 3 and op. 76 n. 2; and of Mozart’s String Quartet K 421 – all of which Hepokoski and Darcy cite as examples of continuous expositions.⁹ In some continuous expositions, however, the TR→FS passage suddenly grinds to a halt on a V or V⁷ chord, producing «a gap or pause that appears to function as an attempt to produce a *restored caesura* (or *compensatory caesura*)» [Hepokoski-Darcy 2006, 58]. In such instances, the closing themes that follow are not strictly closing themes at all. From a Schenkerian standpoint, insofar as

9. For Schenkerian analyses of Haydn’s Symphony n. 96, his two quartet movements, and Mozart’s K 421, see Suurpää [1999]. For Haydn’s Symphony n. 93, see Kamien [2005]. According to Miyake [2009], Haydn’s Symphony n. 97 constitutes a “hybrid” between the two-part and the continuous exposition.

they bring about a PAC in the new key (the EEC of Sonata Theory), they cannot be considered post-cadential. And yet, wedged in as they are between an evaded or suppressed PAC and the actual PAC, they may well appear as parenthetical interpolations within the overall tonal trajectory. This is what happens in the first movement of Haydn's "Drumroll" Symphony (Schenkerian graph in Fig. 7). The EEC could very well have arrived at b. 80, but Haydn evades it; the first violins jump a minor sixth from $\hat{7}$ to $\hat{5}$ to initiate a new theme, in the typically "popular" vein of Haydn's symphonic closing themes, that will produce the previously evaded $\hat{1}$ at b. 88.¹⁰

Fig. 7. Haydn, Symphony n. 103 in B $\flat$ "Drumroll": exposition.

One of Sonata Theory's signal strengths is its thorough explication of a special expositional event that Hepokoski and Darcy have dubbed the *trimodular block* (TMB) [*ibid.*, 170-177]. The TMB involves "apparent double medial caesuras" within a two-part exposition, that is, the production of an additional MC somewhere around the movement's centre. The TMB, as illustrated in Fig. 8, is a multimodular S-zone launched by an initial caesura, usually a I: HC. There follows a passage typically suffused with just enough lyricism to suggest the onset of a conventional S. Soon, however, this thematic effusion dissolves into a passage,

10. To be sure, $\hat{1}$ is so obviously the goal of the passage that one could propose an implied B $\flat$ at b. 80, in which case the EEC would arrive there, with the following phrase providing a "real" C, rather than a C-like theme. But what follows an evaded cadence of this sort is essentially a new beginning; its voice leading is cut off from what precedes it. This is why the fifth-progression in bb. 80-87 is a left-branching structure elaborating the $\hat{1}$ that arrives at b. 88, rather than the primary tone $\hat{5}$. This interpretation of the evaded cadence is congruent with Schmalfeldt [1992]; I have adopted her notational symbol for the cleft between the evasion and what follows. It also accords with Hepokoski and Darcy's notion of the C^{pre-EEC}, i.e., a theme with "C rhetoric" that itself accomplishes the EEC [2006, 59].

often marked by a renewed TR texture, that sets up a second caesura, most often a V: MC, ushering in a new, more “successful” S. As the term suggests, the TMB can be segmented into three phases: the S-like passage following the initial MC (TM¹), its dissolution leading to the second MC (TM²), and the subsequent material leading to the EEC (TM³). The initial thematic module will often merge with renewed transitional rhetoric, thus effecting a TM¹→TM² fusion.

P	TR	TM ¹	TM ²	TM ³	C
I	→I:HC MC	V	→V:HC MC	V EEC	
		(S-rhetoric but unable to produce EEC)	(dissolves back into TR rhetoric)	(new, “Successful” S)	

Fig. 8. Trimodular block (TMB) schema.

Does the material between the first and second MC in a TMB belong unequivocally to the S, as William Caplin suggests with his notion of the two-part subordinate theme [1998, 117]? This is a question that has long preoccupied Schenkerians. Consider Schenker’s oft-cited graph of Beethoven’s Piano Sonata in C op. 2 n. 3, first movement [Schenker 1979, Fig. 154/2], here reproduced as Fig. 9, which focuses on the very same passage that Hepokoski and Darcy introduce as their touchstone example of the TMB [2006, 172-175].

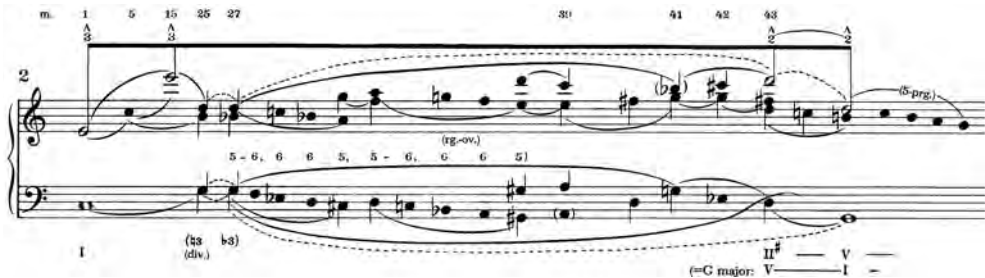


Fig. 9. Schenker’s analysis of Beethoven, Sonata in C op. 2 n. 2, first movement: exposition (Figure 154/2 of *Free Composition*).

Schenker thinks it is a mistake to read the caesura at b. 25 as initiating the second group proper: «The events in measures 27-43 may under no circumstances be taken for a prolongation of the $\hat{2}$ but must be regarded merely as an extension of the $\hat{d}^2$ which appeared over the dividing dominant in measure 25» [1979, 134]. Indeed, the overwhelming preference of Schenkerians has been to analyse the harmony supporting the independently thematised TM¹ as part of a passing motion on the way to a definitive V: HC in the new key. Fig. 10 sketches a frequently encountered paradigm in which the TM¹→TM² emerges within a chromatised voice exchange that transforms the original tonic into a dissonant preparation (usually an augmented-sixth chord) for the dominant of the new key. Fig. 10 is based on the TMB in Mozart’s Piano Concerto in C, K 467, bb. 109-127. Schenker’s analysis

In the nineteenth century, the TMB with an independently thematicised TM¹ becomes the basis for the so-called “three-key exposition”.¹⁴ From the Schenkerian perspective, however, the second key of the three-key scheme is illusory, assimilated within a larger tonal process that prepares the exposition’s definitive tonal goal. As in the Mozart and Beethoven pieces just cited, the second key might support a passing tone within a chromaticised voice exchange. Or the second key might

- 167 -

constitute the initial *Stufe* within an auxiliary cadence that composes out the third key. The latter scenario informs the sonata-rondo finale of Brahms's Piano Concerto n. 2 in B $\flat$ op. 83. Fig. 11a shows the transition (TR) and the first two modules of the TMB. The brief TR leads to a half cadence in the key of the dominant at b. 59, extended for six bars of what we might take at first to be a CF elaborating a conventional V: HC MC, but quietly veering into A minor (bb. 63-65).

Fig. 11a. Brahms, Piano Concerto in B $\flat$ op. 83, third movement: transition, TM¹ and TM².

Bars 65-80 form a parallel period in that key, with the antecedent reaching a tonicised half cadence at b. 72 (not shown in Fig. 11a), and the consequent attaining a perfect cadence. Nonetheless, the descent from $\hat{5}$ in A minor is only lightly supported and arguably reaches $\hat{3}$ only. I have designated this tentative group as the initial module (TM¹) of the trimodular block. Bars 81-88 are also organised like a parallel period, but a curious one. The antecedent (bb. 81-84) can be understood entirely as a half-cadential phrase in the dominant F major: IV-I-V/V-V. With its subdominant beginning, we might even hear it as a disguised repetition of bb. 1-4 (the rondo refrain expands a IV-V-I auxiliary cadence). We would expect the consequent phrase in bb. 85-88 to reach a PAC in F, in preparation for an S theme in the dominant, yet it returns to A minor instead. But then Brahms repeats bb. 81-88, this time “correcting” the consequent; F major definitively arrives at b. 96. I have designated bb. 81-96 as the second module of the trimodular block (TM²). It lacks obvious transitional rhetoric, but it flits delightfully between A minor and F major, settling into the goal key only at the very end. Fig. 11b. summarises the entire passage. Brahms has organised his trimodular block as a leisurely paced, III-IV-V-I auxiliary cadence in F major.

Fig. 11b. Brahms, Piano Concerto in B $\flat$ op. 83, third movement: summary of TMB.

With such constructs as the “trimodular block” and the “blocked medial caesura”, Hepokoski and Darcy’s Sonata Theory systematically describes exposition types that have previously been dealt with only in an *ad hoc* manner. It would have been beyond the scope of their already massive project for the authors to explore equally systematically the Schenkerian implications of their *Formenlehre*. This article has suggested a few ways in which Schenkerian theory can be usefully brought to bear on Sonata Theory. It turns out that specific Schenkerian transformations can be correlated fairly consistently with specific Sonata Theory expositional gambits. For example, the “blocked medial caesura” often arises when the tonic of the exposition’s second key is first established by what Schenker would call an “auxiliary cadence” (*Hilfskadenz*). Conversely, if, as is the case with Haydn’s “La Poule”, a Schenkerian reading yields a more conventional approach to the interrupting dominant, that may be an indication that the “blocked medial caesura” concept may not provide the most convincing explanation for the path to the secondary theme. Schenkerian theory does not directly address the nuances in Hepokoski and Darcy’s sophisticated mapping of sonata-form conventions, one informed by genre theory, reader response theory, and hermeneutics. And yet, as our examples suggest, in analytically challenging situations, Schenkerian analysis helps Sonata Theory decide among its own alternatives, and it enables metalinguistic descriptions of musical processes that are otherwise difficult to capture in ordinary language.

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Sintesi dell'articolo

Nel volume *Elements of Sonata Theory* (Oxford University Press, Oxford-New York 2006), James Hepokoski e Warren Darcy riservano uno spazio relativamente limitato alle implicazioni schenkeriane del loro approccio teorico, anche se le loro considerazioni risultano piuttosto interessanti e aprono diverse prospettive di ricerca. L'articolo contribuisce a esplorare questi nuovi campi di indagine attraverso un confronto tra la teoria schenkeriana e la gerarchia di strategie "canoniche" (*default*) che Hepokoski e Darcy costruiscono intorno alla cosiddetta "cesura mediana" (*medial caesura*, MC). Nell'esposizione "canonica di primo livello" (*first-level default*), una cesura mediana su una cadenza sospesa (*half cadence*, HC) sul V grado nella nuova tonalità crea una divisione in due parti esattamente in corrispondenza della congiunzione tra la transizione e il tema secondario. Le strategie "canoniche di livello inferiore" (*lower-level default*) includono la possibilità che una cesura mediana venga stabilita contestualmente a una cadenza perfetta autentica (*perfect authentic cadence*, PAC) nella nuova tonalità (in questo caso non c'è alcun effetto locale di "interruzione" basato su una cadenza sospesa). Tecniche come la "cesura mediana bloccata" (*blocked medial caesura*) possono attenuare la divisione formale; ma è anche possibile incontrare più cadenze mediane – come ad esempio nel cosiddetto "blocco trimodulare" (*tri-modular block*). O ancora, la cesura mediana può essere del tutto assente, permettendo un'esposizione continuativa anziché suddivisa in due parti.

L'articolo esamina queste strategie in una prospettiva schenkeriana, presentando analisi grafiche di opere di Haydn, Mozart e Brahms che esemplificano le varie tipologie di esposizione. L'autore si domanda in che modo le strategie di Hepokoski e Darcy, prese nel loro complesso, possano offrire uno schema concettuale in base al quale sia poi possibile tracciare una mappa di possibili approcci schenkeriani di livello intermedio (*middleground*) in concomitanza di un $\hat{2}/V$ che si appresta a una forma di interruzione. Un'altra questione che viene affrontata dall'autore è la seguente: i livelli schenkeriani di trasformazione della condotta delle voci sono in grado di offrire una griglia per definire, e possibilmente chiarire, le strategie canoniche di Hepokoski e Darcy?

L'autore propone alcune possibili risposte a questi interrogativi evidenziando, ad esempio, che la "cesura mediana bloccata" molto spesso si produce quando il V grado è stato precedentemente confermato da quella che Schenker chiamerebbe "cadenza ausiliaria" (*Hilfskadenz*). In alcuni casi è difficile – o forse addirittura impossibile – decidere alla luce della teoria della forma sonata quali possano essere

le strategie di Hepokoski e Darcy che si applicano analiticamente a una particolare esposizione. Per esempio, tre concetti che in teoria dovrebbero risultare chiaramente distinti – il “riempitivo della cesura” (*caesura fill*, CF), la cesura mediana “bloccata” e la cesura mediana articolata da una PAC nella tonalità secondaria – nella pratica analitica tendono in realtà a confondersi molto facilmente; tutti e tre, infatti, conducono a una PAC (anziché a una cesura canonica di “primo livello” su V: HC) o almeno “danno l’impressione” di una PAC. L’articolo cerca di mostrare in che modo – e a quali condizioni – sia possibile usare l’analisi schenkeriana per pronunciarsi tra le varie alternative proposte dalla teoria della forma sonata, attraverso descrizioni metalinguistiche di processi musicali che nel linguaggio ordinario sarebbero difficilmente identificabili.

NOTES ON CONTRIBUTORS

Christopher Brody

He is assistant professor of music theory at the Eastman School of Music (Rochester, NY), and previously was on the faculty of the Indiana University Jacobs School of Music. He earned the PhD in music theory from Yale University in 2013 with a dissertation on the keyboard suites of J. S. Bach, and also holds a DMA in piano performance from the University of Minnesota. His research on structure and style in Baroque music, as well as on musical form in the eighteenth through twentieth centuries, has been presented at national and international conferences. An article titled *Parametric Interaction in Tonal Repertoires* is forthcoming in the «Journal of Music Theory».

Alessandro Cecchi

He is a lecturer in musicology at the University of Pisa. His main research topics are music theory, musical aesthetics, the symphonies of Bruckner and Mahler, the theory, history and analysis of film music and musical performance. His articles appear in musicological journals including «Il Saggiatore musicale» and «Music, Sound, and the Moving Image». He contributed chapters in several books, including the forthcoming *Rethinking Mahler* (Oxford University Press). He participates in the editorial board of the journal «Analitica» and in the scientific committee of the Gruppo Analisi e Teoria Musicale (GATM). He collaborates with the Institute of Music of the Giorgio Cini Foundation, Venice, where he serves as editorial board member of the online journal «Archival Notes».

Joel Galand

He is director of graduate studies and coordinator of music theory at Florida International University. His research has focused on musical form, Schenkerian theory, and the music of Kurt Weill, with publications in «Music Theory Spectrum», «Journal of Music Theory», «Intégral», «Current Musicology», «Notes», *The*

Kurt Weill Edition, the *Oxford Handbook* series, and the *International Schenker Symposium* series. He is a past editor of the «Journal of Music Theory» and currently serves on the editorial boards of *The Kurt Weill Edition* (the critical edition of the composer's complete musical works) and «Music Theory Spectrum».

Jason Hooper

He is a PhD candidate in music theory at the City University of New York and a lecturer at the University of Massachusetts Amherst. His research focuses on how Heinrich Schenker's approach to form changed over time, including recent papers read at the Seventh International Conference on Music Theory (Tallinn, Estonia), the European Music Analysis Conference (Leuven, Belgium) and the Annual Meeting of the Society for Music Theory (Milwaukee Wis.). His work appears in «Theory and Practice» and the «Journal of the American Musicological Society».

Steven D. Mathews

He is a PhD candidate in music theory at the University of Cincinnati. His in progress dissertation focuses on Schenkerian analysis and sonata forms without recapitulations. He has read papers related to this topic at the European Music Analysis Conference (Leuven, Belgium) and Mannes College's Third Graduate Student Conference (New York City). He has also read papers on diverse topics, including the bass lines of Tomás Luis de Victoria, the concertos of Alexander Glazunov, and Schenkerian pedagogy, at regional and national meetings of the Society for Music Theory. Several reviews of recent Neo-Riemannian and Schenkerian literature appear in «Notes», «Music Research Forum», and forthcoming in «Indiana Theory Review».

Nicolas Meeùs

He is professor emeritus at the Paris-Sorbonne University. For twenty years he has been researcher in the Musical Instruments Museum Brussels and directed this institution for several years before moving to Paris in 1995. He directed the music department in the Sorbonne (1999-2004) and the research team *Langages musicaux* (1998-2008). A founding member of the Belgian Society for Music Analysis, he is a member of the administrative board of the French Society for Music Analysis, and the chief editor of the journal «Musurgia». He read papers in the

European Music Analysis Conferences and in many other conferences in Europe and abroad. His many publications concern organology, the history of music theory, and music analysis. He is the French translator of Schenker's *Der freie Satz*.

Marc Rigaudière

He is *maître de conférences* at the Paris-Sorbonne University and a member of the Institut de recherche en musicologie (IREMus, Paris). He specialises in the history of music theory (eighteenth to twentieth century), a research area to which he devoted a book (*La théorie musicale germanique du XIX^e siècle et l'idée de cohérence*, Société française de musicologie, 2009) and papers presented in several international conferences. He also produces critical editions, including two versions of Fauré's *Requiem* (Carus-Verlag, Stuttgart 2005 and 2011) and a Gounod volume in preparation. He has been editor of the «Cahiers Rémois de Musicologie».

Frank Samarotto

He is associate professor of music theory at Indiana University Bloomington. He was a workshop leader at the Mannes Institute for Advanced Studies in Music Theory Summer Institute in Schenkerian Theory and Analysis in 2002 and a workshop leader as well as invited presenter at the first conferences in Germany devoted to Schenkerian theory and analysis held in Berlin, Sauerland and Mannheim in 2004. He has lectured on voice-leading and musical time at the Sibelius Academy in Helsinki in 2007 and spoke as Endowed Chair at the University of Alabama in 2016. His publications appear in book series and journals, including *Schenker Studies* 2, «Beethoven Forum», «Theory and Practice», «Music Theory Spectrum», «Music Theory Online», «Intégral», and in several recent volumes. He is currently working on a book on Schenkerian theory and analysis.

NOTIZIE SUGLI AUTORI

Christopher Brody

Ricercatore di teoria musicale alla Eastman School of Music (Rochester, New York), ha insegnato anche alla Jacobs School of Music dell'Indiana University. Ha conseguito un dottorato in teoria musicale alla Yale University nel 2013, con una dissertazione sulle suite per tastiera di J. S. Bach, e un diploma di Doctor in Musical Arts in esecuzione pianistica alla University of Minnesota. Le sue ricerche investono il rapporto tra struttura e stile nella musica barocca, e la forma musicale dal diciottesimo al ventesimo secolo. Ha presentato relazioni in vari convegni nazionali e internazionali, e un suo articolo dal titolo *Parametric Interaction in Tonal Repertoires* è in corso di pubblicazione in «Journal of Music Theory».

Alessandro Cecchi

Ricercatore in musicologia all'Università di Pisa. I suoi principali ambiti di ricerca sono le teorie della musica, l'estetica musicale, le sinfonie di Bruckner e Mahler, la teoria, la storia e l'analisi della musica per film e della performance musicale. Ha pubblicato articoli nelle riviste «Studi musicali», «Il Saggiatore musicale», «Musica/Tecnologia», «Music, Sound and the Moving Image» e numerosi saggi, tra cui quello in corso di pubblicazione nel volume *Rethinking Mahler* (Oxford University Press). È membro del comitato di redazione della rivista «Analitica» e del comitato scientifico del Gruppo di Analisi e Teoria Musicale (GATM). Collabora con l'Istituto per la Musica della Fondazione Giorgio Cini (Venezia), presso il quale è membro del comitato scientifico della rivista online «Archival Notes».

Joel Galand

Direttore dei Graduate Studies e coordinatore di Music Theory alla Florida International University. La sua ricerca si focalizza sulla forma musicale, sulla teoria schenkeriana e sulla musica di Kurt Weill. I suoi lavori sono stati pubblicati in «Music Theory Spectrum», «Journal of Music Theory», «Intégral», «Current

Musicology», «Notes», *The Kurt Weill Edition*, e nelle collane *Oxford Handbook* e *International Schenker Symposium*. È stato direttore del «Journal of Music Theory». Attualmente è membro dei comitati editoriali della *Kurt Weill Edition* e della rivista «Music Theory Spectrum».

Jason Hooper

Dottorando in teoria musicale alla City University di New York e ricercatore alla University of Massachusetts Amherst. La sua ricerca si focalizza sui cambiamenti dell'approccio di Heinrich Schenker alla forma musicale nel corso della sua evoluzione teorica. Ha presentato relazioni ai convegni Seventh International Conference on Music Theory (Tallinn, Estonia), European Music Analysis Conference (Leuven, Belgio) e Annual Meeting of the Society for Music Theory (Milwaukee, Wisconsin). Suoi lavori sono stati pubblicati in «Theory and Practice» e «Journal of the American Musicological Society».

Steven D. Mathews

Dottorando in teoria musicale alla University of Cincinnati. La sua ricerca riguarda l'analisi schenkeriana della forma sonata senza ripresa. Su questo argomento ha presentato relazioni ai convegni European Music Analysis Conference (Leuven, Belgium) e Mannes College's Third Graduate Student Conference (New York). Ha relazionato anche su altri argomenti – le linee di basso in Tomás Luis de Victoria, i concerti di Alexander Glazunov, la pedagogia schenkeriana – agli incontri nazionali e regionali della Society for Music Theory. Sue recensioni di letteratura neo-riemanniana e schenkeriana sono pubblicate in «Notes», «Music Research Forum» e «Indiana Theory Review».

Nicolas Meeùs

Professore emerito all'Université Paris-Sorbonne. Per venti anni è stato ricercatore al Museo degli strumenti musicali di Bruxelles, che ha diretto fino al 1995. Ha diretto il Dipartimento di musica della Sorbona (1999-2004) e il gruppo di ricerca *Langages musicaux* (1998-2008). È membro fondatore della Société Belge d'Analyse Musicale (SBAM), membro del consiglio d'amministrazione della Société Française d'Analyse Musicale (SFAM) e direttore della rivista «Musurgia». Ha tenuto relazioni nell'ambito degli EuroMAC e in molti altri convegni internazionali. Le sue numerose pubblicazioni riguardano l'organologia, la storia delle

teorie musicali e l'analisi musicale. Ha tradotto l'edizione francese di *Der freie Satz* di Schenker.

Marc Rigaudière

Maître de conférences alla Université Paris-Sorbonne e membro dell'Institut de recherche en musicologie (IReMus, Parigi). Il suo ambito di specializzazione è la storia della teoria musicale (secoli XVIII-XX); su questo tema ha pubblicato la monografia *La théorie musicale germanique du XIX^e siècle et l'idée de cohérence* (Société française de musicologie, 2009) e presentato relazioni a numerosi convegni internazionali. Ha pubblicato varie edizioni critiche, tra cui le due versioni del *Requiem* di Fauré (Carus-Verlag, Stuttgart 2005 e 2011), e sta completando un volume sulla musica di Gounod. Ha curato vari numeri dei «Cahiers Rémois de Musicologie».

Frank Samarotto

Professore associato di teoria musicale alla Indiana University di Bloomington. È stato direttore di un Workshop presso il Mannes Institute for Advanced Studies in Music Theory (Summer Institute in Schenkerian Theory and Analysis, 2002), e del primo convegno dedicato alla teoria e all'analisi schenkeriana in Germania (Berlino, Sauen e Mannheim 2004). Ha tenuto seminari sulla condotta delle voci e sul tempo musicale alla Sibelius Academy di Helsinki (2007) e relazioni, come Endowed Chair, alla University of Alabama (2016). I suoi lavori sono stati pubblicati in prestigiose collane e riviste tra cui *Schenker Studies* 2, «Beethoven Forum», «Theory and Practice», «Music Theory Spectrum», «Music Theory Online», «Intégral»; sta lavorando a un libro sulla teoria e l'analisi schenkeriana.

