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ANALYSIS OF TONAL MUSIC:
A Schenkerian Approach

THIRD EDITION

Allen Cadwallader
David Gagné

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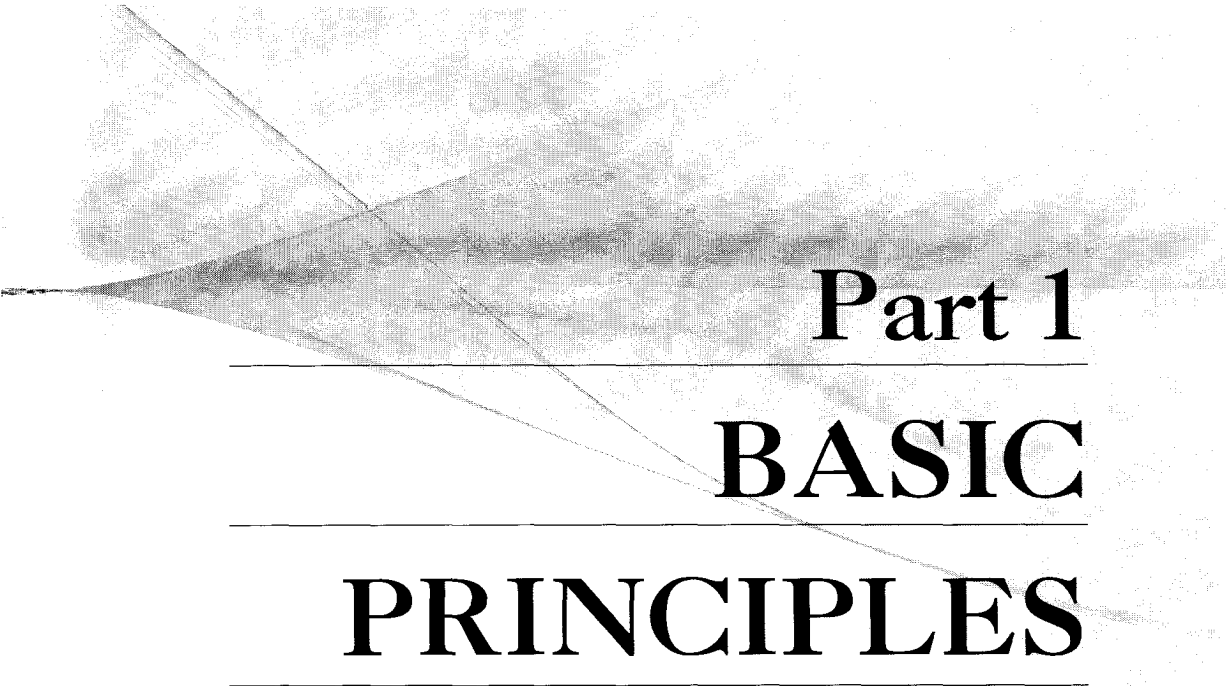
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Part 1

BASIC

PRINCIPLES

Part 1 of this book covers principles that are fundamental to the study of Schenkerian analysis. Chapter 1 provides a glimpse into the kinds of associations Schenker's method can reveal (the associations in this chapter are motivic in nature). As is well known, his mature theory addresses the interrelationships among counterpoint, harmony, and linear principles. For pedagogical reasons, we introduce these topics individually: Chapter 2 concerns basic aspects of melody and counterpoint. Chapter 3 focuses on bass lines and harmonic structure and how they are interrelated. Chapter 4 introduces the important and related concepts of linear progressions and linear intervallic patterns.

In Chapter 5, we recombine harmonic and contrapuntal principles and introduce the basic components of Schenker's conception of tonal structure: the *Urfinie*, bass arpeggiation, and *Ursatz* (fundamental structure). This chapter also introduces the technique of *interruption*, which holds far-reaching ramifications for form and structure. In *Free Composition*, his last great work, Schenker lists the primary techniques that elaborate fundamental structures. In Chapter 6 we follow the general plan of *Free Composition* and explain the techniques individually, in the context of selected passages from the literature.

One of the guiding principles of our approach is that a single, harmonically closed phrase (closed in the same key in which it began) can be considered an entire "piece" for analysis. This

pedagogical strategy mirrors one of Schenker's most significant theoretical discoveries: that forms of the fundamental structure are "transferred" to lower structural levels. Chapter 7 examines passages ranging in length from 8 to 16 measures, focusing not only on the *Ursatz*, but also on the specific techniques of melodic prolongation (from Chapter 6) that represent the "composing out" of the tonal structure and give each passage its unique character. This plan prepares the student for the longer complete pieces examined in Part 2.

Introduction

During the latter part of the twentieth century, many principles and ways of thinking that were first introduced by Heinrich Schenker have become an integral part of musical discourse. Concepts such as *prolongation* and *structural level* are now frequently taught to music students, and analytical graphs are commonplace in theory journals.

Notions about Schenker and his work differ greatly. For some, Schenker's legacy is associated with broad, general ideas that pertain to the essential nature of tonality, while for others his approach is a way of revealing the individual and intricate features of specific compositions. His work, in fact, embodies both characteristics. Schenker's theoretical ideas developed from the analysis of a very large number of individual compositions, where he focused on the details of melody, counterpoint, harmony, and form. It was not until relatively late in his life that he formulated the theoretical principles that are now widely associated with his work.

Many of Schenker's writings are now available in excellent English translations, which are listed in the Bibliography.¹ His mature theory is presented in *Free Composition*, which was published after his death in 1935. Despite its great importance, this work is not suitable for use as an introductory text: it is organized as a treatise rather than a textbook, and is written in a compressed manner with language that is often difficult to understand.² Once you know more about Schenkerian theory, with the aid of this book you will be able to read *Free Composition* and to understand Schenker's ideas, as well as the analyses that he published.

Schenker's approach is grounded in the fundamental principles of harmony and counterpoint, and requires solid musicianship and a developed musical ear. Schenker began his musical career as a pianist, composer, and music critic. He also was a pioneer in the study of autograph manuscripts and the use of autographs to prepare musical editions.³ His interest in theory and analysis

grew naturally out of these activities, since he believed the theoretical understanding and teaching methods of the time to be inadequate. Schenker always valued performance and practical musicianship, and saw himself as both a theorist and an artist.⁴

It is our goal in this book to present Schenkerian analysis in this light: not just as a theory, but as a comprehensive way of understanding a musical work. Though a Schenkerian graph focuses on elements of harmony and counterpoint, analytical decisions involve consideration of all aspects of the work. Schenkerian analysis provides a comprehensive view of a work in all dimensions from the small to the large. As such it is a great asset to hearing, understanding, and performance. A Schenkerian graph uses noteheads and various rhythmic notations, not in the usual ways, but to represent various kinds of analytical interpretation. In the early chapters of this book you will learn the basic principles that underlie Schenkerian analysis, and then we proceed to analyses first of phrases and then of complete pieces. In Schenker's approach, the analysis is not imposed on the music. Rather, you will learn how to evaluate a musical context based on your hearing and perception of all aspects of that context.⁵

Schenkerian analysis can address a variety of concerns. For instance, an analysis can illuminate general theoretical principles, such as the relationships among various structural levels and the interrelated functions of harmony and counterpoint in a tonal composition. Such matters inform our understanding of the *concept of tonality* as it operates broadly throughout the tonal repertory. The focus, however, can also be primarily analytical, addressing the individual aspects of a composition that relate to matters of *musical coherence* (a concern of paramount importance to Schenker). One type of tonal coherence (or "unity") occurs when a configuration of tones recurs in identical form, whether in immediate succession or over a broader span of music—such a recurring pattern is called a *motive*. Schenker's extended concept of motive is one of his most profound and far-reaching contributions to the understanding of music.

As an introduction to the Schenkerian approach, we explore some motivic aspects of the first movement of Beethoven's Piano Sonata, Op. 2, No. 1. Before you read further, play or listen to the entire movement. Notice the large sections of the form, and the key areas associated with them. Although we focus primarily on motivic aspects of this movement, we do so in relation to the form.⁶ Our discussion is based on an analysis by Schenker, but one that was done prior to the mature work for which he is best known. After you have read this book, you may wish to return to this piece and study Schenker's original analysis.⁷

Beethoven, Piano Sonata, Op. 2, No. 1, I

Example 1.1 presents bars 1–8 of the exposition. If you play or listen to these bars, you will notice a propulsive energy created by the rapid arpeggiated ascent in the right hand that reaches a^b2 in bar 2 and b^b2 in bar 4. These tones are emphasized not only as goals of the ascents, but also because the left-hand supporting chords enter only after they are reached.

Example 1.1

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 1–8

Allegro

The figures of bars 2 and 4 are repeated in bars 5 and 6, now in rapid succession because the preceding arpeggiated figure is absent. This represents a type of thematic development that both delays (through repetition) and intensifies (through contraction) the forward motion to a subsequent goal.

Though not the conclusion of the phrase, the I^6 chord in bar 7 supports the tone c^3 , the goal of the repeated ab^2 – bb^2 motion and the highest melodic point. This tone is highlighted not only by the high register, but also through the dynamics of the phrase. Notice also the rolled chord that supports the climax. It is a version—rhythmically contracted—of the arpeggio figure in bars 1–2, which is restated in bars 3–4, and echoed in the ascending leaps from the grace notes in bars 5–6. In bars 7–8, as the dynamic level decreases to *piano*, C falls a sixth to E^{\flat} . This sixth is highlighted in our musical example with beamed stems. The falling sixth is a pattern or figure that recurs in various guises throughout the movement. As such, it is a kind of motivic “seed” that appears, more fully developed, as the piece progresses. For convenience, this figure is identified in the examples as motive *a*.

Consider now Example 1.2, which presents the end of the first theme, the transition section (bars 9–20), and the beginning of the second theme.⁸ Following a restatement of the first-theme arpeggio figure in C minor (V), the transition section is permeated with different expressions of the falling sixth (beamed in the music). In accordance with the section’s modulatory function, the sixth is *transposed* to begin on E^{\flat} .

Note also that the first repetition of the motive (bars 11–16) is an *enlarged* form of the original sixth. The subsequent sixths appear in quicker note values,

Example 1.2

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 6–21 with analytical interpretation

⑥

sf *ff* *p* *p*

a $E\sharp$ → to $E\flat$

⑪

$E\flat$ *a*

⑮

a *a*

f

$= E\sharp$ $E\flat$ *a*

⑳

p

producing a composed rhythmic accelerando before the transition concludes in bar 20.

Consider again the end of the first theme and the beginning of the transition section. The first phrase ends with a half cadence and E^{\natural} as the uppermost pitch in the right hand. After the fermata, the transition section begins with a recurrence (an octave lower) of the first theme in C minor, thereby producing a juxtaposition of E^{\natural} and E^{\flat} . As we show in Example 1.2, E^{\flat} occurs twice in the lower register (left hand); it then appears (bar 11) in the *same register* as the E^{\natural} in bar 8. Beethoven thus associates E^{\flat} and E^{\natural} through registral position in the same octave, even though other tones intervene in the lower register. This larger connection is revealed in the score by the visual space created by the rests in the right hand.

Chromatic relationships of this kind often have a larger meaning in tonal music. Before exploring the implications of this relationship, let us first consider the second theme. Although the second key area is the mediant (A^{\flat}), the second theme begins over a dominant pedal; an authentic cadence in A^{\flat} major does not occur until the theme concludes in bars 40–41. Notice also that the second theme initially expresses both A^{\flat} major and A^{\flat} minor before the major form emerges more definitively in bars 26ff. Thus Beethoven incorporates a prominent element of the A^{\flat} -minor scale: the F^{\flat} , which falls to E^{\flat} in bars 20–21. This preparation, as it turns out, is foreshadowed earlier: F^{\flat}/E^{\flat} is an enharmonically respelled version of the chromatic juxtaposition E^{\natural}/E^{\flat} that links the first theme and transition section.⁹ Notice (in the music) that this relationship is echoed by the $f^{\flat 3}$ in bars 29 and 30—the highest note in the piece so far, which is left registally unresolved—and the $e^{\flat 3}$ in bars 32–33 that later resolves this tone in its register.

We now consider a different, and extraordinary, expression of motive *a* in the development section of the movement. The development begins with a statement of the first theme (bars 49–54), followed by a rather lengthy passage based on the second theme. Listen again to this section, noting the quasi-cadential patterns that suggest fleeting key areas. For instance, bars 55–62 imply B^{\flat} minor, followed by a passage in C minor (beginning in bar 63). The patterns are “quasi-cadential” because the V–I motion associated with the bass of an authentic cadence is presented in the right hand over the dominant *pedals* of the respective key areas: compare the leap of an ascending fourth F – B^{\flat} in bars 57, 59 and G – C in bars 65 and 67.

In bar 69 this pattern changes, signaling an important event in the course of the development section. Here, the second theme shifts to the left hand (beginning in bar 67) and the cadential motion occurs in the bass: we hear V^7 – I in C minor (the bass now carries the leap of a fourth). Example 1.3 is a chordal simplification of bars 69–81. As the example indicates, cadential soprano motions occur frequently. In the overall descent of the soprano line, most of the circled notes achieve local stability through support by the fleeting tonics, or tonicizations.¹⁰ The rhythmic patterning established by the cadential motions also relates the circled tones.

What occurs in these bars is truly remarkable. Beethoven recomposes the *untransposed* falling sixth from bars 7–8, C to E^{\natural} , over the span of 13 bars in the

Example 1.3

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 69–81, analytical interpretation

(69) (71) (74)

C: $V^7 - I$ B \flat : $V^7 - I$ A \flat : V^7 ————— I^6 (NOT G \flat)

(76) (78) (81)

F: II^6 — V \sharp I^6 IV VII $^{\circ 7}$ — V \sharp

development section. (Here and throughout this book, the word “span” refers to either a specified portion of a composition, or the length and scope of a specific motion or gesture within a work such as the falling sixth referred to here.) In other words, a large portion of the development section incorporates an *enlarged* version of a motive from the very beginning of the piece! Beethoven also uses dynamics to emphasize the prominence of these right-hand tones; notice the sforzando markings in bars 74–79, which, in conjunction with the broadening of the harmonic rhythm, highlight the tones A \flat , G, and F of the original falling sixth.¹¹

Before proceeding to the recapitulation, we point out one additional passage influenced by this seminal motive. Example 1.4 is a sketch that illustrates the final bars of the development section and the first bar of the recapitulation. This passage is the retransition, which links V of F minor, the harmonic goal of the development, with the harmony at the beginning of the recapitulation. The circled notes on the music reveal a motion from C down to F, five notes of the original falling sixth. The motive is abbreviated since the goal of the bass descent is F, the

Example 1.4

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 93–101, analytical interpretation

(93) (101) Recapitulation

2 — 3 2 — 3 2 — 3

C B \flat A \flat G F

F: V \sharp ————— I

root of tonic harmony. Such a bass motion is not particularly unusual at the end of a retransition section; in this particular sonata, however, it assumes motivic significance because of its prominence throughout the movement. Beethoven thus presents another enlarged version of the motive just a few bars before the original form appears in the first phrase of the recapitulation.

Many of the motivic associations from the exposition recur in the recapitulation. There are, however, differences between the exposition and recapitulation related to the conventions of large-scale harmonic structure. In many minor-mode sonata movements, for example, the second theme is first heard in the exposition in the major mediant area, and recurs in the recapitulation (down a third) in the minor tonic. In this exposition, Beethoven prepared us early on for the minor-mode version of the second theme (of the recapitulation) by incorporating a prominent element of the A \flat -minor scale, the note F \flat .

We conclude our discussion with some observations of how the motive of a falling sixth exerts its influence on the concluding section of this movement. Example 1.5 shows the beginning of the second theme. The F \flat /E \flat (F \sharp /E \flat) relation is not present, because the second theme appears in the tonic. Consider, however, bars 120 and 122 of the second theme. The falling sixth from C to E \sharp is now compressed into single measures; in this case we are illuminating a relationship between the motive and the *span* of the original motive—the minor sixth. (Because of the arpeggiated character of the second theme, two notes of the original, stepwise motive are omitted.) Perhaps the most fascinating aspect of this restatement in the recapitulation is that Beethoven uses the *untransposed* span from bars 7–8.¹² Could this unifying relationship occur under any set of circumstances?

We know from Beethoven's sketches that the overall character and compositional plan of his works were strongly influenced by their themes and motives. We mentioned above that one of the characteristics of the sonata's second theme is that it begins over a dominant pedal. Another possibility, perhaps the more typical

Example 1.5

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 119–124 with analytical interpretation

The image displays two excerpts of a musical score. The first excerpt, labeled '119', shows two staves of music. The bass staff begins with a piano (*p*) dynamic and features a steady eighth-note accompaniment. The treble staff has a forte (*sf*) dynamic and contains a melodic line with a slur and an 'a' annotation above it. The second excerpt, labeled '123', also shows two staves. The bass staff continues the eighth-note accompaniment, and the treble staff has a forte (*sf*) dynamic with a melodic line similar to the first excerpt, also marked with a slur and an 'a' annotation.

one, is for the second theme to begin with its local tonic harmony. Imagine this passage beginning with an F-minor chord; you will quickly realize that a sustained tonic will not support the literal repetition of C falling to E^{\flat} . We might say that this motivic recollection has been prepared, in the exposition, by the nontonic beginning of the second theme. In other words, the dominant pedal of F minor provides the necessary tonal context for the untransposed form of the falling sixth in the recapitulation.

Example 1.6 presents the coda, a section that typically affirms the tonic of the piece and is often characterized by the recollection of motives stated throughout the composition. Another succession of tones has been circled on the music: A^{\flat} –G–F– E^{\flat} –F. Notice that the final tone F does not follow immediately after E^{\flat} , but is delayed by the leap to the C; the resolution of the leading tone E^{\flat} to F has simply been delayed by the consonant skip to C. Does this tone succession represent another version of the falling sixth? It is perhaps possible to suggest such a connection. One might view the falling part of this line (A^{\flat} to E^{\flat}) as an incomplete version of the descent from C to E^{\flat} . There is, as it turns out, a more literal reference. Take a moment and examine the right-hand part in bars 1–2 (Example 1.1). The opening of Beethoven's first theme comprises an upward arpeggiation followed by a change of direction and a figure in a dotted-quarter/sixteenth-triplet/quarter-note rhythm. In bar 2 this figure literally describes the notes A^{\flat} –G–F– E^{\flat} –F. In the coda, therefore, Beethoven recalls (in enlarged form) another important motive of the piece.

Example 1.6

Beethoven, Piano Sonata, Op. 2, No. 1, I, bars 140–152 with analytical interpretation

The musical score consists of three systems of piano music. The first system, starting at bar 140, shows a melodic line in the right hand with a descending sixth interval (C to F) and a fermata over the final note. The left hand provides harmonic support with chords. The second system, starting at bar 145, features a fermata over the C note in the right hand, with a descending sixth interval (C to F) in the left hand. The third system, starting at bar 149, shows a descending sixth interval (C to F) in the right hand, with a descending sixth interval (C to F) in the left hand. The score includes dynamic markings such as *con espressione*, *sf*, and *ff*, and articulation marks like accents and slurs. A horizontal line above the staff indicates a melodic path from C to E^b to F.

Our final observation about the falling-sixth motive focuses on the concluding seven bars (Example 1.6, bars 146–152). In a virtuosic passage that brings this exciting movement to a close, Beethoven once again traces the path of C descending to E^b in the *original register of bars 7–8*. The closing tonic harmony then allows the falling-sixth motive to achieve closure on F, the first degree of the F-minor scale.¹³ As in the development section, almost every tone of the motive is highlighted with a dynamic marking; notice in addition that the sforzandos (bars 149–150) accent weak beats in these bars, further emphasizing the tones of the falling sixth.

In this introductory discussion we have traced a single motive in its many transformations through the first movement of a Beethoven sonata. The study

of motives is only one aspect of Schenkerian analysis, but it illustrates ways in which this approach can illuminate works by revealing connections and relationships that are not immediately apparent. The deeper understanding thereby gained can be beneficial both to our appreciation of a piece and to its performance. Schenker's approach is remarkable in its ability to inform us about what is unique about a composition, as well as what that composition shares with other pieces in the tonal repertoire.

Many musicians are familiar with certain theoretical aspects of Schenker's work. Yet you may have noticed that we focus in this chapter on the *specific* characteristics that make this movement a truly unique work of art. The central goal of analysis is the understanding of a piece on its own terms. But the recognition of general principles is also fundamental to comprehending the workings of a composition. Schenker's motto, "Always the same, but never in the same way," reminds us that general principles of harmony and counterpoint underlie a vast and varied repertoire.¹⁴ Consider Example 1.7, a representation of the large-scale tonal plan of Beethoven's exposition and development sections.

You can see symbolically in this graph (or "sketch") that Beethoven's sonata begins in I and progresses to III before the end of the exposition, after which the development progresses toward its goal, V in F minor. If you think about the bass tones of the harmonic progression I–III–V, you will see that the large-scale harmonic plan of the exposition and development is based on the motion F–A^b–C, an expanded arpeggiation of the tonic triad! This is the sort of global principle Schenker's approach reveals with great clarity.

We have, of course, only begun to scratch the surface of this remarkable movement. We could easily devote many more pages to the examination of harmony, rhythm, form, and other motivic associations. Our purpose in this first chapter, however, is to offer a preview of what Schenker's approach can reveal about a tonal composition. In the remainder of this book we explore Schenker's theoretical ideas through the analysis of excerpted passages and complete passages.

Before we begin to study Schenkerian analysis in detail, a few closing remarks about repertoire and Schenker's philosophy are in order. Schenker himself dealt almost exclusively with music of the Baroque, Classical, and Romantic eras. Later scholars have investigated music of earlier and later periods using Schenkerian techniques, though not without some controversy. Some aspects of

EXAMPLE 1.7

Beethoven, Piano Sonata, Op. 2, No. 1, I, bass-line reduction of exposition and development

F minor: I III III V

the approach, particularly the focus on the linear nature of music, are undoubtedly relevant to at least some pre-Baroque and twentieth-century repertoires. Schenker's theory itself, however, is based on harmonic tonality of the eighteenth and nineteenth centuries. We have therefore followed this approach and have chosen examples from this period.

Another aspect of Schenker's work that has aroused some controversy is his philosophical and cultural perspective. Like many Germans and Austrians in his era, Schenker believed in the superiority of German culture, and German music in particular. (This was at a time when writers in other countries, such as France, were often equally nationalistic.) Schenker's beliefs and preferences, which are obvious in his writings, may at times seem odd and even repellent from our perspective many decades later. Yet the value and importance of Schenker's approach clearly transcends such beliefs. Like Plato and many later medieval and Renaissance philosophers and scholars, Schenker also saw music as an ideal combination of nature and art with extraordinary power to touch the human soul.

Other recent studies have explored the philosophical aspects of Schenker's work.¹⁵ The scholarship that deals with the metaphysical aspects of Schenker's thought, such as the philosophical implications of the *Ursatz*, may seem irrelevant to some students of Schenker's theories, but will engage the imagination of others. Although it is enlightening to view Schenker's ideas in the context of his cultural milieu, the fact that his opinions were conditioned by that milieu does not diminish the importance of his analytical insights for our own time. The great importance of Schenker lies in his extraordinary theoretical and analytical contributions, which have transformed the way that music is taught and understood. It is his approach to analysis, rather than his philosophy and its origins, that is the subject of this book.

Notes

1. This Bibliography contains full citations of all sources referred to in the text and Notes of this book.
2. *Free Composition* is well known in the English-speaking world because of the excellent English translation by Ernst Oster (1979). Frequent citations to passages in *Free Composition* will be given in the course of this book, so that you can gradually get to know this seminal work and its modes of organization.
3. See for example his study of Beethoven's last sonatas (published 1913–20) which, as Allen Forte has pointed out, "gave a major impetus to the entire modern movement toward better editing practices" (see Yeston, p. 8). Other editions by Schenker include a complete edition of Beethoven's piano sonatas (which has been reprinted by Dover with an introduction by Carl Schachter), selected keyboard works by C. P. E. Bach, and the J. S. Bach *Chromatic Fantasy and Fugue*.
4. For example, the cover of Schenker's first major theoretical work, *Harmony*, says the book is "von einem Künstler" ("by an artist") without giving the author's name.
5. Understanding how we perceive music is complex, and has become a field of research in itself. Perception is a multifaceted process: it includes the physical acts of hearing and cerebral processing of sound, but also mental recognition and interpretation. Like literary comprehension, our ways of hearing music are grounded in our cultural environment, and represent the sum of our experience, training, and preferences.

Learning to read and to create graphs will develop not only your understanding, but also your ability to hear and recognize—to perceive—many kinds of musical relationships and events.

6. It is assumed that the reader of this book is familiar with the basic types of form. Any reader who needs to study or review musical forms should consult an appropriate text, such as Douglass Green's *Form in Tonal Music*.
7. Our analysis of this piece is a liberal paraphrase of Schenker's analysis in *Der Tonwille*, Vol. 2. This periodical is less well known than *Free Composition*. *Der Tonwille* contains many analyses; it also presents essays on theoretical issues that received fuller explanations in the three volumes of *Das Meisterwerk in der Musik* and eventually in *Free Composition*. See the Bibliography for a listing of available translations.
8. Some scholars prefer the term *group* to *theme* in discussing sonata form, since there may be more than one first or second theme. Both terms are now widely in use, and both will be used in this book depending upon context.
9. Examine the upper voice of bar 21 in the second theme. Here we find yet another version of the falling sixth, a form—appearing within a single bar—of the descent from E^b to G presented three times during the course of the transition.
10. In a tonicization, a chord temporarily assumes the quality of a tonic, as indicated below bars 69 and 71 of this example. In a modulation, a new key center remains in effect for a longer period of time, and with greater significance for the composition as a whole.
11. The term *harmonic rhythm* is defined in the *Harvard Dictionary of Music* as “the rhythmic pattern provided by the changes in harmony.”
12. You may wonder why we isolate these four notes—C, B^b, G, E[♯]—from the surrounding notes of the right hand. These notes are associated in the right-hand line because of the harmonic support. The D^b in bar 119 is a dissonant upper neighbor tone that resolves to C, as is the lower D^b in bar 121. In other words, the tones C, B^b, G, E[♯] arpeggiate V⁷ in F minor, the harmony suggested by the octaves in the left hand. For this reason, we can consider the four tones as a unit. (Consider also the downbeat of bar 119, where the *vertical* form of C and E[♯] occurs in the right hand before the *linear* form outlined by the four notes of the motive.)
13. In a sense the motive has yearned for closure from the very beginning, because in bar 8 it ends on the leading tone E[♯]. We will discuss the tendencies of tones in the scale in Chapter 2.
14. Schenker presents his motto in Latin on the title page of *Free Composition*: *Semper idem sed non eodem modo*.
15. See, for example Kevin Korsyn, pp. 1–58, and William Pastille, in Siegel, pp. 29–44.

CHAPTER 2

Melody and Counterpoint

Schenkerian analysis examines the interrelationships among melody, counterpoint, and harmony in the *structure* of tonal music. “Structure” in this sense may refer to the makeup and character of one aspect of a composition—such as melody—or to the complete fabric of the composition as established by melody, counterpoint, and harmony in combination.

In this chapter, we examine aspects of single-line melody in relation to major and minor keys, and summarize some basic principles associated with the combination of two or more melodic lines as illustrated in species counterpoint. In Chapter 3 we consider bass lines and harmonic structures, and harmonic prolongation. These chapters will put familiar material in a new perspective and will introduce a variety of Schenkerian analytical concepts.

Some Characteristics of Melody

The literature of tonal music contains an extraordinary variety and diversity of melodies. Yet each has been influenced and shaped in various ways by inherent characteristics of the tonal system. We begin by considering the ways in which essential features of the major and minor modes govern selected melodies from the literature.

Example 2.1 presents the first three phrases from a setting of the chorale melody “O Ewigkeit, du Donnerwort” by J. S. Bach. In the opening phrase, the melody outlines an F-major scale which is highlighted by the regular rhythm and chordal support.

Example 2.1

J. S. Bach, "O Ewigkeit, du Donnerwort," bars 1–6

Although the soprano melody in this phrase is entirely stepwise, the tones are related to one another in a dynamic manner. Between the tonic notes that begin and end the scale, the other tones of the tonic triad are emphasized by metrical position (A and C) and repetition (C). In the upbeat figure, scale degree $\hat{2}$ (G) connects $\hat{1}$ and $\hat{3}$ as a nonharmonic passing tone.¹ The relative instability of this tone enhances the forward movement to A. Scale degree $\hat{4}$ (B \flat) likewise connects $\hat{3}$ and $\hat{5}$ and is harmonized by VII⁶, which is less stable than the tonic chords it connects. In bar 2, the final three soprano notes of the first phrase are strongly directed to the tonic, with the half step between $\hat{7}$ and $\hat{8}$ creating a definitive arrival on the tonic note.

In purely melodic terms, the major scale is a configuration of tones where each note is in unique relation to the other notes in the scale because of the characteristic pattern of whole and half steps. The tones of the major scale thus exist in dynamic relation to one another. Scale degrees $\hat{1}$, $\hat{3}$, $\hat{5}$, and $\hat{8}$, tones belonging to the tonic triad, tend to sound relatively stable compared to the other notes of the scale. The half step between $\hat{7}$ and $\hat{8}$ gives the leading tone its strong tendency to move to the tonic. Scale degree $\hat{2}$, though a whole step above the tonic, may also be active in the direction of the tonic, and is sometimes called the *descending leading tone*. The tritone (the augmented fourth or the diminished fifth) formed by the combination of $\hat{4}$ and $\hat{7}$ is often called a "key-defining" interval, since any particular augmented fourth or diminished fifth occurs in only one major key, and its resolution by half steps to $\hat{1}$ and $\hat{3}$ clearly

identifies the tonic of that major key. Thus you can see how the major scale embodies a diverse network of potential relationships.²

The second phrase of the chorale melody begins like the first, though it is harmonized differently. After outlining the tonic triad and reaching scale degree $\hat{5}$ the melody changes direction and descends to $\hat{2}$. Approached from above and supported by V of a half cadence, the supertonic note is active in the direction of the tonic and does not sound conclusive. Consequently the listener is left with an expectation that the melody will later resolve to $\hat{1}$.

Notice that the melody in Example 2.1 comprises mostly stepwise motion. In both vocal and instrumental tonal music, stepwise motion provides the greatest possible continuity in a melody. Schenker used the term *melodic fluency* (*flissender Gesang*) to describe the balance and poise that a stepwise line can provide (the German term can also be translated as “flowing song”). A melody consisting entirely of stepwise motion, however, could quickly become dull and monotonous. The judicious use of leaps therefore becomes necessary to provide variety.³

In contrast to the stepwise motion of the first two phrases, the third phrase contains two leaps before a stepwise descent to the tonic. The initial descending leap from A to F provides the expected tonic note. It is, however, supported by VI and consequently does not resolve the melodic (and harmonic) tension of the previous half cadence. The second leap ascends from F to B \flat , creating the space of a fourth that is then filled in by descending motion. The descending and ascending leaps and subsequent stepwise motion create a balanced effect, combining melodic variety and continuity.

In tonal melodies, falling motion is typically associated with a release of tension and with closure, while rising motion conveys a sense of growing intensity, as if in opposition to gravity. Supported by both II \flat_5 and V in the cadence, the descending leading tone is expanded to a half note—the only half note in the example. The greater length emphasizes the tone, and provides one final element of delay before the tonic note appears at the cadence.

The opening of Chopin’s Etude, Op. 10, No. 3, is presented in Example 2.2. The shape of this beautiful melody outlines a symmetrical arch from the E at the beginning (with the preceding upbeat) to the E at the end. Certain tones stand out within this overall pattern because of length, rhythmic position, and other factors. In bars 1–2 the tones E, F \sharp , and G \sharp are heard as primary, with neighbor figures decorating but not fundamentally altering this stepwise ascent. Notice that the extended tones F \sharp and G \sharp occur on the second beat and are tied over to the following downbeat, creating a syncopation reinforced by the notated accents. (These syncopations highlight the tones in conjunction with the supporting harmonies, which are also syncopated.)

In bar 2, the G \sharp neighbor note on the first beat anticipates the longer G \sharp on the second beat. Accordingly, when the neighbor figure recurs a step higher on the first beat of bar 3, the neighbor tone A suggests that this tone will again follow on the second beat. Instead, the gradual, serene progression of the melody is altered: a leap to C \sharp occurs in place of the expected A, shifting it (as an accented passing tone) to the downbeat of bar 4. In bar 4, A is followed by G \sharp . The stepwise motion of the large-scale melodic arch, however, is interrupted by a

Example 2.2

Chopin, Etude, Op. 10, No. 3, bars 1–5 with analytical interpretation

Lento ma non troppo

④

descending leap of a fourth to D^\sharp , which balances the ascending fourth $G^\sharp-C^\sharp$ in bar 3. The tones F^\sharp and E in bars 4–5, emphasized through duration as in bars 1–2, conclude the essentially stepwise melodic arch.

This melody thus combines continuity and variety in an extraordinary way, by outlining the tonic triad. Beginning with the upbeat tone B , the melody moves through E to G^\sharp , ultimately returning to E . The third motions $E-G^\sharp$ and $G^\sharp-E$ are filled in with F^\sharp so that stepwise motion is introduced into the line. This continuity is interrupted by the leap to C^\sharp : the resulting gap in the melody is filled in by the following sixteenth-note passage that cascades from the melody's high point. Both the melodic and harmonic motion are accelerated at this climactic moment, augmenting the rhythmic irregularity of this five-bar phrase.⁴

In contrast to the consonant support of F^\sharp in bar 1 and G^\sharp in bar 2, C^\sharp (bar 3) functions as an appoggiatura, resolving to B over the V^7 chord. Thus Chopin further intensifies the climactic tone by setting it as a dissonance. In a beautiful motivic relationship, this C^\sharp and the B that follows create a rhythmic augmentation of the preceding neighbor figures $G^\sharp-F^\sharp$ (bar 2) and $A-G^\sharp$ (bar 3) as indicated by brackets. The C^\sharp is also associated with F^\sharp in bar 1 and G^\sharp in bar 2 by its position in the bar, and by its relatively long duration.

Beginning with the figure E–D \sharp –E in bar 1, we have seen that neighbor motions elaborate the principal tones of the melody. We may consequently distinguish between two aspects: the accented and harmonically supported principal tones, and the embellishing figures. (For example, notice that the melody in bar 4, first beat, echoes the neighbor figures in bars 3 and 1.) This line therefore embodies both consistency and variety as it unfolds. The tones of the tonic triad serve as the melodic framework, with the arrival on the tonic in bar 5 creating a definitive goal of the melodic motion.

Chopin's melody will serve to illustrate the meaning of the term *structural level*. The melody as heard, note for note, represents what we may call the musical surface (or *surface level*). By distinguishing between those tones on the musical surface that are primary, and between those that are tones of figuration, we have established a new level of melodic coherence distinct from the surface. That is, we have observed connections among tones that are not immediately consecutive (such as the motion E–F \sharp –G \sharp in bars 1–2). Two structural levels are thereby distinguished: the surface level that contains all tones, and a second, more *reduced* level that includes the principal tones only, without embellishing figuration. As we shall see, such connections can also occur over broader spans of music, on various *levels of structure*.⁵

The striking melody that begins the third movement of Beethoven's String Quartet, Op. 59, No. 1, illustrates some of the ways in which melodies in the minor mode may differ from those in major (Example 2.3). Following the initial C in the first violin, the leap to E \flat and descent to D \flat suggest that downward motion will follow—as it does with the descent to F and E \flat .⁶

Beethoven's setting of this part of the melody creates a dramatic, almost eerie effect. Following the solo C in the second violin on the upbeat, the C in the

Example 2.3

Beethoven, String Quartet, Op. 59, No. 1, III, bars 1–2 with analytical interpretation

Adagio molto e mesto

The musical score shows the beginning of the third movement of Beethoven's String Quartet, Op. 59, No. 1, III, bars 1–2. The tempo is Adagio molto e mesto. The score is in 2/4 time, key of B-flat major. It features four staves: Violin I, Violin II, Viola, and Violoncello. The music begins with a solo C in the second violin on the upbeat. The first violin has a melodic line starting on C, moving to E-flat and D-flat. The second violin has a melodic line starting on C, moving to E-flat and D-flat. The viola and cello have a melodic line starting on C, moving to E-flat and D-flat. The dynamic marking is *p sotto voce*.

first violin enters an octave higher, with the Cs forming an open fifth with the viola. Both the subsequent tones E^b and D^b are heard as dissonant with the open fifth below; the melody then leaps to F, another dissonant tone, before moving to E^b (the consonant third of the dominant chord).

This poignant melodic and harmonic tension is resolved in the second bar. The tones F and C resolve the preceding E^b and D^b , respectively. In other words, the D^b , left “hanging” in bar 1, resolves to C in the original register only in bar 2. The tendency of flat $\hat{6}$ to resolve to $\hat{5}$ is strong; the listener will expect to hear a resolution even after several intervening notes. The leap from F to C, and the subsequent leaps that converge on A^b , balance the melodic disjunction of bar 1. During the course of the contracting leaps, two distinct melodic strands are formed in bar 2, both converging on A^b : $C-B^b-A^b$ and $F-G-A^b$ (the added beams in the example clarify these relationships).

In our discussion of melodic fluency we noted that leaps are typically combined with stepwise motion for the sake of variety. This is particularly true of melodies conceived for instruments such as the violin, which can perform many leaps with little difficulty. Yet, as Beethoven’s passage illustrates, a series of leaps may be related through underlying stepwise patterns.

The structural association of tones that are not immediately adjacent can also be seen in Example 2.4. In this fugue subject by Bach, an initial leap of a fifth from D^\sharp to A^\sharp creates melodic tension that is balanced by subsequent motion in the opposite direction. Before the descent takes place, however, A^\sharp is decorated by its upper neighbor B and by a descending and an ascending motion that returns to A^\sharp . These intervening figures expand and embellish, but do not fundamentally interrupt, the overall shape of the melody indicated by the stems placed on the music. When a tone (like the A^\sharp in bars 1–2) remains active in its context, even though other tones may intervene, that tone is said to be *prolonged*. The broken slur in the example indicates this *melodic prolongation*. Chords can be expanded in similar ways: *chord prolongation* will be discussed in the next chapter.

Example 2.5 presents another fugue subject from Bach’s *Well-Tempered Clavier*. The first part of the subject circles around C ($\hat{5}$), which is decorated by upper and lower neighbor figures. The subsequent leap to $\hat{7}$ creates a temporary gap in the line that is filled by the subsequent rising stepwise motion. This motion reaches $\hat{4}$ on the next downbeat, a tone which is highlighted both by its longer duration relative to the sixteenth notes before and after it, and by its accented metrical posi-

Example 2.4

J. S. Bach, Fugue in D^\sharp minor (*WTC I*), subject, bars 1–3 with analytical interpretation

ative to the sixteenth notes before and after it, and by its accented metrical position. A final group of sixteenth notes begins on C (an upper neighbor to B \flat) and leads to A at the conclusion of the subject. Once more a melodically fluent line—C-B \flat -A, expanded by the neighbor tone D—forms the "backbone" or structural foundation of the melody and provides overall coherence and direction.

The dynamic quality of this subject is enhanced by an additional, more subtle element: the rising motion from E to B \flat (1 to 4) in bars 2-3 outlines the interval of the diminished fifth. (The notes that begin and end motions frequently stand out more than the tones in between.) The tension created by this interval is not released until bar 4, where the expected resolution of the diminished fifth to a major third is provided by the tones A and F at the end of the subject. (The subject proper ends on A, with F forming part of the countersubject that follows.) In a sense two "voices" are perceived in this apparent single-line subject. As indicated in the second part of Example 2.5, the progression of a diminished fifth to a major third is embedded in the melodic flow.

A single line can unite different voices that are widely separated, as in Example 2.5, the opening of the Prelude from J. S. Bach's Suite No. I for unaccompanied cello. In this work the degree of separation is extreme, as it is in much of Bach's music for unaccompanied instruments. However, melodic partitions of this type occur frequently—especially in music for solo instruments, where a single line may outline two, three, or more independent polyphonic lines. Having considered some basic characteristics of single melodic lines, we shall now explore further aspects of melody as revealed in the combination of two or more parts in species counterpoint.

COUNTERPOINT

In tonal music, counterpoint exists wherever there is the presence or the suggestion (as in Example 2.7) of two or more voices moving simultaneously. It is a fundamental musical element that is in no way restricted to inventions, canons,

EXAMPLE 2.5:

j. S. Bach, Fugue in F major (*WTC I*), subject, bars 1-4 with analytical interpretation

N

The image displays a musical score for the subject of the Fugue in F major by J.S. Bach. It consists of two staves. The upper staff is a bass clef staff with a key signature of one flat (B-flat) and a common time signature (C). It shows the melodic line for the first four bars. A slur is placed over the notes E and B-flat in bars 2 and 3. The lower staff is a bass clef staff showing the analytical interpretation of the interval from E to B-flat as a diminished fifth (labeled 'd 5') and the interval from B-flat to A as a major third (labeled 'M 3'). Arrows point from these labels to the corresponding notes in the upper staff.

Example 2.6

J. S. Bach, Suite No. 1 for Unaccompanied Cello, Prelude, bars 1–4 with harmonic representation

Prélude.

fundamental musical element that is in no way restricted to inventions, canons, fugues, and similar genres.

For hundreds of years composers considered training in the discipline of counterpoint to be essential for the development of compositional technique. This concern with elaborating the ways in which lines are combined is easy to understand if we realize that in Western music contrapuntal principles were the earliest means by which polyphonic musical compositions were organized, and that the compositional use of harmonic principles developed gradually during later centuries.⁷

Schenker believed in the value of contrapuntal studies, and in fact was partly responsible for a renewed emphasis on counterpoint as a pedagogical discipline. He considered the study of counterpoint to be invaluable, not only as a necessary preparation for composition, but as a way to hear and to understand many fundamental principles of polyphonic tonal structures. He also believed that harmony and counterpoint are separate but closely related dimensions of tonal compositions, each with its own laws and characteristics and each working interactively with the other. Consequently, Schenker undertook the great task of explaining separately and abstractly the principles of harmony and counterpoint, which he believed would lead him to a profound understanding of the techniques of actual composition (which he referred to as “free composition”).

In 1906, near the beginning of his career as a music theorist, Schenker published his study of harmony.⁸ Four years later, in 1910, he published the first volume of a comprehensive treatise on species counterpoint; the second volume did not appear until 1922. This treatise reflects Schenker’s growing awareness that the most ornate and complex melodies are shaped by simpler, underlying guiding lines that tend to resemble the lines of strict (species) counterpoint, as

he demonstrated with a series of examples from the literature of tonal music. In other words, Schenker discovered that the principles of melodic organization in tonal music are partly an outgrowth, or more elaborated version, of the linear techniques presented in the study of counterpoint.

We therefore continue our study of melody by turning to the five species of strict counterpoint, a framework ideally suited to the examination of voice-leading principles and dissonance treatment. Species counterpoint involves the addition of one or more lines to a *cantus firmus*, which is a simple melody, traditionally given in alto clef. A comprehensive discussion of the principles of species counterpoint is beyond the scope of this book, but we consider the essential characteristics of each species. In so doing we retrace some of the steps taken by Schenker in the development of his ideas. For through this approach we shall also begin to discover how the ornate melodies of musical compositions are related to the simple lines of strict counterpoint. Our minds and ears will thereby become more sensitive to the role played by the linear dimension of tonal music, which is largely responsible for creating the sense of flow and directed motion we associate with music as a dynamic art.

First Species

In first species, a counterpoint is added to a preexisting cantus firmus in the same note values (whole notes), thereby creating a note-against-note texture. Example 2.7 presents a first species exercise in which a counterpoint is added above a cantus firmus. Note that all of the intervals are either perfect or imperfect consonances, which are the only vertical intervals used in first species.⁹ The ability to comprehend more complex textures in which dissonances embellish and connect consonances over broader spans of music depends upon the initial understanding of such simple but coherent musical structures based solely on consonances.

Notice that the exercise begins and ends with perfect intervals (indicated in boxes): these intervals embody maximum stability and repose. On the other hand, the more fluid imperfect consonances are most appropriate for the body of the exercise. In fact, the sense of motion or “flow” that most persons associate with tonal music is produced in part by imperfect consonances leading to and from stable points defined by the perfect consonances.

Example 2.7

First species counterpoint

The musical notation shows a first species counterpoint exercise. The cantus firmus (bass staff) is a sequence of whole notes: G4, A4, B4, C5, B4, A4, G4. The counterpoint (treble staff) is a sequence of whole notes: E5, D5, C5, B4, A4, G4, F4. Vertical intervals are indicated by numbers in boxes: 8 (octave), 10 (decade), 8 (octave), 6 (sixth), 5 (fifth), 6 (sixth), 6 (sixth), 8 (octave). Above the staff, circled numbers 5 and 8 indicate the fifth and eighth notes of the counterpoint respectively.

Observe also the differences among the four types of relative motion: *parallel* (same direction, same interval maintained between the parts), *similar* (same direction, different interval), *contrary* (opposite direction), and *oblique* (one part moves, the other remains stationary). Among the types of relative motion, contrary and oblique motion most directly promote independence between two lines: in this context, the stability of the perfect intervals in the middle of the exercise is considerably softened by contrary motion (bar 3) and oblique motion (bar 5), and by the predominance of imperfect consonances in the flow of the counterpoint from the second bar to the cadence.

The upper-voice counterpoint begins with an upward leap of a fourth, which produces some tension in the line (leaps generally are associated with tension), and it also opens up musical “space” between the voices. After the leap, however, the line changes direction and proceeds by step, a strategy that lends variety and shape to the line, and also begins to dissipate some of the tension created by the initial leap (stepwise motion in the opposite direction after a leap generally balances the effects of the leap). The counterpoint then continues down by step to the cadence.

A question might now occur to the reader: Is the counterpoint monotonous and undifferentiated because of the predominance of stepwise motion? Although unrelieved melodic motion in the same direction can produce a line without shape and profile, it does not do so in this case for two reasons. First, the line begins with a leap, after which the E and D in bars 3–5 fill in the gap produced by the leap. Second, the tied D creates oblique motion; the pause in the line counterbalances the rising cantus firmus and also allows both voices simultaneously to begin a descending approach to the cadence. Descending motion is associated with release of tension; here, the relatively long descent of the counterpoint from its climax fully dissipates the tension of the initial leap.

Hence the counterpoint nicely contrasts, and therefore complements, the cantus firmus through the blend of parallel, similar, contrary, and oblique motion it fosters. Furthermore, considering that the exercise is only eight bars long, the counterpoint itself is a convincing and coherent line because it comprises a balance of disjunct and conjunct motion, with the latter predominating. Here, as in the examples discussed earlier, we see the characteristics of melodic fluency, a principle that will continue to be of concern to us throughout this book. Another aspect that contributes to the fluency of this line is the way it achieves a high point (a climax) and then descends purposefully toward the cadence. As mentioned above, descending motion relates to the release of tension; the descending stepwise motion to the cadence contributes to the sense of stability and finality (closure) we experience at the conclusion of the exercise.

We now consider an excerpt from a work by Handel, the theme of the Chaconne from *Trois Leçons*, bars 1–4 (Example 2.8a). A traditional harmonic analysis might represent the phrase as I–V⁶–VI–V⁷ of V–V, as shown in the chordal reduction of Example 2.8b. A deeper understanding of this passage, however, arises from the realization that this succession of “chords” results as much from contrapuntal factors as from harmonic ones. As illustrated by the reductions of Example 2.8b, the phrase is framed by the harmonic progression from I to V. An essential part of this motion is the contrapuntal relationship between the outer voices, which can

Example 2.8

(a) Handel, *Trois Leçons*, Chaconne, bars 1–4; (b) harmonic and first species representations

(a)

(b)

I V⁶ VI V⁷ V V I V

be represented in first species terms (see the second part of Example 2.8b). The top and bottom voices form the intervallic pattern 5–6–10–10, a contrapuntal pattern that provides the framework for the motion from I to V. The intervals, however, are realized harmonically as triads, and the applied dominant chord in bar 3 conclusively establishes the dominant as the goal of the phrase.¹⁰

This passage illustrates the interactive roles of harmony and counterpoint in music, which is a temporal art. Musicians have long used physical metaphors such as “motion,” “tension,” and “flow” to describe how music is expressed in time. Since we often conceive of time metaphorically in horizontal terms, we might say that counterpoint, the linear dimension of music, provides the kinetic impulses by which harmony, the vertical dimension of music, is expressed in time. The passage is organized harmonically by the motion from I to V, one of the most fundamental means of harmonic organization in tonal music. But as we shall see, the ways in which harmony organizes different spans of music are dependent upon the prolonging effects of counterpoint.

Second Species

In second species, a counterpoint in half notes is set against the whole notes of the cantus firmus (two notes against one). The differentiation between the lines is enhanced by the quicker motion of the counterpoint, which leads to an enlivened musical texture more complex than that of first species.

Consider first that the two half notes of the counterpoint create metrical organization within the bar, a downbeat and an upbeat. The downbeat, the strong part of the bar, corresponds exactly to the beginning of a bar in first species. Therefore, consonances must occur on all downbeats in second species. The upbeat, or weak part of a bar, is different. Its purpose is to provide rhythmic momentum to the line and to connect the consonances on successive downbeats. Because of its subordinate rhythmic status, the second beat is evaluated in respect to the consonant downbeats it connects. Our purpose now is to determine the ways in which the second half note can function in a musical texture still regulated, as in first species, by the progression of consonances.

Example 2.9 shows a second species exercise in which we can explore the role of the second half note. The most important use of the second half note occurs in bar 2. The F on the second beat (species counterpoint assumes two beats per bar) connects the consonances on the downbeats of bars 2 and 3, and represents straightforward *melodic progression*. This F, of course, is an instance of the very familiar tone of figuration, the *passing tone*.

Moreover, because the F forms the interval of a fourth with the cantus firmus, an interval which is categorized as dissonant in two parts, it is a dissonant passing tone. This dissonant tone is correct in second species because it occurs on the second beat and is approached and left by step as described above. Notice that the note C in bar 5 is also a dissonant passing tone, and fulfills the same

Example 2.9

Second species counterpoint

⑤

The musical notation consists of two systems. The first system shows a counterpoint line in treble clef with a cantus firmus in bass clef. The counterpoint line has notes: G4, A4, B4, C5, B4, A4, G4, F#4, E4, D4. The cantus firmus has notes: C4, C4, C4, C4, C4, C4, C4, C4, C4, C4. Below the counterpoint line is figured bass notation: [8] 3 (P) 6 3 3 10 [8] P [5] 3 6 3 [5] 6 [8]. The second system shows the counterpoint line with the label "instead of" above it. The counterpoint line has notes: G4, A4, B4, C5, B4, A4, G4, F#4, E4, D4. The cantus firmus has notes: C4, C4, C4, C4, C4, C4, C4, C4, C4, C4. Below the counterpoint line is figured bass notation: 5 — 5!

conditions. The passing tone is the first dissonance in species counterpoint and is the most fundamental type of dissonance in tonal music since it embodies directed motion to a goal. Stepwise motion to and from a dissonance has been regarded by composers throughout most of music history as one of the essential principles of voice leading.

While dissonant passing tones are the most characteristic feature of second species, consonant passing motion is also possible. The motions “5–6” or “6–5” above a cantus firmus will produce consonant passing tones; this is the only relationship where two consonances form a stepwise melodic line, whatever the melodic configuration may be.

In the limited context of second species counterpoint, the passing tone (on the second beat) connects two different consonances (on the preceding and following downbeats)—or, considered only horizontally, two different tones. When we begin to examine actual compositions, this observation will acquire additional significance. In those more elaborate contexts we will be able to amplify our statement to say that in connecting two different tones, passing tones will often connect two different registers or *voices* (such as a soprano and an alto voice). Although strict counterpoint per se is not concerned with such issues, we find in second species a foreshadowing of an important technique that figures prominently in the realm of prolonged harmony and counterpoint.

Another function of the second half note occurs in the third bar of our example. Here, the leap in the counterpoint, which is possible only because both intervals in bar 3 are consonant, creates the familiar technique of the *consonant skip*. A leap from consonance to consonance is often desirable, because a line consisting entirely of passing tones would be scalar and would lack sufficient variety and differentiation. In this case, the skip to D substitutes for F, which already occurred as a passing tone in the previous bar (compare the two parts of the example). Hence the leap helps to avoid monotony in the line and substitutes for direct melodic progression. We will discover that *melodic substitution* can serve various compositional functions. Bear in mind, however, that this technique elaborates but does not alter the continuity of underlying, melodically fluent stepwise progression. In this case, the ear still follows the motion from the G on the downbeat of bar 3 to the E on the downbeat of the following bar.

Substitution is also evident in bar 7. On the second half of that bar, E is a virtual necessity. A leap to any other tone would lead either to a forbidden vertical interval (such as a fourth, F over C) or a *dissonant* melodic interval in approaching the F# in the next bar (a diminished or augmented interval such as C to F#). On the other hand, a stepwise continuation from a G on beat 2 would create parallel fifths in approaching the following downbeat, as indicated in the example. Substitution, therefore, can serve to improve voice leading through the avoidance of forbidden progressions or intervals.

Another use of a leap can be seen in bar 4, from E up to E, which does not so much substitute for another tone as it effects a *transfer of register*. At this point in the exercise, the counterpoint is (and has been) relatively close to the rising cantus firmus. The change of register opens up some additional space between the voices, establishes the climax of the phrase, and allows the upper voice to descend gradually, proceeding primarily in contrary and oblique motion to the

cantus firmus before the cadence. Later in this book we will see how transfer of register can be a valuable compositional technique in free composition, where it makes possible richly polyphonic melodies and the integration of contrasting registers.

We now examine another passage, the opening two bars of Brahms's Intermezzo in A minor, Op. 76, No. 7 (Example 2.10a). As with the theme from Handel's Chaconne discussed above, this passage is best understood in terms of a combination of harmonic and contrapuntal principles. In the upper voice, the tone E is embellished first by a consonant skip to A, an embellishing tone (compare Example 2.10b). The line then proceeds by step back to E, through a G and a passing tone F. The E is consequently embellished and sustained—that is, *prolonged*—by a five-note figure. This figure develops within a harmonic motion from I to III. The chord supported by the second tone in the bass could be labeled a VII⁶ (or V⁶ of III), but may also be described as a “passing chord” because the B, in the characteristic fashion of a passing tone, connects the A and C in the bass: correspondingly the $\frac{6}{3}$ chord itself passes between I and III.

This last observation illustrates that basic contrapuntal patterns must be further evaluated in contexts shaped also by harmonic principles. In our simplification, the B in the bass resembles a tone in a cantus firmus, the tones of which are neutral and are not generally associated with a specific contrapuntal function (such as is implied by the designation “passing tone”). In the music, how-

Example 2.10

(a) Brahms, Intermezzo, Op. 76, No. 7, opening; (b) second species representation

(a) **Moderato semplice**

(b)

ever, the B supports a chord that connects tonic and mediant harmonies. Thus, influenced also by harmonic principles, the B is a passing tone (supporting a passing chord), but one of a higher structural order than the F in the upper voice, which serves a more local purpose. This distinction between two different types of passing tones is significant, and foreshadows the notion of structural levels, one of Schenker's most profound ideas that will be continually explored and refined throughout this book.

Our discussion of second species counterpoint covered straightforward melodic progression, which results from the passing tone that connects one tone with another. The significance of the passing tone in Schenker's ideas, however, far transcends the basic idioms of strict counterpoint. He was fond of metaphors and suggests that music in free composition traverses a "path." For Schenker, "the *goal* [of the path] and the course to the goal are primary. Content comes afterward: without a goal there can be no content."¹¹ Without the passing tone, there can be no connections, and without connections it is not possible to attain a goal and promote musical content in the horizontal dimension ("spatial depth"). As we will see in later chapters, the passing tone is the primary element of linear progressions and may further serve as the point of departure for other subsidiary motions.

Third Species

Third species counterpoint employs four quarters against the whole note in the cantus firmus (Example 2.11). This faster rhythm permits the use of rapid stepwise embellishment, which includes (in addition to the passing tone) consonant and dissonant neighbor notes that enliven the musical texture. Like the passing tone, the neighbor note moves by step; the distinction is that it *returns* to the point of origin, thus embellishing a single pitch instead of connecting two different tones.

Third species melodies combine scalar motion with passages in which embellishing tones prolong a note or otherwise retard the movement of a line. In bars 2–4 of the example, the octave ascent from d^1 to d^2 is filled in with stepwise motion, quickly reaching a new, higher register. In bars 4–5, the overall development of line seems slower by comparison, primarily because of the leaps and changes in direction. Following the climax tone f^2 on the downbeat of bar 6, the descending leap of a sixth to a^1 creates a "gap" in the line that is balanced by the concluding stepwise motion.

Third species melodies may sometimes be related to first and second species counterpoint, as shown below bars 8 and 9. Neighbor notes retard motion by prolonging a tone: thus, the dissonant neighbor f^1 in bar 8 prolongs g^1 , thereby creating an underlying motion in the bar (g^1 – a^1) that is similar to a second species figure. In bar 9, the leading tone b^1 is prolonged throughout the measure by upper and lower neighbors; its motion to the cadence therefore simulates a first species progression. This prolonging figure, incidentally, commonly termed the *double neighbor*, has been used in composition since the Middle Ages. Though the neighbor notes appear to be incomplete, because of the leap from the dissonant C to A, both tones may be understood as complete neighbors of the

Example 2.11

Third species counterpoint

④

⑦

first and last tones of the measure. This indirect relationship of notes illustrates that the ear can perceive relationships of tones over spans of varying lengths, even when other notes intervene.¹²

Fourth Species

The dissonant passing tone and neighbor note both arise through the addition of new notes to a melody, and thus may be described as *melodic* dissonances. Fourth species introduces a second category, *rhythmic* dissonance, which is created through rhythmic displacement rather than through the addition of new melodic tones. In this species the counterpoint consists primarily of tied half notes, producing a rhythm closely related to the whole notes of first species. The tones, however, do not coincide with those of the cantus firmus, but are shifted to the second (weak) part of the bar. Example 2.12 shows the relationship between the whole notes of first species and the syncopation of fourth species.

This rhythmic displacement creates the characteristic type of dissonance in fourth species: the *suspension*. The initial note of the suspension, or *tone of prepara-*

Example 2.12

Relationship between first and fourth species counterpoint

tion, occurs on the second beat and must be consonant. The second part of the tied note, on the downbeat, is called the *suspension*. A dissonant suspended tone must resolve downward and by step on the following (second) beat, to the *tone of resolution*. If the tied note is consonant with the cantus firmus, resolution is not an issue (there is no requirement for descending motion by step). Example 2.13 presents a complete fourth species exercise. Notice that the rhythmically displaced counterpoint is otherwise similar to those of first and second species. Because the suspension occurs on the strong part of the bar, it has the strongest effect of the three fundamental dissonances.

The obligatory downward resolution of dissonant suspensions limits the possibilities for melodic development; in other words, a series of dissonant suspensions can lead only to a descending, stepwise line. There are, however, “expedients” that allow one to shape and balance the line more fully. In Example 2.13, for instance, the counterpoint reverts to the untied half notes of second species (bars 4–5 and 7–8). This technique, known as “breaking the species,”

Example 2.13

Fourth species counterpoint

provides opportunities for leaps and changes in direction, both of which help to create a balanced and varied line.

Notice that the tone that forms the consonance with the cantus firmus, what one might call the “main” tone, occurs on the second part of the bar in a metrically weak position. Thus fourth species provides us with a clear example of an important principle: the structural weight or significance of a tone does not necessarily coincide with its metrical position. In free composition, where more complex contrapuntal, harmonic, and rhythmic techniques come into play, this realization will figure significantly when we attempt to determine the function of a tone or harmony. The principles of rhythm (including meter) work in conjunction with, but somewhat independently of, the principles of harmony and counterpoint. Rhythmic factors can support or reinforce the structural function of a tone, but just as frequently they can conflict with harmonic and contrapuntal factors, thereby raising questions about structural function. In analyzing tonal music, one must always weigh carefully the interplay of harmonic, contrapuntal, and rhythmic factors that work interactively to achieve the development—the unfolding—of a musical composition.

We now return to Handel’s Chaconne, to the ninth variation of the theme (Example 2.14a). In sets of variations the techniques of elaboration include increased rhythmic and melodic figuration, which transform and provide contrast to the theme. The ancient principle of variation is not restricted to pieces called “variations” (or “chaconnes” or “passacaglias”), but is a powerful means of orga-

Example 2.14

(a) Handel, Chaconne, Variation 9, bars 1–4; (b) fourth species representation

(a) Var. 9
Adagio

(b)

[5] — 6 7 — 6 7 — 6 [8]

I ————— V

nization in many different kinds of musical compositions. The principles and techniques presented in this book will enable you to better understand and recognize variation processes as they occur in tonal music.

A brief comparison of the first four bars of the theme (Example 2.8) with the corresponding part of the ninth variation reveals that the constant, the common denominator that unifies the varied presentations of the theme, is the descending “ground” bass from G to D. (Note that the use of the minor mode is another way of achieving varied repetition.) In the variation, however, the tenor voice is rhythmically displaced: a 5–6 shift above the bass prepares the first of a series of two 7–6 suspensions (Example 2.14b). The first phrase of the variation therefore retains the initial harmonic framework of the theme, but the suspensions provide a forward-moving impulse that intensifies the motion from I to V. The suspensions illustrated in fourth species counterpoint occur in compositions of many different styles, enlivening and transforming the note-against-note texture of underlying first species progressions.

Fifth Species

We have seen how second, third, and fourth species introduce various types of melodic and rhythmic elaboration in the contrapuntal line. In fifth species, the procedures of the previous species are combined, with pairs of eighth notes added as an additional resource. The use of mixed note values naturally affords the line considerably more possibilities for variety and complexity. We now examine some of the idiomatic patterns of fifth species in relation to the suspensions of fourth species, enabling us to understand how smaller note values can decorate but not disrupt the continuity of underlying stepwise progressions, the essential characteristic of melodic fluency (Example 2.15).

Example 2.15a shows a first species motion to a cadence in parallel sixths; in 2.15b the upper voice has been rhythmically displaced, resulting in a series of 7–6 suspensions. Example 2.15c illustrates some ways in which this fourth species progression can be elaborated in fifth species with quarter- and eighth-note embellishments. The first suspension is decorated by a leap to consonance from the suspension, to the lower neighbor of the tone of resolution; the second suspension is decorated by a leap to and from a consonant embellishing tone; the third is embellished by the upper neighbor of the suspension; and the fourth is embellished by a pair of eighths that pass from the suspension to the lower neighbor of the tone of resolution. The point is that the stepwise progression of the fourth species line is still the guiding force of a line that now exhibits leaps and detours; the resolution of the suspensions is so powerful that the ear retains the stepwise connections *through* the intervening notes.

This technique of embellishment (in free composition) has traditionally been referred to as *diminution*, because the embellishing tones are usually smaller note values. Another use of the term is to refer to the repetition of a line in smaller note values; this often happens in fugues, where, for example, a subject originally presented in half notes is then repeated in quarter notes. But just as frequently diminution is associated with the embellishment of an underlying guiding line that shapes the course of an upper voice.

Example 2.15**Embellishment of suspensions in fifth species counterpoint**

The image shows three staves of musical notation, labeled (a), (b), and (c).
 Staff (a) consists of a single treble clef staff with six measures. Each measure contains two whole notes: the first is a G4 (suspension) and the second is an F4. The notes are connected by a horizontal line, indicating a suspension.
 Staff (b) consists of two treble clef staves. The upper staff has six measures, each with a single eighth note. The notes are G4, A4, B4, A4, G4, F4. The lower staff has six measures, each with two whole notes (G4 and F4), identical to staff (a).
 Staff (c) consists of two treble clef staves. The upper staff has six measures, each with a single eighth note. The notes are G4, A4, B4, A4, G4, F4. The lower staff has six measures, each with two whole notes (G4 and F4), identical to staff (a).
 Below the notes in staves (b) and (c), the fingerings '6' and '7' are written under the notes, with a horizontal line connecting them to indicate a slur.

The line is often presented first in unadorned fashion, as in sets of variations on a chorale or folk tune; but a preexisting melody is not a necessary condition for diminution. We shall see that simple, melodically fluent lines lie beneath the surface of elaborate, freely composed melodies in virtually all styles of tonal compositions. And like the embellished progression in our fifth species example, the more direct stepwise progressions are perceived by the ear even as the texture is enlivened through the basic elements of diminution: passing tones, neighbor tones, consonant skips, and suspensions.

Structural Melody

In the previous section we examined the fundamental principles of voice leading as exemplified in species counterpoint. As his ideas developed, Schenker began to realize that simple rising and falling stepwise lines—similar to abstract contrapuntal lines—lie beneath the surface of tonal compositions, even in instrumental textures in which large leaps and wide-ranging shifts of register are commonplace. At this stage Schenker referred to such lines as *Urlinien* (basic or fundamental lines). Although he would later use the term *Urlinie* (the singular of the German word) for the descending structural line of an entire composition, it is significant that his mature ideas began to emerge as he applied the abstract principles of melodic fluency to the analysis of ornate lines in free composition.¹³ In a similar fashion, we use the term *structural melody* to denote an underlying melodically fluent line serving as a framework (or “skeleton”) for more elaborate diminution involving passing and neighboring tones, suspensions, and arpeggiations.

Our next three examples are drawn from Mozart’s Variations on “Ah! Vous dirai-je, Maman,” which enables us to illustrate how a melodically fluent structural line may serve as the basis for disjunct and wide-ranging melodies in free composition. Example 2.16a presents the first phrase of the theme. Before ex-

Example 2.16

- (a) Mozart, Variations on “Ah, vous dirai-je, Maman,” K. 265, bars 1–8 (Theme);
 (b) graphic representation

(a) Theme

(b)

aming how the folk tune is elaborated through specific elements of diminution, we begin with a brief overview of the phrase.

Example 2.16b shows the harmonic framework of the two-part setting: the tonic governs the first part of the phrase, after which an arpeggiation leads through VI to the II^6 -V-I cadential pattern. Notice also the tones on the downbeats of bars 2–6, which form a succession of parallel tenths between the upper voice and one of the implied voices of the left hand; in other words, the notes on the downbeats of bars 2–5 can be described as belonging to a “tenor” voice (again illustrating the principle of polyphonic melody).

Now consider that the characteristics of this tune are remarkably similar to those in the upper voice of our first species counterpoint exercise (Example 2.7). Both begin with a rather large leap, followed by stepwise motion to the cadence. (In the theme, the incomplete neighbor e^2 in bar 7 merely decorates the motion $\hat{2}-\hat{1}$ at the cadence.) In other words, the initial leaps in both melodies create gaps in the lines (and corresponding musical tension), subsequently dissipated by the descending stepwise motion to the cadence. Hence this well-known melody, in its characteristics of voice leading and melody fluency, resembles in striking fashion a line of first species counterpoint.

We now turn to the opening phrases of the first variation (Example 2.17) and third variation (Example 2.18). For clarity we have circled and beamed together the tones in each measure that correspond to the tones of the folk tune

Example 2.17

Mozart, Variations on “Ah, vous dirai-je, Maman,” K. 265, bars 25–32 (Variation 1) with analytical interpretation

(compare with Example 2.16). What becomes immediately apparent is that Mozart has presented the tune within various kinds of figurations (or embellishments) that allow performers to display not only their technical skills, but also the capabilities and idiomatic aspects of the piano. (Sets of variations were often composed as vehicles for virtuosic display on a particular instrument.)

In the first variation, upper and lower neighbor motion embellishes C and G in bars 1 and 2 respectively: because the neighbor motion is dissonant with the bass and the underlying chord, its role as figuration is clear. In bars 27–30 scalar motion occurs, also clearly an embellishment of the underlying line. The high notes initiating the scales in bars 28–30 (E–D–C) are chord tones that add an additional strand of voice leading to the right-hand part, making it polyphonic. Notice, however, that these tones do not form an *independent* line, but double notes in the left-hand part. Note also that each of the first six bars of the variation begins with an accented tone of figuration, so the chord tone is delayed. As we said earlier, it is important to bear in mind that metrical position and structural value do not always coincide, as this variation illustrates.

Chordal skips and arpeggiation predominate in the third variation (Example 2.18). In the first bar, the tone C of the melody is embedded within a rapid, wide-ranging arpeggiation that employs the skill of the performer’s right hand. The arpeggiation, moreover, confirms our *reading*—that is, our interpretation—of the theme, that a C major triad, tonic harmony, is expressed in bar 73. In bar 74,

Example 2.18

Mozart, Variations on “Ah, vous dirai-je, Maman,” K. 265, bars 73–80 (Variation 3) with analytical interpretation

the second tone of the melody, G, appears on the second eighth (after a chordal skip from C) and initiates a stepwise line that descends through the passing tones F and D to the tonic note C. The passing tones fill in the intervals between the fifth, third, and root of tonic harmony outlined in the arpeggiation of the first bar.

In bar 75, the A is decorated first with a chromatic lower neighbor and then by a consonant skip to C, followed by a passing tone back to A. The way in which the melody tone G appears in bar 76 is especially interesting: the A on the downbeat is a suspension of the melody note from the previous bar (suspensions are not always tied in free composition). The resolution of the suspension, however, is further decorated by F \sharp , an incomplete chromatic lower neighbor to G, the tone of resolution. We observed similar decorated suspensions in the fifth species (Example 2.15c): in the present example the suspension and the decoration of its resolution shift the main tone to the third eighth, the weakest part of the first beat. This variation again illustrates that metric position does not necessarily correspond to structural “importance”: sometimes, as here, harmonically and structurally prominent tones may occur in metrically weak positions.

On the second beat of bar 76 Mozart shifts the line upward through arpeggiation, creating a climax in the phrase through the establishment of a new register. The main melody notes of bars 77–79 are each preceded with the rather large leap of a descending seventh. The notes in the higher register (as in bars 28–30 of Example 2.17) are notes from an inner voice of the texture that have been shifted above the main melody tones. (Note that the high notes appear as

fourth species suspensions.) Clearly the decoration of an underlying line is not always accomplished by means of stepwise motion or small leaps. Instruments can perform large leaps and change registers much more easily than the human voice: such highly disjunct embellishments frequently characterize instrumental music.

Through our discussion of this example we have seen how Mozart has transformed the simple, melodically fluent folk tune into a line of remarkable variety and complexity. Despite the detours produced by the leaps, arpeggiations, and passing tones, the stepwise character of the theme is present, behind the scenes as it were, in the upper voice of the variation; the theme, in effect, has become an underlying guiding line for the variation. We can now better understand how significant was Schenker's discovery: that melodically fluent lines, similar to those encountered in the five species of counterpoint, lie beneath the most complex and ornate melodies of actual compositions.

In our analysis of Mozart's variations we easily identified the tones of the structural melody because they belong to the folk tune. Not all tonal compositions, of course, are based on preexisting material. In such cases we need to consider other criteria in identifying a structural line. Consider again the graphic representation in Example 2.16b, the succession of chords implied by the bass motion. A significant—and not at all trivial—observation is that the tones of the embedded line belong to the chords of the harmonic foundation. In other words, we need to clarify the chordal context before we can identify a structural melody.

Example 2.19 presents the first and second phrases of the familiar tune "Greensleeves." Because this melody is freely composed (and not a variation on a theme), we must reveal its structural line through an analysis of the implied harmonic underpinning. The melody begins with an arpeggiated ascent through the notes of the tonic triad to the climax tone A, followed by arpeggiations leading to a half cadence in bar 4. If we represent each of the arpeggiations as a block chord, we discover that some notes belong to a top voice, indicated by the beamed notes, while others belong to inner voices of the chord succession (another instance of polyphonic melody).

The block-chord reduction is a valuable first step in analysis (we will examine this technique again in the next chapter). Comparing the two systems of Example 2.19, you can see that this procedure clearly reveals the top-voice associations indicated by the beams. One point of the analysis warrants additional comment. In bar 7, the tone F is followed not by E (in the descent of the structural melody) but by the leading tone C[#] (on beat 2). But since the effects of melodic fluency can be strong, Schenker often regarded the leading tone as a *substitute* for scale degree $\hat{2}$, which if actually present would produce a completely stepwise descending line. In the first phrase of the melody, the motion A–G–F did in fact lead to E, supported by V. In the second phrase, E is thus implied—in part *because* of the substitution of C[#] and also by analogy with the preceding phrase—as the simplest and most usual connection between the F and the D. Parentheses, as in bar 7, indicate implied notes.¹⁴

The first section of "Greensleeves," therefore, is based on two structural lines, each supporting the surface arpeggiations and other elements of diminu-

Example 2.19

"Greensleeves"

The musical score for "Greensleeves" is presented in two systems. The first system, marked with a circled '4', shows the initial four measures of the piece. The melody in the treble clef descends from A4 to E4. The bass clef accompaniment consists of chords: G3-B3, F3-A3, G3-B3, and E3-G3. The second system, marked with a circled '8', shows the next four measures. The melody repeats the descent from A4 to E4 and then ascends back to A4. The bass clef accompaniment continues with the same chords, ending with a whole note chord of G3-B3.

tion that give the folk tune its distinct character. Notice that the first line descends through a fourth from A to E and concludes on dominant harmony. Schenker would observe that the “journey” of the structural upper voice is interrupted—at $\hat{2}$ over V—before it can reach its goal—scale degree $\hat{1}$ over tonic harmony. Only after the line begins again and retraces its path is this goal achieved. In later chapters we will discover the far-reaching significance of this melodic procedure for form and structure.

Pieces for Analysis

1. Mozart, Nine Variations on a Minuet by Duport, K. 573 (Theme; Variations 1, 6, and 8).
2. Beethoven, Six Easy Variations (G major), WoO 77 (Theme and Variation 1)
3. Schubert, *Die schöne Müllerin*, No. 13, “Mit dem grünen Lautenbande” (complete vocal melody)
4. Brahms, Ballade in B major, Op. 10, No. 4, bars 1–46
5. Mozart, Fantasia in C minor, K. 475, bars 1–4
6. Wolf, *Mörrike-Lieder* No. 7, “Das verlassene Mägdlein,” bars 1–12 (vocal melody)
7. Beethoven, Piano Sonata, Op. 22, III, bars 1–18

8. Chopin, Nocturne in B major, Op. 32, No. 1, bars 1–8
9. Bach, Suite for Unaccompanied Cello in D minor, BWV 1008 Prelude (bars 1–13); Menuet 1 (complete)

Notes

1. A nonharmonic passing tone is one that is not a member of the supporting chord. For a review of passing tones, neighboring tones, consonant skips, and suspensions in a harmonic context, read Aldwell, Schachter, and Cadwallader, pp. 88–91.
2. Victor Zuckerkandl's excellent book *Sound and Symbol*, includes extensive discussion of tonal relations and dynamics in the major scale.
3. The combination of stepwise motion and leaps in a melody is stressed in the study of melodic construction in species counterpoint. See for example the section on cantus firmus writing in Salzer and Schachter, Chapter 1.
4. That is, the V on the second beat of bar 3 and the I on the first beat of bar 4 are one beat each, in contrast to the prevalent length of two beats per chord. This and other facets of phrasing and rhythm in Chopin's Op. 10, No. 3 are discussed in Rothstein, pp. 221ff., and in *Free Composition*, ¶287 and Figure 138/5.
5. The ability to recognize long-range connections is one of the most difficult skills to acquire, and its development depends on experience and musical training. Over the course of this book we will study the nature of different structural levels, how they are related, and how they can be distinguished.
6. The natural seventh degree in minor is often called the *subtonic* because it is a whole step below the tonic, and therefore has no marked tendency to ascend. Therefore, the key-defining property of the leading tone can only be obtained by raising the seventh degree, as with the E[♯] at the end of bar 1. Technically, the raising of the seventh and sixth degrees in minor can be regarded as *modal mixture*—that is, tones that have been “borrowed” from the major mode. These alterations are so characteristic, however, that they are considered part of a conceptually expanded minor mode.
7. For a thorough overview of the principles of two-part counterpoint, read Chapters 1–5 (the first sections only) in Salzer and Schachter.
8. For a listing of this and other works by Schenker, see the Bibliography.
9. Allowable consonances in first species include the perfect unison (in the first and last bars), the perfect octave and fifth, and major and minor thirds and sixths.
10. The term *applied dominant chord* was first used by William Mitchell in his book *Elementary Harmony*. It is used more frequently in Schenkerian literature than the alternative term, *secondary dominant chord*.
11. These remarks appear in *Free Composition*, p. 5.
12. The figures B–C–B and B–A–B are implied in this double neighbor. Mentally add a fifth note (B–C–[B]–A–B) and you will discover how the apparently incomplete neighbors are heard as complete (the middle note is elided in the four-note span of the measure).
13. The notion of the *Urfinie* appears for the first time in 1920, in Schenker's analysis of Beethoven's Piano Sonata, Op. 101. See the Bibliography for William Pastille's excellent article “The Development of the *Ursatz* in Schenker's Published Works.”
14. In addition to this primary meaning, parentheses can also be used for other purposes: principally, to set off one or more tones that are present in the music, but are not actually part of the structural context in which they occur.