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# Heinrich Schenker

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Long after his major writings on harmony, counterpoint and analysis began to appear, Heinrich Schenker (1868–1935) remains one of the most important and influential theorists in the history of Western music. His achievements have often been compared to those of eminent thinkers of his age working in other fields, e.g., his Viennese compatriots Sigmund Freud in psychology and Albert Einstein in physics. His influence, modest (though not negligible) in his own lifetime, has grown steadily since the middle of the last century and shows no signs of abating. Already a paradigmatic figure in North American universities by the 1970s, he has since exerted a powerful influence in British and, more recently, European academic circles. Indeed, the interest shown in his life's work is, in some respects, comparable to that of some of the twentieth century's leading composers, and in this respect his reputation as a theorist is unequaled.

That which is called "Schenkerian theory" is a complex set of regulatory principles that were initially intended to explain the tonal music of the eighteenth and nineteenth centuries; it is at the same time a synthesis of many traditions, embracing Fuxian counterpoint, the thorough-bass teaching of Carl Philipp Emanuel Bach and late nineteenth-century harmonic theory. It is at once a sophisticated explanation of tonality, but also an analytical system of immense empirical power. Schenker's ideas and work touch on, or have implications for, virtually every topic addressed in this volume.

This chapter includes a synopsis of Schenker's life and works, an explanation of the rudiments of his theory, remarks on its historical background, and a survey of its reception both as a pedagogical tool and as a basis for further investigation of a wide range of music.[1]

## Life and writings

The few sources for Heinrich Schenker's childhood and adolescence suggest that he came from a poor but intellectually supportive Jewish family in Galicia (Poland),

1 Related aspects of Schenker's theory are discussed in numerous other chapters in the volume. In particular, see **Chapter 3, pp. 89–90** (on Schenker's epistemology), **Chapter 22, pp. 703–10** (on implications of Schenkerian theory for the analysis of rhythm and meter), and **Chapter 23, pp. 741–42** (on Schenker's broader views of tonality)

attended the Gymnasium in the capital city of Lemberg (L'viv in present-day Ukraine) and completed his schooling in Brezežany, where he also had music lessons from the celebrated Chopin pupil Karl Mikuli. After taking the *Matura* examinations, he enrolled as a law student at the University of Vienna in 1884, gaining a doctorate in law there six years later. In his last three years at university, he also attended classes at the Vienna Conservatory, where his teachers included Anton Bruckner.

After graduation, Schenker embarked on a musical career which included composition, journalism and accompanying. He gave up composing while in his early thirties, after realizing that he would never be able to equal the achievements of the masters whom he admired above all else, and for most of his life he earned a living as a piano teacher in Vienna, devoting himself in his free time to music theory and analysis. His publications were financially supported by friends, and by people whom he taught or with whom he shared thoughts on music, and this enabled him to abandon his work in music journalism and to write in a more serious way from the early years of the twentieth century until the end of his life.[2]

His published work includes critical editions, a treatise on ornamentation, and commentaries for facsimile editions of composer autographs. But it is by his detailed analyses of music and the working out of a comprehensive theory of tonality – the two types of writing commingle in textbooks, monographs, pamphlets, yearbooks, and critical commentaries – that he has become widely known. Schenker's analyses exemplify, over a broad range of the literature and in considerable detail, a view of music that has gained sufficient esteem in North America (and more recently in parts of Europe) to establish itself as one of the foremost approaches to musical structure.

Although Schenker is best known for a highly specific view of music, and a method for describing how music behaves, his writings cover a broad range of approaches and embrace editorial technique, performance practice, and criticism. A theoretical project, built around the four-volume *Neue musikalische Theorien und Phantasien*, spans a thirty-year period yet shows a remarkable degree of consistency. The first three volumes in the series are based on the traditional disciplines of harmony and counterpoint: *Harmonielehre* (1906) and a two-volume *Kontrapunkt* (1910, 1922). The fourth volume, *Der freie Satz* (1935), was initially conceived as the third volume of *Kontrapunkt* but marks a more radical break with the traditional study of the contrapuntal species with reference to a cantus firmus; it is more a book about analytical method than composition technique.

The texts devoted primarily to the analysis of whole pieces include a monograph on Beethoven's Ninth Symphony (1912) and the periodical publications *Der Tonwille* (1921–24) and *Das Meisterwerk in der Musik* (1925–30). Though *Tonwille* and *Meisterwerk* are largely devoted to small- to medium-length studies, sometimes of short keyboard

2 To date, the fullest account of Schenker's life is contained in the opening chapter of Federhofer, *Heinrich Schenker, nach Tagebuchern und Briefen*, pp 1–47

pieces or sonata movements, they also contain longer analyses of three major works from the Classical symphonic repertory: Beethoven's Fifth Symphony (1921–23), Mozart's Symphony in G minor, K.550 (1926), and Beethoven's *Eroica* Symphony (1930). Two of these are, in effect, Beethoven symphony monographs which, together with the book on the Ninth, constitute a trilogy on the symphonic output of the composer he esteemed above all others.

As it was primarily as a piano teacher that Schenker earned a living, one should not be surprised to find his work addressed as much to practical musicians as to the world of scholarship. The majority of his longer essays include detailed suggestions on performance; these invariably follow, and are derived from, the analysis of the score, sometimes supported by the evidence of the sources. Schenker frequently stated that an inspired performance of a work could only be obtained by way of following its compositional growth from the background to the foreground. It is clear, from his extant remarks on performance, that this did not amount to an "analytical" style of playing, whereby elements of a structural "background" are brought out crudely. (The opposite is closer to the truth: foreground dissonances require greater weight than the consonances from which they are derived.[3]) Schenker's long-projected *Kunst des Vortrags*, never completed but recently brought out in English translation as *The Art of Performance*, expresses concerns as much in tune with his earlier writings as with the later theoretical formulations.[4]

If Schenkerian analysis entails a profound and detailed understanding of the relationship of the notes of a piece to one another, then an essential condition of an analysis is an accurate text of the piece. This was a problem of life-long concern: in the days in which the texts of musical works were overlaid by editors with additional dynamic and articulation marks, and when the notes themselves were often changed arbitrarily, the understanding of a work could begin in earnest only after it had been established what the composer had actually written.[5] (In this activity Schenker was assisted by his pupils Otto Erich Deutsch and Anthony van Hoboken, both of whom followed distinguished careers as musicologists.) The search for the best musical text, a salient feature of the *Erlauterungsausgaben* of Bach's Chromatic Fantasy and Fugue and four of Beethoven's late sonatas, extends to Schenker's other editorial work, his commentary on a facsimile reproduction of the "Moonlight" Sonata, and the essays on Mozart's G minor Symphony and Beethoven's *Eroica.* With Beethoven and, to a lesser extent, Haydn, an additional measure of the composer's purported intentions was sometimes provided by the transcription and interpretation of sketches. The practical texts

3 Referring to the Bach C major Prelude, he wrote to a pupil that "the dissonances . should always be played *louder* than the consonances"; see Drabkin, "A Lesson in Composition," p 247 See also Rothstein, "Schenker as an Interpreter of Beethoven's Piano Sonatas "

4 Recent studies in this field include Burkhart, "Schenker's Theory of Levels"; Schachter, "Twentieth-Century Analysis "

5 This matter is treated briefly in *Tonwille*, vol. III, pp 24–25 and vol VI, pp 38–40, and at greater length in the essay "Weg mit dem Phrasierungsbogen" in *Meisterwerk*, vol. I

include a commentary on ornamentation in eighteenth-century music, an edition of the complete Beethoven piano sonatas, and a two-volume selection of keyboard works by Carl Philipp Emanuel Bach.

The parsing of this prodigious *oeuvre* should not, however, obscure the fact that, for Schenker, many aspects of music – theory, analysis, performance, manuscript study, and the preparation of editions – were interrelated and hence discussible in an integrated format. For contemporary musicians outside the academy, e.g., concert pianists and piano teachers, the *Erlauterungsausgaben* were his most important contributions to the literature of music, providing in an integrated format an authoritative text of the music, an analysis, commentary on the autograph score and other primary textual sources, remarks on performance, and discussion of the secondary literature. Their musical insights were recognized by performers with no particular theoretical ideology.[6]

Where not accompanied by the musical text, a typical analytical essay nevertheless includes some or all of the following: observations on the text of the piece (including, where relevant, alternative readings in the autograph score and early sketches), suggestions for performance that arise from the analysis, remarks on modern editions and arrangements, and a survey of the secondary literature. As Schenker's stature as a theorist grew, and he became more convinced of the rightness of his views on music, he became less concerned with attacking the writings of other scholars. The Ninth Symphony monograph (1912) was expressly concerned with the opinions of earlier commentators, as its subtitle makes clear;[7] but the *Eroica* essay (1930) mentions only two studies peripherally concerned with the work's structure, and does so only briefly.

In both his published writings and private communications, Schenker decried the mixing of politics with music; the immortality of great music was itself proof that political beliefs had little to do with musical values. Yet the notion of hierarchy, of a strict ordering of the tones of a composition, is so thoroughly consistent with his deeply conservative outlook on life and culture that it is difficult to uncouple his theory entirely from two of his most consistently expressed ideological stances: (1) the centrality of the German people in European culture, underscored by their preeminence in music, and (2) the steady decline of culture and political order in Europe since the late eighteenth century, ultimately resulting in the complete demise of musical art by the beginning of the twentieth century. Schenker admitted only two foreign composers into the pantheon of German music, Chopin and Domenico Scarlatti. Although he encouraged his private pupils in composition, he found nothing favourable in either mainstream modern music or the tonally accessible jazz and popular music of his time.

6 See, for example, Paul Badura-Skoda, "A Tie," in which Schenker's analysis of the Piano Sonata in A♭, Op 110, is championed, three-quarters of a century after its publication, as "a monument of precision and insight, by far the best analysis ever made of one of the last Beethoven sonatas" (p 87)

7 *Eine Darstellung des musikalischen Inhaltes unter fortlaufender Berucksichtigung auch des Vortrages und der Literatur* ("a representation of its musical contents, together with a running commentary on performance and the critical literature")

He reserved his harshest polemics for the atonal composers, yet made no qualitative distinction between the work of contemporary composers as stylistically diverse as Debussy, Strauss, Schoenberg, and Hindemith.[8]

That *Der freie Satz* is not only his *opus ultimum* but also a posthumous work – it was published some months after his death in January 1935 – has had important consequences for our understanding of Schenker's work. Although it is the text on which his reputation is based, and remains the basis of explanations of his theory and of the analytical and graphing techniques that arise from it, it would be a mistake to regard it as the definitive formulation of Schenkerian theory. For one thing, it is generally reckoned as incomplete, especially with regard to the discussion of form, metrics and rhythm, and style and genre. Second, the earlier writings, though they are formatted differently and use terminology in a different way (especially the words *Urlinie* and *Zug*), shed a great deal of light on Schenker's analytical technique; they are sometimes preferred to the later writings, whose insights can sometimes seem tangled inside an elaborate theoretical web. This means that a single account of Schenker's contribution to music theory is an illusory goal, even if *Der freie Satz* remains the largest repository of his analytical work and is probably the best vantage-point from which to view it.

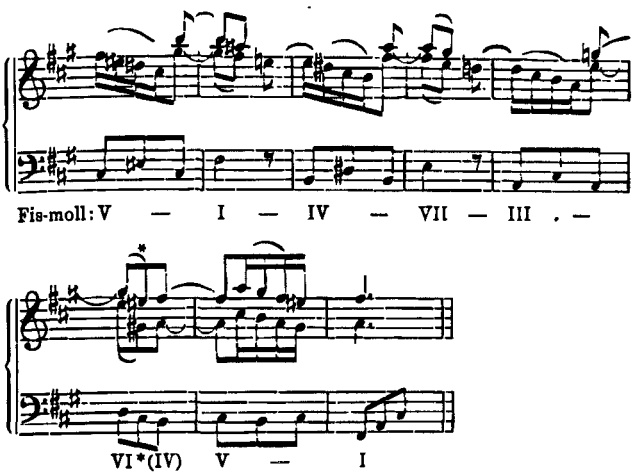
## Outline of the theory

If one were to attempt to reduce Schenker's understanding of music to a single concept, "hierarchy" would perhaps be the best choice. For Schenker, music – great music – is tonal, and hence a composition is governed ultimately by its principal chord, the tonic triad; all other harmonic functions are subordinate to the tonic, and analysis must always make a distinction between essential and passing harmonies. Similarly, the notes of a melody can be described as either essential or transitional. Moreover, the notion of essential versus passing, of harmonic versus non-harmonic, applies not only to the surface of the music but informs the deeper levels, too: a harmony might be essential at one level but transitional at another, a passing note at one level might be the start of an important "linear progression" at another.

8 Only two modern works were subjected to analysis by counter-example a passage from Stravinsky's Piano Concerto and the whole of Reger's Variations and Fugue on a theme of Bach, Op 81 Both appear in *Meisterwerk*, vol II

Schenker's polemics proved an embarrassment to his disciples, many of whom were forced to flee Nazi Germany in the late 1930s After 1945, Schenker's ideological position was untenable to a German nation trying to come to terms with the horrors it had recently perpetrated, and for a long time afterwards the offending passages from his texts were excised from later editions and translations of his writings, or relegated to an appendix The more virulent parts of his published work, above all the sections of *Tonwille* and *Meisterwerk* devoted to miscellaneous "thoughts on art and its relationships to the general scheme of things," have until recently been ignored altogether, though some writers have argued that Schenker's polemics are inseparable from his theory, see Cook, "Schenker's Theory of Music as Ethics", "Heinrich Schenker, Polemicist", Bent, "Schenker e la missione del genio germanico "

Example 26.1 *Harmonielehre*, Example 153: Analysis of aria "Buß und Reu" from Bach's *St Matthew Passion*




I shall outline the essentials of Schenker's theory using four further concepts: *Stufe*, *Schicht*, *Prolongation* (*Auskomponierung*), and linearity. Additional terms will be introduced in relation to these.

## *Stufe*

This term is often translated as "scale degree" or "scale step," expressions that have a melodic connotation. But *Stufe* is a harmonic concept, one which provides a means of distinguishing important harmonies from transitional ones (*Durchgange*); thus it provides a means of assigning different values to what might otherwise appear to be instances of the same chord. It makes an early appearance in Schenker's writings – in the *Harmonielehre* of 1906 – and represents an important milestone in his development of a hierarchical view of musical structure. In discussing the ritornello of an aria from Bach's *St. Matthew Passion* (see Example 26.1), Schenker showed how only one of two C♯ major chords could be understood as a true dominant of F♯ minor, a "V. Stufe":[9]

> At * we see the appearance of a complete triad on C♯, which could represent the dominant harmony ("*die V. Stufe*"), but the listener would have been directed most specifically by the rhythm of the falling fifths I–IV–VII–III etc to viewing this triad as merely a passing configuration of three voices; even if we were to ignore the fact that the inversion of the fifths supports this view, and that there is no need to invoke a V here since one appears *ex officio* in the very next measure, there is no question of it having the weight of

9 *Harmonielehre*, p 187, see also Federhofer, *Akkord und Stimmführung*, pp 66–67

> a *Stufe*. Each of the three voices in fact has its own reason for passing this point The D in the bass passes through C♯ to B as a possible [root of] IV, the suspended fourth G in the soprano passes through E♯ en route to its resolution, F♯, and finally the suspended E in the inner voice moves through G♯ to A in parallel sixths with the soprano. Thus their coming together must be taken for what it truly is: a contrapuntal accident.

The example shows a clearly hierarchical view of musical design: what is transitional must, by definition, be dependent on the points enclosing it. The starred C♯ major chord cannot be mistaken for a true dominant, since it acts as a passing chord between two chords along the cycle of falling fifths, VI on the first beat and $IV^7$ (substituting for II) on the third.

In Schenker's later writings, the status of a chord is dependent on the perspective from which it is viewed. A passing harmony at a higher structural level (*Schicht*) could gain the weight of a *Stufe* at a lower level. In the analyses the roman numbers are often laid out simultaneously in differing degrees of detail, sometimes with parentheses enclosing a lower-level progression (see Examples 26.5 and 26.6, below).

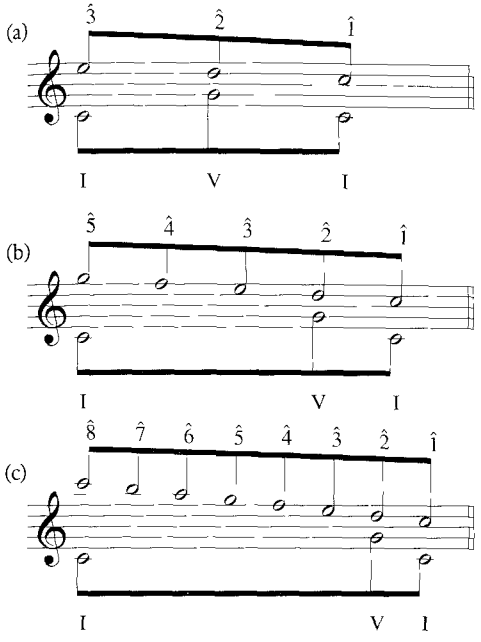
## *Schicht*

Musical content is created by an unfurling of the tonic triad, referred to in some of Schenker's writings as the *Klang in der Natur*: the "chord of Nature," i.e., harmony in its natural state. This is achieved in the first instance by "horizontalizing" the contents of this chord as a simple two-voice setting. The upper voice, called the *Urlinie*, makes a diatonic stepwise descent from a note in the tonic triad to its root, and hence traverses the interval of a third, a fifth or an octave (see Example 26.2). The lower voice, called the *Bassbrechung* ("bass arpeggiation"), starts with the root and moves to the fifth degree and back to the root. It is no accident, for Schenker, that the roots of both the mediant (the "relative major" in minor keys) and the dominant belong to the tonic triad: this enables Schenker to argue even more forcefully that the tonic triad not only represents harmony in its natural state but also contains the essentials of harmonic motion, i.e., what other theorists would have called the "principal modulations."

The configuration of *Urlinie* supported by bass arpeggiation is called the *Ursatz*. It not only represents the melody in its most rudimentary form, the scale, but also the basic harmonic progression underlying most eighteenth- and nineteenth-century music: I–V–I in roman numeral terms.[10] (In this respect, the *Ursatz* is a stronger abstraction of tonal music than Fuxian note-against-note counterpoint, which prefers stepwise motion in both parts, especially at the cadence.)

10 The use of careted arabic numbers for melodic steps is analogous to that of roman numerals for the harmonic *Stufen*, and is explained in a footnote to an analytical graph in *Tonwille*, vol III. The *Tonwille* analyses show a liberal use of these symbols, with hierarchy shown by different sizes of number, by the time of *Der freie Satz*, there was only one fundamental descent of the *Urlinie*, 1 e , one descending line indicated by careted numbers

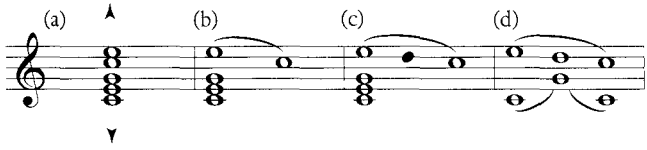
Example 26.2 The three forms of the Schenkerian *Ursatz* (cf. *Der freie Satz*, figs 1, 9–11)




The *Ursatz*, which represents the contents of a tonal work at the most basic level, called the *background* (*Hintergrund*), gives rise to more elaborate harmonic-contrapuntal designs. These in turn generate further development, in stages, until the final elaboration is reached, which is the piece itself with all its details of rhythm and tempo, dynamics and articulation, and scoring. This level is called the *foreground* of a composition (*Vordergrund*). Between the extremities of background and foreground lies the *middleground* (*Mittelgrund*), an area whose scope and complexity is dependent on the size and nature of the composition.

The top staves of Examples 26.2a–c show that the linear descent in the upper voice of the *Ursatz* traverses the space of a third, a fifth, or an entire octave. Because of the perfect alignment of the upper and lower voices in Example 26.2a, this form of the *Ursatz* is given pride of place in most explanations of Schenkerian theory. Indeed, the *Ursatz* from $\hat{3}$ most clearly illustrates the notion of hierarchy (see Example 26.3). The tonic triad, Schenker's chord of Nature, is given in Example 26.3a; it is stretched out (or "horizontalized") by the successive presentation of its root and third (26.3b) and by the filling of the space between these with a passing note (26.3c). The passing note, which is initially dissonant against the prevailing harmony, is converted to a

Example 26.3 Derivation of the *Ursatz* from $\hat{3}$ from the tonic C major chord




consonance by the arpeggiation of the bass from the first to the fifth step of the scale (26.3d). The resultant harmony – the dominant – thus acquires the status of a fundamental harmony – a *Stufe* – and is then able to generate further elaborations. At subsequent levels these processes are repeated: passing notes are given consonant support and become harmonies in their own right.

As Schenker himself explained:

> The dissonant passing tone . . so long as it retains its dissonant quality . . cannot at the same time give rise to a further elaboration; only the transformation of a dissonance into a consonance can make elaboration possible . The *Ursatz* exhibits the first transformation of a dissonant *Urlinie* tone into a consonance above all, $\hat{2}$ is changed into a consonance $\hat{2}$/V by the counterpointing bass arpeggiation of the tonic triad. [11]

Although Schenker's terminology implies a tripartite division, each term – background, middleground, foreground – in fact embraces more than one distinct structural level. His statement early in *Der freie Satz* that "the *background* in music is represented by a contrapuntal structure which I call the *Ursatz*"[12] is already a simplification; as we have seen (Example 26.3), there is a musical construction – the tonic chord – that is conceptually prior to the *Ursatz*. At the other end, the "foreground" of a piece is the totality of its notes and associated markings, i.e., the score; but the term is conventionally used to describe a simplification of the piece in which the melodic contour, harmony, and phrase rhythm are clearly discernible. Example 26.4b, which reproduces part of Schenker's most detailed analytical "graph" of the first movement of Mozart's G minor Symphony, can easily be read as a simplification of the start of the symphony in a way that line (*d*) from Example 26.4a, which it elaborates, cannot. [13] The motion of the upper voice is, with few exceptions, reduced to quarter-notes and half-notes; the piece is presented in a two-stave piano format, with some indications of scoring. To distinguish between the two notions of musical foreground, Schenker generally used the term *Urlinie-Tafel* for the graph of the foreground in this simplified notation, and *Ausführung* or *letzte Ausführung* ("final elaboration," "realization") when referring to the actual score.

That the middleground also comprises several hierarchically conceived layers is clear

11 *Der freie Satz*, §§169–70 12 Ibid , Part I, Chapter 1, section 3 13 *Meisterwerk*, vol II

both from Schenker's analyses and from his terminology. In Example 26.4a, lines (*a*), (*b*), (*c*), and (*d*) each represent a middleground layer; had he published this analysis a few years later, he would have labeled them "1. Schicht" (="first [middleground] layer"), "2. Schicht," "3. Schicht," and "4. Schicht," respectively. In the well-known graphic analysis of Bach's Prelude in C from the *Well-Tempered Clavier,* Book 1,[14] the initial elaboration of the *Ursatz* is still marked "1. Schicht," even though no further middleground layers intervene between it and the *Urlinie-Tafel.*[15]

## *Prolongation* and *Auskomponierung*

Though these terms are central to his theory, Schenker never provided clear definitions of either, nor did he attempt to distinguish between them. *Prolongation* suggests the creation of content by stretching out the constituent elements (representing specific musical events) in a given layer. In the analysis of the Bach prelude, for instance, the fall of an octave from $e^2$ to $e^1$ is a prolongation of the first note, or "primary tone," of the *Urlinie*, $e^2 = \hat{3}$. *Auskomponierung* (literally, "composing out") is the process by which prolongation is achieved: the word, constructed by analogy with the German *ausarbeiten* ("to work out, develop"), implies that temporal events have the potential to generate further content; that is, material contained in (or implied by) an event in a higher level can be "unlocked" by the process of elaboration. In the Bach prelude, the $\hat{3}$ that is initially prolonged by the drop of an octave is further elaborated by being filled with stepwise motion: the linear descent "composes out" the octave.

Linked to the concepts of *Prolongation* and *Auskomponierung* is a favorite metaphor of Schenker's, *Saat–Ernte*, by which musical structure is made analogous to organic growth: "from seed to harvest." The commentary on the first movement of Mozart's G minor Symphony makes reference to two instances: the interval of a sixth, "planted" in the viola part in m. 1, "germinates" in the first violin in mm. 3 and 7 (this relationship is shown in the *Urlinie-Tafel*: see the square brackets in Example 26.4b); in mm. 10–11 the descending third from $a^2$ to $f\sharp^2$, itself the inversion of the original sixth, resolves to the fourth in the next measure. With the key-note, $g^2$, in the upper voice, this fourth is the "harvest" of the original planting.[16]

Another term used in this connection is *Diminution*. By this Schenker sought to emphasize the historical validity of his theoretical work, through the connection

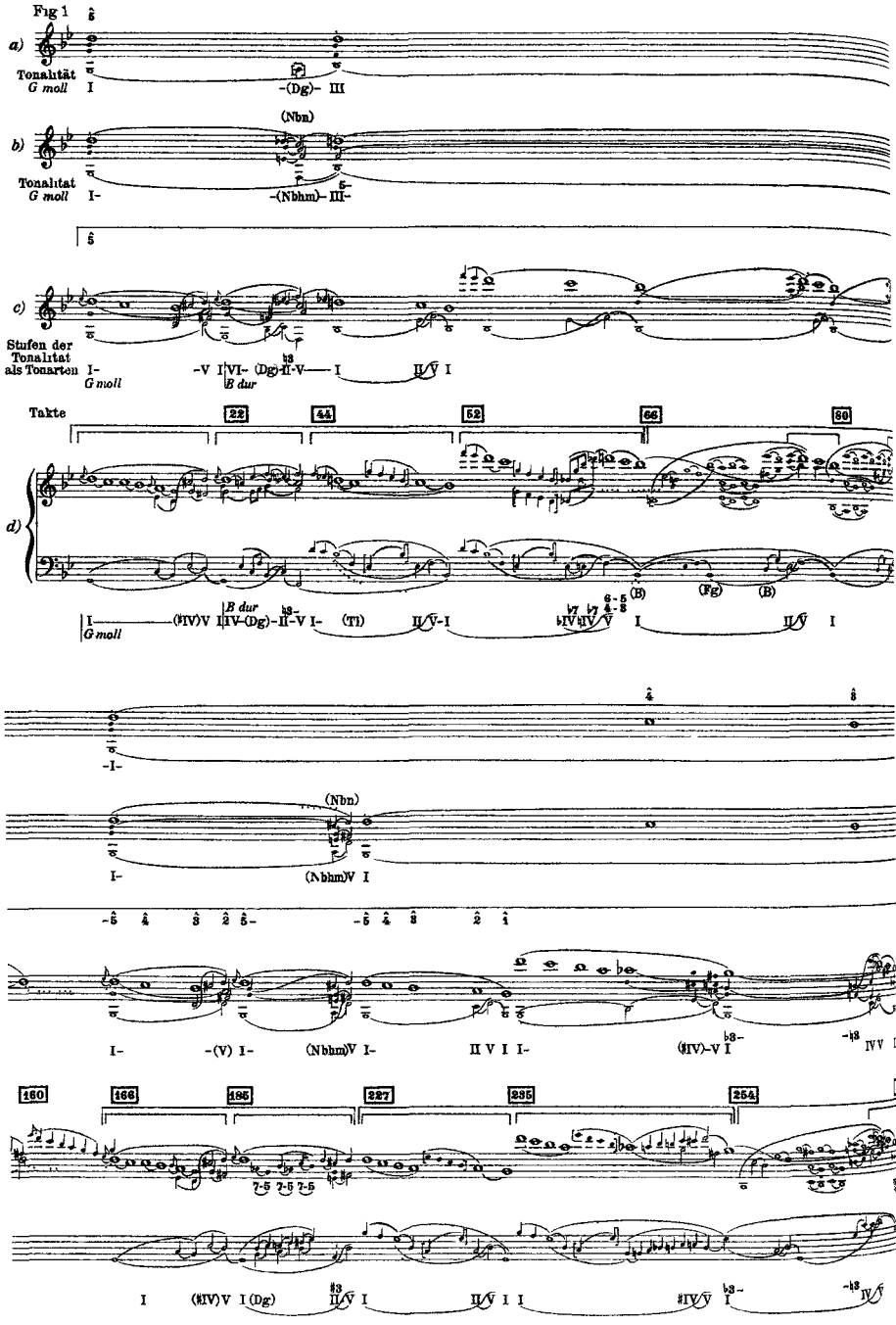
14 See, for example, Cook, *Guide to Musical Analysis*, Drabkin et al , *Analisi schenkeriana* Derivative examples are found in Jonas, *Einführung*, Forte and Gilbert, *Introduction to Schenkerian Analysis*, Neumeyer and Tepping, *Guide To Schenkerian Analysis*, Cadwallader and Gagne, *Analysis of Tonal Music* See also Drabkin, "A Lesson in Analysis," which includes Schenker's preliminary sketches for this graph

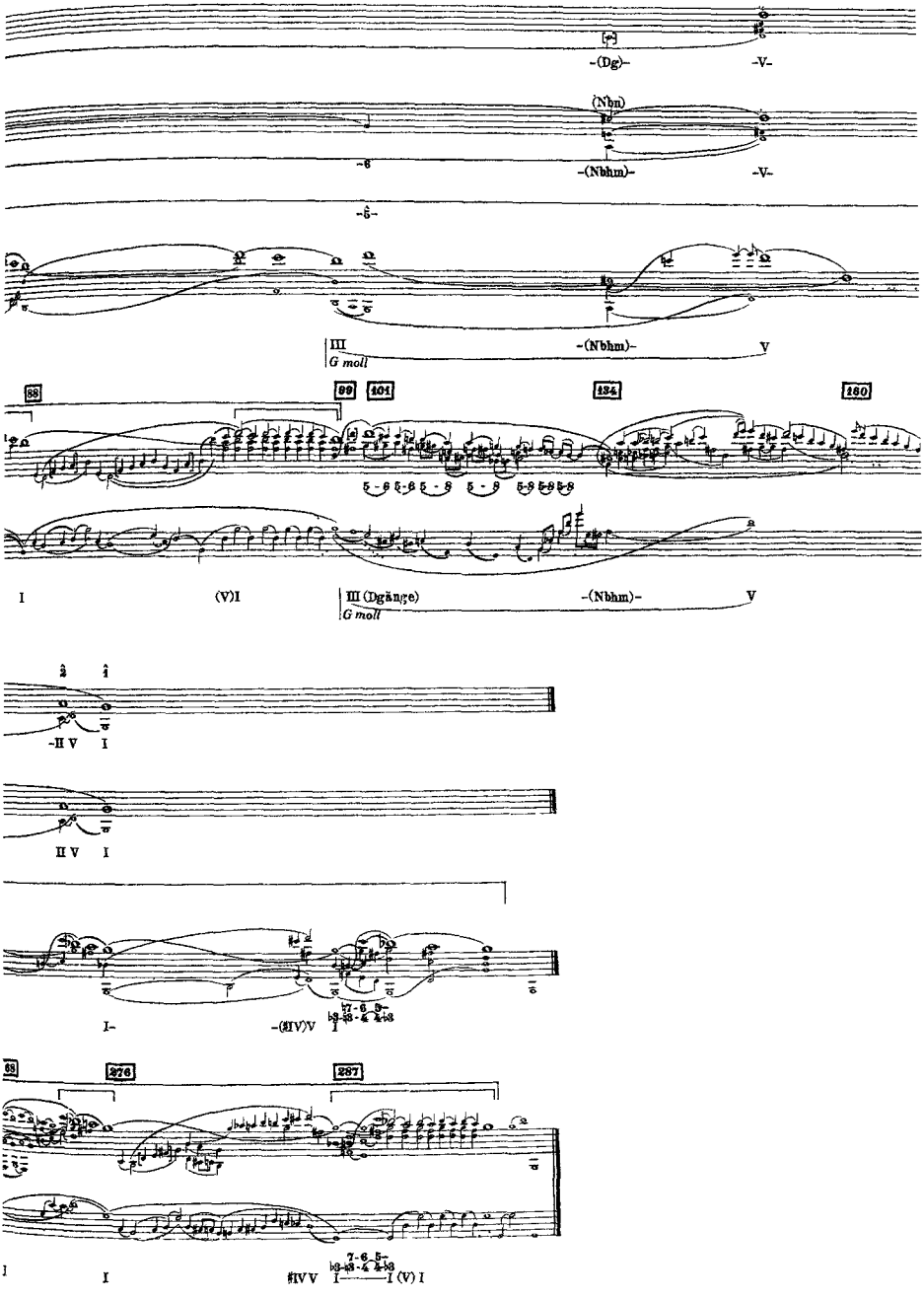
15 Another Schenkerian graph illustrating levels of musical structure (in this case of a Haydn piano sonata) may by seen in Plate 23.2, p. 742 There, the subsumption of middleground modulations within a background voice-leading structure is clearly to be seen

16 *Meisterwerk*, vol II, p 118

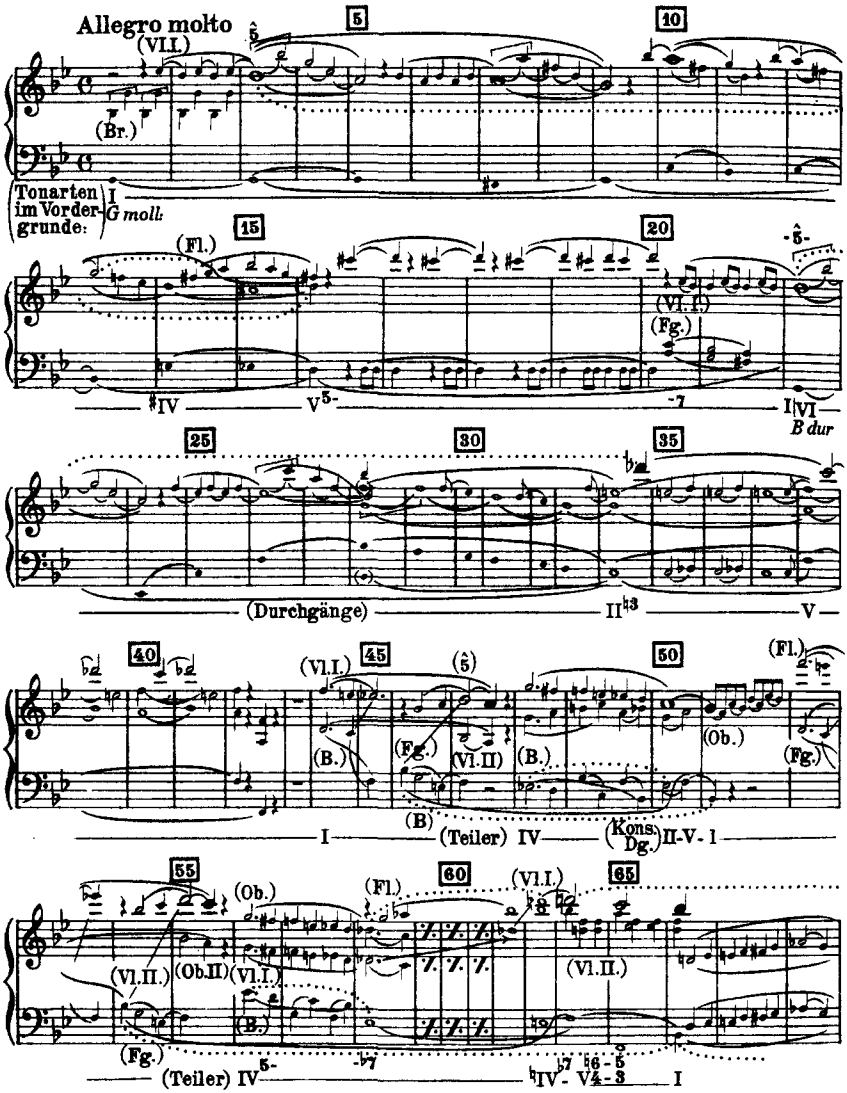
Example 26 4 Extracts of graphic analyses from "Mozart Sinfonie G-moll," *Das Meisterwerk in der Musik*, vol II

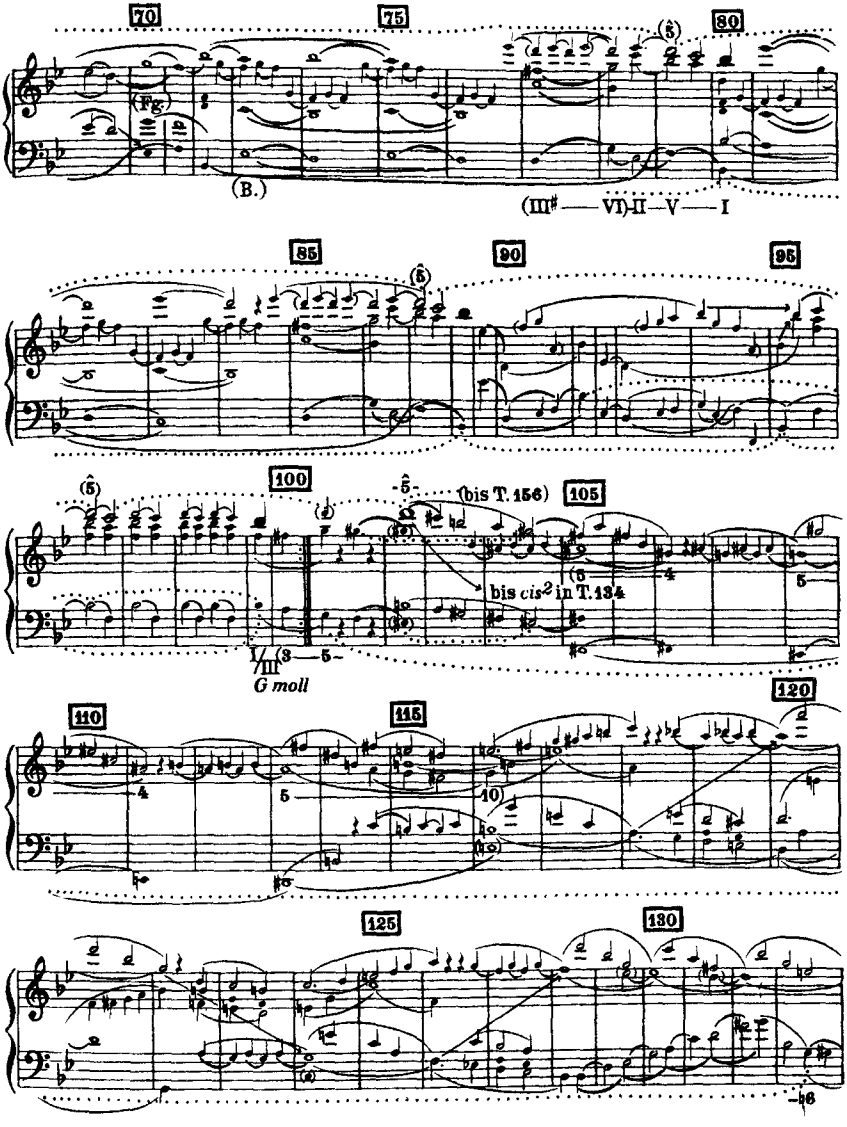
(a) from fig 1, layer analysis of first movement



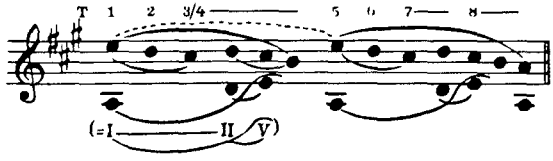

-(Dg)-
-V-
(Nbn)
-(Nbhm)-
-V-
III
G moll
-(Nbhm)-
V
88
99
101
124
160
I
(V)I
III (Dgänge)
G moll
-(Nbhm)-
V
-II V I
II V I
I-
-(#IV)V
88
276
287
I
I
#IV V
I (V) I

Example 26.4 (*cont.*)
(b) from the *Urlinie-Tafel* of the first movement




70
75
80
(Fg.)
(B.)
(III♯ — VI)-II — V — I
85
90
95
100
(bis T. 156)
105
bis cis² in T. 134
I/III
G moll
110
115
120
125
130

Example 26.5 *Der freie Satz*, fig 87/5. Mozart, Sonata in A, K. 331, first movement, mm. 1–8




between structure and detail. If "diminution" means, for historians of seventeenth- and eighteenth-century music, the practice of ornamentation or the elaboration of a framework (e.g., an Adagio written skeletally in long note values) or a chord progression (e.g., the realization of a cadenza or the improvising of a prelude), then *Auskomponierung* could be understood as diminution, with the additional requirement that the elaborations must not be applied arbitrarily but are needed to promote the overall unity of a composition (or, in Schenker's preferred term, its "synthesis").[17] In the Bach prelude, for instance, the rising fourths $e^2$–$a^2$ and $d^2$–$g^2$ (in mm. 4–7) are diminutions of the upper-voice movement from $e^2$ to $d^2$. The fourth in the bass in mm. 8–9, though it gives the illusion of V–I in G major, is also a diminution of a conceptual stepwise descent, from a to g; synthesis is promoted by the repetition of the same interval, D rising to a G, in different voices.

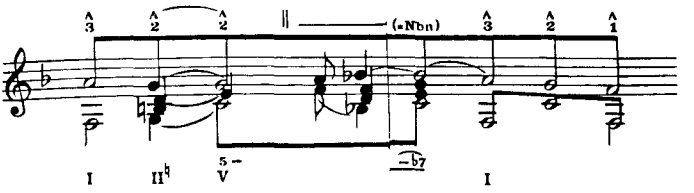
In *Der freie Satz* much is also made of "concealed repetition," achieved by making a short figure or an interval in the foreground the basis of an extensive elaboration later in the piece. Schenker's essays sometimes refer specifically to "diminution motives," i.e., figures that are consistently applied at various structural levels. In his essay on the G minor Symphony, the upward leap of a sixth and its inversion, the descending third, are identified as motives characteristic of the foreground of the first movement (represented in Example 26.4b). At higher levels the stepwise descent of a second, in pairs, is a characteristic diminution technique (compare the start of levels (*c*) and (*d*) in Example 26.4a); the original neighbor figure in the melody, E♭ slurred to D in the violin parts, is also an expression of this two-note linearity.[18]

Prolongation can also be achieved by repeating material, and musical form is often created by the repetition of portions of the *Ursatz* itself. A technique of fundamental importance in this respect is *Unterbrechung*, the "interruption" of the progress of the *Ursatz* at $\hat{2}$/V, which necessitates a new beginning. All constructions based on antecedent and consequent phrases can be understood as elaborations of interrupted struc-

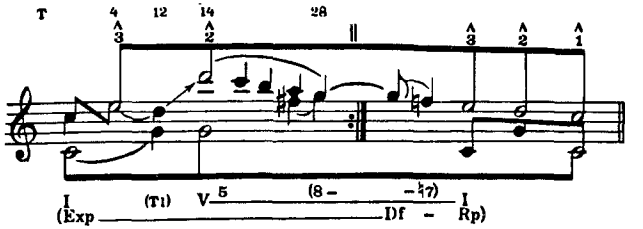
17 For discussion – and illustrations – of diminution techniques in earlier music theory, see Chapter 17, pp. 544–48

18 The term *Diminutionsmotiv* appears as such only in the analysis of Bach's Largo for solo violin (*Meisterwerk*, vol I), but its spirit informs other analyses In the Mozart symphony essay, for instance, Schenker describes the *Diminution* of the various structural levels as having their "own special motivic characteristic[s]" (*Meisterwerk*, vol II, p 117)

Example 26.6 Sonata-form movements as elaborations of interrupted *Urlinien*
(a) *Der freie Satz*, fig. 154/5a: Beethoven, *Pastoral* Symphony, first movement




(b) *Der freie Satz*, fig. 47/1: Mozart, Sonata in C, K. 545, first movement




tures. In the first-movement theme from Mozart's Sonata in A, K. 331, mm. 1–5 show a linear progression from $e^2$ that is expected to end at $a^1$; it is interrupted after four measures, and must begin again in order to reach its goal (see Example 26.5).

Since the first arrival of $\hat{2}$/V marks the halfway point in the structure, Schenker refers to it as the *teilende Dominante* ("dividing dominant") or simply *Teiler* ("divider").[19] In doing so, he invites comparison with themes that, though they do not have an interrupted structure in the upper voice, are similarly constructed in two halves with the first ending on a dominant. One such example is the second-group theme of the first movement of Mozart's G minor Symphony, at mm. 44–51: the dominant in m. 47 is marked "Teiler" or "Tl" in the analytical graphs (Example 26.4), since it lacks the harmonic weight of a *Stufe*.[20]

19 *Der freie Satz*, §89.

20 The use of the term *Teiler* in both contexts suggests that, for Schenker, the second half of a symmetrically designed theme has greater structural weight The dotted line linking the two $e^2$s in Example 26.5 further implies that the first four measures of the Mozart theme elaborate the primary tone of the linear descent, i.e., the $e^2$ in m. 1; this would mean that the first arrival on V has less structural weight than the V of the V–I cadence in m. 8. This end-oriented view of interruption is consistent with Schenker's theory in general, and with his explanation and use of the term *Teiler*. It is contradicted, however, by other graphs in *Der freie Satz* and by the text (§90), which stipulates that, in an interrupted structure, the first arrival on the dominant is the more important of the two. The editors of the English edition of *Der freie Satz* attempt an explanation of this difficulty (see *Free Composition*, p. 37, note 6); for a fuller discussion of the problem of hierarchy in interrupted structure, see Smith, "Musical Form and Fundamental Structure," esp. pp. 267–69.

At a higher level, e.g., in a complete two-part song form, the entire first part may be represented as a descent to $\hat{2}$ supported by I–V, with the second part traversing the same ground but ending on the $\hat{1}$/I. In sonata form, the first arrival on $\hat{2}$/V marks the start of the conventionally termed "second group"; the development section will then convert this dominant to a $V^7$, for instance by elaborating the space of a third lying immediately above the fifth of the dominant ($V^{5\ 7}$), as in Example 26.6a (a middleground graph of the opening movement of Beethoven's *Pastoral* Symphony), or as a passing seventh of an 8–7 progression superimposed above $\hat{2}$, as in Example 26.6b (a middleground graph of Mozart's Sonata in C, K. 545, first movement). In both cases the resulting seventh can also be understood as an upper neighbor note to the $\hat{3}$.[21]

Form can also be created with the large-scale application of prolongation techniques normally associated with the foreground. For instance, a minuet or scherzo movement, with a trio section in the parallel key, could be understood in terms of *Mischung* ("modal mixture"): elaboration of the tonic by alternation with its tonic minor, i.e., as a $I^{\natural 3}\ {}^{\flat 3}\text{–}{}^{\natural 3}$ progression.[22] Similarly, a trio section cast in the subdominant key could be explained as a prolongation of the tonic by a neighbor note and its supporting *Nebennotenharmonie* ("neighbor-note harmony"), e.g., $\hat{4}$ (supported by IV) elaborating $\hat{3}$–($\hat{2}$–$\hat{1}$) on either side.[23]

Musical elaboration is also assisted by changes of register. In the Bach Prelude in C major, the descent of the upper voice of the *Ursatz* is the shortest line between two notes of the tonic triad, a third. But at the next structural level, an octave descent to $e^1$ and an ascent from $d^1$ are shown to unfold from the original upper voice. These processes, which involve a change of the register governing prolongations, are called *Tieferlegung* and *Hoherlegung*, commonly rendered as "descending register transfer" and "ascending register transfer," respectively. When the two are employed in pairs, a registral linkage is created, called *Koppelung* ("coupling"). In a short, summarizing graph of the Prelude in *Der freie Satz*, Fig. 49/1, shown here as Example 26.7, the register transfers are indicated by the "crossed" beaming of $e^2$–$e^1$ and $d^1$–$d^2$ but are not so labeled. Nor are the registers specifically marked as having been "coupled," though this is self-evident from the symmetry of the graph.[24]

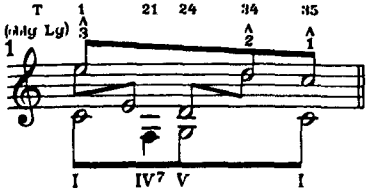
21 *Der freie Satz* – fig. 154/5a. and fig 47/1 In Example 26.6a, the representation of sonata form as $\hat{3}\ \hat{2}$ || – (Nbn) $\hat{3}$–$\hat{2}$–$\hat{1}$ is a hybrid form of prolongation, a conflation of interruption and neighbor-note elaboration; $b\flat^1$ (= Nbn) is, strictly speaking, an incomplete neighbor to the $a^1$ that follows it but, taking a larger view of the analysis, it refers also to the $a^1$ at the start of the graph

In Example 26 6b, the outlines of sonata form are indicated in parenthesis beneath the harmonic analysis; Schenker dates the recapitulation ("Rp," for *Reprise*) not from the reprise of the opening theme – unconventionally – in F major (m 42), but from the definitive return of the tonic which follows

22 *Der freie Satz*, fig 28a. 23 Ibid., figs 35/1 and 40/1.

24 In the more formal analysis of the Prelude, published in the *Fünf Urlinie-Tafeln*, Schenker confusingly labeled the descending and ascending register transfers "Kopp[elung] abw [arts]" and "Kopp [elung] aufw.[arts]," respectively, i e , descending and ascending "coupling" At that time, he had still not worked out a clear relationship between the concepts *Hoherlegung*, *Tieferlegung*, and *Koppelung*

Example 26.7 *Der freie Satz*, fig. 49/1: new middleground graph of Bach's Prelude in C




The principle of hierarchy is, however, still in force, with one register taking precedence over the other. In the Bach prelude, the upper voice starts on $e^2$ and ends on $c^2$, so its higher octave predominates in the background, despite the long progression into the lower register and the extensive elaboration of the interval $d^1$–$f^1$; Schenker called this the *obligate Lage* ("obligatory register").

The Mozart piano sonata movement (Example 26.6b, above) also shows how register can promote musical synthesis by creating a long-range connection. In the exposition the second group is set in a higher register, its upper voice governed by the linear progression $d^3$–$g^2$. The dominant of the second group is elaborated as a dominant seventh in the development, $g^2$ passing through $f^2$. When this seventh resolves, the original starting point, $e^2$, is regained, and in this way Mozart returns to the initial register without actually making an exact recapitulation of the opening theme.

## *Linearity*

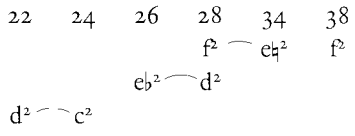
The notion that "coherence" and "connection" are closely related (in German, the word *Zusammenhang* can be used for both) finds a special resonance in Schenker's view of musical structure: even those writers who have kept a respectful distance from Schenkerian analysis or have categorically rejected its principles have nevertheless been attracted by the search for connections between musical events resulting from pitch identity or proximity.

A succession of diatonic steps joining two voices in a chord, or in adjacent chords, is called a *Zug* (plural *Züge*; the term is most commonly translated as "linear progression," or simply "progression"). In the first elaboration of the chord of Nature, the upper voice – the *Urlinie* – is a *Zug*, since it joins two notes of the tonic triad. And when the passing $d^2$ of an $e^2$–$d^2$–$c^2$ *Urlinie* (see Example 26.3c) is turned into a consonance by the support of g in the bass, i.e. $\hat{2}$ supported by V, it is capable of generating further content by the application of a new linear progression. This is shown in Schenker's analysis of the Mozart sonata movement (Example 26.6b, above): the $\hat{2}$, after being transferred to a higher octave, itself becomes the starting point of a linear progression encompassing

a fifth. The new progression, an elaboration of the dominant harmony (*Auskomponierung der V. Stufe*), is Schenker's way of saying that the second group (mm. 14–28) of the exposition is in the dominant key of G major.

Schenker qualified his linear progressions by the size of interval they embraced. The *Urlinie* of the Mozart sonata movement is a *Terzzug* ("third-progression"); the line from $\hat{2}$ is called a *Quintzug* ("fifth-progression"). As is the case for many techniques of prolongation, linear progressions may exist at any structural level, and they are sometimes transformed from one level to the next. In the first movement of the G minor Symphony (see Example 26.4, above), the *Urlinie* embraces a fifth, $d^2$–$g^1$. The first subject (antecedent phrase, mm. 1–21) is graphed as a fourth-progression at level (c), which is extended to a sixth in (d).

Since linear progressions join registral spaces, they give the effect of a play among the polyphonic voices. An elementary way in which this works is at the beginning of a composition, where an ascending line may lead up to the primary tone of the *Urlinie*, e.g. $\hat{1}$–$\hat{2}$–$\hat{3}$ or $\hat{3}$–$\hat{4}$–$\hat{5}$, and thus fill the space between the "alto" and "soprano" of the opening harmony; Schenker called this progression an *Anstieg* (usually translated as "initial ascent"). Another common technique is *Ubergreifen*, a kind of registral leapfrogging by the superposition of one or more descending linear progressions to form a series of steps. *Ubergreifen* (now translated by most English-speaking theorists as "reaching over") enables a composer to reach a higher register, or to regain the primary tone of an earlier linear progression, or to create an ascending line from a series of short descending progressions. In the Mozart symphony movement, the modulation to B♭ in mm. 22–42 is assisted by a series of short *Ubergreifzuge* finishing with a neighbor-note figure. The overall effect is an elaboration of the third, $d^2$–$e^2$–$f^2$ (see also Example 26.4a, level *d*) and Example 26.4b).[25]




Because their points of origin and their goals are clear, linear progressions show unity in musical movement. But linearity in a Schenkerian sense can also mean the connection between widely spaced occurrences of the same note, e.g. the $d^2$ at the start of the Mozart symphony movement and the $d^2$ in m. 16, at the first *forte*, or even the $d^2$ at m. 44 in the second group. Whereas earlier theorists demonstrated musical relatedness more by thematic similarity or the derivation of one theme from another, Schenker demonstrated that a single note, correctly positioned and supported, might be enough to confer synthesis over a large musical time-span. It is this aspect of Schenker's work

25 Although the term *Ubergreifzug* contains the word *Zug*, such a "progression" often consists of just two notes, rather than the minimum of three needed for linear progressions that act on their own

in particular that has attracted the attention of many twentieth-century theorists who are not wholly sympathetic to a layered view of musical structure, or are mistrustful of what they perceive to be an excessive reliance on graphic representation.[26]

## Historical and intellectual background

Schenker's published writings tell us little about the source of his insights into music. On the contrary, they give every indication that he regarded them very much as his sole property, developed over years of private engagement with the canonic repertory of Western music, without recourse to the academy or the contemporary music scene. This is well encapsulated in a postscript to some analyses of short keyboard works by Bach, which includes the following statement:

> Blessed by the grace of our greatest, I have held up a mirror to music, as no ancient, medieval or modern philosopher, no musician, music historian or aesthetician – or any of these considered together – has been able to do. I am the first to explain its internal laws, to comprehend the vivacious ear of the German masters and their capacity for invention and synthesis. I have explained their daring invention in the realm of hearing, as had previously been experienced only in the realm of the other senses. And I have, so to speak, revealed for the first time by verbal communication the realm of hearing, as our masters understood it, and so have enriched human existence by a new dimension.[27]

These sentiments are expressed more succinctly in the inscription on his gravestone in the Central Cemetery in Vienna: "Here lies the man who perceived the soul of music, and who proclaimed its laws as the masters understood them, as no one had done before."

On the assumption that every intellectual idea has its genealogy, scholars have attempted to trace Schenker's conception of music theory back to its cultural, philosophical and musical roots. According to a lifelong friend, Moriz Violin, the music of Mozart and Beethoven and the literature of Schiller and Goethe were an important part of his childhood upbringing.[28] Schenker's extensive quotations of eighteenth- and nineteenth-century German writers bear witness to an intellectual background that may have been as much literary as it was musical.

Extracts from the works of Goethe figure in almost every publication; Schenker quoted him more often than any other writer, and he may have found inspiration for the concept of a structural background in Goethe's scientific writings; indeed, the very word *Ursatz* has strong resonance with the *Urpflanze* of Goethe's botanical studies. William Pastille has suggested that the relationship of species counterpoint to the

26 Rosen, *The Classical Style*, Meyer, *Explaining Music*; Narmour, *Beyond Schenkerism*.
27 *Tonwille*, vol 5, p. 55 28 Federhofer, *Heinrich Schenker, nach Tagebuchern und Briefen*, p 4.

behavior of parts in "real" music, crucial to Schenker's view of musical structure, recalls Goethe's concept of the *Urphanomen*; and, further, that Schenker's long-range, or "structural" hearing is closely related to Goethe's more visionary type of perception – *Anschauung* – that comes from beholding things within a theoretical framework rather than noting their surface features.[29]

Concerning philosophical influences, one notes above all Schenker's indebtedness to Immanuel Kant. As Kevin Korsyn has shown, there is a strong kinship between the Kantian notion of causality and Schenker's *Synthese*, a "synthesis" by which the musical mind conceives tones as bound to one another in much the same way as the philosophical mind comprehends events as following one another in a particular order.[30] The familiar criticism of Schenker, that his theoretical program and particularly his analytical graphing technique ignore the function of time in music, falls away if one accepts that Schenkerian synthesis implies time-consciousness; thus true musical perception is a form of Kantian "transcendental apperception," in which temporal ordering is an indispensable ingredient.[31] Both Kant and Schenker also shared a view of genius as the means "through which Nature gives rules to art";[32] for Schenker the gift of genius was innate, God-given.

The influence of Arthur Schopenhauer is more elusive, and has not been researched systematically. Quotations from his writings are scarce; one was used as a prop on which to hang the anti-imperialist sentiments vented by Schenker in the aftermath of the First World War.[33] The idea of musical tones having a "will," and that they are intrinsically bound to behave in a certain way, is expressed in the first volume of *Kontrapunkt* (1910)[34] and enshrined in the series title *Der Tonwille*, which marks the start of Schenker's most ambitious project in analysis. That he saw in Schopenhauer (and, by extension, in Kierkegaard and Nietzsche) a kindred spirit is suggested by two quotations from *The World as Will and Representation*, which are drawn together to provide an analogy between the true creative artist, who is able to achieve insight with direct expression, and the scholar who strives for truth and wisdom for its own sake, unmediated by the authority conferred by academic stature or other such approval ratings.[35]

Schenker's unshakable faith in his own theories of music led him to denigrate the writings of most of his contemporaries. This led to a general view of Schenker as an iconoclast, a theorist working entirely outside of tradition, a point that is reinforced by his isolation from Viennese academic musical life. His contemptuous references to "die Theorie" in a pair of essays on sonata form and fugue from 1926 underscore his

29 Pastille, "Music and Morphology", see esp pp 34–38
30 Korsyn, "Schenker and Kantian Epistemology" 31 Ibid , pp 34–35 32 Ibid , p 7
33 *Tonwille*, vol 1, p 13
34 "Thus tones cannot produce any desired effect just because of the wish of the individual who sets them, for nobody has the power over tones in the sense that he is able to demand from them something contrary to their nature Even tones must do what they must do!" *Counterpoint*, vol 1, p 14 The ener geticist context of Schenker's views is explored further in Chapter 30, pp 936–39
35 *Tonwille*, vols 8–9, p 48, see also Federhofer, *Heinrich Schenker, nach Tagebuchern und Briefen*, p 89

isolation from mainstream theory teaching as exemplified, for instance, in the work of Hugo Riemann and the series of handbooks published by Max Hesse in Berlin, which featured Riemann's writings.[36] His surveys of the secondary literature, a regular feature of his analytical essays of the 1910s and 1920s, are taken up by extensive quotation from and ridicule of contemporary scholarship and journalism. The few authors who are singled out for praise – and then only briefly – were either personal friends, such as Otto Vrieslander and August Halm, or writers with only loose links to theoretical traditions: thus E. T. A. Hoffmann is lauded for his declaration of interest in Beethoven for the sake of the music alone, the Beethoven scholar Gustav Nottebohm for making the contents of the sketchbooks accessible to a wider public. Otherwise, one must go back to eighteenth-century music theory for palpable connections.

Jean-Philippe Rameau's notion that all modulations arise in relation to a single tonic is an important forerunner to the concept of *Tonalität*, the "home key" to which all the fundamental harmonies, or *Stufen*, are ultimately related;[37] on the other hand, the extraction of a *basse fondamentale* as a synthesis of vertical organization and chord progression must have seemed inimical to someone concerned above all with linear connections, in both melodic and bass lines. Rameau accepted the seventh above the fundamental as a component of a chord, whereas Schenker followed the precept of Johann Joseph Fux that all dissonance in music must be introduced and resolved properly.[38] And as Schenker came to view his concept of musical structure in nationalist terms, Rameau's Frenchness became an unalterable blot on his character.[39]

Fux's *Gradus ad Parnassum* was widespread in Europe, and was known to have figured prominently in the musical training – and teaching – of Schenker's heroes, including Haydn, Mozart, Beethoven, and Brahms (see the extensive discussion in **Chapter 18, pp. 579–84**). It is thus hardly surprising to find him coming to terms with it in the two volumes of *Kontrapunkt*. But while Schenker praised the *Gradus* for its insights into vocal music, he was critical of what he perceived as Fux's distrust of instrumental music, with its creative uses of voice-leading principles, coupled with a failure to distinguish clearly between counterpoint as a pedagogical discipline and composition as a creative act. Indeed, it is Schenker's profound insights into the relationship between the contrapuntal species and what happens in "real" music, from Bach to the end of the nineteenth century, that represent his greatest triumph as an analyst. His defense of consecutive major thirds in a Wagner *Leitmotiv* as the "lovely fruit of the composing-out of scale degrees!" is not merely emblematic of his view of instrumental part-writing as counterpoint, but simply and perfectly encapsulates the need to reconcile the rules governing harmony in short stretches with the opportunities for synthesis offered by musical linearity. (It is also a useful counter-example to the widespread

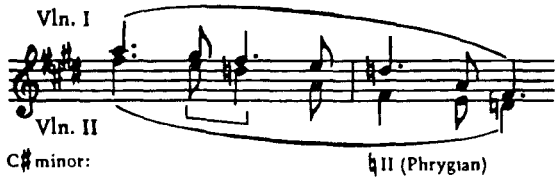
36 The essays, on the subjects of sonata form and fugue, appear in *Meisterwerk*, vol II Hesse also published analyses by Hugo Leichtentritt of the music of Chopin, these were ridiculed in the two Chopin essays in *Meisterwerk*, vol I

37 Christensen, *Rameau*, p 177, note 29

38 *Meisterwerk*, vol III, p 17

39 Ibid , pp 13–15

Example 26.8 *Counterpoint*, vol. I, Example 203: extract from Wagner's *Rheingold*, scene 4




belief that Schenker had little sympathy for Wagner's music.[40]) As Example 26.8 shows, the persistence of g♯² above the Neapolitan sixth chord shows that the home key prevails in spite of the lower-order demands for a flattening of this note to avoid an augmented fourth (false relation) between the moving parts.[41]

Perhaps the most important of all of Schenker's predecessors was Carl Philipp Emanuel Bach, above all for his *Versuch über die wahre Art das Klavier zu spielen* of 1753–62, with its emphasis upon linearity in continuo playing and the need "to hold the register together" in the realization of a chord progression.[42] But when it came to offering a tribute to Bach's role in musical art, it was not his advice to the accompanist but his skills as an improviser and composer that Schenker dwelt on at length, by showing how Bach's suggestions for improvisation technique are firmly underpinned by such concepts as arpeggiation, voice-exchange, and what he called "parallelism," the consistent application of motivic patterns to the middleground. By subjecting the free fantasia in D printed at the end of the *Versuch*, and other short pieces, to the same type of voice-leading analysis he used elsewhere, Schenker granted Bach the same canonical status he conferred on only a handful of other masters.[43]

Nearer to his own time, Schenker may have been influenced by the lively debate sparked by the republication of Eduard Hanslick's *The Beautiful in Music* in 1885. Alan Keiler has suggested that Schenker's early views on the origin of music were influenced by critiques of Hanshck by two younger scholars attached to the University of Vienna, Friedrich von Hausegger and Robert Hirschfeld. Hausegger's *Die Musik als Ausdruck* in particular has strong resonances in Schenker's views on the origins of music and its significance for the study of history, as expounded in an important early essay, "Der Geist der musikalischen Technik" (1895).[44]

40 On the possible indebtedness of Schenkerian theory to the writings of Wagner, see Cook, "Heinrich Schenker, Polemicist"

41 For further illustrations, and a fuller explanation of Schenker's contrapuntal agenda, see Dubiel, "When You Are a Beethoven," pp 291–340 Also see the discussion in Chapter 18, pp. 592–94

42 *Meisterwerk*, vol II, p 118

43 *Tonwille*, vol 4, pp 10–13, *Meisterwerk*, vol I, pp. 13–30. Schenker also honored Bach in a two-volume edition of selected keyboard works

44 Keiler, "Origins of Schenker's Thought," esp pp 292–94

## Reception and influence

Schenker seems to have enjoyed a considerable following in his own lifetime (for a long time posterity underestimated it), but it was nothing like the renown his theories were to bring him after his death in 1935: textbooks, courses, seminars, and conferences on Schenkerian theory; the establishment of major research archives based round his private papers; and a seemingly endless supply of voice-leading graphs in journals and books, supporting a range of theoretical, analytical, and historical viewpoints.

Schenker's final years saw the rise of National Socialism; three years after his death, Hitler's troops marched into Vienna and supervised the annexation of Austria to the Third Reich. Amidst the most difficult circumstances, two of Schenker's pupils, Oswald Jonas and Felix Salzer, kept the Schenkerian flame alive through their own writings;[45] the leading article of a short-lived periodical they co-edited perpetuates the notion of "mission" Schenker had expressed years earlier in the inaugural issue of *Der Tonwille*.[46] The efforts of Professor Reinhard Oppel to disseminate Schenkerian theory at the Leipzig Conservatory, and of Felix-Eberhard von Cube to establish a thriving Schenker Institute in Hamburg, quickly ran aground as the Nazis closed in on Jewish-based teaching. Faced with the imminent annihilation of European Jewry, and with it European Jewish thought, Jonas and Salzer emigrated to America where another pupil of Schenker's, Hans Weisse, had established an outpost of Schenkerian teaching at the David Mannes School of Music in New York. Transplanted to the New World, Schenkerian analysis began to thrive in the teaching programs of conservatories and university music departments, and in the research of a new generation of theorists and their pupils.[47]

Much of the early activity was concentrated around pedagogy. There had been concern among Schenker's circle that his writings were too difficult: Jonas's first book, published while Schenker was still alive, bears the subtitle "Introduction to the teaching of Heinrich Schenker," and was intended for readers without prior knowledge of his methods.[48] The publication of Salzer's *Structural Hearing* in 1952 represented a greater milestone, in that it made available to English readers literally hundreds of voice-leading graphs together with brief analyses covering a wide repertory; it became

45 Jonas, *Das Wesen des musikalischen Kunstwerkes* (1934), Salzer, *Sinn und Wesen* (1935) Around this time Adele Katz, a pupil of Hans Weisse, wrote the first exposition of Schenkerian analysis in English ("Schenker's Method"), and later expanded his theories in book form, *Challenge to Musical Tradition* (1945)

46 That is, Schenker's "Die Sendung des deutschen Genies" of 1921 became "Die historische Sendung Heinrich Schenkers" in 1937

47 For a brief history of Schenkerism in North America, see Rothstein, "Americanization", for a comprehensive survey of the literature on Schenkerian analysis until 1985, see David Beach's bibliographical articles

48 *Das Wesen des musikalischen Kunstwerkes eine Einführung in die Lehre Heinrich Schenkers* The title and subtitle were reversed when the book was reissued in German in 1972, and trans into English ten years later

the principal Schenker textbook for the postwar generation. The long-awaited translation of Schenker's last work in 1979, under the bilingual title *Free Composition (Der freie Satz)*, helped standardize Schenkerian terminology in English; but because this book was heralded as marking a breakthrough in North American Schenker pedagogy, its polemic passages were relegated to an appendix, and a number of established Schenkerians were enlisted to help clarify the more difficult parts of the theory and to suggest routes into the text.[49] The utility of *Free Composition* was, however, overestimated, and the past two quarter-centuries have witnessed a rapid, unabated growth in the number of explanatory textbooks on Schenkerian analysis.[50]

Not surprisingly, the attempt to render Schenker's work accessible has also led to new developments in his theories. Although Schenker himself stressed that his work was artistic, not scientific, succeeding generations of theorists felt the need for it to be more internally consistent. One sees not only a more scientific approach, as early as Forte's seminal essay of 1959, but also numerous attempts to come to terms with ambiguities and inconsistencies in the theory. Both the sanctity of the two-voice *Ursatz* and the primacy of the descending $\hat{3}$–$\hat{2}$–$\hat{1}$ *Urlinie* have been challenged,[51] and theorists now generally accept the possibility that a piece may admit more than one valid Schenkerian reading.[52]

Forte's essay identified the study of rhythm in relation to voice-leading analysis as a major area in need of investigation. Some fruitful work in this area was undertaken by Arthur Komar and Maury Yeston,[53] but it was with Carl Schachter's three-part study of rhythm and linear analysis that Schenkerian voice-leading graphs were first harnessed systematically with rhythmic analyses. Subsequent developments in this field have been made by Fred Lerdahl and Ray Jackendoff in their investigations into grouping and meter, and in William Rothstein's study of phrase rhythm.[54]

The number of voice-leading analyses of instrumental works is legion, but that of the operatic, choral, and solo song repertory has been much more restricted. Schenker

49 In addition to the translator's preface, there is a translation of Jonas's preface to the second German edition, an "introduction" to the English edition by Allen Forte, a range of clarificatory footnotes by John Rothgeb supplementing those by Jonas and Oster, and a glossary of technical terms See also Schachter, "Commentary on *Free Composition*."

50 These include Westergaard, *Introduction to Tonal Theory*; Neumeyer and Tepping, *Guide to Schenkerian Analysis*, Cadwallader and Gagne, *Analysis of Tonal Music* The most widely used textbook has been Forte and Gilbert, *Introduction to Schenkerian Analysis*, thanks largely to its scope, organization, and systematic set of student exercises, together with a companion *Instructor's Manual* which provides solutions to many of the exercises.

The 1980s also saw the proliferation of textbooks on analytical method in which the explication of Schenker's theories figures prominently Cook, *Guide to Musical Analysis*, Bent, *Analysis*; Dunsby and Whittall, *Music Analysis* For more on Schenker's influence on the pedagogy of music theory in North America, see Chapter 2, p. 72

51 Neumeyer, "The Ascending *Urlinie*"; "The Three-Part *Ursatz*"; "The *Urlinie* from $\hat{8}$", Beach, "The Fundamental Line from Scale Degree 8", Chew, "The Spice of Music"

52 Federhofer, *Akkord und Stimmführung*, Chapter 4, Drabkin et al , *L'analisi schenkeriana*, pp 91–93; Schachter, "Either/Or", Drabkin, "Consonant Passing Note"

53 Komar, *Theory of Suspensions*, Yeston, *The Stratification of Musical Rhythm*

54 Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, Rothstein, *Phrase Rhythm in Tonal Music*. See also Chapter 3, pp. 99–102; and Chapter 22, pp. 703–10.

himself published few analyses of works in these genres, though a brief comment on Schubert's *Am Meer* offers one of the clearest examples of the relationship of words to music from a Schenkerian viewpoint.[55] Some of Schenker's closest followers have made major contributions to the bearing of a sung text on the analysis of music,[56] though in much of the best work in the field, the Schenkerian approach is one of a number of coordinated methods.[57]

Just as an adequate theory of the relationship between voice-leading and rhythm had to await the reception of Schenkerian theory by a younger generation of scholars, so the matters concerning musical form have been integrated into voice-leading theory only recently. If Schenker's ideas on form were, characteristically, full of insight, his graphic representations were inconsistent even – as Charles Smith persuasively showed – within an ostensibly unified presentation such as the music examples for *Der freie Satz*.[58] In particular, Schenker had failed to clarify the relative status of the two parts of an interrupted structure, and was inconsistent in his mapping of the conventionally termed parts of a form ("second group," "recapitulation" etc.) onto graphic representations of the middleground.

Another project that Schenker barely touched on in his writings was the overall coherence of a multi-movement work, or a set of variations, i.e., pieces in which a separate *Ursatz* could be said to govern individual components. Recent writers have attempted to make sense of variation sets as "single pieces" in a Schenkerian sense,[59] and some have gone so far as to show how an entire sonata might be embraced by a single *Ursatz*, or how a set of bagatelles or character pieces form a coherent sequence in terms of their voice-leading.[60]

The field of contrapuntal music has proved more resistant to voice-leading analysis (Schenker's own studies of fugues by Bach and Brahms notwithstanding), and has only recently begun to receive the attention that it deserves.[61] Schenker provided substantial analyses neither of string quartets nor of solo concertos; given the preeminence of these genres in the oeuvre of Schenker's composers of "genius," it is surprising that little Schenkerian research has been undertaken in these repertories.

Schenker's deeply held belief that music was in decline was mainly expressed in general attacks on contemporary society. The shorter of his analytical counter-examples, a voice-leading analysis of an extract from Stravinsky's Piano Concerto, proved something of a model for later writers, including Adele Katz and Felix Salzer, whose influential *Structural Hearing* includes voice-leading analyses of works by Bartók, Hindemith, Prokofiev, Ravel and Stravinsky. The linearity of much late nineteenth- and twentieth-century composition may have been a significant factor. On the other

55 *Meisterwerk*, vol 1, pp 199 200
56 Jonas, *Das Wesen des musikalischen Kunstwerks* contains an important analysis of Schubert's *Der Lindenbaum* See also Schachter, "Motive and Text" 57 See in particular Webster, "Mozart's Arias"
58 Smith, "Musical Form and Fundamental Structure"
59 Salzer, "Mozart's Divertimento, K 563", Marston, "Analysing Variations"
60 Dunsby, "Multipiece", Marston, "Trifles or Multi-Trifle", *Beethoven's Sonata in E, Op 109*, p 253
61 Renwick, *Analyzing Fugue*, "Hidden Fugal Paths"

hand, changes to the concepts of consonance and dissonance around 1900 make the principle of tonal hierarchy far more difficult to apply systematically to this repertory. Thus linear connections are made more on the basis of temporal proximity, with duration a key factor in determining the starting points and goals of progressions. And background structures take on new "dissonant" figurations, e.g., a $\sharp\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$ *Urlinie* for the first movement of Bartók's Fourth Quartet.[62]

The linear analysis of "pre-Baroque" music has a longer and fuller history, beginning during Schenker's life with the study of medieval and Renaissance polyphony by his pupil Felix Salzer.[63] The changes to Schenkerian doctrine necessitated by the surface designs of early repertories are no less extensive than those for contemporary music. For early medieval polyphony the concepts of consonance, dissonance and part-writing result in much graphic analysis underpinned by chains of consecutive fifths or octaves, something which Schenker would have found inimical. Yet it has been claimed for the late secular songs of Guillaume de Machaut that "cadences [act] as the focus of directed progressions extended over considerable stretches of music."[64]

With consonance and dissonance treatment broadly codified in the Renaissance, the analysis of much sixteenth-century music is on surer ground, and examples of sensitive Schenkerian readings have appeared with some frequency.[65] There remains, however, the problem of large-scale unity in works that are conceived in accordance with the syntax of a sacred text. As Donald Tovey put it in a trenchant discussion of High Renaissance polyphonic texture, "Sixteenth-century music is aesthetically equivalent to the decorating of a space, but not to structure on an architectural scale," and it is consequently a mistake to "expect a high note in one place to produce a corresponding one long after Palestrina has effected all that he meant by it and directed his mind elsewhere."[66]

Schenker's admiration of the music of Johann Strauss and his efforts to promote it by providing voice-leading graphs of his more famous waltzes in *Der freie Satz* suggests that, his outright dismissal of jazz and other forms of popular music notwithstanding,[67] he saw the difference between good and bad as greater than that between serious and popular. The application of Schenkerian theory to jazz, American popular song, and non-Western music has flourished in recent years; it remains to be seen how post-modernist arguments against the contemplation of music outside its cultural context affect Schenkerian and other theoretically based approaches to all repertories of music in the twenty-first century.[68]

62 Travis, "Bartok's Fourth Quartet" 63 Salzer, *Sinn und Wesen*
64 Leech-Wilkinson, "Machaut's *Rose, lis*," p 23
65 See, for example Bergquist, "Mode and Polyphony", Novack, "Fusion of Design and Tonal Order", Mitchell, "Lasso's Prophetiae Sibyllarum" 66 Tovey *Musical Textures*, pp 30–31
67 *Meisterwerk*, vol II, p 107, vol III, p 119
68 The first Schenkerian study of a non-Western repertory was Loeb, "Japanese Koto Music" For approaches to popular music, see for example Gilbert, *The Music of Gershwin*, Forte, *American Popular Ballad*, Everett, "The Beatles as Composers" The issues concerning Schenkerian analysis of jazz solos are aired in Larson, "Schenkerian Analysis of Modern Jazz"

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