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# Schenker Studies

EDITED BY HEDI SIEGEL

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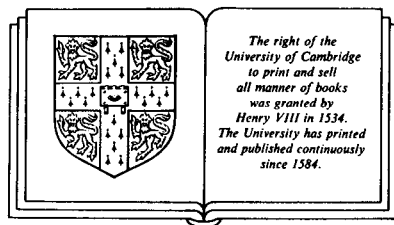
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edited by  
*Hedi Siegel*



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## **Schenker Studies**

*in memoriam*  
*Felix Salzer*  
(1904–1986)

## ABBREVIATED REFERENCES TO SCHENKER'S WRITINGS

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The following works of Heinrich Schenker will often be cited by title alone. Complete bibliographic information is given below, with the abbreviated form appearing in bold type.

**Counterpoint**, Books I and II, a translation of *Kontrapunkt* by John Rothgeb and Jürgen Thym, edited by John Rothgeb (New York: Schirmer Books, 1987).

**Erläuterungsausgabe** der letzten fünf Sonaten Beethovens (Vienna: Universal Edition, 1913–20); new edition, revised by Oswald Jonas (Vienna: Universal Edition, 1971–72).

**Op. 109**, published 1913; revised edition, 1971.

**Op. 110**, published 1914; revised edition, 1972.

**Op. 111**, published 1915; revised edition, 1971.

**Op. 101**, published 1920; revised edition, 1972.

(Op. 106 was never published.)

**Five Graphic Music Analyses**, republication of *Fünf Urfurien-Tafeln* (Vienna: Universal Edition, 1932; New York: David Mannes Music School, 1933), with a new introduction and glossary by Felix Salzer (New York: Dover, 1969).

**Free Composition** (*Der freie Satz*), translated and edited by Ernst Oster (New York: Longman, 1979).

**Der freie Satz**, Volume III of *Neue musikalische Theorien und Phantasien* (Vienna: Universal Edition, 1935); second edition, edited and revised by Oswald Jonas (Vienna: Universal Edition, 1956).

**Harmonielehre**, Volume I of *Neue musikalische Theorien und Phantasien* (Stuttgart: Cotta, 1906; reprint edition, Vienna: Universal Edition, 1978).

**Harmony**, a translation of *Harmonielehre* by Elisabeth Mann Borgese, edited and annotated by Oswald Jonas (Chicago: University of Chicago Press, 1954; reprint edition, Cambridge, Mass.: M.I.T. Press, 1973).

**Kontrapunkt**, Volume II of *Neue musikalische Theorien und Phantasien*: Book I (Stuttgart: Cotta, 1910); Book II (Vienna: Universal Edition, 1922).

**Das Meisterwerk in der Musik: Jahrbuch I** (Munich: Drei Masken Verlag, 1925); *Jahrbuch II* (Munich: Drei Masken Verlag, 1926); *Jahrbuch III*

*Abbreviated references*

(Munich: Drei Masken Verlag, 1930); reprint edition, three volumes in one (Hildesheim: Olms, 1974).

***Der Tonville***: Issues 1-10 (Vienna: A. Gutmann, 1921-24; later republished in three volumes by Universal Edition).

## PREFACE

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In March of 1985, an event took place at The Mannes College of Music in New York which would indeed have surprised Heinrich Schenker, the man to whose work the event was dedicated. That event was a three-day symposium, attended by a large group of musicians from many regions of a country not highly regarded by Schenker. He had made a prediction in 1921, as he wrote the opening essay of his series *Der Tonwille*, that the people of the United States "would not attain the intellectual and moral qualifications needed for them to take part in achieving a higher goal for humanity." Yet at the symposium, musicians were meeting to hear papers, read largely by native-born Americans, which gave proof of a profound understanding and imaginative application of Schenker's ideas.

This book grew out of that symposium; its essays are based on papers read during those three highly stimulating days. It is hoped that some of the excitement felt by the participants will be captured on its pages. For the symposium, which was initiated as a commemoration of the fiftieth anniversary of Schenker's death, became a celebration of the widespread recognition Schenkerian thought has received in the English-speaking world. The achievement and continuing growth of this recognition, not only in America, but now in Great Britain as well, is documented in the last section of this book, "Schenker Studies Today."

The largest number of contributions is contained in the book's second section, "Analytical Studies." This emphasis reflects the main tradition of Schenkerian teaching as well as the central focus of Schenkerian thought, for Schenker's approach grew out of his own analytical study of individual works of music – out of his search for the underlying principles that govern them all.

The first section of the book, "Historical Studies," brings together five rather diverse essays. Included are studies of Schenker as a historical figure; two focus on his own pursuits – his work with musical manuscripts and thorough-bass theory – and one explores the philosophical basis of his ideas. Also included are two articles that extend Schenker's theories and apply them to the study of music history.

The organization of the book loosely follows the schedule of the symposium. Some of the papers were considerably altered before publication in this volume while others remain essentially the same as the conference presentation. It was not practical to reproduce extensive examples from



the musical works discussed; thus the reader is asked to consult the appropriate scores. A few introductory remarks have been added to each section, with selected bibliographic information given in the notes.

It was appropriate that the first conference devoted exclusively to Schenker's ideas was held at The Mannes College of Music, the first (and for many years the only) school of music to offer theory and analysis courses based on Schenkerian principles. The symposium – from its inception to its present form as a published book – was made possible by the inspired and untiring work of the Mannes administrators, staff, and theory faculty, especially Mannes's President, Charles Kaufman, and Robert Cuckson, the school's Dean at the time the symposium took place. Faculty members Carl Schachter, Larry Laskowski, and David Loeb served on the symposium's advisory committee; they, together with committee members Charles Burkhart and Saul Novack, took on the difficult task of selecting the conference program, thus assuring the high quality of the essays in this volume. Special thanks go to Eric Wen, on Mannes's faculty at the time of the symposium but now based in London, for his work as a member of the selection committee and for his help in transatlantic communication with the publisher. A great debt is owed to Penny Souster for her perceptive guidance; she and her colleagues at Cambridge University Press made this book a reality. As the book approached its final form, others gave valuable help: I am grateful to Chanan Willner for his advice and continuing interest, to James Hatch, Linnea Johnson, Elizabeth Salvie, and Frank Samarotto for their watchful checking of proof, and to Deborah Kessler for preparing the index with exceptional care. Finally, I owe very special thanks to Deborah Griffith Davis, the Mannes Librarian, for the expert assistance she offered unstintingly at every stage in this book's preparation.

Felix Salzer served as honorary chairman of the advisory committee, but he was too ill to attend any of the symposium's sessions. However, he was surely present in the thoughts of the participants. There were few who did not owe some aspect of their Schenkerian knowledge directly to him, to one or more of his students, or to the articles and books he had written or had guided into print. And this is no doubt true of many who will read this book. To its contributors, this volume represents a *Festschrift* published in his honor, and we fondly dedicate it to his memory.

Hedi Siegel  
Hunter College,  
The City University of New York

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### Introduction

The five studies in this section point to some of the directions Schenkerian historical research has taken in recent years. Schenker himself is the subject of the first three essays; they take their cue from his own interests or from influences upon his thought. John Rothgeb's article focuses on Schenker's deep concern for the study of composers' autographs, on his recognition of the importance of such study for the analysis and informed performance of music. Another of Schenker's life-long preoccupations – and a formative influence on his theories – was the discipline of thorough bass. His primary interest was in the theories of C. P. E. Bach, but he also turned his attention to a thorough-bass manual attributed to J. S. Bach, and this is the subject of Hedi Siegel's essay. William Pastille looks outside the area of music for an important influence on Schenker's ideas – the scientific thought of Goethe.

The articles by David Stern and Saul Novack take Schenker's approach beyond areas he himself developed. As is well known, Schenker's own studies are of eighteenth- and nineteenth-century music. David Stern applies Schenker's theories to the music of the Renaissance, shedding light on the history of voice leading and its relation to structure. Saul Novack's essay is based on this kind of extension of the traditional Schenkerian repertory, an extension initiated by Felix Salzer but carried through in a large measure by Novack himself. Here Novack undertakes a survey of the history of tonality viewed in the perspective of Schenker's concept of structural levels – foreground, middleground, and background.

At the 1985 Schenker Symposium, two papers were read that extend the application of Schenker's ideas toward the twentieth century – James Baker's "Schenkerian Analysis: Key to Late-Romantic Extended Forms," and Roy Travis's study of Benjamin Britten's *Death in Venice*. These papers are not part of this volume because they were destined for publication elsewhere.<sup>1</sup> They join the considerable number of studies exploring the pre- and post-Schenkerian repertory that have appeared in this decade. In his third bibliographic article on Schenkerian research, covering the period 1979–84, David Beach provides a comprehensive list under the heading "Extensions of Schenker's Theories" and devotes an entire section of the valuable essay that precedes his listings to a discussion of this literature.<sup>2</sup> He also fully documents the investigation of historical aspects of Schenker's thought; the writings he lists under the heading "Historical Research"

include discussions of the philosophical basis and historical significance of Schenker's theories.

A further area of activity – which is only minimally represented within this book – has been the preparation of English translations of the writings of Schenker himself. Beach supplements his list of Schenker's own writings (he includes available reprints and translations) with a discussion of projected translations.<sup>3</sup> Some of these have now been published, most significantly the translation of *Kontrapunkt* by John Rothgeb and Jürgen Thym.<sup>4</sup> Translations of Schenker's shorter essays continue to appear; these include the annotated translations by Ian Bent of two Scarlatti analyses from *Das Meisterwerk* published in *Music Analysis*.<sup>5</sup> In addition, extracts from Schenker's personal papers have been published (in German); Hellmut Federhofer's recent biographical study contains important material pertaining to Schenker's ideas both within and outside the field of music, much of it in quotations from letters and diaries.<sup>6</sup>

It is hoped that this sketch of current work will direct the reader toward the growing field of historical Schenker studies.

### Notes

(Selected bibliographic information on Schenkerian historical studies)

1. The material presented by James Baker is included in his book, *The Music of Alexander Scriabin* (New Haven, 1986). An expanded version of Roy Travis's paper has been published as "The Recurrent Figure in the Britten/Piper Opera *Death in Venice*," *The Music Forum*, Vol. 6, Part 1 (New York, 1987), pp. 129–246.
2. David Beach, "The Current State of Schenkerian Research," *Acta Musicologica* 57/2 (1985), pp. 275–307. The first two articles in Beach's series are "A Schenker Bibliography," *Journal of Music Theory* 13/1 (1969), pp. 2–37, reprinted in *Readings in Schenker Analysis*, ed. Maury Yeston (New Haven, 1977), pp. 275–311; and "A Schenker Bibliography: 1969–1979," *Journal of Music Theory* 23/2 (1979), pp. 275–86.
3. Beach, "The Current State of Schenkerian Research," Appendix I and pp. 281–82. A list of Schenker's works is included in the translations available from Schirmer Books in New York: Schenker's *Free Composition* (1979), J. S. Bach's *Chromatic Fantasy and Fugue* (1984), and *Counterpoint* (1987), as well as Jonas's *Introduction to the Theory of Heinrich Schenker* (1982). The bibliography of Ian Bent's *Analysis* (London and New York, 1987) has an extensive entry for Schenker, with a list of primary sources as one of its separate sections. The other sections of the entry, as well as large portions of the book itself, provide much important information that pertains to Schenkerian historical studies, including the extension of Schenker's theories.
4. At the 1985 Schenker Symposium, Irene Schreier reported on her translation of Schenker's *Die Kunst des Vortrags*; this and Heribert Esser's edition of the German text have not yet appeared as of this writing.
5. "Essays from *Das Meisterwerk in der Musik*, Vol. I (1925)," trans. Ian Bent, *Music Analysis* 5/2–3 (1986), pp. 151–91. The translations, which are of Schenker's essays on the Scarlatti Sonatas in D minor and G major, and of an important short theoretical section, are prefaced by Bent's article "Heinrich Schenker, Chopin and Domenico Scarlatti" (pp. 131–49).

6. Hellmut Federhofer, *Heinrich Schenker: Nach Tagebüchern und Briefen in der Oswald Jonas Memorial Collection* (Hildesheim, 1985). See also William Pastille's review of Federhofer's book in the *Journal of the American Musicological Society* 39/3 (1986), pp. 667-77, which begins with a comprehensive account (giving bibliographic details) of recent Schenkerian writings on historical issues.

# Schenkerian theory and manuscript studies: modes of interaction

*John Rothgeb*

My purpose in this article is to provide a general notion (for those who have not already studied it in depth) of the character of Schenkerian work with manuscript materials. I shall concentrate chiefly on Schenker's own work and on that of Oswald Jonas, who, among Schenker's pupils, was the one who specialized early and extensively in such studies. I shall try to indicate along the way how those aspects of Schenkerian theory that are most uniquely Schenkerian can contribute special insights to the interpretation of manuscripts.

Under "manuscripts" are to be included two fundamentally different classes of materials: (1) autograph manuscripts of finished compositions, and (2) sketches and working drafts. These categories overlap in some cases; in particular, documents of the first category very frequently embody elements of the second, in the form of revisions, in which case the autograph manuscript takes on additional significance similar to that of a sketch.

Let us for the moment leave aside such revisions and consider the significance of an autograph score *qua* autograph score. The first and most obvious benefit it provides is in establishing a definitive text. Although Schenker was well aware that autographs could not be regarded as absolutely definitive in all cases, he considered them in general far more important than any other type of source. In his essay on Beethoven's "Eroica" Symphony he prefaces a discussion of a copy of the symphony revised in Beethoven's hand with the following words:

The manuscript of the Third Symphony has thus far not come to light; but neither the first print of the parts or the score, nor even the copy revised by Beethoven, can substitute for it. Unfortunately, a copy of a Beethoven work always presents a picture completely different from that of the master's own script, which shapes the content even for the eye in a way that is persuasively and convincingly artistic.<sup>1</sup>

It is well known that Schenker's editions of Beethoven's piano sonatas were among the first to adhere closely to manuscript sources. His edition was the first, for example, to follow Beethoven's own notation in a case such as measure 16 of the Sonata Op. 101 (Example 1a), where all previous

1. Schenker, "Beethovens dritte Sinfonie," *Das Meisterwerk III*, p. 86. The translations given in this article are mine.

## Exmaple 1. Beethoven, Sonata Op. 101, first movement

(a)

(b)

(and many subsequent) editions present the notation as in Example 1b. In his *Erläuterungsausgabe* of Op. 101, Schenker explains as follows:

In measure 16 the notation of the autograph had to be restored; it had been lost already in the original edition and can no longer be found in any other edition: I refer to the notation of the eighth-note group in the upper staff (instead of in the bass), which automatically communicates to the most casual glance the secret of the line, the continuation of  $g^{\sharp 1}$  of the downbeat by the last eighth-note  $g^{\sharp 1}$ .<sup>2</sup>

Oswald Jonas elsewhere cites the same example and comments still more precisely: "It is as though the handwriting wished to demonstrate the origin of the composed-out third  $e-g^{\sharp}$  from the third  $e-g^{\sharp}$  of the right hand. The left hand thus directly continues the content of the right."<sup>3</sup> The reference to composing-out makes this a specifically Schenkerian interpretation of the orthography.

The last part of Schenker's comment quoted above on the revised copy of Beethoven's "Eroica" suggests another characteristic of autograph scores to which special attention has been directed by both Schenker and Jonas. In the preface to his Op. 101 edition, Schenker writes:

Recently I saw Chopin's autograph of the Scherzo in E major, Op. 45 – extremely delicate and neat, like everything from that master's hand, and prepared in such a way that there could be no question concerning the master's exact wishes. The original edition also confirms the authority of the manuscript, and yet: even in such a rare agreement between manuscript and first print, the former nevertheless exhibits several brilliant pen-strokes that speak directly to the eye and lead reliably to important insights. . .<sup>4</sup>

And further, concerning the autograph of Brahms's Op. 117:

Although the first printing is in general to be credited only with the best fidelity, in the manuscript, nevertheless, certain other features, even very important ones, are to be found, which the first printing was unable to reproduce.<sup>5</sup>

Schenker may have had in mind such features as that shown by the handwriting in measure 6 of Beethoven's Piano Sonata Op. 81a (see Plate 1). The orthography of the *sf* followed by decrescendo strongly

2. Schenker, *Erläuterungsausgabe*, Op. 101 (1972 edn), p. 23.

3. Oswald Jonas, "Musikalische Meisterhandschriften," *Der Dreiklang* 2 (May 1937), p. 58.

4. *Erläuterungsausgabe*, Op. 101 (1972 edn), p. 6.

5. *Ibid.*



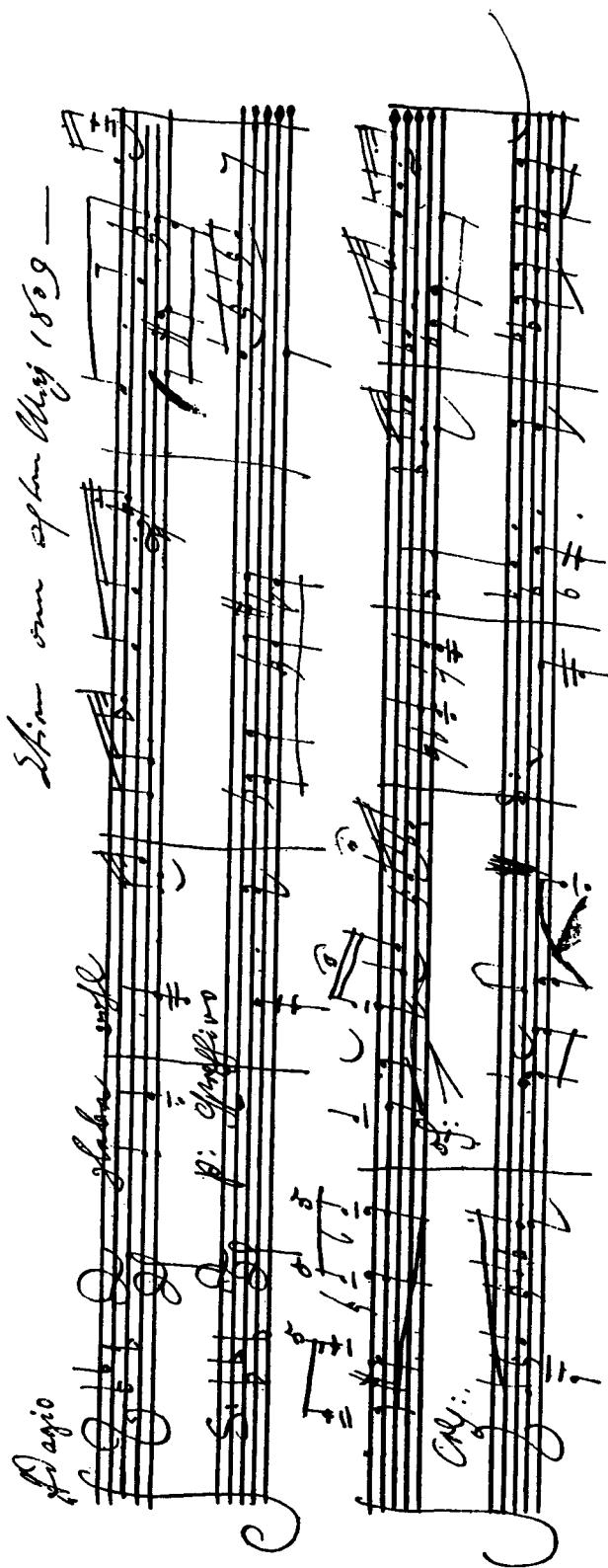


Plate 1. Beethoven, Sonata Op. 81a (from the first page of the autograph)