A · GUIDE · TO
SCHENKERIAN ANALYSIS

DAVID NEUMEYER • SUSAN TEPPING

A Guide to

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PREFACE

The object of this book is to support a clear and efficient course of training in Heinrich Schenker's method for analysis of traditional tonal music.

"Traditional tonal music" here means Western art music in the eighteenth and nineteenth centuries, or roughly the period from Bach to Brahms. We do not by any means rule out the possibility or appropriateness of the method (within limits) for analysis of works outside this core of Schenker's musical interests, but such applications form a collection of specialized topics outside the usual scope of study. We have restricted discussion of these topics to Chapter 9, which students and instructor may use or ignore, as they wish.

This manual may be combined with basic reference sources as the material for a complete course, but it is not intended as a substitute for class instruction. Some technical information and certain skills are most efficiently learned by means of a concise text explanation followed by exercises, but Schenkerian analysis must be taught primarily through an instructor and student(s) working out analyses together. We do concentrate on the technical matters (an emphasis very deliberately chosen), but in general we do not attempt to provide complete analytic interpretations, which must go beyond technique to consider artistic, stylistic, or aesthetic problems, since to Schenker, the reason for analysis is the searching-out and grasping of the inner spirit or the inner life of a musical composition, both technically and artistically. This text, therefore, is a resource but not a self-instruction manual nor is it a substitute for selective reading in the scholarly literature.

Furthermore, although we are convinced that they are essential to Schenker's world view and to an understanding and critical assessment of his analytic method, the often radical, sometimes mystical aesthetic, philosophical, religious, and political inflections in his own writings have generally been avoided here for the sake of the most direct possible presentation. The reader will necessarily make—or disregard—connections on his or her own between the analytic tools and their underlying assumptions. Ample opportunity exists through the literature to explore a range of critiques of Schenker's ideas and his method.

One often reads that learning Schenkerian analysis requires "years of practice"—but this shouldn't have to be the case, especially if the method is to be relevant to performance: The musician of normal training ought to have a tool accessible to his or her needs, as we think Schenker in his best moments intended. It does require years of practice to think and speak like a Schenkerian, to fashion intricate discussions of motivic and contrapuntal patterns in a composition, but it does not require such an investment to take direct benefit from certain ideas and insights which link Schenker with many musicians before him as part of the tradition of European music-making.

It is partly for this reason that we begin with an extended study of bass-line sketches (in Part I). The upper parts—that is, everything above the bass—can be surprisingly complex and one can encounter difficulty interpreting them even without the added problem of choosing the appropriate form of the fundamental line. But the bass can be interpreted effectively in terms of a somewhat expanded version of the functional harmonic relationships that all trained musicians know (expanded to include the class of linear or contrapuntal chords). In music of the seventeenth and early eighteenth centuries and again in the nineteenth century, a study of the bass-line alone can be a rewarding analytic exercise. In other words, a reader who stops with Part I can still take away a useful analytic tool.

The same cannot be said for Chapter 4, a very informal introduction to upper-voice analysis which is not especially valuable apart from the chapters that follow it. The reader who desires a study of the upper parts similar in its potential utility to that of the bass analysis

chapters here—though much more detailed!—should examine the first six chapters of Forte and Gilbert, *Introduction to Schenkerian Analysis*.

In general, however, our approach to the pedagogy of Schenkerian analysis differs sharply from Forte and Gilbert's. They emphasize reduction, both in analysis and in the organization of their presentation. Thus, their book has two main divisions: the first (Part I or Chapters 1-6) deals entirely with features of the surface of the music, and the second (which encompasses Parts II and III) introduces and expands on what they call "basic axioms," or features of the background and early middlegrounds. The advantage of this approach is that the student is given ample opportunity to practice analysis and achieve insights at or near the familiar level of the score itself. The principal disadvantages are: 1) the student is obliged to make a substantial adjustment in point of view and analytic notation halfway through the book; 2) in Part I, the student is too often confronted with apparently arbitrary readings which depend on middleground or background features from a complete analysis which is not presented until later in the book (if at all); 3) despite Parts II and III, the student is left with an analytic orientation that is contrary to Schenker's own insistence on analysis as re-tracing the path of the composing-out process.

This latter approach, which one might call "generative" rather than reductive, is the one we have followed here. Its disadvantage in the past has been that, in the early stages, it seems almost unbearably abstract, far removed from the practical and immediate concerns with the score that interest most students. Our remedy for this is the bass-line sketch, which allows the student to work quickly and naturally with large-scale formal and tonal design at the same time that he or she learns about the structural levels and analytic notation. Several years' experience with this approach in the classroom has convinced us of its effectiveness.

A difficulty does arise in the relationship of background and middleground models to traditional formal design categories. Schenker's theory of form, as presented in Part III, Chapter 5, of *Free Composition* is entirely dependent on his theory of the *Ursatz* (or fundamental structure) and composing-out (the structural levels). For him, traditional formal designs are the surface result of underlying tonal events. He divides forms into one to five-part designs depending on the tonal features of the first middleground (*1. Schicht*), such as interruption and deep-level neighbor notes. Thus, the essential features of form (like those of rhythm and meter) arise in the first middleground level, even though a two-part form at that level might resolve itself into a Bach dance, a Beethoven sonata movement, or a Chopin nocturne in the foreground.

Although this concept of form is a logical outcome of the theory of the fundamental structure, it is internally inconsistent and sometimes confusing (though this may be due to the fact that the chapter is more like an outline than a full exposition of the topic). We have found it more satisfying and effective from all standpoints, musical, historical, and pedagogical, essentially to equate the structural significance of formal and tonal design. Thus, Chapters 3 and 8 discuss at some length paradigms for the interaction of some stereotyped form genres of the seventeenth to nineteenth centuries with the *Ursatz* forms and first or second middleground structures. The equating of formal and tonal design, furthermore, is necessary for a pedagogically adequate introduction to the bass-line sketch; that is, positioning of the background—and often early middleground—tones depends to a great extent on an assessment of large-scale form. By forcing the student to consider large-scale articulations of a piece first, along with the ways in which the structures of the background and first middleground relate to them, this method keeps the focus on the composing-out process, or on "generative form," which is not only correct from Schenker's standpoint but also helps to make the analysis work more efficient and reliable.

Instructors will be aware that the first co-author has written several articles proposing revisions of some structures of the background and early middleground. These articles and ideas derived from them have been entirely excluded from Chapters 1-8 (even

where statements here conflict with conclusions drawn there). We have done this in order to simplify the presentation and to ensure that this book will be usable by a broader audience. The first co-author remains confident that these revisions and similar ideas will continue to receive serious consideration by those who have an interest in the development and future of Schenkerian analysis as a scholarly discipline. A part of the text of Chapter 9 comes from the following article by the first co-author: "Fragile Octaves, Broken Lines: On Some Limitations in Schenkerian Theory and Practice," *In Theory Only* 11/3 (1989): 11-30. Reproduced by permission of the Michigan Music Theory Society.

The notational style of Schenkerian graphs can vary widely; Schenker himself did not seem to promote a strictly systematized graphing style—the closest he might be said to have come is in *Five Graphic Music Analyses*. In the United States, there are two main styles, the first used and taught by the more conservative Schenker students (Oswald Jonas and Hans Weisse) and in turn by their students and associates, prominent among them Ernst Oster, Allen Forte, David Beach, and John Rothgeb; the second being Felix Salzer's, as presented in *Structural Hearing* (also the notational style of the journal *Music Forum*). Among Salzer's many students and associates who use this graphing method are Saul Novack and Roy Travis.

The style used in this manual is based on the style the first co-author learned from Allen Forte in the early 1970's (quite different from what is taught in Forte and Gilbert). A number of changes have been induced by the needs of the bass-line sketches and by the influence of the distinct manner of another Schenker student, the late Felix-Eberhard von Cube, whose *Book of the Musical Artwork* was recently published. Three of Cube's analyses are reproduced in the Exercises for Part II.

For harmonic analysis, Schenker used the Roman numeral labels of the Viennese *Stufentheorie*, an expansion of Rameauian harmonic theory which originated with Simon Sechter in the first half of the nineteenth century. Only upper-case numerals are employed, inversions are not indicated (thus, no figured-bass symbols are added), and alterations are shown with accidentals to the right of the numeral. Thus, "I" is the tonic in both major and minor modes; "II" may indicate a diminished or a minor triad on the second degree of a minor key; and "III$^{\sharp}_{\sharp}$" would be a major triad on the third degree of a major key.

Since the labels of *Stufentheorie* are little used in the United States, we have not hesitated to change to the far more common labelling system derived ultimately from Gottfried Weber and E. F. R. Richter, but more directly from Percy Goetschius and Walter Piston. Chord quality is shown by upper and lower case, inversion by added figured-bass symbols. Thus, "I" is the tonic in major, but "i" is the tonic in minor; "v" is the minor dominant, "V" the major dominant; "ii^{0}" is a diminished triad, "III^{+}" is an augmented triad; "I^{6}" is the tonic triad, first inversion; "V$^{4}_{3}$" the dominant seventh, second inversion; and so on. The reader is warned that in many cases the chord labels are applied only to structural or prolonged harmonies and the inversion of the first or subsequent presentations of a chord are often not shown (especially in middleground graphs).

We have, however, retained the "great/small" method of designating specific pitches: c' = middle C; a' = the A above middle C; c'' = the C above middle C; small c = the C below middle C; great C = the C two octaves below middle C; and so on. When letter-names are used but the specific octave position is not important to the point, we use capital letters, as "C." To make sure the difference is clear, references to notes in the great or small octaves will always include the prefix "great" or "small."

This text is designed for upper-level undergraduates and graduate students. Students should have had at least two years of traditional college theory training, particularly in harmony—and preferably Schenker-oriented (from the most recent editions of books such as Aldwell and Schachter, *Harmony and Voice-Leading*; Allen Forte, *Tonal Harmony in Concept and Practice*; or Joel Lester, *Harmony in Tonal*

Music), or else based on a clearly presented hierarchical view of harmony and form (as in Allen Winold, *Harmony: Patterns and Principles*). A hierarchical understanding of tonal function will also be developed through the study of bass-line sketches in Part I below. Some study of form and analysis and sixteenth-century (or species) counterpoint, likewise, would be helpful but is not required. (The study of strict counterpoint is a must for anyone who wishes to do advanced work in Schenkerian analysis.) An integrated textbook such as Leo Kraft's *Gradus* would also serve as preparation, though we will use a more limited stylistic base here.

Although it is possible, it is not especially desirable to use this manual independently of other sources. The reader should have available as references at least the following works:

1. Heinrich Schenker, *Free Composition*, trans. and ed. Ernst Oster (New York 1979).

2. Heinrich Schenker, *Five Graphic Music Analyses* (New York 1932; repr. 1969).

3. Felix Salzer, *Structural Hearing* (New York 1952; reprint ed. 1962).

4. Allen Forte and Steven Gilbert, *Introduction to Schenkerian Analysis* (New York 1982). References below are to: "Forte and Gilbert."

5. Felix Eberhard von Cube, *The Book of the Musical Artwork*, trans. and ed. by David Neumeyer, George R. Boyd, and Scott Harris (Lewiston NY 1988). References below are to the title or to: "Cube."

Exercises are collected in groups at the ends of Parts I and II. References are included at appropriate points in the chapters using the format [EXERCISE I.1]. We should emphasize that these are only suggestions; the instructor should feel free to choose and order exercises according to class needs.

Our thanks to Edilberto Cuellar, Raymond Foster, Roger Hudson, Rick Littlefield, Ronald Rodman, and Steve Sherrill, students in graduate analysis seminars at Indiana and Georgia State Universities, who used the second and third drafts and helped locate errors and inconsistencies; to Edilberto Cuellar, who assisted in copying graphics onto the computer; to Janice Hunton, who several years ago helped clarify the analyzed-bass notation in connection with a failed textbook project, and one of whose analyses is included in the samples; to Marianne Kielian-Gilbert, who pointed out a number of errors of detail in the analysis graphs and whose insistence on the bass-line sketch in her undergraduate class in nineteenth-century music has helped to reinforce our belief in its value as a pedagogical tool; to Eric Lai, who pointed out several typographical errors in the third draft; to Nicol Viljoen, whose careful reading of both first and second drafts has resulted in a number of improvements and whose analyses of Chopin mazurkas we have drawn upon for three examples in Chapter 6; and to Allen Winold, for his critical reading of the opening chapters. Our thanks also to two anonymous Prentice-Hall reviewers, who offered useful and practical suggestions, many of which have been adopted here.

The present book evolved from a typewritten original by the first co-author in 1982 through three further drafts, each of which involved extensive revision based on the co-authors' classroom experience and, in the last case, readers' reports. The final version was produced using the Apple Macintosh with PageMaker, Microsoft Word, Superpaint, Professional Composer, and NoteWriter. Camera-ready copy was generated on an Apple LaserWriter using high-resolution paper. The main text font is Palatino 10, with Bookman for titles and boldface and a specially edited font for accidentals, careted numbers, and figured bass symbols.

The Authors
Bloomington, Indiana
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CONTENTS

PART II: COMPLETE ANALYSES

INTRODUCTION

The music theory and associated analytic method of the Viennese pianist and music theorist Heinrich Schenker (1868-1935) was developed in order to reveal the secrets of organic coherence in the works of, primarily, the Viennese masters of the eighteenth and nineteenth centuries. Schenker's theory is unique in its heavy emphasis on counterpoint or voice leading and in its system of structural levels. The particular strengths of the analytic method are its ability to interpret and represent counterpoint or voice leading on a broad scale, to connect this voice-leading motion systematically to harmony, and to integrate these with an expanded concept of motivic development (and, if one allows for some problems in the formulations, with concepts of form and of rhythm and meter as well).

Schenker's theory has (at least) the following bases or components: it is *natural theory* (based on the overtone series or the "chord of nature"); it is based on *organic unity* (a biological analogy); it uses *diatonic harmonic functions* as a paradigm (chromaticism is elaboration or distortion); it uses *species counterpoint* as a paradigm, of which free composition is an elaboration; it has a strong *ideological* slant with cultural, political, and religious elements (generally, German chauvinism, nineteenth-century aesthetic culture, and political reaction—in the immediate context of post-World War I); and it assumes that only the *genius* is a true musician and artist.

To Schenker, the genius "improvises" on the basis of the nature-given elements and the natural systems of harmony and counterpoint: this is "**composing-out**" (**Auskomponierung**) from the background.[1] Through a series of increasingly free, more detailed **levels** (**Schichten**), we reach the actual score, with all its details. Schenker believed the genius could grasp and control all the levels simultaneously, but the non-genius was condemned to flounder about in the foreground, creating pastiches rather than organically coherent musical artworks: "Composing-out *is* music. History demonstrates this in the works of the great masters; and history will also show that it is the loss of ability to compose-out that has been music's downfall... Thus, the whole of the foreground is a single, surpassing diminution, a single figure."[2]

The core progression or fundamental structure (**Ursatz**) from which the composer begins represents the most basic and natural aspects of harmony, melody, and counterpoint. He develops a complete work by composing through a series of levels, adding successive layers of elaborating lines and harmonies (**diminutions**) as **prolongations** of the background elements until the most elaborate level—the score itself—is reached (see Table 1). The three main levels in this process are **background**, **middleground**, and **foreground**. The middleground and foreground (but especially the former) may be subdivided into further levels as well. The object of analysis, then, is to re-trace this path of composing-out to allow musicians of understanding an appreciation of the methods of the masters, as well to suggest how their work differs from the pastiches of lesser composers. Such an appreciation of the inner life of masterworks would then be the surest guide to both listening and performance.

The object of the narrative below is to follow the path of the composing-out process, using as an example an excerpt from Act II of Carl Maria von Weber's famous romantic opera *Der Freischütz*.

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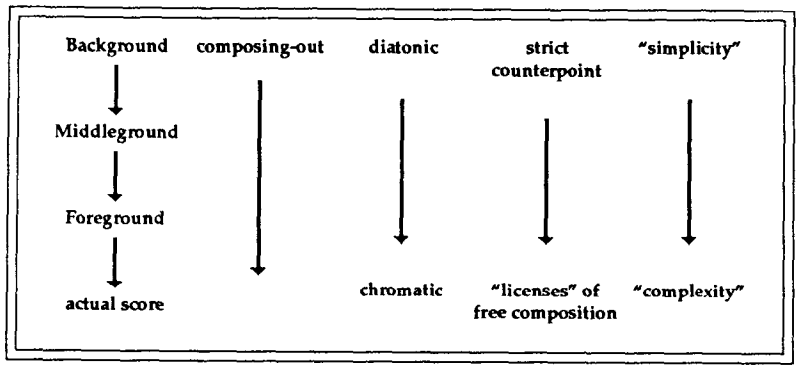
[1]Throughout this introduction, important terms are given in bold-face in the first reference to them. The English translations in most cases follow Appendix 5 in *Free Composition*, pp. 163-164), rather than the more limited glossary that appears in *Five Graphic Music Analyses*, pp. 23-24.

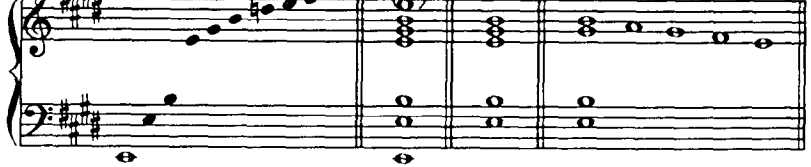
[2]Schenker, *Das Meisterwerk in der Musik*, vol. 2, p. 40. On improvising from the background, see another essay from volume 2 of *Meisterwerk*: "Organic Structure and Sonata Form," trans. Orin Grossman, in Maury Yeston, ed., *Readings in Schenker Analysis and Other Approaches*, pp. 38-53. This is one of Schenker's best (and most entertainingly polemical) presentations of some of the essential ideas in his theory.

TABLE 1. Composing-out and related concepts



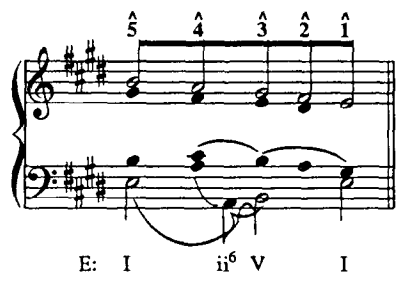
The overtone series of Ex. 0.1a generates the E-major triad of Ex. 0.1b. (Schenker, like most theorists up to his time, rejected the seventh and ninth partials for his system—here, D♮ and F♯.) The primordial compositional decision, so to speak, is the revoicing of this chord. In this case, the fifth ($\hat{5}$) is placed in the soprano (Ex. 0.1c). This creates the work's **tonal space (Tonraum)**, which is strictly speaking the beginning of the background (Exs. 0.1a and b are part of the systemic "pre-background"). The deepest compositional task is to carry this $\hat{5}$ by step down to the $\hat{1}$ (to its "rest" in the fundamental, as it were): Ex. 0.1d. The **fundamental line (Urlinie)** created by this descent also requires harmonization. There are a number of ways to accomplish this, some "stronger" than others; the version used in this piece is shown in Example 0.2. [The fundamental line may begin from $\hat{5}$ or from $\hat{3}$, occasionally from $\hat{8}$, but always moves down to $\hat{1}$ by diatonic step.]

EXAMPLE 0.1 The overtone series on E, tonal space, and the fundamental line (*Urlinie*)



The motion of the bass in Ex. 0.2 is already a slight elaboration of the essential harmonic motion, I-V-I. This I-V-I pattern is called the **"bass arpeggiation" (Bassbrechung)**. In this case, great A supports a dominant preparation chord, ii^6. The **Urlinie** and **Bassbrechung** together form the **Ursatz**, or **fundamental structure**. The **Urlinie** represents the essence of melody (diatonic line), the **Bassbrechung** the essence of harmony (the tonic-dominant relationship), and the two in combination the essence of counterpoint (first-species consonances). The most common stereotype of the harmonic phrase consists of the tonic, tonic extension or **prolongation** (by some means), plus a close (cadence). Ex. 0.3 shows one of the simplest prolongations of the tonic: a nested I-V-I pattern. [In the various I-V-I patterns, the V is called a **dividing dominant (Teiler)**.]

EXAMPLE 0.2 The fundamental structure (*Ursatz*)



EXAMPLE 0.3 Prolongation using nested I-V-I

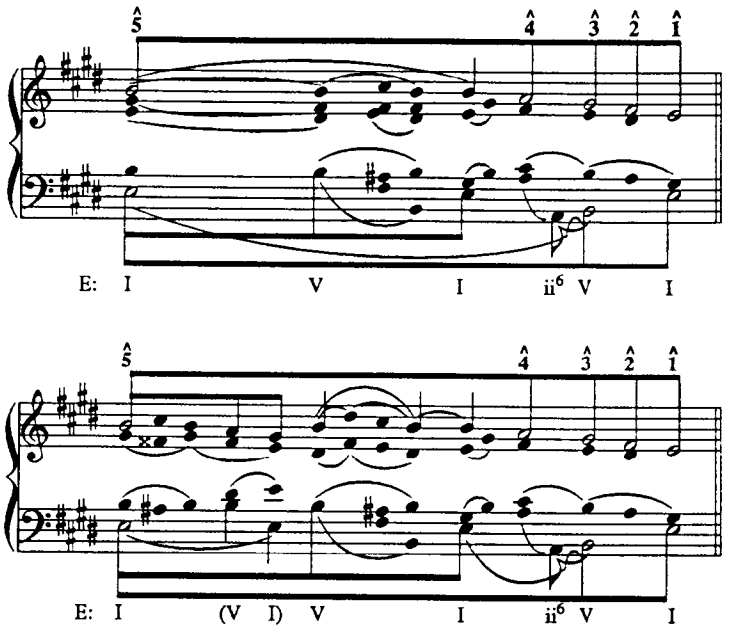
Ex. 0.4 adds further details (diminutions or embellishing figures): prolongation of $\hat{5}$ over V with a neighbor note (c♯''), a dividing secondary or applied dominant (V^7/V), and simple repetition of V; also, revoicing of inner parts in the second tonic chord (simple arpeggiation as composing-out or prolongation).

Note: Strictly speaking, prolongation refers to the expansion of species counterpoint, but this sense has been mostly lost in the Schenker literature, where prolongation is synonymous with composing-out in the middleground and foreground. Another note: Don't worry if you don't understand the placement or meaning of every symbol in this or the following graphs—we will learn about them starting in Chapter 1. What is important now is to grasp the general principles of fundamental structure and composing-out through structural levels.

Ex. 0.5 adds still more figuration to $\hat{5}$ over I: an embellishing diminished seventh chord (a linear chord created by neighbor notes) and a third-line in the soprano (the beamed notes B-A-G♯). This line is harmonized by another I-V-I progression, or yet another nesting, since this I-V-I occurs inside the middleground I-V-I added in Ex. 0.3. Another new feature is an upper third-line above the $\hat{5}$ over V. **Line (Zug)** refers to a figure formed by stepwise motion through a consonant interval. Thus, a third-line covers the interval of the third (a minor third, B down to G♯, in the first case, a major third, D♯ down to B in the second). (The fundamental line of this piece is itself an example of a fifth-line.) An "upper third-line" is an embellishing figure which starts above the main note of the melody (here, B) and comes down to it. Activity above the main melody note is referred to generically as **boundary play (Ränderspiel)**.

The final example (Ex. 0.6) includes another level of composing-out in its first system, a chordal reduction of the score in its second system;[3] and a piano/vocal reduction of the score itself at the bottom. The latter is not the entire scene-and-aria sung by Agathe, but only the first strophe of its hymn-like first part; this is treated as if it were a complete composition only for the purposes of this demonstration.

EXAMPLES 0.4 and 0.5 Further prolongations, particularly of V (0.4) and of I (0.5)



In Ex. 0.6, the first tonic chord is revoiced in the upper parts; this forms an **initial ascent (Anstieg)** to the structural $\hat{5}$. (Note: Strictly speaking, inital ascent refers to stepwise ascent to the first note of the fundamental line, but the term is generally used to refer to a prefix made up of a line, tonic-triad arpeggiation, or a combination of both.) Further elaboration of the dominant extension occurs in bars 5-8: a quick V-V/V-V (=B: I-V-I) progression in bars 5-6 with an ascending third-line, and in bar 6 a prefix to the dominant, which creates an escape tone in the soprano. The repetition of the tonic (bars 9 ff.) is now also elaborated with simple dividing dominants. In bar 13, there is a **register transfer**; that is, a note in a continuing voice is shifted an

[3] A chordal reduction is essentially the score itself with non-harmonic tones removed. "Rhythmic reduction," which means the same thing, is the term used by Forte and Gilbert.

octave away (e' to e''), moving above the true soprano note b'.

The $\hat{4}$ of the fundamental line (bar 14) is not actually reached by the soprano, but by what is literally the alto (which moves b'-a' in bars 13-14). This confusion of voices arises because of the register transfer, in which the "literal" soprano takes a note which "actually" belongs to the alto of the underlying voice leading. The soprano itself does reach a' on beat 2 but the $\hat{3}$ (bar 15) does not sound at all, except as a grace note to the F♯. Nevertheless, from the earlier levels of the composing-out, we can tell that the note g♯' is plainly implied here—that is, required by the underlying voice leading. Such displacement of structural tones at later levels is not uncommon. Finally, the harmonization of the $\hat{3}$ and $\hat{2}$ with a cadential dominant figure is acceptable, one of a very few exceptions to the general rule that notes of the fundamental line require consonant harmonic support. [The cadential dominant figure is explained in Chapter 1 below, under the heading "Expansion of the Harmonic Cycle through Inversions."]

The content of foreground, middleground, and background—the three levels of structure Schenker names—is not precisely prescribed, but in general we can follow the rule of thumb that the levels of composing-out up to the fundamental structure (the fundamental line plus the bass arpeggiation) are "pre-background" and the fundamental structure itself is background; that there are several intermediate levels of middleground; and that the level closest to the surface is foreground. In our analysis, Examples 0.1-0.2 are "pre-background" and background, 0.3-0.5 are middleground (they might be labelled middleground 1, 2, and 3), and Example 0.6 is foreground.

Since Schenker talks about three broad levels of activity—background, middleground, and foreground—it is usually assumed that analyses should have three levels corresponding to these. In fact, this is often not the case. The number of levels may vary according to the complexity of the piece or according to what the analyst wishes to show, and these levels may be distributed in differing ways. A common procedure is to show one background, two or more middlegrounds, and one or, very occasionally, two foregrounds. *Five Graphic Music Analyses* may serve as our model: only one of the analyses has three levels which correspond nicely to background, middleground, and foreground (*Well-Tempered Clavier*, Vol. 1, C Major Prelude). Three consist of a background (fundamental line and bass arpeggiation), three numbered middlegrounds (labelled *Schichten*), and an *Urlinietafel*, which is a special type of foreground graph. The *Urlinietafel*, for which we will use the non-literal translation "score foreground," is essentially a foreground graph with barlines and surface motivic figures or other literal score features shown. (The fifth analysis in *Five Graphic Music Analyses* is not complete; it shows only the development section of Haydn, Sonata in E♭ Major, Hob. XVI/49, first movement—essentially three levels of foreground.)

ADDITIONAL READING:

Perhaps the clearest guide to the structural levels and sublevels, their number, and typical contents are the *Five Graphic Music Analyses*; equally good are the many analyses in *The Book of the Musical Artwork*. Among other sources, you might consult the following:

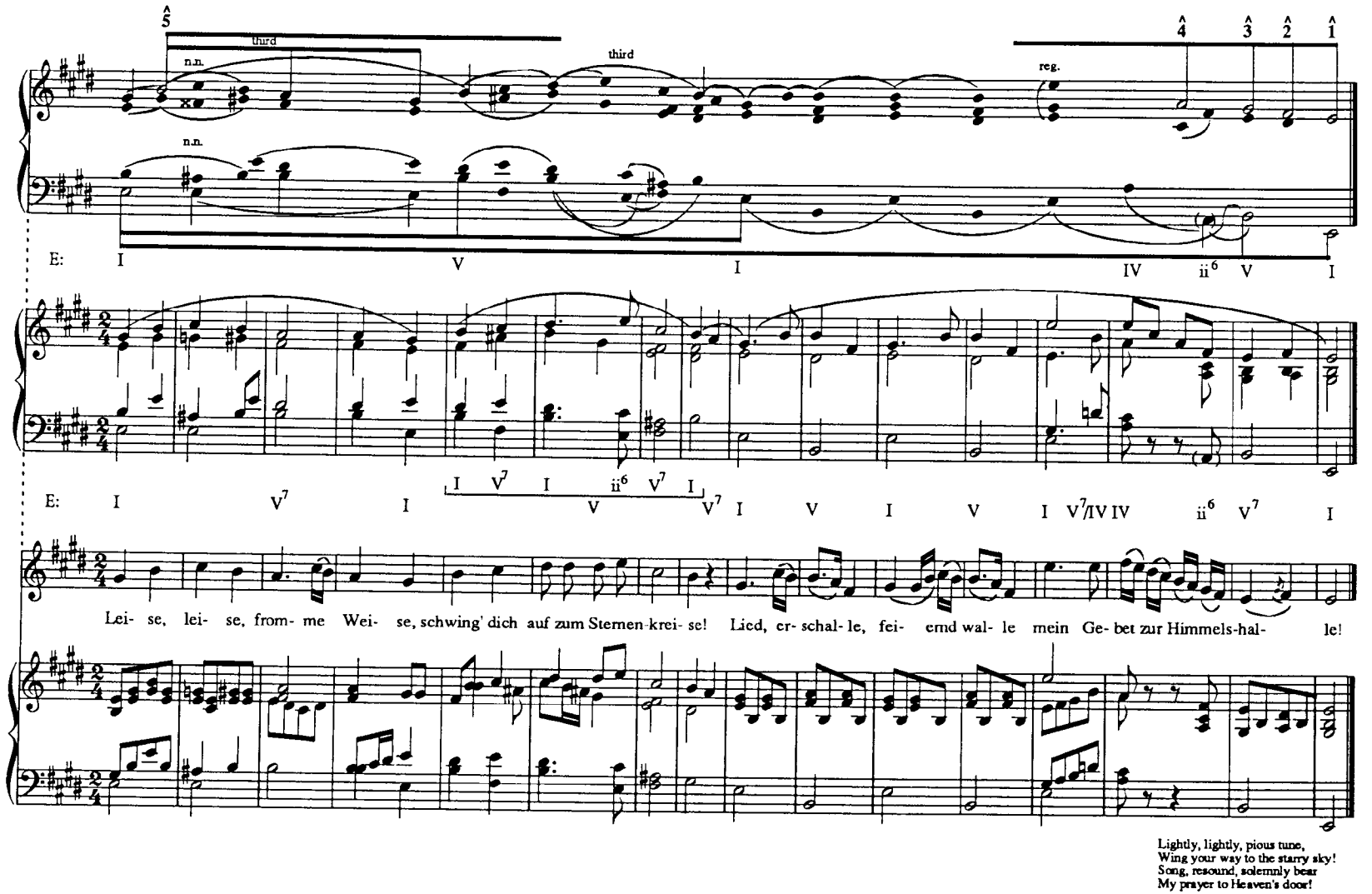
1. In Appendix II to the translation of Schenker's *Harmony*, Oswald Jonas presents an analytical narrative similar to the one above; his subject is J. S. Bach, Little Prelude in F Major.

2. Jonas also gives a concise outline of Schenker's basic theoretical system (the role of the overtone series, the primacy of the perfect fifth, "natural" and "artifical" systems, key, scale, and so on) in his *Introduction to the Theory of Heinrich Schenker*, Chapter 1. His engaging, less technical discussion of the fundamental structure appears in Chapter 4 of the same book.

3. Forte and Gilbert discuss the same topic in a clear, readable fashion in their Chapter 7, though they begin with the unfortunate statement that the background is the level "which often seemed to concern [Schenker] least" (131).

4. See also Nicholas Cook, *A Guide to Musical Analysis* (New York 1987), 27-66; and Jonathan Dunsby and Arnold Whittall, *Music Analysis in Theory and Practice* (New Haven 1988), 29-52. Both are general introductions to Schenker's analytic system; both offer commentary on readings from *Five Graphic Music Analyses*.

EXAMPLE 0.6 "Leise, leise, fromme Weise," foreground, chordal reduction, and piano score



PART I: ANALYZED BASS NOTATION

Chapter 1: Summary of Analyzed Bass Notation

We will not attempt to deal with all components of a composition immediately. Instead, we will start with the bass, which can be organized and interpreted for the most part according to the harmonic functions familiar to all trained musicians. These bass-line sketches will sometimes require adjustments when used for complete analyses later on, but such adjustments are usually few and are mostly matters of notational details relating to the structural hierarchies of composing-out, or else they result from the occasional overriding of functional relationships by contrapuntal figures. If the notation used here has any apparently arbitrary qualities, that is because it is designed in such a way as to minimize changes that might be necessary later on.

The upper parts (all those above the bass) will sometimes be mentioned, but they are normally much more complex and, in any case, require the bass to aid in their interpretation. Chapter 4 contains an informal introduction to upper-voice analysis. Even when we attempt complete, formally constructed analysis graphs involving all components of a piece (in Chapters 5 and following), we will often find it to our advantage to begin by working out a bass-line sketch.

This chapter consists primarily of a tabular summary of the conversion of functional patterns into an analyzed bass notation which can be used essentially without modification as a component of complete analyses in Part II. Some guidelines for the application of this notation, in the form of brief narratives of four analyses, are given in Chapter 2. Beyond their use as demonstrations, these narratives are intended to show that, independently of the full apparatus of Schenkerian analysis, the bass-line sketch can be a powerful and very useful analytic tool. For many practical applications, the bass-line itself, interpreted in Schenkerian graphic notation, can be sufficient. If desired, or to aid in the clearest possible presentation, one may add figured-bass symbols, Roman numerals, or other symbols showing chord quality, position, or harmonic function.

TONIC AND DOMINANT PATTERNS

Differentiation of functional levels is shown by the manner in which pitches are notated:

"Open notes" are those of deepest structural importance (background or first middleground).

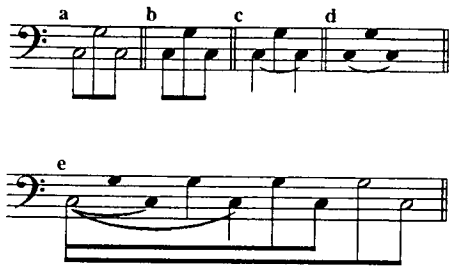
Stemmed closed notes are of lesser importance (middleground or foreground).

Unstemmed closed notes are subordinate (foreground only).

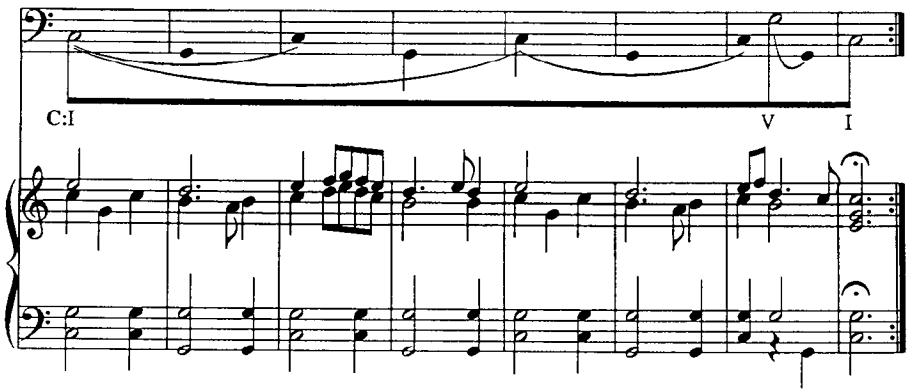
Harmonic progressions are grouped together either by beams (at earlier levels of structure) or by slurs (at later levels). The first line of Ex. 1.1 shows several I-V-I patterns, in order from the deepest structural level to the foreground. The second line shows a series of embedded I-V-I patterns. The first note, the open C, is a background note which is prolonged or embellished by two I-V-I groups, the "deeper" (and longer-range) one shown with stemmed and slurred closed notes, the "shallower" (and more immediate) shown with slurred but unstemmed closed notes. It is very important for an understanding of the notation of graphs (and of the relationship of prolongation and structural levels, for that matter) to recognize that the initial C functions as the first note of a I-V-I group at all three levels. The general principle is that a note which belongs to one level is active at all later levels. Thus, the first C belongs to the background but initiates—and is part of—each of the two embellishing functional groups.

In order to illustrate the nesting of I-V-I patterns, an excerpt from one of Kuhnau's Biblical Sonatas is treated in Ex. 1.2 as if it were a complete piece, with a framework of open notes. The formal

EXAMPLE 1.1 I-V-I patterns



EXAMPLE 1.2 Johann Kuhnau, Biblical Sonata "David and Goliath," Dance of the People, bars 1-8



hierarchy of phrase and period affects the nestings used: bars 1-5 are given as a I-V-I pattern with stemmed closed notes, because they are associated with harmonic progression across the phrase, but bars 5-7 are treated as subordinate (unstemmed closed notes). This small-level interaction between the tonal and voice-leading structure and formal design is a preview of considerations that will remain a constant factor throughout our work with bass-line sketches (and beyond).

The patterns of I-V-I motion are further illustrated in Example 1.3, a Schubert waltz. The bass-line sketch in the upper staff is a foreground reading which is reduced to a middleground reading in the lower staff. Left-hand notes on the afterbeats (beats 2 and 3) are not included in the sketch; this is generally true of analyses of such dances, so long as there is no chord change within the bar. The figure in bars 9-12 is discussed in the next section.

As the commentary for Example 1.3 has already suggested, the hierarchy of I-V-I patterns in most compositions will depend on formal design (variants or exceptions derive from special linear patterns of the upper voices). In the case of Ex. 1.3, it is one of the patterns for dance forms discussed in Chapter 3 below, the "binary/ternary" form, a very common design in dances from the later eighteenth and early nineteenth centuries in which the first part ends on I, the second introduces and prolongs the first background V, and the reprise (bar 17) closes the first background group and contains all of the second.

In *Five Graphic Music Analyses*, graphs of certain structural levels show I-V-I groupings with "whole notes"; that is, unstemmed open notes slurred together but not beamed. See, for example, the *Ursatz* (background) for the J. S. Bach setting of the chorale "Ich bin's, ich sollte büssen." This notation is acceptable only for the background, and thus only for the primary structural bass arpeggiation(s). This "whole note" graphing style can also be found in *Free Composition* (see, for instance, Figs. 7,a (Beethoven); 7,b (Chopin); 30,a (Chopin)) but Schenkerian analysts today rarely use it. In many other figures, Schenker uses the beamed open-note groups of our Ex. 1.1—as in Figs. 14 through 19 (models); 20,4 (Mozart); etc.

In the *1. Schicht* (Middleground 1) of the same chorale analysis, the bass tones are shown as "half notes"—stemmed open notes—

EXAMPLE 1.3 Schubert, *Valses sentimentales*, D. 779, no. 3