

SCHENKER AND SCHOENBERG: A CRITICAL COMPARISON

SCHENKER AND SCHONEBERG: A CRITICAL COMPARISON OF
TWO ANALYTICAL METHODS, WITH REFERENCE TO THE FIRST
MOVEMENT OF BEETHOVEN'S *APPASSIONATA* SONATA

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ABSTRACT

Schenker and Schoenberg are the two most important and influential theorists of the early twentieth century. Yet Schenker's theory of the *Ursatz*, or fundamental structure, is viewed by many as contradictory to Schoenberg's *Grundgestalt* concept. It is remarkable that such brilliant theorists from Vienna could develop such profound and different theoretical concepts.

However, in spite of the dispute that is continued to this day among Schenker's and Schoenberg's followers, the two theories need not be considered opposites. This thesis demonstrates, through a critical comparison of two analyses of Beethoven's *Appassionata* Sonata, that, although the music is approached from different angles, the analyses are not incompatible, but instead are remarkably similar and complementary to one another.

Chapter One briefly reviews Schenker's and Schoenberg's theories and outlines important issues concerning the dispute between the two theorists, highlighted in three relatively recent papers. Chapters Two and Three examine two analyses of the *Appassionata* Sonata, one of which is Schenker's, the other a Schonebergian approach by Patricia Carpenter. It is concluded in Chapter Four that the two theories contain similarities and complementary features which, if used in conjunction with one another, would present a more complete and well-balanced understanding of musical phenomena than either is capable of on its own.

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CHAPTER ONE

General Introduction

Although musical analysis and musical criticism have often been considered to be two different fields of study, many contemporary musicologists recognize analysis as a form of criticism. Joseph Kerman writes that while the term criticism is typically assumed to refer to "the aesthetic question begged, the critical aphorism undeveloped, the snap judgment," a more accountable type of professional criticism exists:

Analysis sets out to discern and demonstrate the functional coherence of individual works of art, their "organic unity," as is often said, and that is one of the things--one of the main things--that people outside of music mean by criticism. If in a typical musical analysis the work of art is studied in its own self-defined terms, that too is a characteristic strategy of some major strains of twentieth-century criticism.¹

There is, however, more than one system of analysis; just as critics often argue about different value judgments, theorists disagree as to which analytical aspects of a musical work are the most significant.

When Arnold Schoenberg wrote, "the attackers of modern music only destroy themselves when they deploy criticism against

¹Joseph Kerman, "How We Got into Analysis and How to Get Out," *Criticism and Analysis*, Ellen Rosand, ed. (New York: Garland Press, 1985), 103-104.

accomplishment, impotence against strength, sterility against productivity," he was referring primarily to Heinrich Schenker.² In 1915, in response to one of Schoenberg's articles, Schenker attacked him, stating:

Never once in his unspeakably miserable incompetence does he recognize the repetitions in the works of our masters; there he flails at all those who cannot or will not sink as rapidly with him into the depths of his ignorance."³

This is one example of the strong animosity that existed between the two musicians; their disagreement has fueled an extended dispute concerning the coherence of tonal music that is continued to this day among their followers.

Schenker and Schoenberg are the most influential and important theorists of the early twentieth century, and their theories have served as the basis for most analytical thought since that time.⁴ It is remarkable that such brilliant theorists from the same city could develop such profound and seemingly different theoretical concepts. In 1959, Allen Forte wrote:

²Quoted in Bryan R. Simms, "New Documents in the Schoenberg-Schenker Polemic," *Perspectives of New Music* 16 (Fall, 1977), no.1, 112.

³*Ibid.*, 113.

⁴Heinrich Schenker, *Free Composition*, Ernst Oster, trans. (New York: Longman, 1979), and *Five Graphic Music Analyses*, (New York: Dover Publications, 1969); Arnold Schoenberg, *Style and Idea*, Leonard Stein, ed., Leo Black, trans., (London: Faber & Faber, 1975) and *Structural functions of Harmony* (New York: W.W. Norton & Co., 1969).

When Heinrich Schenker died on 14 January 1935, he bequeathed to the musical world a small number of students, a large body of work in theory, and a considerable amount of controversy. For the latter, no end is yet in sight--nor is this necessarily harmful, since disagreement has often been an important and stimulating adjunct to musical thought."⁵

Schenker (1868-1935) was a composer, pianist, writer, editor, archivist and teacher. He was particularly interested in teaching his students the interpretation of the works they studied. To this end Schenker developed a system of illustrating, through graphs, the hierarchic organization of sound in tonal compositions. As Charles Burkhart explains, hierarchically ordered structural levels are central to Schenker's theory of music:

According to this concept, a level expressing a given degree of reduction governs--that is, provides the structure of--the next most elaborate level, and is therefore "higher" in rank to it. Schenker's gradual evolving of his theory--a task spanning many years of his life--may be characterized as an ever-greater awareness of ever-higher levels of structure.⁶

In Schenker's graphs, middleground and background structural levels of the music are revealed through reductions of the foreground material, which is the piece itself:

Just as Freud opened the way for a deeper understanding of the human personality with his discovery that the diverse patterns of overt behaviour are controlled by certain underlying factors, so Schenker opened the way for a deeper

⁵Allen Forte, "Schenker's conception of Musical Structure," in *Readings in Schenker Analysis* (New Haven: Yale University press, 1977), 4.

⁶Charles Burkhart, "Schenker's 'Motivic Parallelisms,'" *Journal of Music Theory* 22 (1978), 145.

understanding of musical structure with his discovery that the manifold of surface events in a given composition is related in specific ways to a fundamental organization.⁷

The *Ursatz* is an illustration of the most extreme background of the work:

The use of the word *Satz* in the context of strict counterpoint clearly suggests that Schenker intends *Ursatz* to mean "setting of the *Urfinie*." Since the *Urfinie* in this instance is the music's most comprehensive melodic line, then its contrapuntal setting, its *Ursatz*, is the music's most comprehensive contrapuntal model. Here in the *Ursatz*, at the highest level of abstraction, we see the ultimate unity of the two principles of melodic fluency. Whatever mysterious connotations the word *Ursatz* might take on later, it retains its essential meaning: it is the strict contrapuntal setting of the most comprehensive melodic line in a piece of music.⁸

Schenker's discovery of the concept of structural levels was gradual; although unity was always the focus of his analyses, the *Ursatz*, or fundamental structure came to be recognized only in his final decade:

In the reviews and essays of the 1890s, prior to the initial publication of *Ein Beitrag zur Ornamentik*, Schenker invoked unity to refer only to direct resemblances and associations between discrete parts of a composition, via repetition of motives.⁹

⁷Allen Forte, "Schenker's Conception of Musical Structure," in *Readings in Schenker Analysis*, Maury Yeston, ed. (New Haven: Yale University Press, 1977), 7.

⁸William Pastille, "The Development of the *Ursatz* in Schenker's Published Works," in *Trends in Schenkerian Research*, Allen Cadwallader, ed. (New York: Schirmer, 1990), 79-80.

⁹Richard Cohn, "The Autonomy of Motives in Schenkerian Accounts of Tonal Music," *Music Theory Spectrum* 14, no. 2 (Fall 1992), 152.

In "The Development of the *Ursatz* in Schenker's Published Works," William Pastille writes:

The development of the *Ursatz* concept begins in the first volume of *Counterpoint* (1910), with the notion of *melodic fluency*--a principle, Schenker says, of shaping melodic lines so that successions of large leaps are avoided. This is accomplished by interspersing melodic seconds and thirds between such leaps, or by reversing direction in a second leap, or by both of these means in combination.¹⁰

During the years in which Schenker was publishing *Der Tonwille* (1921-1924), he began to produce graphs which he referred to as *Urlinie-Tafeln* (Fundamental-line tables). The *Urlinie*, or fundamental line, was the first element of the *Ursatz* to be conceived by Schenker. Pastille maintains that a graph of one of Bach's Twelve Little Preludes, published in the fifth issue of *Tonwille* in 1923, "exhibits almost all the conceptual elements that will lead Schenker to the final form of his analytical presentations."¹¹

Schenker's discovery of the concept of the *Ursatz* led from the textual analyses with accompanying graphs of the 1920's to the highly codified graphic analyses of *Free Composition* and *Five Graphic Music Analyses*. Here Schenker asserted that verbal commentary was unnecessary since the graphs were self-explanatory and self-sufficient.

¹⁰Pastille, 71-72.

¹¹*Ibid.*, 80.

While Schenker was developing his concept of the *Ursatz*, Arnold Schoenberg was formulating his own theory; Schoenberg's *Grundgestalt*, or basic shape concept, is equally as insightful as Schenker's theory of relating the surface events of a musical composition to a fundamental background organization:

Schoenberg struggled throughout his life with the concept of the musical idea, which served as center for the notions of coherence, unity, and logic that pervade his thought about music. His use of the term took on a range of meanings as his concept changed and deepened, developing from the traditional meaning of *theme* or *motive*, of which there were many in a piece, to that of a single unifying germ.¹²

In her article, "Three Levels of 'Idea' In Schoenberg's Thought and Writings," Charlotte Cross writes that "Schoenberg considered himself more than a composer, music theorist, and teacher. Indeed, he thought himself a man with a universal message to convey to humanity, and he used all of his artistic powers in this quest for self-expression."¹³ In addition to his musicality, Schoenberg's artistic powers also included a talent for visual art. His philosophy about art is not unlike that of Schenker, who refers to the characteristic of genius as "a strong belief in the absoluteness of art and its masters."¹⁴ However, unlike Schoenberg, Schenker

¹²Patricia Carpenter, "Grundgestalt as Tonal Function," *Music Theory Spectrum* 5 (1983), 15.

¹³Charlotte M. Cross, "Three Levels of 'Idea' In Schoenberg's Thought and Writings," *Current Musicology* 30 (1980), 24.

¹⁴Schenker, *Free Composition*, 2.

believes that his message is not universal, but can only be comprehended by a select few:

The masses, however, lack the soul of genius. They are not aware of background, they have no feeling for the future. Their lives are merely an eternally disordered foreground, a continuous present without connection, unwinding chaotically in empty, animal fashion. It is always the individual who creates and transmits connection and coherence.¹⁵

Schoenberg's central concept of the idea behind a work, important as it is, is not easily defined:

Schoenberg never explicitly defines his meaning for the "idea" of a musical work of art. Thus when his essays are read individually, one does not attain an adequate picture. And even if one reads all of Schoenberg's writings, the full profundity of his notion of "idea" is still elusive. Nevertheless, the interpretive problem of Schoenberg's meaning for "idea" can only be approached by studying his writings as a totality. By assimilating and interpreting the clues found scattered in Schoenberg's writings, an understanding of his meaning for "idea" and its more profound ramifications may be reached.¹⁶

Cross identifies three levels of meaning for "idea" in Schoenberg's writings. On the first level, idea represents the totality of a work, and encompasses aspects such as themes, motives, melodies, which are, however, merely the details into which the totality breaks down during its presentation, and not the idea itself. In *Style and Idea* Schoenberg writes:

I myself consider the totality of a piece as the *idea*: the idea which its creator wanted to present. But because of the lack

¹⁵*Ibid.*, 3

¹⁶Cross, 24-25.

of better terms I am forced to define the term idea in the following manner:

Every tone which is added to a beginning tone makes the meaning of that tone doubtful. If, for instance, G follows after C, the ear may not be sure whether this expresses C major or G major, or even F major or E minor; and the addition of other tones may or may not clarify this problem. In this manner there is produced a state of unrest, of imbalance which grows throughout most of the piece, and is enforced further by similar functions of the rhythm. The method by which balance is restored seems to me the real *idea* of the composition.¹⁷

Cross explains that "the 'idea' occurs to the composer in a moment of inspiration, a new perception into the relationships of musical tones to one another. The totality of the piece already resides in these newly perceived relationships, for the method or plan of working out the 'idea' as a unified whole is derived from their nature."¹⁸

The second level of idea involves the artist's self expression:

Music itself, like the human mind, is a microcosm. . . . The same cosmic laws that account for the logical operation of the human mind also govern musical tones. The composer naturally follows these laws when presenting his musical "idea." Indeed, he *must* follow these laws if the "idea" is to be comprehensible to another mind operating according to the same principles.¹⁹

This brings us to the third level of idea, which Cross describes as the expression of "the inmost essence of the cosmos." She explains that, "unlike Schopenhauer, Schoenberg unconditionally believed that God is the ultimate and absolute truth. The genius who is possessed by a faith in this supreme power functions as His

¹⁷Arnold Schoenberg, *Style and Idea*, 122-23.

¹⁸Cross, 28.

¹⁹*Ibid.*, 30.

mouthpiece. Thus when he expresses himself, he also expresses the essence of God within him."²⁰

It is from the first level of idea that the concept of *Grundgestalt*, or basic shape comes. In a letter to the translator of his book *Composition with Twelve Notes*, Joseph Rufer writes:

In his composition teaching, Schoenberg formed the concept of the *Grundgestalt* (basic shape) as early as 1919 and used it with the exact meaning which it has in my book--as being the musical *shape* (or phrase) which is the *basis* of a work and is its "first creative thought" (to use Schoenberg's words). . . . In my very full notes of his teaching between 1919 and 1922 I find these definitions: a *motif* is the smallest musical form, consisting of at least one interval and one rhythm. The next sized form is the *Grundgestalt* of phrase, "as a rule 2 to 3 bars long" (the number of bars depending on the motifs and their more or less varied repetitions." The next sized form, the *theme*, "arises (here he expressly does not say *form*) of the *Grundgestalt* (basic shape) with its more or less varied repetitions."²¹

The means by which the basic shape or *Grundgestalt* is realized in the course of a musical composition is referred to by Schoenberg as *developing variation*:

Music of the homophonic-melodic style of composition, that is, music with a main theme, accompanied by and based on harmony, produces its material by, as I call it, *developing variation*. This means that variation of the features of a basic unit produces all the thematic formulations which provide for fluency, contrasts, variety, logic and unity, on the one hand, and character, mood, expression, and every needed

²⁰*Ibid.*, 33.

²¹Josef Rufer, *Composition with Twelve Notes*, Humphrey Searle, tr., (London: Rockliff, 1954), vi-vii.

differentiation, on the other hand - thus elaborating the *idea* of the piece.²²

Schenker and Schoenberg have often been spoken of as personal adversaries; furthermore, Schenker's theory of the *Ursatz*, or fundamental structure, is viewed by many as being contradictory to Schoenberg's *Grundgestalt* concept.

Three relatively recent papers have renewed the dispute between Schoenberg and Schenker and highlighted important issues. Several points of contention between the two theories have been pointed out by Bryan R. Simms in "New Documents in the Schoenberg-Schenker Polemic,"²³ by Carl Dahlhaus in "Schoenberg and Schenker,"²⁴ and by Graham H. Phipps in "A Response to Schenker's Analysis of Chopin's Etude, Opus 10, No. 12, Using Schoenberg's *Grundgestalt* Concept."²⁵

Simms focuses on the dispute between Schenker and Schoenberg concerning repetition. Schenker took exception to an article by Schoenberg entitled, "Why New Melodies are Difficult to

²²Schoenberg, *Style and Idea*, 397.

²³Bryan R. Simms, "New Documents in the Schoenberg - Schenker Polemic," *Perspectives of New Music* 16 (Fall, 1977), no. 1, 110-24.

²⁴Carl Dahlhaus, "Schoenberg and Schenker," *Royal Music Association Proceedings* 100 (1973-74), 209-15.

²⁵Graham H. Phipps, "A Response to Schenker's Analysis of Chopin's Etude, Opus 10, No. 12, Using Schoenberg's *Grundgestalt* Concept," *Musical Quarterly* 69 (1983), no. 4, 543-69.

understand,"²⁶ which is translated in Simms' article. Schoenberg states:

Every melody results from the repetition of a more or less varied basic motive. The more primitive, the more artless the melody is, then the more modest the variation and the more numerous the repetitions. . . . It cannot be within the interest of art to go forward systematically, i.e., always first presenting the very simplest usable motive in the broadest manner and only then, when all the simpler things are settled, turning to new motives or to quicker methods of development. . . . One saves space and expresses not with ten words what can be said with two.²⁷

Schoenberg believes that as music progresses through time, and listeners become increasingly familiar with common progressions such as $V^7/V-V^7-I$, it becomes possible, and in fact more interesting, to take short cuts, such as fusing the three chords into two.

Schenker considered this article to be a denial of the importance of what he considered to be the primary principle of music. In *Harmony* Schenker writes:

Only by repetition can a series of tones be characterized as something definite. Only repetition can demarcate a series of tones and its purpose. Repetition thus is the basis of music as an art. It creates musical form, just as the association of

²⁶This article was originally published in Universal-Edition's *Die Konzertwoche*, in 1914. Schoenberg's manuscript is in the archives of the Arnold Schoenberg Institute.

²⁷Simms, 115-116.

ideas from a pattern in nature created the other forms of art."²⁸

Simms explains that:

Pursuing the biological image of musical elements to which he was accustomed, Schenker drew an analogy of man's procreative instinct with the procreative urge in music, both of which proceed by "repetition" to produce new elements of like kinds. In music, the procreative impulse begets repetitions, which, in turn, define the motive as bearer of the musical idea. . . .

In a particular piece, the *Urlinie* may assume the form of a motive: usually a stepwise descending figure a few measures in length. The motive contains a procreative impulse which spawns repetitions of itself throughout the piece, thus defining itself for the listener, creating the form of the work, and providing a mechanism through which the work attains its artistic sophistication.²⁹

It appears, upon an examination of Schenker's writings on repetition in *Free Composition*, that this dispute was largely the result of a misunderstanding, and that he and Schoenberg are actually in agreement on this principal. In *Free Composition* Schenker writes:

The facility with which the tonal materials were enlarged and enjoyed ultimately decreased the interest in earlier imitative forms, especially since they became stereotyped and shop-worn in the hands of composers of little talent. New types of repetition then revealed themselves to composers of genius. Although these new types seem to lie just as clearly before eye and ear as the repetitions that occurred within the imitative forms, they remained less accessible because they

²⁸Schenker, *Harmony*, trans. Elisabeth Mann Borgese, ed. and annotated by Oswald Jonas (Chicago: Univ. of Chicago Press, 1954), 5.

²⁹Simms, 117.

did not offer creator and listener the same ease of perception. They were fully as effective as the simpler repetitions; they, too, sprang only from the blood relationship of statement and variation, almost beyond the composer's volition - but they remained concealed. Yet it was precisely these concealed repetitions which freed music from the narrowness of strict imitation and pointed the way to the widest spans and most distant goals; thus even very extended tonal structures could be based on repetition!³⁰

Thus, Schenker agrees with Schoenberg that, as music evolves the need for exact repetition is diminished, and more subtle forms of repetition are developed. For Schenker, the 'hidden repetitions' are usually derived from the fundamental line.³¹ However, Schenker's concept of an *Urlinie* that "spawns repetitions of itself throughout the piece" is not unlike Schoenberg's theory of a *Grundgestalt* which is manifested through developing variation in the course of a composition.

Furthermore, in "Schoenberg and the Writings of Schenker," Jonathan M. Dunsby notes that Schoenberg agreed with Schenker on the principle of repetition:

It appears . . . that Schenker's thought had intrigued Schoenberg all along. On p. 4 of Schenker's *Harmonielehre*, for example, Schoenberg found a passage (underlining it in red crayon) which expressed a central thought of his own essays about the musical idea:

[Heading:] Repetition as principle of the motive.
[Text:] Motive is a series of tones which is repeated.

³⁰Schenker, *Free Composition*, 99.

³¹Charles Burkhardt's article, "Schenker's 'Motivic Parallelisms,'" provides an important discussion of Schenker's theory of motive repetition.

Schoenberg did not agree with Schenker's strict contextual definition of the motive, but the similarity of their starting points is clear from the comment of Schoenberg that a "motive appears constantly throughout a piece: *it is repeated*."³²

In "Schoenberg and Schenker," Dahlhaus notes that Schenker and Schoenberg also disagreed on the classification of dissonant tones. He writes that "traditional theory was rejected by both Schenker and Schoenberg, but on opposite grounds: Schenker denied the concept of the 'essential' dissonance and Schoenberg that of the 'incidental'.³³ According to traditional theory:

non-chordal notes--suspension, passing notes, changing or auxiliary notes and anticipations--differ from chordal dissonances in that their resolution does not involve a change of harmony, that is, the movement of the fundamental. . . . Chordal dissonances, which influence the progression of the fundamental, are considered 'essential' dissonances, whereas non-chordal notes are 'incidental' dissonances.³⁴

For Schenker, every dissonance is "merely apparent, a foreground phenomenon, the nature of which a listener who is capable of grasping the middle and background will recognize as being a passing note."³⁵ Thus, all dissonances are, according to Schenker, incidental. According to Schoenberg, however, every dissonant tone has influence upon the harmonic progression, and is therefore essential.

³²Jonathan M. Dunsby, "Schoenberg and the Writings of Schenker," *Journal of the Arnold Schoenberg Institute* 2/1 (1977), 28.

³³Dahlhaus, 210.

³⁴*Ibid.*, 209.

³⁵*Ibid.*, 210.

Dahlhaus explains that the dispute over non-chord tones points to a fundamental difference in the thinking of the two theorists. He writes, "Schenker, for whom the nature of a matter is comprehended in its origin, seeks the law concealed behind the manifestation. Schoenberg on the other hand, aspiring more to ends than to origins, follows the consequences that emerge from a musical idea."³⁶ However, Schenker's "origin" is not unlike Schoenberg's "musical idea"; Schenker reduces the foreground to reveal the background law, but his purpose in revealing higher structural levels is always to gain a better understanding of the surface events themselves, which he views as being the most important element of the composition:

Schenker's gradual evolving of his theory--a task spanning many years of his life--may be characterized as an ever-greater awareness of ever-higher levels of structure. In his early theoretical works he was concerned with phenomena relatively near the musical surface that he would later see as belonging to "lower" levels. The term "lower," however, is by no means to be taken in a derogatory sense, as though Schenker were discarding these aspects of music; he merely saw that they were governed by still higher constructs.³⁷

Thus, although they often approach the music from different perspectives, both Schoenberg and Schenker seek to discover the unifying idea, or shape governing the surface events of a composition.

³⁶*Ibid.*, 215.

³⁷Burkhart, "Schenker's 'Motivic Parallelisms,'" 145.

Finally, Graham H. Phipps points to the fact that while Schenker's *Klang* is constant, Schoenberg's *Grundgestalt* is always original. Thus, for Schenker the unifying law is always the same, whereas for Schoenberg the idea is always a new perception of how musical tones relate to one another. Like Dahlhaus, Phipps suggests that Schenker looks to the past where Schoenberg looks to the future.

Nevertheless, both Schenker and Schoenberg struggled with a common problem: the evolution of music. Although each theorist seems to examine musical structure from an opposite perspective, the fundamental similarity between the two lies in the fact that both methods strive to explain the perceived unity in musical compositions. Furthermore, both methods find coherence by relating the foreground events to the tonality of the piece. Thus, in spite of some fundamental differences, the two analytical theories need not be viewed as completely opposite to each other. An obvious similarity between the two is the organic perspective shared by both Schenker's and Schoenberg's theories. In "The Living Work: Organicism and Musical Analysis," Ruth Solie explains:

The characteristic of biological systems most commonly invoked in aesthetic evaluation is their "organic unity," a notion which lies at the center of a whole network of related ideas. The use of such unity as a primary criterion for excellence in works of art is hallowed by time and tradition, so much so that in recent decades it has often been taken utterly for granted. Generally, the principal canon of an organic aesthetic can be formulated in the following deceptively simple terms: a work of art should possess unity

in the same way, and to the same extent, that a living organism does.³⁸

The rhetoric of both Schenker and Schoenberg invokes biological metaphor in describing the coherence of a musical composition. In *Free Composition* Schenker writes:

It should have been evident long ago that the same principle applies both to a musical organism and to the human body: it grows outward from within. . . .

The hands, legs, and ears of the human body do not begin to grow after birth; they are present at the time of birth. Similarly, in a composition, a limb which was not somehow born with the middle and background cannot grow to be a diminution.³⁹

In a similar passage, Schoenberg writes:

For the work of art, like every living thing, is conceived as a whole--just like a child, whose arm or leg is not conceived separately. The inspiration is not the theme, but the whole work.⁴⁰

A clear determination of the similarities and differences between the theories of Schenker and Schoenberg would best be accomplished through comparative analyses; for our purposes the ideal would be a critical comparison of complete analyses of a single composition by both theorists. This, however, is not possible. Rufer notes:

³⁸Ruth Solie, "The Living Work: Organicism and Musical Analysis," in *Criticism and Analysis*, Ellen Rosand, ed., (New York: Garland Publishing, Inc., 1985), 148.

³⁹Schenker, *Free Composition*, 6.

⁴⁰Schoenberg, *Style and Idea*, 458.

"It is quite clear . . . that Schoenberg invented and used the term *Grundgestalt* as a concept which is *universally* valid in music, especially in analyses of classical music. So far as I know he never tried . . . to analyse a whole work showing its derivation from a *Grundgestalt*. But he certainly spoke of the possibility of doing this."⁴¹

Although Schoenberg never published an analysis of a large scale work, in "Grundgestalt as Tonal Function," one of his most important students, Patricia Carpenter, has provided a detailed analysis of the first movement of Beethoven's Piano Sonata no. 23 in F minor (*Appassionata*), "an example that Schoenberg used to demonstrate the unity of the horizontal and vertical implications of the idea."⁴² Patricia Carpenter studied with Schoenberg at UCLA from 1942 to 1948; she stands out among Schoenberg's students as one who taught at a major American University and influenced many contemporary theorists. Professor Carpenter received a Ph. D. from Columbia University and is currently Professor Emerita at Barnard College, Columbia University. She remains active in projects concerning Schoenberg; Professor Carpenter is currently working on an edition and translation of Schoenberg's *Der musikalische Gedanke und die Logik, Technik und Kunst seine Darstellung*.

Schenker analyzed the same work in *Der Tonwille*.⁴³ A critical comparison of the two analyses of the *Appassionata* Sonata will demonstrate that, although the music is approached from different

⁴¹Rufer, vii.

⁴²Carpenter, 15.

⁴³Schenker, "Beethoven Sonate Opus 57," *Der Tonwille* (Jan-March, 1924), 3-32.

angles, the analyses are not incompatible, but instead are remarkably similar and complementary to one another.

Harmony, Schoenberg says, is the logic of music without its "motor," or motive. The motive is the motor because it "vitalizes" the appropriate voice of a progression or modulation. A good musician, he says, will make a progression lucid by vitalizing the crucial line, thereby illuminating the harmonic function it carries. A theme, then, is not so much a figure against an harmonic background as the surface of the underlying harmonic progression.⁴⁴

Schoenberg's conception of theme as "the surface of the underlying harmonic progression" is remarkably similar to Schenker's theory of structural levels. In *Free Composition* Schenker writes:

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

Thus, in the foreground, coherence lies behind the tones, as, in speech, the coherence of thought lies behind the words."⁴⁵

Carpenter also notes that for Schoenberg "all pitches of a key-collection are related to a single tonal center, each in a specific way. The function of a single tone is signified by the degree of the scale it represents."⁴⁶ Similarly, Schenker relates each tone to the tonic, and labels them according to scale degree.

Where Schenker shows how the various tonal areas act as expansions and prolongations of the underlying *Ursatz*, Schoenberg's *Grundgestalt* concept shows how the same tonal areas are generated

⁴⁴Carpenter, 16.

⁴⁵Schenker, *Free Composition*, 6.

⁴⁶Carpenter, 17.

from and controlled by an initial idea, or basic shape. Similarly, where Schenker's structural levels illustrate the synchronic development of surface motives from the expression of underlying tonal activity, the *Grundgestalt* concept traces the same motivic development in a diachronic sequence. Thus a musical composition may have an underlying background structure that is a constant generating force in tonal music, and also proceed through its foreground by developing variations of the work's basic shape.

CHAPTER TWO

The Exposition

Beethoven's *Appassionata* Sonata presents an example of extreme, yet carefully planned complexity. Composed in 1804, the sonata is outstanding among Beethoven's middle period works. Its design conforms to the Classical three-movement structure, but Beethoven's revolutionary imagination expands classical tonality to its limits.

The first movement of the sonata can be analyzed according to standard sonata-form structure. Throughout the discussion, the formal divisions will be as identified by Schenker¹:

First Theme:	
First Idea	mm. 1-16
Second Idea	mm. 17-23
Bridge	mm. 24-35
Second Theme	mm. 36-51
Closing Theme	mm. 51-65
Development	mm. 65-136
Section One	mm. 65-108
Section Two	mm. 109-135
Recapitulation	mm. 136-204
Coda	mm. 204-239

¹Schenker, "Beethoven: Sonate opus 57", 3

piu allegro (stretta) mm. 239-262

First Theme

At the outset of his analysis of the first movement of Beethoven's *Appassionata* Sonata, Schenker recognizes the importance of the notes of the interval of the major third:

Immediately we recognize as the first special characteristic of the piece the fact that the notes C (C-flat) and A (A-flat) are prolonged. . . . Thus the impression of the downward arpeggiation C-A-flat-F is predominant, as if the downward arpeggiation of the upbeat to measure one had become the fate of the whole.²

Schenker also recognizes the importance of the upper semitonal neighbour:

Secondly we notice how, immediately at the beginning of the movement, through the filling out of 5 by means of the 6 as a neighbouring note, the fundamental line motive C-D-flat-C is called into being, which henceforth fills out all parts of the movement and also causes the predominance of the notes C and A-flat.³

²*Ibid.*, 4. *Sofort fällt uns als erste Besonderheit des Stückes auf, daß die Töne c (ces) und a (as) lange verweilen. . . . Es überwiegt so der Eindruck der Abwärtsbrechung c-as-f, als wäre die Abwärtsbrechung des Auftaktes zu T. I Schicksal des Ganzen geworden.*

³*Ibid.*, 4. *Zum zweiten fällt uns auf, wie gleich zu Beginn des Satzes das Umschreiben der 5 mittels der 6 als einer Nebennote das Urfundament c-des-c ins Leben ruft, das fortan alle Teile des Satzes ausfüllt und eben auch das Vorherrschen der Töne c und as mit sich bringt.*

Schenker's background graph (Example 2.1) shows that the motive C-D-flat-C exists at the highest level, as the beginning of the fundamental line motive.

Example 2.1⁴

Fig. 1

Upper voice
Actual reg.

Fund. structure

Lower voice
Actual reg.

I theme; first idea 2nd id. & mod. II theme III theme Development Re; I theme; 1st & 2nd idea II theme

F minor: I V I | VI V I IVV I IVV I $b_3 b_5$ I II V I | III VI V - - I b_3 V - I I IV V I IV V

A flat major

F minor

Upper voice
Actual reg.

Fund. structure

Lower voice
Actual reg.

III theme Coda Stretta

I II V I II V I IV V I IV V I VI V I II I

⁴Schenker, (Fig.1) 3.

The overlapping slurs of the fundamental structure illustrate how the first, second and closing themes are connected by the linking together of this motive:

Lastly we understand the deepest secret of this composition, the special chaining together of all parts through the force of the neighbouring note of the *Urlinie* motive: the second idea of the first theme and the modulation extend into the second theme, by the restatement of the first idea in the second idea, and by the latter in the closing theme.⁵

As the graph illustrates, the fundamental-line motive, C-D-flat-C, is repeated in the second idea and bridge⁶ section, in the second theme and in the third, or closing theme. The crossing slurs indicate that these repetitions are chained together; the final C of the first repetition is the beginning of the second repetition, and so on. Thus, at an early stage of the analysis, Schenker already demonstrates that hidden repetitions of the *Urlinie* motive contribute to unity in the exposition.

The first three paragraphs of Schenker's essay emphasize the importance of the same notes as those which make up the *Grundgestalt* of Carpenter's analysis. Carpenter outlines the *Grundgestalt* of the first movement of this sonata as "a major third

⁵*Ibid.*, 4. *Zuletzt begreifen wir das tiefste Geheimnis dieser Komposition, die eigenartige, im Zwang der Nebennote des Urlinie-Motivs begründete Verkettung aller Teile: der Nachsatz des ersten Gedankens und die Modulation greifen in den zweiten Gedanken, bei diesem wiederum der Vorder in den Nachsatz und letzterer endlich in den Schlußgedanken.*

⁶In Schenker's graph the Bridge is labeled "mod."

Example 2.2⁷

Example 1. The basic tonality: tonic minor/mediant major

(a)

(b)

(c)

(d)

(e)

(A-flat/C) with its upper semitonal neighbor (D-flat)⁸ (Example 2.2). This basic shape embodies all the harmonic and motivic implications that become manifest throughout the movement. The *Grundgestalt's* first appearance occurs in the statement of the first

⁷Carpenter, Example 1, 20.

⁸Carpenter, 18.

Example 2.3

23. *Allegro assai.*

The musical score is written for piano in F minor, 12/8 time. It consists of four systems of music. The first system (measures 1-8) begins with a piano (*pp*) dynamic and features a melodic line in the right hand and a bass line in the left hand. The second system (measures 9-16) continues the melodic development, with a *trmn* (trill) marking in measure 12. The third system (measures 17-24) includes a vocal line with the lyrics "poco ritar - dan - do a tempo" and dynamic markings *pp*, *mp*, and *f*. The fourth system (measures 25-32) features a complex melodic passage in the right hand and a bass line, with a *trmn* marking in measure 28. The score is annotated with numerous fingering numbers (1-5) and articulation marks.

idea in its tonic and dominant forms, in measures 1 to 8 (Example 2.3). The major third A-flat-C is part of the opening F minor triad; the upper semitonal neighbour tone occurs when the first idea is

presented, immediately after its initial statement, in the key of the Neapolitan, thus beginning on D-flat and outlining a G-flat major triad.

Thus, both Schenker and Carpenter derive, from the initial and subsequent Neapolitan statements of the first idea (measures 1-4 and 5-8), overall shapes that involve an upper semitonal neighbour to C. However, while Schenker's fundamental-line motive is C-D-flat-C, Carpenter's *Grundgestalt* motive is simply D-flat-C (with C being part of the major third, A-flat-C). In Schenker's analysis the motive, C-D-flat-C, at the highest (background) level, is simply a prolongation of C; it is therefore essential that the preparation as well as the resolution of the upper semitonal neighbour be included in the fundamental-line motive. Carpenter, however, focuses on the harmonic possibilities suggested by the resolution of the D-flat to C rather than its voice-leading origin.

The similarities and differences implied by these two views of the same melodic basis appear as the details of the two analyses unfold. Both Schenker and Carpenter attempt to relate the surface events of the music to the underlying tonal structure of the piece. Furthermore, both see motivic content as a unifying factor. However, it will become clear that there is a fundamental difference between the two analyses in the conception of the significance held by the notes of the *Grundgestalt*: for Schenker, these notes are part of the way the fundamental line is developed and prolonged, as well as the basis of the harmony. Unity is acquired through the filling out

of this fundamental line, which is itself a result of the composing-out of the the tonic triad. Coherence is therefore created by voice-leading; the basic motivic element, C-D-flat-C, provides a unifying link between the foreground and the background. The Schoenbergian analysis, however, is more specific about aspects of tonal coherence. Carpenter demonstrates that the *Grundgestalt* embodies the harmonic as well as the melodic implications for the whole movement. Thus, the piece is tonally unified because all the tonal relationships are derived from the relationships inherent in the notes of the *Grundgestalt*.

Schenker identifies a smaller motive, D-flat-C (Carpenter's melodic *Grundgestalt* motive), within the fundamental line motive C-D-flat-C, and explains it as follows. In his (background) graph of the first idea (Example 2.4) Schenker separates the lower voice into two descending step-wise progressions: F-E-natural, and G-flat-F-E-natural. Schenker calls these reductions of the upper and lower voices a sequence of 5-6-6 (harmonic) intervals, which can be separated into two 5-6 groups. Schenker refers to this descending 2nd as "the secret seed" (*die geheime Aussaat*)⁹, which, as Burkhart mentions in his article, is another metaphor for hidden repetitions, or motivic parallelisms. It is this separation of the lower voice into two parts that allows the second and third notes of the fundamental line motive, D-flat-C, to be considered as a "part-motive"

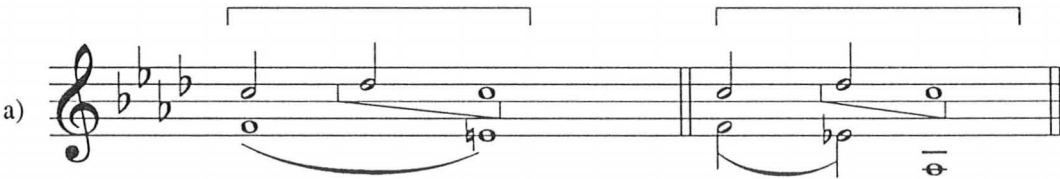
⁹Schenker, 4.

(*Teilmotiv*)¹⁰. This part-motive occurs in the bass in measures 10, 12 and 13 as the rhythmicized triple eighths and quarter note figure (see Example 2.3).

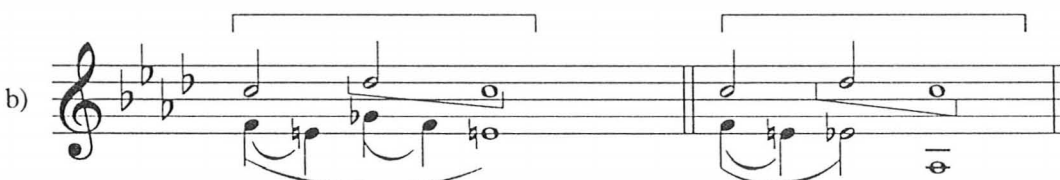
Example 2.4¹¹

Fig. 2

First Idea (Fundamental-line Motive) Second Idea and Bridge

a) 

F minor: 5 — 6 — 6 *F -:* I | VI V I

b) 

5 - 6, 5 - 6, 6 5 6 7

A-flat major:

The most significant feature of the fundamental-line motive, according to Schenker, is its unifying function:

The inner force of these relationships now also creates life and truth in the diminutions, or motives in a stricter sense. The force of the first 5-6 sequence binds together two motives: the arpeggiation of measures 1-2 and the diminution of the fundamental line motive C-D-natural-C in measures 3-4. As opposite as arpeggiation and the step of a second are . . .

¹⁰Ibid, 4.

¹¹Schenker, (Fig 2) 4.

both are thus here transformed into one body, in which the force of the voice-leading mysteriously imparts the unity of one soul.¹²

Thus, the two opening motives are unified through the voice-leading of the fundamental line.

Although Schenker recognizes the significance of the transposition of the first idea into the key of the Neapolitan, since it is harmonically linked to the upper semitonal neighbour, he writes only briefly of the derivation of the G-flat key:

The lowering of the second degree (the phrygian harmonic degree) in measures 3-4 is explained by the transposition of the motive, since the diminished sound of the diatonic second degree would sound dissonant.¹³

To summarize Schenker's view thus far, he has identified the fundamental line of the movement's opening as the beginning of a fifth progression from C to F, with an upper neighbour. The D-flat serves to bring C and A-flat, the notes of the prolonged upper voices, and F into a unified sense of tonality. Although 5 is present in the upbeat, it receives its strongest expression in measures 3-4, where

¹²*Ibid.*, 4-5. *Die Inkraft dieser Beziehungen schafft Leben und Wahrheit nun auch der Diminution, den Motiven im engeren Sinne. Der Zwang der ersten 5-6-Folge bindet zwei Motive: die Brechung T. 1-2 und die Verkleinerung des Urlinie Motivs c-d-c in T. 3 und 4. So gegensätzlich auch Brechung und Sekundschrift sind . . . so werden hier beide zu einem Leib, in den der Zwang jener Stimmführung die Einheit einer Seele hineingeheimnist.*

¹³*Ibid.*, 5. *Die Erniedrigung der II. Stufe in T. 3-4 (die II. phrygische) erklärt sich durch die Transposition des Motivs, dem der verminderte Klang der diatonischen II. Stufe unwillkommen war.*

it occurs in the obligatory register¹⁴. Schenker notes that the arpeggiation creates balance during the presentation of the first idea:

The two arpeggiations go from the depths to the heights. In opposition to this the third arpeggiation, measures 9-16, runs in the opposite direction, since the second motive dominates. . . . Because of the return of the third arpeggiation, not only are the C_4 ¹⁵ of measure 16 and the C_4 of the upbeat brought into association, but the possibility for the second idea to lead the arpeggiation, as in the first idea, again from the depths to the heights is presented. Arpeggiations of such a high degree are, as regarded from the view of synthesis, a very valuable narrative device: as demonstrated here, they draw our attention to the main notes and, used intentionally according to the law of parallelism, instill into the sound-life a new, unique characteristic of organicism.¹⁶

¹⁴"Schenker's principle of *obligatory register* (*obligate Lage*) dictates that the fundamental line should present itself within a single octave." Allen Forte and Steven E. Gilbert, *Introduction to Schenkerian Analysis* (New York: W. W. Norton and Co., 1982), 169.

¹⁵Throughout his analysis Schenker utilizes the Helmholtz method of pitch classification. Throughout this thesis, however, the method of classification espoused by the Society for Music Theory, in which middle C is classified as C_4 is used.

¹⁶*Ibid.*, 5. *Die beiden Brechungen gehen von der Tiefe zur Höhe. Dagegen verläuft die dritte Brechung T. 9-16 in umgekehrter Richtung, da das Zweite Motiv vorangeht. . . . Durch die Rückwendung der dritten Brechung wird nicht nur c^1 des T. 16 mit dem c^1 des Auftaktes in Übereinstimmung gebracht, es wird außerdem für den Nachsatz die Möglichkeit gewonnen, die Brechungen wie im Vordersatz wieder von der Tiefe in die Höhe zu führen. In Brechungen so hoher Art liegt, von der Synthese aus gesehen, ein sehr wertvoller Erzählbehelf: sie spannen, wie eben hier, unsere Aufmerksamkeit auf die Haupttöne und führen, nach dem Gesetz des Parallelismus planvoll angewandt, dem Tonleben ein neues, eigenes Merkmal des Organischen zu.*

Some mention should be made here of the use of the word 'synthesis'; it is often used by Schenker to refer to the end result of the compositional process. In his article, "Schenker's 'Motivic Parallelisms,'" Charles Burkhart remarks:

Regrettably, students exposed to Schenker's theories rarely realize that, in working with them, "synthesis" is the desired goal. Perhaps diverted by a premature or sensational presentation of the concept of the *Ursatz*, they tend to see Schenker's approach to music only in terms of reduction, and take the uncovering of the *Ursatz* as the end of the quest. Exactly the opposite is the case. The *Ursatz* is the beginning, not the end--the starting point of a process of diminution that gradually yields a systematic view of the whole. The end is *this* view, that is, the view from the background *toward* the foreground--not the other way around. In short, the end is synthesis.¹⁷

Schenker notes that the diminution of the fundamental line motive in measures 3-4 is decorated with two anticipations, D₅ and E₅:

Inserted between C₅ and D₅ of the turn ending, the second anticipation suppresses this note again downwards to C₅ instead of pushing it upwards to E₅. This occurs because it itself falls to D₅. With the prevailing expression of an anticipation a third-progression occurs at the end of the trill, a first seed of the falling third-progressions in the fundamental-line motive of the second and closing themes.¹⁸

¹⁷Burkhart, 173.

¹⁸Schenker, 5. *Zwischen c² und d² des Trillernachschlags eingeschaltet, drängt die zweite Antizipation, weil selbst zu d² fallend, diesen Ton wieder zu c² zurück, statt aufwärts zu e². . . . Bei vorwaltendem Ausdruck einer Vorausnahme tritt so am Ende des*

In other words, a small descending third-progression occurs at the end of the trill in measures 3-4. This progression actually is of little significance in the larger scheme of the piece. Schenker singles it out because he believes that this descending third-progression foreshadows similar third-progressions in the fundamental-line. Whether or not this particular analytical observation is valid, it is representative of Schenker's idea of hidden melodic unity, and of the concept of linkage technique between themes.

The graph¹⁹ shows that the fundamental line motive presents itself a third time in measures 9-16. Schenker notes that during the ascent, descent, and final ascent of this section, the falling step of a second (D-flat-C) is saved until the end, where it occurs in measures 15-16 in the left hand (see Example 2.3). Still writing of balance in register, Schenker refers to the descending octave transfer of the B-flat in measure 15: "The descending octave transfer of the third eighth in measure 15 happens in response to the contra-octave of the first measure."²⁰ Furthermore, Schenker indicates that the music of measures 1-8 is also motivically connected to that of measures 9-16 by the two descending thirds (E-

Trillers auch ein Terzzug vor, eine erste Aussaat der fallenden Terzzüge der Urlinie im zweiten und dritten Gedanken.

¹⁹All references to Schenker's "fundamental-line table" are referred to simply as "graph." The graph is found in the Appendix at the end of the paper.

²⁰*Ibid.*, 6. *Die Tieferlegung des 3. Achtels in T. 15 geschieht, um die Kontra-Octave des T. 1 zu erwidern.*

natural-D-flat-C and F-E-flat-D-flat) which conclude the turns of measures 3-4 and 7-8:

The series of thirds, already mentioned, . . . also have counterparts within the arpeggiation, one at the turn of measures 11-12, and one, to be sure on the largest scale, in measures 12-16, E-D-flat-C ²¹

Thus, Schenker's analysis demonstrates unity in the presentation of the first idea through the voice leading of the fundamental line motive, through diminutions of the fundamental line motive, and through balance of register provided by ascending and descending arpeggiations. Furthermore, Schenker recognizes foreshadowing of the hidden repetitions in the second and closing themes in the descending third-progressions of measures 3-4 and 7-8. Clearly, Schenker believes that the third-progressions which end the trills are carefully placed, and are not merely ornamental.

In Carpenter's analysis the two motives of the first idea, arpeggiation and neighbour-note motion (C-D-flat-C), are connected by their joint participation in the *Grundgestalt* of the movement:

The two intervallic elements of the *Grundgestalt*, the third and its neighboring semitone, can each define the tonal function of the other. Given that third as established in F minor or A-flat major, the semitone functions as either flat-6-5 or 4-3. Conversely, the semitone flat-6-5 can serve to relate such a third to its tonic, and in an essential way: as one of the operative pitches of the diminished seventh chord.²²

²¹*Ibid.*, 6. *Die erwähnten Terzfolgen . . . haben Seitenstücke auch innerhalb der Brechung, eins an der Wende der T. 11-12, eins - allerdings im größten Maßstab - in T. 12-16, e-des-c.*

²²Carpenter, 19.

Carpenter explains that in the Viennese tradition of harmony the diminished seventh chord is considered to be an incomplete dominant ninth chord. Therefore, the function of the flat-6-5 semitone is essential "because the necessary resolution of the ninth--that is, flat-6--completes the dominant, thus establishing the triad to which the ambiguous third is to belong."²³ In other words, a diminished seventh built on E-natural can be interpreted as an incomplete dominant ninth in F minor (E-natural-G-B-flat-D-flat) or as an incomplete dominant ninth in A-flat major (G-B-flat-D-flat-F-flat) (see Example 2.2c). In the latter case, the upper neighbour figure F-flat-E-flat-F-flat relates the same diminished seventh chord to A-flat major. Carpenter identifies the part-motive, D-flat-C, as Beethoven's method of emphasizing the semitone function. Furthermore, measures 9-16 are considered to be reductions of the first idea, which "pick up the second part of the phrase, reducing it to the diminished triad and the defining flat-6 function (D-flat-C) stated as both linear rhythmicized motive and chord progression."²⁴ This reinterpretation is a central aspect in the realization of the *Grundgestalt*:

I take this procedure--the reinterpretation of a major third by means of the reinterpretation of a diminished seventh chord--to be the primary harmonic implication of the *Grundgestalt*. By means of it the basic tonal contrast, tonic minor and mediant major, is achieved.²⁵

²³*Ibid.*, 19.

²⁴*Ibid.*, 24.

²⁵*Ibid.*, 19.

Thus, while Schenker's analysis demonstrates that the motivic elements are a direct result of the voice-leading which results from the realization, or composing out of the fundamental line, Carpenter shows that these same motives have a tonal function in the larger scheme of the work. The concept of register is therefore more significant to Schenker than to Carpenter, since it is a linear concept, having to do with voice-leading. For Carpenter, the *pitch classes* which create the motives are more important than the registers in which they occur.

Bridge

At this point Carpenter has already begun to relate the first theme, in the tonic minor, to the second theme, in A-flat major. In order for the diminished seventh chord to be reinterpreted in the latter key, the E-natural must be enharmonically changed to F-flat, the flat-6 of A-flat major. This enharmonic change occurs during the introduction of the bridge theme, in measure 26 (Example 2.5). The D-flat-C (flat-6-5) semitone is therefore transposed to F-flat-E-flat, in the key of the mediant. At the same time, the function of the D-flat-C motive is transformed from flat-6-5 to 4-3 in A-flat. The motivic material of the first idea is:

first reduced to semitones, given as those crucial to the minor, and finally liquidated to a motivically uncharacteristic semitonal descent, spanning the linear third [F-flat-E-flat-D-flat] which will characterize the next thematic section.²⁶

²⁶*Ibid.*, 21.

Example 2.5

The image displays two systems of musical notation for piano. The first system consists of a treble and bass staff. The treble staff begins with a dynamic marking of *p* and contains several measures with complex rhythmic patterns and fingerings (e.g., 12, 3, 1, 4, 3, 5, 4, 3, 5). The bass staff provides harmonic support with chords and bass lines, including fingerings like 4/4 and 3/3. The second system begins with a circled measure number 25. It features a treble staff with a *ff* dynamic and a bass staff with intricate rhythmic patterns and fingerings (e.g., 2 1, 2 1 2 1 2 1 2 1, 2 1, 2 1, 2 1, 2 1, 3 2 3 2 1 3 2 1 3 2 1, 3 2 1, 3 2 1, 2 1). The notation includes various articulations and dynamic markings throughout.

Thus, this bridge section fulfills the function of a bridge according to Schoenberg's theories, as described by Carpenter:

A bridge, which introduces a new tonal area, shows by motivic analogy how that area is related to the old. The work of a bridge is twofold: motivically, it neutralizes old material in preparation for the new, while harmonically, it introduces the new pitch content and transforms the function of the old.²⁷

Carpenter now introduces another harmonic implication of the *Grundgestalt*, which she refers to as a tonal extension:

The flat-6-5 relation is a function of the minor mode. Schoenberg's notion of "borrowing" allows the substitution in the major mode of that function of the lowered sixth degree, on the basis of the "interchangeability of major and minor" by virtue of their common dominant. By this means A-flat minor is acquired.²⁸

²⁷*Ibid.*, 21.

²⁸*Ibid.*, 21.

The bridge therefore approaches the key of A-flat major through its parallel minor, by means of the borrowed function from the minor mode of the flat-6 (F-flat). Carpenter later points out that the interchangeability of major and minor provides the possibility of more extensive modulations.

Schenker's discussion of the bridge section is remarkably similar to Carpenter's. Firstly, he echoes Carpenter's theory of reinterpretation:

The fundamental structure, Fig. 2 [Example 4], allows a modulation only through **reinterpretation** . . . ; however, the harmonic degrees of the realization (see graph) necessitate the assumption of a chromatic modulation [my emphasis].²⁹

Schenker's graph illustrates that the key of A-flat is acquired by a reinterpretation of the C_5 as 3 in A-flat, instead of 5 in F minor.

(Thus, the apparent chromatic modulation is only a foreground phenomenon.) Not surprisingly, Schenker also notes the interchangeability of major and minor:

Since F minor can only modulate to A-flat major as the key of the third harmonic degree . . . , the A-flat minor should be heard here only as a mixture of the proper A-flat major. This does not change the fact that the minor anticipates the major and it also engages a generally wider [tonal] range.³⁰

²⁹Schenker, 6. *Der Ursatz, Fig. 2, läßt nur eine Modulation durch Umdeutung zu . . . die Stufen der Ausführung aber (s. Url. Tf.) nötigen zur Annahme einer chromatischen Modulation.*

³⁰*Ibid.*, 6-7. *Da von F-Moll nur nach As-Dur als der Tonart der III. Stufe moduliert werden kann . . . , so ist hier As-Moll nur als Mischung des zuständigen As-Dur zu hören. Daran ändert nichts die Tatsache, daß hier Moll dem Dur vorgreift und auch sonst einen breiteren Raum einnimmt.*

Thus, like Carpenter, Schenker also states that the A-flat major is approached through its own minor, by means of "mixture,"³¹ and that the minor key introduces a wider range of tonal possibilities. This is an obvious point; Schenker emphasizes, however, that the passage should be heard as a dominant preparation to A-flat major:

All motion within measures 24-34 is only a structural motion in the service of a harmonic degree, the dominant of the new key.³²

Example 2.6³³

Fig. 3

a) 7 - 6 - 5 b) 7 c) 7 d) 7

(Higher-placement) 7 6 5 7
3 — 4 4-3

V —————

Schenker's background shows that measures 23-34 are a prolongation of the pitch D-flat; this explains his treatment of the modulation to A-flat minor as merely a foreground phenomenon:

³¹The term "mixture" refers to the interchangeability of tonic major and minor keys.

³²*Ibid.*, 7. *Alle Bewegung innerhalb T. 24-34 ist nur Stimmführungsbewegung im Dienste einer Stufe, der Dominante der neuen Tonart.*

³³Schenker, (Fig. 3) 7.

According to the main plan (see Fig. 1), the D-flat₅ should be the starting point and the ending point of the motion, thus the lowering of the sixth, see Fig. 3a) [Example 2.6] is avoided. The reaching-over technique³⁴ enables the maintenance of this position in these cases, see 3b). As can be seen in 3c), the reaching-over is now coupled with an ascending octave.³⁵

Thus, the F-flat in measure 26 is a result of the reaching-over of the middle voice. The D-flat of measure 23 is therefore prolonged as the seventh of the E-flat major chord, the dominant of the new key, while the C-flat is merely a passing note in the middleground third progression, D-flat-B-flat (see Example 2.6). As always, Schenker demonstrates unity by showing the relationship between foreground events and their underlying background structure; coherence is maintained through the progression of the fundamental line.

Finally, like Carpenter, Schenker recognizes the importance of motivic material in the bridge section:

In the progression 5-6-5, B-flat₅-C-flat₆-B-flat₆ [measures 27-28], the fundamental line motive operates in diminution and at the same time the part-motive (measure 10) in the sequence F-flat₆-E-flat₅, measures 26-27, which is here necessitated not only through the reaching-over technique, but

³⁴Reaching-over, or overlapping occurs when an inner voice reaches over the top voice to a higher position.

³⁵*Ibid.*, 7. *Gemäß dem Hauptplan, s. Fig. 1, sollte des² Ausgangs= und Endpunkt der Bewegung sein, somit mußte die Senkung der Sept, s. Fig. 3 a), vermieden werden. Die Lage bei= zubehalten ermöglicht in solchen Fällen die Übergreiftechnik, s. bei b). Nun wird, wie bei c) zu sehen ist, das Übergreifen mit einer Höherlegung verbunden.*

also through the neighbouring-note movement. When the E-flat₆ (E-flat₅) finally falls to the D-flat₅, then the linear progression of a third returns (F-flat-E-flat-D-flat), which answers and passes on the linear progressions of a third from the first idea.³⁶

Interestingly, while Carpenter relates the descending linear third only to the second theme, Schenker considers it to be a link to the first theme as well, since he recognized descending third progressions in the turns of measures 3-4 and 7-8, and in measures 11-12 and 12-16, which he identified as diminutions of the fundamental line. Once again, the two analyses demonstrate that whereas Carpenter views motives as elements of the music which serve a tonal function as well as linking thematic material, for Schenker all motivic elements are linked together by the voice-leading of the fundamental line.

Second Theme

Schenker divides the second theme into two parts: the first idea, measures 36-39 (Example 2.7), contains two descending linear progressions: C₅-B-flat₄-A-flat₄ in measures 36-37, and D-flat₄-C₄-B-flat₃ in measures 37-38 (see graph).

³⁶*Ibid.*, 7. In 5-6-5, b^2 -ces³-b², wirkt sich so das Urlinie-Motiv in Verkleinerung aus und zugleich das Teilmotiv (T. 10) in der Folge fes³-es², T. 26-27, die hier sowohl durch die Übergreiftechnik wie durch die Nebennotenbewegung gefordert wird. Fällt dann endlich es³ (es²) zu des², so kehrt damit auch noch der Terzzug wieder (fes-es-des), die vielen Terzzüge des Vordersatzes beantwortend und weitergebend.

Schenker notes that for the first time these linear progressions contain the same notes as linear progressions of the fundamental line. The part-motive, F-E-flat is also present:

With the second linear progression of a third, see Fig. 1, which is transferred down by an octave, the part-motive (F-E-flat) follows along [measures 37-38]; it lies above the linear progression of a third and makes the descending octave transfer possible, dividing the octave.³⁷

Example 2.7

Schenker also states that the arpeggiation reminds us of that in the first theme. As in the first and second ideas of the first theme, the first idea of the second theme is linked to the second through the

³⁷*Ibid.*, 7. Mit dem zweiten Terzzug, der, s. Fig 1, eine Oktav tiefergelegt ist, geht auch das Teilmotiv (f-es) mit; es liegt über dem Terzzug und macht, die Oktave klanglich teilend, die Teiferlegung erst möglich.

fundamental line motive. In other words, the neighbour-note figure, C-D-flat-C of the fundamental line, begun in the first idea, is completed in the second (see Example 2.1).

Schenker notes that the second idea contains the same linear third progression as the first idea, but in A-flat minor:

The second idea, measure 40 ff., brings the ascending octave transfer of both linear third progressions; in addition the second linear third progression is changed to minor, so that after the interruption of only seven measures the mixture returns.³⁸

In remarking on the genius of Beethoven, demonstrated by his ingenious foreshadowing of the third-progression in the turns of measures 3-4 and 7-8, Schenker reiterates his philosophy that, in a great work, motivic unity is generated only by the fundamental line; only a genius knows how to create a composition whose structural design is governed by higher architectural levels:

The genius alone wanders on these ways; only the genius knows how to gain freedom from constraint and spurns the cheap freedoms of a programme music or a musical drama, where the transformations of motive orientate themselves to a non-musical caption.³⁹

³⁸*Ibid.*, 7. *Der Nachsatz, T. 40 ff., bringt die Höherlegung beider Terzzüge; zudem wird der zweite Terzzug ins Moll gerückt, so daß nach einer Unterbrechung von nur sieben Takten die Mischung zurückkehrt.*

³⁹*Ibid.*, 8. *Auf solchen Wegen wandelt nur das Genie; das Genie allein weiß Freiheit aus dem Zwange zu gewinnen und verschmächt die billigen Freiheiten einer Programmusik oder eines Musikdramas, wo die Motivverwandlungen sich meist nur nach einem außermusikalischen Stichwort richten.*

Like Schenker, Carpenter recognizes Beethoven's genius in the creation of the second idea in the second theme: "the second theme of the contrasting section is indeed a reduction (in the minor mode) of the first."⁴⁰ Example 2.8 illustrates that the first idea of the

Example 2.8⁴¹

Example 2. The first extension: major/minor interchange

(a) Treble clef, G-flat major triad (G-flat, B-flat, D-flat) with a descending third interval labeled 'a'.
 (b) Bass clef, G-flat minor triad (G-flat, B-flat, D-flat) with a descending third interval labeled 'a'. The notation includes various annotations such as [B], [5 1], [3 5], and 'a' with arrows indicating intervals.

second theme outlines C-B-flat-A-flat, while the second idea outlines C-flat-B-flat-A-flat. Furthermore, the example shows that the descending third, C-flat-A-flat (labeled a¹), spans the same third outlined in the first theme. This third is also the same third that appears in the *Grundgestalt* of the piece.

⁴⁰Carpenter, 21.

⁴¹Carpenter, 22.

Closing Theme

Schenker's analysis demonstrates that the closing theme (measures 51-65) is a reduction of the second theme:

The closing theme does actually separate itself from the second theme, but it is still dominated by the linear third progressions of the second theme, albeit with a strong diminution. Even the style of the arpeggiation is continued, as a result of which the now diminished linear third progressions fall upon the weak beats.⁴²

Thus, the same descending linear progressions occur, although they are now in the minor key. Furthermore, the note values are now smaller. The first third progression, C-flat-B-flat-A-flat, occurs in measure 51, and the second, D-flat-C-flat-B-flat, begins in measure 53; however, the D-flat is prolonged for two measures, so that the progression does not end until measure 55. Schenker notes that the third progressions which occur in measure 52 are actually middle voice progressions:

The distribution of the flat-3 and 4 to two different octaves (see fundamental line table and Fig. 1), necessitates the reaching over technique. . . .

From the figure 4b) [Example 2.9] one can see, that the linear third progressions in measures 52 and 54 (A-flat-G-

⁴²Schenker, 8. *Der Schlußgedanke sondert sich vom zweiten Gedanken zwar ab, wird aber noch immer von den Terzzügen des zweiten Gedankens, allerdings in starker Verkleinerung, beherrscht. Sogar die Art der Brechung wird fortgesetzt, der zufolge die nun verkleinerten Terzzüge auf die schwachen Takteile fallen.*

flat-F-flat and B-flat-A-flat-G), are progressions of the middle voice and not the fundamental line.⁴³

Schenker also notes that the part-motive, F-flat-E-flat, is present in measures 54, and 63, in the left hand.

Example 2.9⁴⁴

Fig. 4

M. 51 52 53 54 55 56 57 60 61

a)

b)

c)

A flat minor: (5 — 6 — 5) I \flat VI II V

⁴³*Ibid.*, 8. Die Verteilung der \flat 3 und 4 in zwei verschiedene Oktaven, s. *Url. Tf. und Fig. 1*, macht die Übergreiftechnik notwendig.

... Aus dem Bild bei b) entnimmt man, daß die Terzzüge in T. 52 und 54 (as-ges-fes und b-as-g) Züge der Mittelstimme, nicht der Urlinie sind.

⁴⁴Schenker, (Fig 4) 8.

Schenker's graph shows that the fundamental line progression, 3-2-1, is not completed until measures 60-61. The exposition ends on A-flat, which, because of the process of the reinterpretation of the third, has become 1.

Carpenter remarks that in the closing theme (Example 2.10) the bridge material is reduced to its simplest form. The example shows that the same descending linear third, presented as a semitonal descent in measures 30-33 of the bridge section (F-flat-E-flat-D-D-flat), occurs in measure 63 of the closing theme. The motive F-flat-E-flat, which she refers to as the flat 6-5 function, also occurs, as noted by Schenker, in both the bridge and the closing theme.

Example 2.10

The musical score for Example 2.10 consists of two staves. The upper staff is in treble clef and the lower staff is in bass clef. Both staves are in the key of A-flat major (three flats). The right hand features a descending linear third (F-flat-E-flat-D-D-flat) in measures 30-33, with fingerings 4, 5, 4, 5, 5, 4 indicated above the notes. The left hand features a semitonal descent (F-flat-E-flat) in measure 63, with a dynamic marking of *sff* and a fingering of 1. The score also includes a *dim.* marking and a fermata over the final notes.

Thus, both Schenker and Carpenter identify the same motives as being important elements in the basic shape of the piece. Their discussions of motivic links between themes are similar, as are their explanations of the derivation of the keys of A-flat major and

its parallel minor. However, Carpenter's discussion of tonal relationships is more extensive than Schenker's. In particular, the Neapolitan key is a point of differentiation between the two analyses.

The Neapolitan

In order to fully comprehend Carpenter's discussion of tonal relations, it is necessary to understand Schoenberg's concept of regions of tonality. Carpenter explains that:

Tonality for Schoenberg is not merely a certain collection of pitches, a scale, but more importantly, a kind of centrality. All pitches of a key-collection are related to a single tonal center, each in a specific way. The function of a single tone is signified by the degree of the scale it represents. The function of a chord depends upon its root, which is, in turn, the scalar degree upon which the chord is constructed. Tonality, then, is a set of functions of scalar degrees. If we want to grasp the idea of a composition that is "about" F, for example, we shall want to know how each pitch that arises in the course of the piece is related to the tonic.⁴⁵

At this level of discussion Schenker and Schoenberg are in agreement; both recognize that a work has a tonal centre, and that each tone is classified according to its relationship to the tonic, signified by its scale degree.

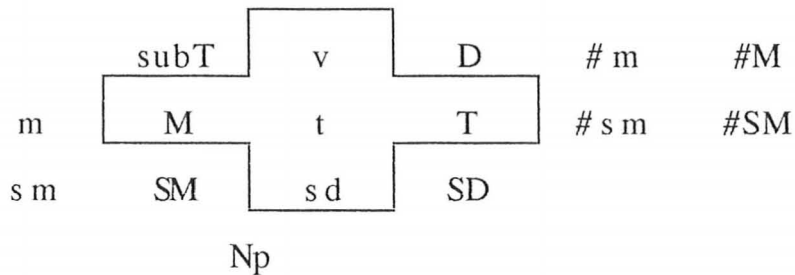
Schoenberg describes his idea of regions of tonality in *Structural Functions of Harmony*:

The concept of regions is a logical consequence of the principle of *monotonicity*. According to this principle, every digression from the tonic is considered to be still within the

⁴⁵Carpenter, 16-17.

tonality, whether directly or indirectly, closely or remotely related. In other words, there is only *one tonality* in a piece, and every segment formerly considered as another tonality is only a region, a harmonic contrast within that tonality.⁴⁶

The following is Schoenberg's chart of the regions in a minor key⁴⁷:



The symbols represent the relationship of a particular key to the tonal centre, and are defined as follows⁴⁸:

T	means	tonic
D	"	dominant
SD	"	subdominant
t	"	tonic minor
s d	"	subdominant minor
v	"	five-minor
s m	"	submediant minor
m	"	mediant minor
SM	"	submediant major
M	"	mediant major
Np	"	Neapolitan
SubT	"	Subtonic

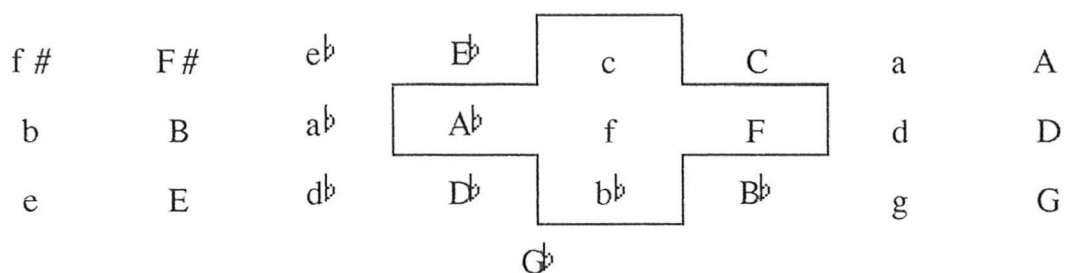
Regions are classified as close and direct, indirect but close, indirect, indirect and remote, or distant to the tonic, depending on

⁴⁶Arnold Schoenberg, *Structural Functions of Harmony*, 19.

⁴⁷*Ibid.*, 30.

⁴⁸*Ibid.*, 20.

their distance from the centre of the chart.⁴⁹ In F minor, the key of the *Appassionata*, f would be the tonic centre and all other tonal regions would be classified according to their relationship to that tonic. The chart of regions would therefore appear as follows:



I have extended the chart to include the distant regions to which Beethoven modulates in the *Appassionata*. According to the chart, the Neapolitan's relationship to the tonic is classified as indirect and remote.

While both Schenker and Carpenter recognize that the key of G-flat major occurs as a result of the upper semitonal neighbour, D-flat, Schenker explains the tonality by calling it a II chord in which the root has been lowered in order to avoid a diminished triad; his focus is intervallic consonance and dissonance. Carpenter, on the other hand, demonstrates that the Neapolitan key is related harmonically to the tonic, and that this relationship is worked out through the thematic material of the movement:

⁴⁹See Schoenberg, *Structural Functions of Harmony*, Chapter IX.

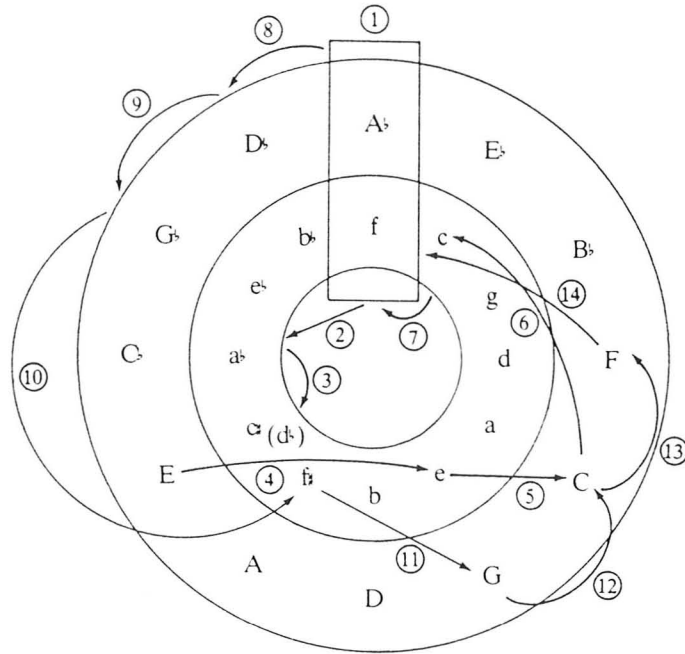
The semitone . . . appearing as the three-note figure D-flat/C⁵⁰ to which the material of the first theme is ultimately reduced, is given first as an immediate tonal contrast between the tonic and its Neapolitan, the flat II (F/G-flat). The musical space is unified here, I maintain, not simply by the appearance of two semitones in two dimensions or at two hierarchical levels; rather, the motivic analogy potentially indicates the preexisting tonal relation of the foreign G-flat.⁵¹

Carpenter explains that "according to Schoenberg, the flat II is related through the subdominant minor, as its flat VI." The subdominant minor of F minor (B-flat minor) provides the pitch, G-flat, the Neapolitan. If the same procedures used in the first and second themes are applied to the subdominant minor, new tonal possibilities are created. In reinterpreting the major third D-flat-F by means of the reinterpretation of the diminished seventh chord (A-C-E-flat-G-flat becomes C-E-flat G-flat-B-double-flat), the notes D-flat and F become 1 and 3 in the key of D-flat major (Example 2.11). The major-minor interchange, acquired through the borrowing of the flat 6 from the minor mode, provides the possibility of D-flat minor. The same procedure applied to the subdominant minor of the mediant major provides the pitch B-double-flat, and the key of F-flat minor. Carpenter states:

The work of this movement will be to clarify the borrowed F/G-flat semitone by means of motivic analogies that will make the derivation, the relation to the tonic, explicit and at the same time demonstrate how the extension of the relation

⁵⁰Carpenter is referring to the rhythmic figure D-flat/C that first occurs in the bass of measure 10; it is actually a four-note figure.

⁵¹Carpenter, 23-24.

Example 2.12⁵⁵

Carpenter returns, at the conclusion of her analysis of the exposition, to the D-flat, the flat submediant, which she considers to be the crux of the work. Referring to the circle of fifth relations, which she uses instead of Schoenberg's chart of regions (Example 2.12), Carpenter notes:

the flat submediant, D-flat major, lies only one fifth counterclockwise from the tonic, but on the "outside," major track. The effect of the basic harmonic procedure, the reinterpretation of the major third (in this case, D-flat-F), is to bind these two regions, relative minor and major, into a

⁵⁵*Ibid.*, 19.

single place on the circle. The first fifth counterclockwise, then, in a minor tonality locates not only the flat submediant major but also the subdominant minor, the source of the Neapolitan. The exploitation of this relationship is built into the *Grundgestalt*, so to speak.⁵⁶

Unfortunately, Carpenter's circle diagram, while effective in demonstrating the tonic major/mediant minor relationship, does not classify the tonal relationship of foreign keys to the tonal centre as does Schoenberg's chart of regions. Furthermore, the circle diagram does not illustrate the mixture relationships which Beethoven uses, as in the bridge section, where A-flat major is approached through the key of A-flat minor.

A Schoenbergian analysis, therefore, demonstrates the possibilities, both motivic and tonal, inherent in the presentation of a musical idea:

"A melody re-establishes repose through balance. A theme solves the problem by carrying out its consequences. The unrest in a melody need not reach below the surface, while the problem of a theme may penetrate to the profoundest depths." A melody, then, can be compared to an aphorism, while a theme resembles a scientific hypothesis which does not convince without a number of tests, without presentation of proof.⁵⁷

Thus, whereas Schenker's identification of C-D-flat-C as a basic motivic element provides for him a unifying link between foreground and background, for Carpenter, the same *Grundgestalt*, or more precisely D-flat-C (Schenker's "part-motive") while accounting

⁵⁶*Ibid.*, 24.

⁵⁷*Ibid.*, 21-23.

for motivic development in various ways, more importantly provides the link to and union of remote tonal areas.

CHAPTER THREE

Development and Recapitulation

Development: Section One

As in their discussions of the exposition, Schenker and Carpenter identify similar points of interest in their analyses of the development and recapitulation of the sonata, but differ in their explanations of how these sections contribute to the unity of the first movement. The development is easily divided into two sections, according to motivic material. Schenker's background graph (Example 3.1) illustrates this division; the first section begins at measure 65 and the second at measure 109. According to Schenker, the highest level of Figure 5a) shows that the key of A-flat minor, in which the exposition closed, can still be interpreted as III (with a flat third) in the tonic key of F minor. The first set of model and sequences which forms the first section of the development is shown in Figure 5 to be a prolongation of III. Schenker notes that the C-flat (enharmonically written as B-natural) reverts to C-natural in measure 83 when III becomes V/VI. Example 3.1 illustrates that the lower voice arpeggiates a four-note chord, built on major thirds, beginning on A-flat in measure 65 and ending on A-flat in measure 87. Interestingly, the major third is the harmonic interval on which the *Grundgestalt* is based. Schenker identifies the harmonic major third interval in his analysis of the

opening measures of the first movement, but because his focus is on counterpoint rather than harmony he considers the neighbour note motive to be more important. Conversely, Carpenter's focus is harmonic; she demonstrates how the function of the major third varies according to the key in which it appears. In this instance, the key element of a major third, which was introduced as a harmonic element, now functions contrapuntally as well, forming the melodic background of the first section of the development.

Example 3.1¹

M. 67 79 83 87 89 109 114 117 122 123 125 130

110

Fig. 5

a)

b)

c)

F minor: $\flat 3$ - - $\sharp 3 - \flat 7$ VI - $\flat II$ - - $\sharp II - V$

6 - 5 - 6 - 5

The figure shows three staves of music in F minor. Staff (a) shows a melodic line with a major third interval highlighted by a large oval. Staff (b) shows a more complex texture with multiple voices and a dashed oval highlighting a specific interval. Staff (c) shows another voice part with similar annotations. Below the staves is a harmonic analysis for F minor, showing Roman numerals and scale degrees. The analysis is: *F minor*: $\flat 3$ - - $\sharp 3 - \flat 7$ VI - $\flat II$ - - $\sharp II - V$. There are also scale degrees 6 - 5 - 6 - 5 indicated below the analysis.

¹Schenker, (Fig. 5) 9.

Because Schenker considers this whole section to be a prolongation in F minor, he does not recognize modulation within the passage:

The leaps of thirds are only transitions, thus one cannot speak of harmonic degrees or of a key change, not even when one is inclined initially to hear the A-flat sound as the dominant of the D-flat major key.²

Again, Schenker is most concerned with the unifying force of the voice-leading of the background which provides the tonal connection between the harmonies. However, we will see presently that in his preoccupation with the fundamental line, Schenker ignores important melodic details in the foreground which Carpenter discusses in her analysis of this section.

Schenker states an obvious point: that the motivic material which accompanies each of the major third leaps (A-flat/G-sharp-E-natural-C-natural-A-flat) is not uniform. The graph shows that the E major section of measures 67-79 consists of two third-progressions; G-sharp-F-sharp-E in measures 67-74, and F-sharp-E-D-sharp in measures 74-75. (The first third-progression is distributed over a span of two octaves.) Schenker notes that these third-progressions are borrowed from the little turns which conclude measures 3 and 7 in the exposition. Example 3.2

²Schenker, 9. *Die Terzsprünge sind nur Durchgänge, somit darf weder von Stufen, noch von einem Tonartenwechsel gesprochen werden, selbst dann nicht, wenn man den As-Klang vorerst noch als Dominante der Des-Dur-Tonart zu nehmen neigte.*

demonstrates that this set of two third progressions represents a complete chord progression in E major.

Example 3.2³

Fig. 6

As E major: I ————— II ————— V (-I)

According to Schenker, this explains the presence of the G-sharp in the top voice:

The note sequences serving both third progressions represent a closed circle of notes with the effect of the sequence I-II-V-I, which is why it is here allowed to remove G-sharp₆ and to prolong it until measure 78.⁴

Once again, Schenker attributes the shift from major to minor in measure 79 to mixture. He notes that while the first leap of a major third (from A-flat to E) touches briefly on the neighbour-note D-sharp, the next two leaps (E-C and C-A-flat) are filled in with passing notes. He identifies the motivic material as the arpeggiation from measures 1-2. The minor triad on C which occurs in measure 83 is also attributed to mixture. The A-flat appears again in measure 87, having been prolonged from measure 65:

³Schenker, (Fig. 6) 9

⁴*Ibid.*, 9. *Die in den Dienst beider Terzzüge gestellten Klangfolgen bedeuten einen geschlossenen Klangkreis mit der Wirkung der Stufenfolge I-II-V-I, weshalb hier eben gis³ abzuziehen und bis T. 78 festzuhalten erlaubt ist.*

In measure 87 one must--like the dotted slurs show in the fundamental line table, see also Fig. 5b)--retrospectively imagine A-flat₆; only from here does it go to G-flat₆ as the seventh of the chord in measure 91.⁵

As Example 3.1 illustrates, the first section of the development concludes with a prolongation of G-flat (measures 89-108). Schenker notes that this prolongation is expressed through the motivic material of the bridge section (measures 24-30), this time presented in a major key. Schenker's explanation of the introduction of B-double-flat in measure 101 (Example 3.3) is vague--he only provides a motivic rationale, but does not specifically integrate the B-double-flat into the tonal structure:

Finally, in measure 101 the half tone step B-double-flat₄-A-flat₄ must be introduced, since it is essential as the basis for the chromatic steps in measures 103 and 104.⁶

Schenker concludes his discussion of the first section of the development by noting that the motivic material of measures 105-108 is not really new:

The motive in measures 105 ff. only seems new; inspected more closely, it reveals itself as a third-progression, which

⁵*Ibid.*, 10. In T. 87 muß man sich--wie die punktierten Bogen in der Url.-Tf. zeigen, s. auch Fig. 5b)--as³ zurückgekehrt denken; erst von hier geht es zu ges³ als der Sept des Klanges in T. 91.

⁶*Ibid.*, 10. Schließlich aber mußte in T. 101 der Halbtonschritt bb¹-as¹ dennoch eingefügt werden, da er als Voraussetzung der chromatischen Schritte T. 103 und 104 unentbehrlich ist.

prepares the third-progressions of the second idea as the content of the next section. [This is illustrated in the graph].⁷

Example 3.3

The musical score for Example 3.3 is presented in four systems. Each system consists of a piano (left) and treble (right) staff. The key signature is three flats (B-flat major/C minor). The score includes various musical notations such as dynamics (*pp*, *dim.*, *cresc.*, *f*, *p*), articulation (accents), and fingerings. Measure numbers 100, 105, and 112 are circled. The score shows a complex interplay of melodic lines and harmonic accompaniment, with the piano part often providing a rhythmic and harmonic foundation for the treble part's more intricate passages.

⁷*Ibid.*, 10. Das Motiv in T. 105 ff. ist nur scheinbar neu; genau besehen enthüllt es sich als ein Terzzug, der die Terzzüge des zweiten Gedankens als Inhalt des nächsten Abschnittes vorbereitet.

Thus, in his analysis of the development, Schenker continues to focus on the principles of voice leading in order to demonstrate musical coherence. Carpenter, however, focuses much more closely on how the tonality of the development section continues to be derived from the original *Grundgestalt* of the first movement, and is therefore related to and coherent with the exposition.

Carpenter explains that the development uses a variant of the original *Grundgestalt*, "a third plus an *ascending* semitone."⁸ Like the original *Grundgestalt*, its simplest harmonic implications are tonic (F minor) and flat submediant (D-flat major). According to Carpenter:

Two transitional passages exploit this variant of the motive to achieve harmonic motion: the first is the link from the end of the exposition to the beginning of the development; the second, the liquidation of the material of the development from the flat II at its close to the dominant that marks the beginning of the retransition.⁹

The second example will be discussed later. In the first example (Example 3.4), the link between the exposition and the development (measures 66-78), the passage moves from the minor mediant, A-flat minor, to its flat submediant, F-flat "by applying an ascending semitonal function to the common third, A-flat/C-flat."¹⁰ In other words, a second inversion A-flat chord becomes a root position f-flat major chord as E-flat moves up a semitone to F-flat.

⁸Carpenter, 27.

⁹*Ibid.*, 27-28.

¹⁰*Ibid.*, 28.

Example 3.4¹¹

Example 5. Two transitions

Mediant minor: I bVI III bVI

Like Schenker, Carpenter notes that F-flat minor (E minor) is achieved through a major/minor interchange, or mixture. The key of F-flat minor is seven fifths counterclockwise from the tonic on Carpenter's circle of fifths--the farthest key away from the tonic into which Beethoven ventures. In Schoenberg's chart of regions, F-flat minor is in class 5, the region classified as 'distant.'

Carpenter divides the development into two sections, using the same dividing point as Schenker (Example 3.5). Her analysis of the

Example 3.5¹²

Example 6. The development: expansion of the mediant as dominant of the flat submediant

Dev I Dev II Retransition

Mediant minor Submediant bII Tonic

first section outlines the same A-flat octave, unfolded by means of descending major thirds, that Schenker recognizes in the lower

¹¹Carpenter, 29.

¹²Carpenter, 31.

voice: A-flat-F-flat(E)-C-A-flat. Schenker insists that the final A-flat is not to be considered as the dominant of D-flat, since he sees the whole passage as one motion from III to VI, and the V of D-flat is therefore merely incidental. However, Carpenter labels it as just that, V of the submediant. Carpenter explains that the model of this first set of sequences "is a condensation of the device used in the preceding link, utilizing an ascending semitone to reinterpret a common third (G/B)"¹³ (Example 3.6). The important melodic motion (E/F) comes from the original semitone motive, 1-flat-2.¹⁴ The flat-2 resolves as 4 to flat-3 (F to E-flat), which produces a major/minor interchange. (In other words, the music moves into C minor instead of C major.) Thus, whereas Schenker's analysis focuses on the prolongations of the fundamental line, Carpenter provides a more detailed explanation of the derivation of melodic material in the foreground.

Furthermore, Carpenter's explanation of the presence of the B-double-flat in measure 101 is tonally more specific than Schenker's: "The reduction of the sequence demonstrates that this semitone (1-flat-2) is analogous to 5-flat-6, here presented as B-double-flat/A-flat and functioning to transform A-flat into the dominant of the flat submediant."¹⁵ In other words, the semitone motive can function as 5-flat-6, as it did in the first theme of the exposition.

¹³*Ibid.*, 30.

¹⁴In the opening of the exposition this motive was originally interpreted as 5-flat-6.

¹⁵Carpenter, 30-31.

When the A-flat (5) is heard in conjunction with the B-double-flat (flat-6) it becomes V of the flat submediant, D-flat, instead of the I in A-flat.

Example 3.6¹⁶

The image displays a musical score for a piano development section, labeled 'Development I' and starting at measure 79. The score is written for piano (p) and includes a dynamic marking of *f*. The notation consists of a grand staff with treble and bass clefs. The right hand features a complex, rhythmic pattern of sixteenth notes, while the left hand plays a more melodic line with some chromaticism. Below the main score, there are two smaller diagrams. The first, labeled 'Model', shows a single treble clef staff with a chord progression from a root note (1) to a second degree (b2). The second diagram, labeled 'Sequence' and 'Reduction', shows a series of chords in a single treble clef staff, illustrating the harmonic progression from the first model to a more complex sequence. The sequence is labeled 'Reduction' and includes a note 'NB' at the end.

Analogy is a central element in Carpenter's web of tonal relations. The semitone motive becomes a constant throughout the movement, functioning as different scale degrees in several different keys. Since the original 1-flat-2 motive is analogous to 5-flat-6, in the instant when the B-double-flat is introduced in measure 101:

Beethoven reveals the connection of the two statements of the semitone motif *x* in the first theme, D-flat/C and G-flat/F. Hence, this is a crucial moment in this first movement, for it

¹⁶*Ibid.*, 31.

assimilates the contradictory element G-flat into the basic tonality by demonstrating its analogy to the tonic flat-6.¹⁷

Carpenter also notes that at this point the motion toward home has begun, taking us to the first fifth counterclockwise (a relationship classified as 'direct and close' in Schoenberg's chart of regions).

Development: Section Two

Schenker's Figure 5a) (Example 3.1) shows that, at the highest structural level, the fundamental line of the second section of the development (measures 109-135) consists of F moving to E-natural. The F is harmonized by a VI chord, and the E-natural occurs over the dominant. Figure 5b) illustrates that, as in the first section, the bass voice moves in descending thirds (D-flat-B-flat-G). In order to avoid the parallel fifths which would have occurred as D-flat moves to C and A-flat to G, Beethoven places a IV chord between the VI and the V, at measure 114. Schenker notes that because an ascending octave transfer of the E-natural occurs, the F₅ moves up to G₅ and finally to E₆ through a rising arpeggiation.

The foreground of this prolongation utilizes the motive of the second theme; the counterpoint of this line is demonstrated in the structural level of Figure 5c). Once again, Schenker explains that parallel fifths would have resulted from the major third movement of the outer voices in Figure 5c), in measures 110 to 117 (D-flat/A-flat-B-flat/F-G-flat/D-flat): this time they are avoided by placing lower neighbouring notes before the F in measure 112 and before the

¹⁷*Ibid.*, 31.

D-flat in measure 116 (Example 3.7). Thus, instead of 5-5-5, the interval sequence becomes 5-7-5-7-5. In Figure 5c) the lower voice appears to move in downward leaps with similar lower neighbour-note figures; A before B and F before F-flat. However, the fundamental line reveals that the actual movement of the lower voice is somewhat different:

Yet, in reality, see the graph, it does not fall toward A and F as Fig. c) shows, but rather, in accordance with the demand of the motive, rises. Accordingly the motive of the second theme shows an alteration for the first time in service of development only at the end of the second fundamental line linear progression (compare the second half of measures 112 and 116 with the second half of measure 38).¹⁸

The transformation to which Schenker refers occurs in the melody line; in the second half of measure 38 the upper voice steps down a whole tone to the second scale degree, and then leaps up a perfect fourth. In the second half of measures 112 and 116 however, the descending whole tone step is followed by an ascending leap of a minor third. The alteration occurs because the motive is part of a modulating sequence; once again, this is of little significance, and Schenker's reason for making a point of it is unclear.

¹⁸Schenker, 10. *Doch wird in Wirklichkeit, s. Url.-Tf., zu A und F nicht wie das Bild bei c) zeigt hinunter-, sondern gemäß der Forderung des Motivs hinaufgegangen, und dementsprechend erleidet das Motiv des zweiten Gedankens im Gebrauch der Durchführung die erste Veränderung erst gegen das Ende des zweiten Urlinie-Zuges (vgl. die zweite Hälfte der T. 112 und 116 mit der zweiten Hälfte des T. 38).*

Example 3.7

The image displays three systems of musical notation for piano. Each system consists of a treble clef staff and a bass clef staff. The first system begins at measure 110, marked with a circled '110'. It features a melodic line in the treble with slurs and ties, and a bass line with chords and eighth notes. Dynamic markings include 'cresc.'. The second system starts at measure 115, marked with a circled '115'. It continues the melodic and harmonic development, with a 'f' (forte) marking in the bass. The third system shows further progression, with 'cresc.' in the treble and 'sempre più f' (sempre più forte) in the bass. The notation includes various fingerings and articulations throughout.

Schenker notes that in measure 114 the motive of the second theme moves into B minor. Here, the avoidance of parallel fifths becomes a focus for discussion yet again:

The change in the left hand from the fourth quarter of measure 115 until measure 117 should be observed, in opposition to the version in measures 111-113; one only needs to try these also in measure 115-117 to be able to recognize the reason for the change: the motive demands the lowered second harmonic degree in measure 117 and that means the half tone step F-G-flat in measures 116-117, through which the parallel fifths were to be removed through $7/5$. So, this is different than in

measures 112-114, where A-flat goes to B-flat through 7-6-5.¹⁹

In other words, according to Schenker, an E-flat, placed in the top voice of the left hand in measure 116 removes the parallel fifths which would have occurred as F moves up to G-flat and C moves to D-flat, by inserting the interval of a seventh. In the preceding measures however (111-113), the parallel fifths were removed by an interval sequence of 7-6-5. This is illustrated in the graph.

As Example 3.1 illustrates, the lower voice continues to rise to a D-flat, which is a member of the dominant ninth chord. At this point the G-flat must become a G-natural, the fifth of the dominant chord. Once again, parallel fifths are prevented by "a 6-5-6-5-exchange" ("eine 6-5-6-5=Auswechslung"), as the B-natural moves up to C and the F-sharp moves up to G-natural (see graph, measures 119-122). Schenker explains that as this whole section moves toward the dominant, over the II chord, the lower voice is characterized by the D-flat alone.²⁰ Schenker notes that the effect of the foreground events of this structural prolongation is powerful, considering that the underlying voice-leading of which it is an

¹⁹*Ibid.*, 10-11. *Zu beachten ist bei der linken Hand die Veränderung vom 4. Viertel T. 115 ab bis T. 117 gegenüber der Fassung T. 111-113; man braucht nur diese auch in T. 115-117 zu versuchen, um den Grund der Veränderung zu erkennen: Das Motiv fordert in T. 117 die erniedrigte zweite Stufe und das bedeutet den Halbtonschritt F-Ges in T. 116-117, wobei die Quintfolgen durch 7/5 zu beheben waren; anders also als in T. 112-114, wo As zu B durch 7-6-5 geht.*

²⁰*Ibid.*, 11. *So prägt die Unterstimme über die II. Stufe hinweg doch nur den Grundton Des allein aus.*

expression consists merely of one interval; a third, or tenth, as is illustrated by Figure 5a). He writes that the passion of the upward surge of the music pushes the D-flat₄ up to a D-flat₆ in measure 126, through a series of quickening arpeggiations.

According to the plan laid out in Figure 5a), the last few measures of this second section of the development must complete two goals; the F must finally reach the E-natural in the top voice, and the D-flat in the bass must resolve to the dominant. Schenker writes a powerful and descriptive narrative in explaining how these goals are achieved:

In measure 123 the upper voice retains the high point G₆ which it had last attained in measures 121-122; it maintains this climax stubbornly against the rushing forward arpeggiations of the left hand in measure 124, which are formally dashed to pieces. In measure 125, the left hand reaches the D-flat₅ and with its urging, causes the right hand to give way, which now attains B₆. The left again pursues, but the right hand defies with success, so that there is nothing left for it to do except to limit its arpeggiation to two sixteenths. Thus restrained through the defiance of the upper voice, the upward urge of the left hand exhausts itself in its excess; the tension rebounds, the lower voice falls back from D-flat₆ in arpeggiations until D-flat, in measure 130; here now, finally, the e which had been in mind as the goal from the very beginning (see Fig. 5a), appears in the upper voice. Only now does the D-flat fall back to C (measure 132) as the resolution of the 9-8 suspension, whereby the part-motive (from measure 10) is realized.²¹

²¹*Ibid.*, 11. *In T. 123 behält die Oberstimme die zuletzt in T. 121-122 erreichte Höhe g³; sie behauptet diese Höhe wie starrsinnig auch gegenüber den vorstürmenden Brechungen der linken Hand in T. 124, die förmlich zerschellen. In T. 125 erreicht die linke Hand des²*

Thus, when the D-flat finally resolves down to C, it reiterates the original part-motive, D-flat-C from measure 10. However, Schenker also sees the presence of this part-motive on a much larger scale:

What an imposition of voice-leading technique, of form and pitch from measures 109 onwards, to express this motive in such a larger-than-life form!²²

In other words, the fundamental line, from measures 109 onwards, expresses the part-motive, D-flat-C.

Finally, Schenker notes that although the path to the recapitulation stands open, now that the dominant has been reached, the register of the first theme must still be prepared. Beethoven therefore repeats the part-motive in two different octaves in measures 130-132 (Example 3.8), and thus attains the register of C₅.

und bringt mit ihrem Drang die rechte zum Weichen, die nun b³ einnimmt. Die linke Hand drängt wieder nach, doch trotz die rechte mit Erfolg, so daß jener nichts übrigbleibt, als ihre Brechung auf zwei Sechzehntel zu beschränken. So durch den Trotz der Oberstimme gebändigt, erschöpft sich der Aufwärtsdrang der linken Hand in seinem Übermaß; die Spannung schnell zurück, die Unterstimme fällt von des³ in Brechungen bis Des, T. 130, zurück; hier erscheint bei der Oberstimme endlich e, das als Ziel, s. Fig. 5a), von Anbeginn vorschwebte. Nun erst fällt Des zu C (T. 132) zurück als Auflösung des 9-8-Vorhalts, wodurch sich das Teilmotiv (T. 10) verwirklicht.

²²*Ibid.*, 11. *Welches Aufgebot an Stimmführungskünsten, an Figuren und Lagen von T. 109 ab, um dieses Motiv in so überlebensgroßer Form auszudrücken!*

In her discussion of the second section of the development, Carpenter notes that, like the first section, it is a sequential passage based on descending thirds. Schenker's Figure 5b)

Example 3.8

The image shows two systems of musical notation for piano. Each system consists of a grand staff with a bass clef on the left and a treble clef on the right. The left hand part is a continuous eighth-note accompaniment. The right hand part features descending eighth-note patterns, with some measures containing triplet markings (indicated by a '3' over the notes). The first system is marked with a forte dynamic 'ff' and has a circled measure number '130' above the first measure. The second system continues the same musical material.

illustrates the same figure, but Carpenter comments on an interesting point which Schenker fails to notice:

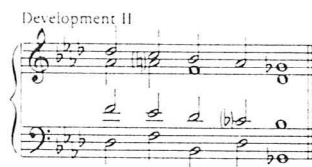
The second section of the development is a straightforward version of the same cliché progression of descending thirds, carrying out as harmonic progression the Neapolitan "dominant form" of the opening theme, clarifying for us in a simple tonal way the connection between D-flat and G-flat through the subdominant minor, B-flat--the connection that is not made explicit in the initial statement.²³

Thus, Carpenter recognizes what Burkhart would call a motivic parallelism, or hidden repetition: the outline of descending thirds in the second development section, illustrated in Example 3.5, forms

²³Carpenter, 31.

the first three pitches of the Neapolitan form of the first theme. Furthermore, the G-flat is attained through the key of the subdominant minor, B-flat minor, which Schoenberg identifies as the source of the Neapolitan. The connection between D-flat and G-flat lies in the flat submediant; D-flat is the flat submediant of the tonic, F minor, just as G-flat is the flat submediant of B-flat minor, the subdominant minor. Carpenter's use of the term "cliché progression" is unfortunate, since this is a significant analytical point.

Example 3.9²⁴



Carpenter explains that G-flat major is reached by means of applied dominants (Example 3.9). At measure 118 the second of what Carpenter refers to as 'transitional passages,' which make use of the variant of the *Grundgestalt*, begins:

The second transition (Example 3.10) is straightforward model and sequence, utilizing an obvious harmonic implication of the variant, 6/3 5/3, leading from flat-II to V, G-flat to C. It seems so simple! Yet because of what we know about the flat-II, we see that Beethoven is beginning to pull things

²⁴*Ibid.*, 32.

together: in showing us again the tonal function of the flat-II, he produces its own Neapolitan, A-double-flat. By an enharmonic change to G-natural this becomes a second transformation of II, catapulting us to the dominant.²⁵

Example 3.10²⁶

118

gua

sempre più forte

Neapolitan: 1
Tonic: >II

IV
b

>II
II
#3

v

When she states that "Beethoven is beginning to pull things together," Carpenter means that the connection between the Neapolitan and the tonic which was not made explicit in the exposition is clearly illustrated at this point in the development. As mentioned earlier, Schoenberg states that the Neapolitan key is related to the tonic through the subdominant minor, as its flat

²⁵*Ibid.*, 29.

²⁶*Ibid.*, 29-30.

submediant. Here, the Neapolitan of G-flat major is reached through its subdominant minor, C-flat minor, just as the Neapolitan of the tonic is reached through B-flat minor. This is the proper point in the music, dramatically speaking, for Beethoven to begin pulling together the harmonic elements of the movement, as the recapitulation is about to begin.

Carpenter notes that, upon arriving at G major, Beethoven has once again reached the same outer limit of this tonality as he reached in the first section of the development, the seventh fifth counterclockwise from the tonic. Thus, for Carpenter, the development is a logical, cohesive part of the movement because the tonal relationships presented are all derived from the original *Grundgestalt*; furthermore, the development provides the tonal link between the tonic and its Neapolitan which was not made explicit in the exposition.

Recapitulation

Schenker's discussion of the recapitulation and coda consists of a few remarks about differences and similarities between the exposition and the recapitulation. He states that the first theme is more powerful here than it was in its original form as a result of Beethoven's use of the driving eighth notes as a V pedal in the bass: He notes that, although a pedal on C would be too dissonant when the dominant form of the theme is played, the eighth notes continue on the neighbouring notes C-D-flat-B-C:

While, in measure 139, the crossing over from C to D-flat occurs right in the middle of the measure, the D-flat already leaps down to B at the second eighth in measure 143; this is supposed to model, which becomes necessary in measure 144, where the low register does not permit a simultaneous playing of the notes C-E and C-F. The half notes of the left hand in measure 144 ff. correspond to the "young" lower voice in measure 9.²⁷

Example 3.11

Schenker's graph shows that the first few measures of the coda (204-217) represent a prolongation of F_6 :

In the fundamental structure of these measures . . . the only thing that is important is the change of the movement in the

²⁷Schenker, 11-12. *Während in T. 139 der Übergang von C nach Des genau in der Mitte des Taktes vor sich geht, springt in T. 143 Des schon beim 2. Achtel zu H ab; damit sollte der Absprung vorgebildet werden, der in T. 144 nötig wird, wo die tiefe Lage ein gleichzeitiges Anschlagen der Töne C-E und C-F nicht duldet. Die Halben bei der Linken in T. 144 ff. entsprechen der "jungen" Unterstimme in T. 9.*

outer voices from an octave in measure 204 to a sixth in measure 217, which makes possible the 6/3 passages that are required for the fourth-progression to 4 in measure 226.²⁸

Thus, the interval relationship between the fundamental-line progression and the bass voice is of central importance.

Schenker divides the rest of the movement into a coda (measures 204-239) and a stretta (measures 239-262). He notes that the foreground music of measures 205 to the end of the movement necessitates the assumption of a chord progression. This is illustrated in the graph. He mentions that while measures 204 to 210 utilize the arpeggiation motive of the first theme, the second theme is once again introduced in measure 210, over the chords VI-II-V. However, while the original statement of the second theme contained two third-progressions, this version is limited to the first third-progression, followed by a repetition. Schenker notes that:

If one compares the first form of the second theme harbouring two third progressions (mm. 36-39) with its imitations in the development (mm 110 ff.) and with that in the Coda (mm. 211 ff.), one observes a steady crumbling away--concealed behind this is a game of weights demanded from the composer by the synthesis.²⁹

²⁸*Ibid.*, 12. *Im Ursatz dieser Takte . . . geht es nur darum, die zu Beginn des T. 204 eingenommene 8-Stellung des Außensatzes in eine 6-Stellung, T. 217, zu verändern, die die für den Quartzug zur 4 T. 226 erforderlichen 6/3-Durchgänge ermöglicht.*

²⁹*Ibid.*, 12. *Vergleicht man mit der ersten, zwei Terzzüge beherbergenden Gestalt des zweiten Gedankens (T. 36-39) deren Nachbildungen in der Durchführung (T. 110 ff.) und in der Coda (T. 211 ff.), so bemerkt man ein stetes Abbröckeln--dahinter verbirgt sich ein dem Komponisten von der Synthese abgefordertes Gewichtspiel.*

The graph illustrates this point: in the first appearance of the second theme the notes of both third-progressions are given equal value; furthermore, the first note of each progression represents a note of the fundamental line itself (3 and 4). However, when this theme is presented in the development the first third-progression clearly has precedence, while in the coda, the second third-progression is not present at all. The "game of weights" refers to relative significance; when the motivic material is synthesized toward the end of the movement, the notes of the first third-progression have precedence over those of the latter half of this theme.

The fourth progression of measures 217 to 226 (F_6 to $B\text{-flat}_6$) is facilitated by the arpeggiations which begin in measure 218. Schenker makes several comments about register in concluding paragraphs:

The feeling for the law of obligatory registers was alive in the master when he heard, over a distance, the relation of the high $G\text{-flat}_6$ in measure 209, A_6 in measure 221 and B_6 in measure 226--the goal of the movement. Again I must ask: should such a fulfillment of laws be called virtuosity, or are not all figures here the soul of the law?³⁰

³⁰*Ibid.*, 12-13. *Das Gefühl für das Gesetz der obligaten Tonlagen war im Meister lebendig, als er die Höhen ges³ T. 209, a³ T. 221 und b³ in T. 226--das Ziel der Bewegung--über Abstände hinweg zusammenhörte. Wieder muß ich fragen: darf eine solche Gesetz-Erfüllung Virtuosität heißen? oder sind nicht hier alle Figuren die Seele des Gesetzes?*

Thus, Schenker believes that, no matter what music Beethoven wrote in the interim measures, he was aware of the fourth progression in the upper voice and wrote the notes of this progression in the obligatory register. The end of this fourth progression consists of step-wise motion from B-flat₄ in measure 222 to B-flat₆ in measure 226. From this point to the end of the coda the graph illustrates that the fundamental line progresses from 4 to 1, in spite of an overlapping of the fundamental line notes.

Schenker states that the notes of the lower voice are also placed according to the law of obligatory register:

But the fundamental notes in the lower voice are also placed, from measure 204, according to position: for how long is the F₁ saved until the B-flat₁ appears (in measure 218), how far then until C₂ in measure 220, to D-flat₂ in measure 222 and even to C₂ in measure 231! Beethoven closes the coda also with the part-motive D-flat-C in the bass. It continues in five small repetitions in measures 235-238; none of them would be conceivable without the great model in measures 222-231.³¹

As the graph shows, the lower voice in measures 222-231 ultimately moves from D-flat to C; this is the big model to which Schenker refers.

³¹*Ibid.*, 13. *Aber auch bei der Unterstimme werden die Grundtöne von T. 204 an der Lage nach abgestimmt: wie lange bleibt Contra-F ausgespart, bis Contra-B (T. 218) erscheint, wie weit dann zu C in T. 220, zu Des in T. 222 und gar erst zu C in T. 231! Auch die Coda beschließt Beethoven mit dem Teilmotiv Des-C beim Basse. Es setzt sich in fünf kleinen Nachbildungen T. 235-238 fort; sie alle aber wären nicht denkbar ohne das große Vorbild T. 222-231.*

Schenker notes that by the time we get to the stretta, the coda seems like a concert cadenza; indeed, the coda ends with a fermata over a dominant chord. He writes that the stretta presents the second theme in F minor, a key which was denied to Beethoven in the recapitulation (since this theme had to be recapitulated in a major key). Furthermore, the second third-progression of the second theme which was omitted in the recapitulation occurs in the stretta:

The realization first joins that of the coda (measure 211 ff.)--using only the first third-progression--but finally measures 244-245 reproduce measures 37-39 and thus produce also the second third-progression (B-flat-A-flat-G), including the part-motive, D-flat-C in the tonic, therefore fulfilling the ending of the second theme, withheld for so long!³²

The two third-progressions are shown in Schenker's Figure 9 (Example 3.12). The notes within the brackets are not actually present in the music. Figure 1 illustrates that the notes of the

Example 3.12

Fig. 9

F minor: I — \flat^3 — IV — V I — \flat^3 — IV etc.

³²*Ibid.*, 13. Die Ausführung knüpft zunächst an die der Coda (T. 211 ff.) an--Verwendung nur des ersten Terzzuges--, schließlich aber bilden die T. 244-245 die T. 37-39 nach und gewinnen so auch den zweiten Terzzug (b-as-g) einschließlich des Teilmotivs des-c in der Haupttonart, in einem also auch die Erfüllung des dem zweiten Gedanken so lange vorenthaltenen Schlusses!

third-progressions occur not in the top voice, but in an inner voice. Schenker writes that the 3 and 2 reach a resolution in measure 249, under the C₅. Finally, Schenker writes:

The movement closes with the fifth interval, with which it began, yes, even in the same register as the first fundamental-line motive (measure 3).³³

Before Carpenter begins her discussion of the recapitulation, she provides a summary of the analogies of tonal function in the movement:

First the semitonal motif x was interpreted as flat-6-5 or 4-3, yielding F-flat in the mediant and G-flat in the subdominant. Next G-flat/F, acquired in the subdominant minor, functions as flat-2-1 in the tonic and extends to B-double-flat/A-flat in the mediant. Finally, the function of D-flat/C as 4-3 extends to G-flat/F in the flat submediant and B-double-flat/A-flat in F-flat, flat submediant of the mediant. All these relations can sustain a major/minor interchange.³⁴

A series of examples illustrate these analogies of tonal function (Example 3.13). Carpenter notes that instability in the piece is introduced by the move to the subdominant, first expressed as flat II (the Neapolitan) "in the initial phrase with no indication of its relationship in the tonality." The modulation appears to be coherent because of the formal juxtaposition of tonic and dominant forms of the theme. Balance is restored by demonstrating how the move was

³³*Ibid.*, 13. *Der Satz schließt mit dem Quintintervall, mit dem er begonnen, ja sogar in der gleichen Höhe des ersten Urlinie=Motivs (T. 3).*

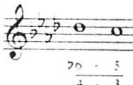
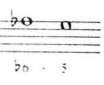
³⁴Carpenter, 33-35.

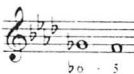
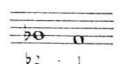
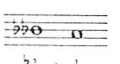
coherent, a demonstration that will be supported by further motivic and tonal analogies:

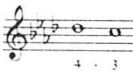
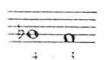

As you have seen, all these relationships were laid out in the mediant. The recapitulation of the contrasting section in the tonic minor/major shows us all those connections in the tonic. I will present two examples of how these motivic/harmonic analogies are unraveled in other parts of the recapitulation.³⁵

Example 3.13³⁶

Example 7. Analogies of tonal function

If in tonic  then in mediant: 

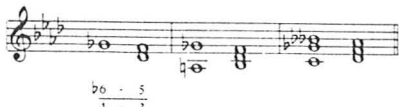
If in subdominant  then in tonic:  and in mediant: 

And further, if in mediant  then in flat submediant  and the mediant's flat submediant: 

All with major/minor interchange

But how is the subdominant achieved?

At the first fifth counterclockwise.



reached through the mediant as subdominant of the flat submediant.

³⁵*Ibid.*, 35.

³⁶Carpenter, 34.

Imbalance, according to Carpenter, is created by pushing the elements of the *Grundgestalt* to their limits, resulting in the lowered fourth degree (B-double-flat) and the lowered first degree (F-flat minor). Carpenter concludes her paper by showing how balance is restored by two analogies of tonal function in the recapitulation.

The first analogy, flat-6 and flat-2, produces the lowered fourth degree, B-double-flat. As Example 3.13 demonstrates, D-flat-C, the original semitone motive, represents flat-6-5 in the tonic. The flat-6-5 function, transposed, becomes F-flat-E-flat in the mediant, and G-flat-F in the subdominant, the source of the Neapolitan. G-flat-F functions as flat-2-1 in the tonic; flat-2-1 in the mediant is represented by B-double-flat-A-flat.

This analogy, Carpenter reminds us, is first introduced in the bridge passage of the exposition, where the mediant major is established through its own minor, borrowing the flat-6-5 from the minor mode:

Example 3.14³⁷

Example 8. The lowered fourth degree

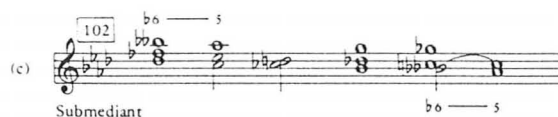
(1) 30 b o — 5 Reduced in closing theme to:

Mediant b o — 5

The bridge theme occurs again between sections one and two of the development, in measures 100-105:

³⁷*Ibid.*, 36.

Example 3.15³⁸



Here it carries out a modulation to D-flat using the same means: B-double-flat, appearing once again as flat-6 of the submediant, is borrowed from the minor submediant, and thus D-flat is approached through its own tonic minor. Furthermore, the bridge is recapitulated in the tonic, using the same means to establish the tonic major; this time D-flat, flat-6 in the tonic, is borrowed from the minor mode. As Carpenter notes, "This affirms the analogy between D-flat and F-flat as flat-6."³⁹

Carpenter then explains:

We have been acquainted with B-double-flat as flat-2 of A-flat, the mediant. By using the bridge passage as a link in D-flat, Beethoven connects the two functions of the semitonal motive, flat-6-5 and flat-2-1, through the flat submediant region, D-flat major/minor. He takes time here to restate what he had just shown us in a flash in the dominant preparation of this passage [Example 3.6]. Further, we see A-flat in its new role as dominant of the flat submediant, D-flat.⁴⁰

The second analogy of tonal function is flat-2-1 and 4-3. Carpenter describes the role of F-flat minor, the lowered first degree in the recapitulation; when the second contrasting theme is recapitulated, "the tonic elaborates D-flat major."⁴¹ Thus, the

³⁸*Ibid.*, 36.

³⁹*Ibid.*, 35.

⁴⁰*Ibid.*, 35.

⁴¹*Ibid.*, 35.

Example 3.16

The musical score for Example 3.16 is presented in five systems, each with a treble and bass staff. The key signature is three flats (B-flat, E-flat, A-flat) and the time signature is 4/4. The piece features a variety of dynamics and articulations:

- System 1:** The treble staff contains a complex melodic line with many slurs and fingerings (4, 5, 4, 5, 4, 4, 5, 2, 1). The bass staff has a simple accompaniment with dynamics *sfz* and *p diminuendo*. A circled measure number 205 is located at the end of the system.
- System 2:** The treble staff continues the melodic line. The bass staff has a dynamic marking of *pp* and includes a first ending bracket labeled '1)'.
- System 3:** The treble staff continues with slurs and fingerings (4, 3, 2, 1, 5). The bass staff has a dynamic marking of *cresc.* and includes fingerings (5, 4, 3, 2, 1, 4, 3, 2).
- System 4:** The treble staff continues with slurs and fingerings (4, 4, 3, 2, 4, 3, 4). The bass staff has a dynamic marking of *p* and includes fingerings (4, 3, 2, 1, 4, 3, 2).

analogy between F-flat and D-flat as flat submediants is affirmed.

Furthermore:

The recapitulation closes in the tonic with the descending F minor arpeggio, returning to the original low register of the opening theme (m. 204) [Example 3.16]. At this point in the exposition the link to the development provides a major/minor interchange, carrying the harmonic motion to F-flat minor. At the same point in the recapitulation (m. 205) a coda follows, using the same harmonic procedure that served as model at the beginning of the development. The formal analogy between D-flat major and F-flat major set up by the place they occupy in the course of events, makes manifest the analogy of tonal function.⁴²

In other words, in the coda, as in the link to the development, an ascending semitonal function is applied to the common third between the tonic and its flat submediant (F/A-flat) in order to achieve D-flat major (m. 210).

Carpenter then notes that the coda reveals the most surprising analogy in the movement: since F is the Neapolitan of F-flat major, F is analogous to G-flat, as flat-2. She explains that the passage also brings into focus all the relationships presented in the movement. Firstly, in the first model of the development (example 3.6) "F is approached as flat-2 and left as 4-flat-3; here in the recapitulation the same transformation of function occurs on G-flat (m. 206), but without the major/minor interchange, defining A-flat as a dominant."⁴³ Carpenter notes that this demonstrates that

⁴²*Ibid.*, 35.

⁴³*Ibid.*, 35.

crucial double function of A-flat; it is both tonic mediant and dominant of the flat submediant. Furthermore:

because the original semitonal motive G-flat-F can be interpreted as 4-3, by analogy B-double-flat/A-flat as 4-3 achieves f-flat, as flat submediant of the mediant. This passage in the coda, analogous to the farthest limit reached in the development, is assimilated into the tonic as flat submediant by means of an elegant turn based on the condensation of transformations of II, turning the motion to the dominant in preparation for the close.⁴⁴

Finally, Carpenter explains that in the Piu Allegro, the G-flat takes its place at last in the dominant ninth of the subdominant (mm. 244-247), which was its original source.

Example 3.17

The image shows two systems of musical notation for piano accompaniment. The first system has a circled measure number '245' above the right-hand staff. The notation includes various ornaments, fingerings (1-5), and dynamics such as *sf*. The second system continues the piece with similar notation and dynamics.

In summarizing the web of tonal analogies in the movement, Carpenter questions why--or how--the initial move to the subdominant is made:

⁴⁴*Ibid.*, 35.

The answer seems to be: because of, by means of, all the tonal functions brought into focus by the flat submediant, D-flat major/minor. By the relative major/minor relation it locates the subdominant minor, B-flat, the source of the flat-2, G-flat. As subdominant of the mediant A-flat, it provides the analogous flat-2 (B-double-flat) and the function 4-3 or 4-flat-3 which, applied to the B-double-flat, carries the motion to F-flat major/minor. And balance is restored when all these relationships click into place at the end of the movement.⁴⁵

Thus, Carpenter's insightful analysis demonstrates that the *Grundgestalt* functions as motive, theme, and structural design in order to make manifest the tonality of the piece. Again, we see that while Schenker perceives that unity throughout the movement is governed by the fundamental line, and therefore provides a monotonal analysis of the interaction between harmony and voice-leading, Carpenter demonstrates that the movement is unified by an intricate web of analogous relations which all originate from the *Grundgestalt*.

⁴⁵*Ibid.*, 38.

CHAPTER FOUR

Conclusions

The preceding discussion of the two analyses of Beethoven's *Appassionata* Sonata reveals some important differences between the Schenkerian and Schoenbergian methods with respect to both tonality and motivic content. First, Schenker is a monotonalist; the *Ursatz*, a composition's most basic contrapuntal model, is a result of the composing-out of the tonic triad. Thus, a piece is unified because it is an expression of one tonality; the connections between and among keys are as a result attributed to voice-leading.

Conversely, Schoenberg views tonality as a network of tonal regions in which keys are classified according to their relationship to the tonic:

If . . . we wish to investigate what the relation of tones to each other really is, the first question that arises is: what makes it possible that a second tone should follow a first, a beginning tone? How is this logically possible. . . .

My answer is that such a juxtaposition of tones, if a connection is to be brought about from which a piece of music may be the result, is only possible because a relation already exist between the tones themselves.¹

Imbalance is created in a composition when pitches outside the realm of the tonic are introduced; balance is restored when these foreign pitches are assimilated into the tonic key:

¹Schoenberg, *Style and Idea*, 270.

Schoenberg apparently saw organization by tonal hierarchy as an attempt to stave off an ultimate state of disintegration. The centripetal function of a progression is exerted by stopping the centrifugal tendencies, that is, a tonality is established through the conquest of its contradictory elements.²

Thus, coherence is achieved when the function, in relation to the tonic, of each tonal element in the piece is demonstrated. It is Schoenberg's definition of tonal classifications that eventually makes possible his atonal and later twelve tone theories, since he views the tonality of a composition not as an expression of one key, but as a series of relationships between tones. In contrast, Schenker's contrapuntal approach ultimately limits his theory to tonal music. While Schenker demonstrates how connections are made from one tonal area to another through counterpoint, Schoenberg's is a more harmonic approach; he demonstrates how the various tonal areas are connected by their relationship to the tonic.

Second, although both Schenker and Schoenberg share the concept that foreground events are generated by an underlying basic shape, they disagree as to how coherence is achieved through this background shape. Schenker believes that all motivic material (in a great composition) is generated by the the fundamental line: "The new type of repetition is recognizable, above all, by its derivation of tonal successions from the simplest element."³ Recall that:

The genius alone wanders on these ways; only the genius knows how to gain freedom from constraint and spurns the cheap

²Carpenter, 17.

³Schenker, *Free Composition*, 99.

freedoms of a programme music or a musical drama, where the transformations of motive orientate themselves to a non-musical caption.⁴

Schenker echoes these words in a similar passage from *Free Composition*:

In these concealed repetitions lie the seed and flowering of German creative genius. Therefore, the technique of "motive" repetition in the German music-drama, in program music, and in the sonata forms of the lesser talents signifies retrogression to the earlier stage, and thus a decline.⁵

Schenker maintains that, in great music, the voice-leading of the fundamental structure undergoes transformations, such as diminution and retardation, which generate the lower structural levels. It is therefore the voice-leading of the *Ursatz* that is the source of coherence in a composition.

For Schoenberg, unity results from the fact that the motivic material in a composition, in addition to the tonality and design structure, is generated by the *Grundgestalt*, or basic shape. The composition's basic shape is manifested through 'developing variations', a concept which is much freer than Schenker's systematic 'transformations' from one level to another. While theorists have often assumed that developing variation refers only to motivic content, Carpenter has demonstrated that the basic shape

⁴Schenker, "*Beethoven: Sonate opus 57*," 8. *Auf solchen Wegen wandelt nur das Genie; das Genie allein weiß Freiheit aus dem Zwange zu gewinnen und verschmächt die billigen Freiheiten einer Programmusik oder eines Musikdramas, wo die Motivverwandlungen sich meist nur nach einem außermusikalischen Stichwort richten.*

⁵Schenker, *Free Composition*, 99.

actually embodies much more; the original *Grundgestalt* may be varied with respect to rhythm, duration, specific pitch, or tonal function.

Leonard B. Meyer outlines the difference between transformation and developing variation with regard to motive as follows:

Motivic unity has been interpreted in two different ways: synchronically, as a relationship of similarity without regard to temporal ordering; and diachronically, as a process of successive development or change over time. The difference between synchronic and diachronic motivic relationships is the basis for Vincent d'Indy's distinction between thematic metamorphosis and organic development. . . .

In thematic transformation, the various versions of a motive, though necessarily successive in practice, are regarded as members of a temporally unordered class--a synchronic set. . . .

The diachronic interpretation considers that motivic unity involves a process of change and variation.⁶

Meyer explains that a common example of the process of diachronic variation is a piece which begins "with a more or less inchoate pattern," or, in other words, a pattern which is stylistically incomplete and psychologically unsatisfying for the listener. To illustrate, he cites an example from a narrative analysis of a well-known work:

⁶Leonard B. Meyer, "A Pride of Prejudices; Or, Delight in Diversity," *Music Theory Spectrum* 13, no. 2 (Fall, 1991), 241-251, 244-245.

The exemplary instance of this strategy is surely the opening of Beethoven's symphony No., 9. Its nature has been described by John N. Burk:

Themes which are gradually unfolded from mysterious murmurings in the orchestra . . . all date back to the opening measures of the Ninth Symphony, where Beethoven conceived the idea of building a music of indeterminate open fifths on the dominant, and accumulating a great crescendo of suspense until the theme itself is revealed in the pregnant key of D minor, proclaimed fortissimo by the whole orchestra in unison.⁷

In the *Appassionata* the inchoate aspect of the piece is the unexplained move to the Neapolitan; the coherence of this unprepared modulation only becomes clear through a series of tonal developments which span the first movement.

It would seem, then, that in spite of the apparent similarity between Schenker's concept of hidden repetitions and Schoenberg's principle of developing variation, these two systems are not the same; Schenker's hidden repetitions involve synchronic transformations, while Schoenberg's variations require a diachronic sequence of events. Furthermore, Schenker's theory provides stricter guidelines as to the source of motivic parallelisms: the *Ursatz* is the only possible source.

However, in an interesting article entitled "Autonomy of Motives in Schenkerian Accounts of Tonal Music," Richard Cohn points out inconsistencies between Schenker's theories and the actual analytical practices of Schenker and his successors. Cohn

⁷*Ibid.*, 245.

states a number of propositions which emerge from Schenker's theories, the third of which asserts that "the *Ursatz* is the source of all entities, including motivic entities."⁸ In light of this proposition, Cohn poses several questions:

If an entity depends for its status on its mode of derivation, then does the mode of derivation become part of the description of the entity? Does it become a defining property of the entity? Does the entity depend on its mode of derivation for its identity? Or alternatively: Can the entity shed its mode of derivation, break free of its traces, take on an identity according to some other properties which may indeed be incidental with respect to its mode of derivation?⁹

An examination of evidence from *Free Composition* leads Cohn to conclude:

The implication is that an ordered list of an entity's components (whether these be pitch classes, pitches, or intervals) is not sufficient to establish its identity. Maintaining contact would seem to require that identity depends at least on a partial account of origins, which in practical terms requires a structural description indicating the status of the components in relation to each other. . . .

Accordingly, assertions of similarity between two entities would need to pass their own type of *Satzprobe*. If the entities share surface characteristics but have different structural descriptions . . . the hypothesized relationship would fail the test and be dismissed.¹⁰

Thus, in order to be considered what Burkhart refers to as a 'motivic parallelism,' pattern and copy must share the same underlying

⁸Richard Cohn, "The Autonomy of Motives in Schenkerian Accounts of Tonal Music," 155.

⁹*Ibid.*, 159.

¹⁰*Ibid.*, 159.

structure. Strictly followed, the theory suggests that "the only admissible motivic relationships are those that reflect a relationship of nesting."¹¹

If we look closely at Schenker's analysis of the *Appassionata* Sonata, it becomes evident, as Cohn suggests, that Schenker does not always follow the strict criteria which he later outlines in *Free Composition*. Firstly, not all motivic entities are derived from the motivic content of the fundamental line: Schenker identifies two motives in the first idea of the first theme--the arpeggiation of measures 1-2 and the diminution of the fundamental line motive, C-D-C, in measures 3-4. While the derivation of the second motive is clear, no model for the first motive is found in the fundamental line. Rather, the arpeggiation is simply an expression of the opening tonic chord.

Furthermore, Schenker refers a number of times throughout his paper to the concept of 'seed and harvest.' However, 'seed' does not always refer to the *Ursatz*. In describing the diminution of the fundamental-line motive in measures 3-4, Schenker writes:

With the prevailing expression of an anticipation a third-progression occurs at the end of the trill, a first seed of the falling third-progressions in the fundamental-line motive of the second and closing themes.¹²

¹¹*Ibid.*, 168. Nesting occurs when pattern and copy lie one within the other; the two statements are found on different levels

¹²Schenker, "Beethoven: *Sonate* opus 57," 5. *Bei vorwaltendem Ausdruck einer Vorausnahme tritt so am Ende des Trillers auch ein Terzzug vor, eine erste Aussaat der fallenden Terzzüge der Urlinie im zweiten und dritten Gedanken.*

Thus, the pattern occurs first in the *foreground*, and the copy is 'harvested' in the fundamental line of the second and closing themes. In addition, this third-progression does not have the same structural description as its fundamental-line counterpart. The E-natural-D of measure 3 are decorations of the main note, C; thus, it is not really a progression, as are the third-progressions of the second and closing themes. This type of "seed" and "harvest" is more commonly known as linkage technique; it is notably similar to Schoenberg's *Grundgestalt* concept.

These discrepancies suggest that something more than 'transformation' is occurring between levels in Schenker's analysis. Schenker refers to the "seed" in measures 3-4 again in his discussion of the second theme:

Without the taut form of the second linear third-progression in the first idea, Beethoven could never have hit upon the new form in the second idea, without the original versions of measures 3-4 and measures 7-8, even though he could have built for example the third fundamental-line motive in the first idea of the first theme, so freely and far-reaching. ¹³

Thus, without the miniature third-progressions and the first examples of the part-motive, D-flat-C, of measures 3-4 and 7-8, further developments would not be possible. This is not a

¹³*Ibid.*, 8. *Ohne die straffe Form des zweiten Terzzuges im Vordersatz hätte Beethoven niemals auf die neue Gestalt im Nachsatz verfallen können, so wenig er auch zum Beispiel im Vordersatz des ersten Gedankens das dritte Urlinie-Motiv so frei und weitzülig hätte bauen können, ohne die Vorbildenden Fassungen T. 3-4 und T. 7-8.*

description of a synchronic set of relationships, but of a diachronic process: developing variation of foreground material, instead of transformation from higher to lower levels. Therefore, Schenker's motivic analysis, although not as comprehensive as Carpenter's, does employ the principles of developing variation; the voice-leading of the fundamental structure is the primary source of unity, but motives are often treated as autonomous entities which are changed and developed as the piece progresses.

The examination of both a Schenkerian and Schoenbergian analysis of the same composition sheds new light on the points of contention highlighted in the papers by Simms, Dahlhaus and Phipps, discussed in Chapter One. Simms refers to a disagreement over the use of repetition; however, as Dunsby points out, "Schoenberg did not agree with Schenker's strict contextual definition of the motive, but the similarity of their starting points is clear from the comment of Schoenberg that a 'motive appears constantly throughout a piece: *it is repeated*.'"¹⁴ Furthermore, it has been demonstrated that Schenker did not always follow his own strict definition of the motive. Thus, there is a distinct similarity between Schoenberg's concept of developing variation and Schenker's notion of hidden repetitions.

Dahlhaus points to the fact that Schenker and Schoenberg disagree on the classification of dissonant tones, concluding that

¹⁴Jonathan M. Dunsby, "Schoenberg and the Writings of Schenker," 28.

"Schenker, for whom the nature of a matter is comprehended in its origin, seeks the law concealed behind the manifestation.

Schoenberg on the other hand, aspiring more to ends than to origins, follows the consequences that emerge from a musical idea."¹⁵

However, Schenker's analysis of the *Appassionata* Sonata demonstrates that revealing higher architectural levels is a means to gaining a better understanding of the music's surface.

Furthermore, Schenker's writings in *Free Composition* indicate that revealing the background is not the final purpose of the analysis:

The concept of the fundamental structure by no means claims to provide specific information about the chronology of creation; it presents only the *strictly logical precision in the relationship* between simple tone-successions and more complex ones. Indeed, it shows this precision of relationship not only from the simple to the more complex, but also in reverse, from the complex to the simple. . . .

Creation may have its origin anywhere, in any suitable voice-leading level or tone-succession; the seed, by the grace of God, remains inaccessible even to metaphysics.¹⁶

Thus, Schenker is not preoccupied with origins, as Dahlhaus suggests, but in the relationship between higher and lower architectural levels, between the simple and complex aspects of a composition--a relationship which he believes is the source of musical coherence in the piece. Recall Burkhart's assertion in "Schenker's 'Motivic Parallelisms:'"

¹⁵Carl Dahlhaus, "Schoenberg and Schenker," 210.

¹⁶Schenker, *Free Composition*, 18.

The *Ursatz* is the beginning, not the end. . . . The end is . . . the view from the background *toward* the foreground. . . . In short, the end is synthesis.¹⁷

Finally, let us reconsider the question with which Phipps begins his article: "Is the surface of a given musical composition generated by certain primordial forces which exist only at higher architectural levels, or is the architecture generated by the surface?"¹⁸ Phipps suggests that the first case is representative of Schenker's theories, while the second can be attributed to Schoenberg's philosophies. It has been demonstrated that the background, middleground and foreground levels of a composition are involved in a partnership; as Schenker's analysis of the *Appassionata* demonstrates, sometimes the seed is planted in the foreground and harvested in the background. Therefore, one must be continually aware of both the higher and lower architectural levels in order to understand the composition. Furthermore, Phipps points to the fact that Schenker's *Klang* is constant, while Schoenberg's *Grundgestalt* is always original. It is true that Schenker's fundamental structures have few variants, since the principles of voice-leading, through which Schenker finds unity, remain constant:

The principles of *voice-leading*, organically anchored, remain the same in background, middleground, and foreground, even when they undergo transformations. In them the motto of my

¹⁷Burkhart, 173.

¹⁸Phipps, "A Response to Schenker's Analysis of Chopin's Etude, Opus 10, No. 12, Using Schoenberg's *Grundgestalt* Concept," 543.

work is embodied, *semper idem sed non eodem modo* ("always the same, but not in the same way").¹⁹

However, once again, the fundamental structure is only a means of gaining understanding of a composition through discovering its musical coherence. The foreground is, of course, always original.

In spite of some obvious differences between the two theories, Schenker's and Schoenberg's analytical methods do not represent, as Phipps suggests, "diametrically opposed perceptions of musical macrostructure."²⁰ In fact, the two theories are similar in important ways. Both share an organic perspective; they both strive to demonstrate the unity in a musical composition. Furthermore, both seek to discover an underlying seed or basic shape, which is responsible for the piece's coherence. Although Schenker tends to view a composition as an expression of one tonality, while Schoenberg sees a piece as a complex network of tonal relations, both theorists find coherence by relating the foreground events to the tonality of the work.

In addition to the similarities between the theories, the two methods of analysis are also complementary. In "A Pride of Prejudices; Or, Delight in Diversity," Meyer notes that the constraints governing the nature of the succession of variants in the theory of developing variation are somewhat vague:

Change from the inchoate to the well-formed cannot only be experienced, but the nature of the change can be

¹⁹Schenker, *Free Composition*, 5-6.

²⁰Phipps, 543.

comprehended and explained. Once the well-formed motive or theme is presented, however, the nature of the subsequent developments and transformations is evidently more difficult to account for. The problem concerns the principles that govern the process of development and variation.²¹

Thus, there seem to be no constraints or limits governing the principle of developing variation. Levarie and Levy explain that:

Any form, in music or elsewhere, is the product of two basic forces: one generating, and the other limiting. The interplay of both forces is essential. Growth without limitation leads to a kind of universal cancer, an annihilation of form, whereas limitation without a generative counterforce remains an empty concept, a denial of matter. Neither process alone is capable of yielding a morphology.²²

Creativity requires limitation; Schenker's fundamental structure can provide the accompanying underlying organization to Schoenberg's developing variations. Although the concept of developing variation accounts for the presentation of many different variations of the original basic shape, the voice-leading of the fundamental structure shows the way in which the various expressions of the basic shape are linked together.

David Epstein recognized this possibility when he wrote, in his review of Schenker's *Free Composition*, that certain Schoenbergian analyses "require Schenker's technique of musical graphing to demonstrate the presence and the guiding, form-giving force of

²¹Meyer, 245.

²²Siegmund Levarie and Ernst Levy, *Musical Morphology: A Discourse and a Dictionary*, (Kent, Ohio: Kent State University Press, 1983), 11.

these Schoenbergian shapes."²³ Conversely, Schoenberg's *Grundgestalt* concept can account for aspects of Schenker's theory which are somewhat vague:

There remain other questions to be asked about tonal music--ones that Schenker does not ask. To conceive them may require perspectives different from Schenker's, though the answers may well integrate his ideas, as it is unlikely that any set of musical truths will be mutually contradictory.

It should be asked, for example, why the foreground configurations of a work are as they are--why, in other words, the surface of a work assumes its particular form, inclusive of all details of melodic shape, harmonic progression in the small, dynamics, articulations, etc. Schenker seems of two minds about this: he sees these details as projections of prior levels, but he also accepts them somewhat as "givens," their source one of the unfathomables of the creative process. . . .

Arnold Schoenberg's concept of a *Grundgestalt* (basic shape) as the progenitor of all shapes within a work is a highly specific theory that provides specific answers to these questions.²⁴

Thus, while Schenker's method shows how the various tonal areas act as expansions and prolongations of the underlying *Ursatz*, the Schoenbergian method demonstrates that the same tonal areas are generated from and controlled by an initial basic shape.

If we think of Schoenberg's theory as gignetic, or growing, and Schenker's as ontic, or limiting, "the changing, gignetic aspect is thus tied to its opposite, the ontic aspect, without which it makes no sense."²⁵ Furthermore, the fact that Schoenberg's theory has a

²³David Epstein, "On Schenker's Free Composition," *Journal of Music Theory* XXV (1981), 143-153, 151.

²⁴*Ibid.*, 149.

²⁵*Ibid.*, 3.

primarily harmonic focus, while Schenker's concentration is on the contrapuntal aspects of the music also makes the two theories complementary; as the background of the first section of the development demonstrates, harmony and counterpoint are both key elements in creating unity in a work.

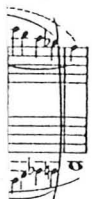
If the purpose of analysis is to discover musical truths which explain how a listener experiences a composition as a unified whole, then, as Epstein notes, "it is unlikely that any set of musical truths will be mutually contradictory." It is also unlikely that any one analytical perspective will explain every significant aspect of a work:

The musical reality and the analytical model must ever stand both in contradiction and symbiotic relation. It is an uneasy but unavoidable coexistence, its causes lying in the physical and psychological impossibility of viewing simultaneously and with equal attention multiple and differing phenomena.²⁶

Ultimately, Schoenberg's *Grundgestalt* theory is more expansive; unlike Schenkerian analysis, its applicability is not restricted to tonal music. However, if the obvious similarities and mutually complementary features of Schenker's and Schoenberg's theories were used in conjunction with one another instead of in opposition to one another, the result would be a more complete and well-balanced understanding of musical phenomena.

²⁶David Epstein, *Beyond Orpheus* (Cambridge, Massachusetts: The MIT Press, 1979), 6.

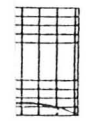
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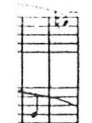
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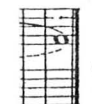
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