MOTIVIC DESIGN AND TONAL STRUCTURE IN THE MAZURKAS OF FREDERIC CHOPIN, AS ILLUSTRATED IN GRAPHIC ANALYSES BASED ON THE THEORETICAL CONCEPTS OF HEINRICH SCHENKER

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MAY 1989

PROMOTOR: PROF. DAVID NEUMEYER (BLOOMINGTON INDIANA USA)

CO-PROMOTOR: PROF. JAPIE HUMAN (BLOEMFONTEIN)

DEDICATED WITH ALL MY LOVE TO MY WIFE MARTINA

DECLARATION

"I HEREBY DECLARE THAT THE DISSERTATION SUBMITTED BY ME FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (MUSICOLOGY) AT THE UNIVERSITY OF THE ORANGE FREE STATE IS MY INDEPENDENT WORK NOT PREVIOUSLY SUBMITTED BY ME FOR A DEGREE AT ANOTHER UNIVERSITY/FACULTY"

N. G. J. Viljoen

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PREFACE

Relatively little research has been done so far on Frederic Chopin's mazurkas. This is surprising, since these artistic stylisations of the mazurka genre not only count among the finest compositions in Chopin's oeuvre, but constitute some of the most significant examples of nineteenth century miniatures or "character pieces" for solo piano. Apart from a small number of English language writings on the mazurkas, as well as references or articles in music dictionaries, lexicons and general publications on Chopin, sources include those forming part of the **Chopin Congress** (Warsaw 1960), held in commemoration of the 150th anniversary of Chopin's birth. A most important Polish publication on the mazurkas--and the only one of its kind to date--is a book on Chopin's mazurkas by Janusz Miketta entitled **Mazurki Chopina** (published in 1949). Existing analyses of mazurkas--with the possible exclusion of those done by Leichtentritt--are either of a purely descriptive nature, or done with the object of identifying certain style tendencies or characteristics, or in order to establish the nature and application of folkloric elements. With the exception of a few isolated instances, no in-depth analyses of the mazurkas or selections thereof have as yet been undertaken, especially in terms of any particular area of investigation.

The purpose of this dissertation is to present a detailed account of the nature of motivic design and tonal structure in Chopin's mazurkas and to examine how these factors contribute to the high degree of tonal-organic unity and coherence achieved in

these compositions. Particularly the coordinated interaction of harmony, counterpoint and motivic design will be emphasised. In addition, consideration will be given to the influences of chromaticism and specific folkloric devices--notably, modal elements and the drone bass--on motivic design and tonal structure. These findings are presented by way of graphic analytic illustrations based on the analytic method devised by the Austrian pianist and music theorist Heinrich Schenker (1867-1935).

Schenkerian analysis "has become one of the most influential tools for analytic interpretation and critical assessment of music in this century". (1) It is a sophisticated analysis method designed for traditional European music, that is, music based on major/minor triadic tonality and its principal dimensions, namely those of harmony and counterpoint or voice leading.

Schenker's principal idea of hierarchically ordered levels of voice-leading structure resulting from successive stages of voice-leading elaboration (composing-out) on a basic underlying harmonic/contrapuntal framework or fundamental structural model ("Ursatz"), has several significant implications for analytic interpretation. Firstly, the content of the Ursatz points to the equal participation and interaction of harmony and voice leading in the compositional process, which suggests a more effective and accurate interpretation of these elements. Secondly, through the concept of structural levels the function and meaning of tonal events can be assessed more accurately than before, since they are no longer interpreted purely on grounds of the immediate

context, but in terms of their position within the overall tonal hierarchy of a composition. Thirdly, the identification of organic levels of structure creates the possibility for all voice-leading events in a composition to be organically connected or related to one another and thus for each note to be effectively accounted for in the analytic interpretation. Fourthly, the identification of harmony and voice leading on different levels of structure in turn promotes the similar identification of specific harmonic progressions and voice-leading configurations. This idea forms the basis for the present investigation into motivic design and tonal structure in the mazurkas.

At this point it must be noted that the designation "tonal structure" is understood here in a Schenkerian sense as essentially synonymous with harmonic/voice-leading structure rather than in the traditional sense of tonal design. However, the terms "tonal structure" and "harmonic/voice-leading" or "harmonic/contrapuntal structure" will be used alternatively throughout the dissertation, because, although essentially they mean the same thing, there is nevertheless a difference in emphasis expressed in them which should be recognised by the reader; that is, tonal structure refers to the overall result concerning harmonic and voice-leading activity and interaction in a composition, while harmonic/voice-leading or /contrapuntal structure points to tonal structure as the combination of harmonic and voice-leading activity.

A general introduction to Chopin and the mazurka comprises a historic overview of the mazurka as a genre, a chronological

listing of all the mazurkas of Chopin, and an assessment of his contribution to the mazurka. The latter will also include a critical assessment of arguments put forth by certain scholars, particularly on the nature of harmony and tonality, and the interpretation of some melodic and formal aspects in the mazurkas.

Part One of the dissertation consists of a justification and detailed explanation of Schenker's method of analysis. In addition, information concerning Schenker's own writings on music and an overview of the most important literature on Schenker is provided. This would seem to be justified here, especially in view of the fact that Schenkerian analysis is at present still relatively unknown and not yet actively practised in this country. Also, the reader needs to be conversant with the various analytic techniques and devices of the method in order to follow the arguments propounded on motivic design and tonal structure, to facilitate interpretation of the accompanying graphic analyses of mazurkas. The final chapter of Part One is a comprehensive model analysis of the mazurka Op. 33, no. 2, with the object of rendering a complete set of analytic graphs for it, and thus to present the whole apparatus of Schenkerian analysis within a single composition. Except for a few abstract examples of specific concepts and techniques, all other analytic illustrations during Part One also come from the mazurkas.

The heart of the dissertation is Part Two. Here, issues of motivic design and tonal structure in the mazurkas are investigated, each in a separate chapter. These are: 1) motivic design as a unifying factor; 2) the influence of motivic design

on tonal structure; 3) the influence of motivic design and tonal structure on form; 4) the influences of chromaticism and specific modal devices on motivic design and tonal structure (one chapter each); and 5) the implications of the drone bass for tonal structure.

Part Three includes two summarising and concluding chapters.

Finally, the selection of the seventeen mazurkas analysed in this dissertation is done primarily on the grounds of their suitability for the various areas of investigation in Part Two, and does not necessarily suggest that as a group they are adequate representations of Chopin's compositional development or stylistic evolution within the mazurkas. Emphasis is not primarily on matters of style (except for those instances already indicated, in which influences of chromaticism and folkloric elements on harmonic, voice-leading and motivic content are evident), and no particular preference is given to mazurkas of a specific period or opus number, although earlier and middle-period mazurkas are used most frequently.

NOTE

1. Felix-Eberhard Von Cube, **The Book of the Musical Artwork**, translated by David Neumeyer, George R. Boyd and Scott Harris (Lewiston / Queenston: Edwin Mellen Press, 1988), v.

GENERAL INTRODUCTION TO CHOPIN AND THE MAZURKAS

SECTION I

THE MAZURKA AS A GENRE: ITS ORIGINS AND CHARACTERISTICS

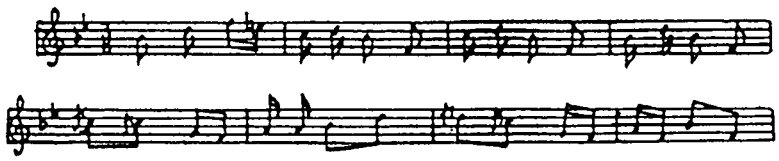
The Mazurka is a Polish country dance which originated in Mazovia and has existed since the time that Warsaw succeeded Krakow as the capital of Poland in 1596. (1) During the seventeenth century it spread from Poland to neighbouring countries, as well as Germany and France; it reached England in the early nineteenth century, and from there the USA. After the partition of Poland in 1795, the Mazurka also reached the Russian aristocracy and peasantry. (2)

The common title **Mazurka** includes three dances: the **Mazur**, **Oberek** and **Kujawiak**, which differ in tempo, rhythm and character. (3) These regional variations all stem from the archaic **Polska** and are all in triple meter with strong accents on the second or third beats of the bar. According to Halski and Brown, the folk mazurka consists of two or four sections, each containing a number of six or eight bar phrases, which are repeated. (4) Repetition as such is also common in many guises, such as sequences, rhythmic ostinati and pedal points, the latter produced by a drone bass on a single note or on an open fifth. (5) This developed from the use of the **Duda**, (6) a kind of bagpipe used for accompaniment, which produced either one drone (the tonic) or two (tonic and dominant).

The melodic structure of the Mazurka is based on such schemes

as AABB, AABC, AAAB, or ABBB. Besides characteristic rhythms, another typical feature is the use of modality, notably the F mode with its raised fourth degree, the first six notes of which were known as the so-called "Polish mode", illustrated in Example 0.1. (7)

Example 0.1. Mazurka Melody in F Mode



Among other influences are Hungarian (the augmented second used melodically in the mazurkas), while the proximity of areas under Turkish occupation may have caused the oriental influences found in some mazurkas. (8)

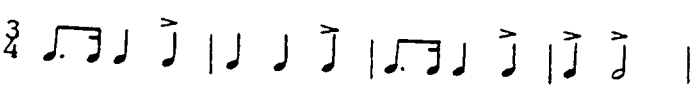
It is interesting to note that the point of origin for the development of the three types of mazurkas was a cycle consisting of two slow dances followed by a livelier one, which existed until about 1900-1915. This cycle was known as the **okrągły** and survived longest in Kujawia. In the course of time, the okrągły became obsolete and its subsections became independent, with fixed tempi: **Chodzony**, $\frac{3}{4}$ ♩ =100-120 Mm; **Mazur**, $\frac{3}{4}$ or $\frac{3}{8}$ ♩ (♪) =160-184 Mm; the two **Kujawiaks**, $\frac{3}{4}$ ♩ =120-140 Mm; $\frac{3}{4}$ ♩ =130-160 Mm and the **Oberek**, $\frac{3}{8}$ ♪ =180-240 Mm. (9)

Mazur

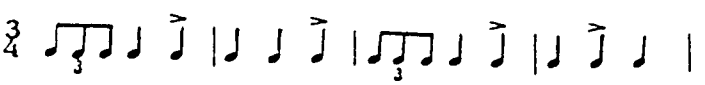
In contrast to the symmetry of the Kujawiak, the Mazur displays a multiplicity of rhythms, frequently using dotted rhythmic patterns and eighth-note triplets. Often, notes of shorter value appear at the beginning of the rhythmic figure. {10} The accents fall mostly on the weaker beats. At the end of phrases or periods, an accent is found on the second, or on the first as well as the second beats {11} (see Example 0.2). {12}.

Example 0.2. Rhythmic Figures typical of the Mazur

(a)

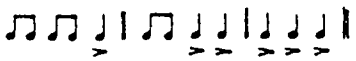


(b)

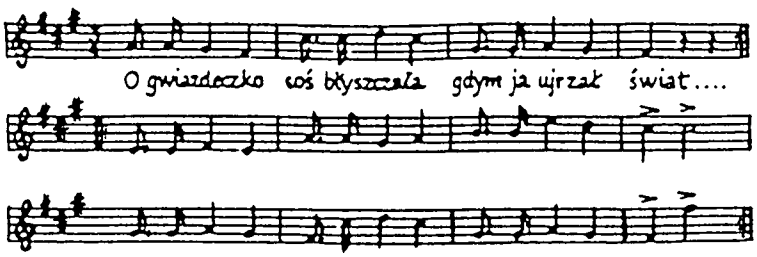


In the vocal Mazur, the ending is determined by the number of syllables in the verse and therefore varies accordingly; the accents occur on the longest note in the bar, or on the last note, or on the last two notes, or even on all three notes (see Examples 0.3 and 0.4). {13}

Example 0.3. Rhythmic Structure of the Vocal Mazur



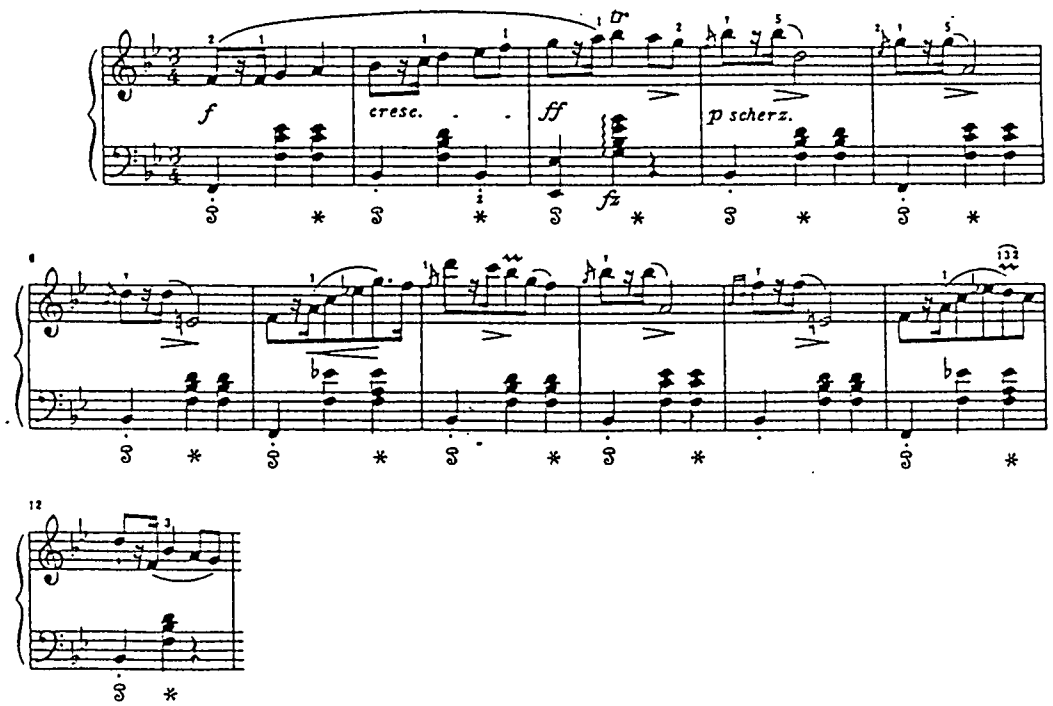
Example 0.4. The Vocal Mazur



The title **Mazur** was first used in a work by the German J. Riepel (1752) and was also used by Marpurg and Kirnberger. The reminiscences of H. Kołłątaj and the travel descriptions by F. Schulz (1791-1793) are evidence that the Mazur was already used extensively during the second half of the eighteenth century, while letters of M. Ogiński establish the fact that mazurkas were danced in Paris since 1809, in Florence since 1823, and in Russia during the reign of Alexander II (sic). After 1780, mazurka rhythms and the Mazur itself were to be found not only in Polish operas and ballets, but even in Polish masses and ecclesiastical symphonies. The Mazur was extremely fashionable until the end of the nineteenth century. Contemporaries of Chopin who wrote mazurs include Szymanowska and Kolberg, while from the end of the nineteenth century the best known composers were Wieniawski and Szymanowski. {14}

As the most significant exponent of the mazurka genre, Chopin published all three types of the peasant dance as stylised works without text under the common title Mazurka. According to Starczewski, {15} not all Chopin's mazurkas which may be characterised as mazurs, can be designated precisely as such, as the Oberek and Kujawiak frequently "play" into these versions. In Chopin's mazurkas Leichtentritt lists the following as the purest examples of the Mazur type: Op. 7, no. 1, Op. 17, nos. 1 and 3, Op. 24, no. 2, Op. 30, nos. 3 and 4, Op. 33, no. 3, Op. 41, nos. 3 and 4, Op. 50, nos. 1 and 2, Op. 56, nos. 1 and 2, Op. 59, no. 2, Op. 63, no. 1, Op. 67, nos. 1 and 3, and Op. 68, nos. 1 and 2. Example 0.5 shows the first twelve bars of Op. 7, no. 1. {16}

Example 0.5. Chopin, Mazurka Op. 7, No. 1, Bars 1-12

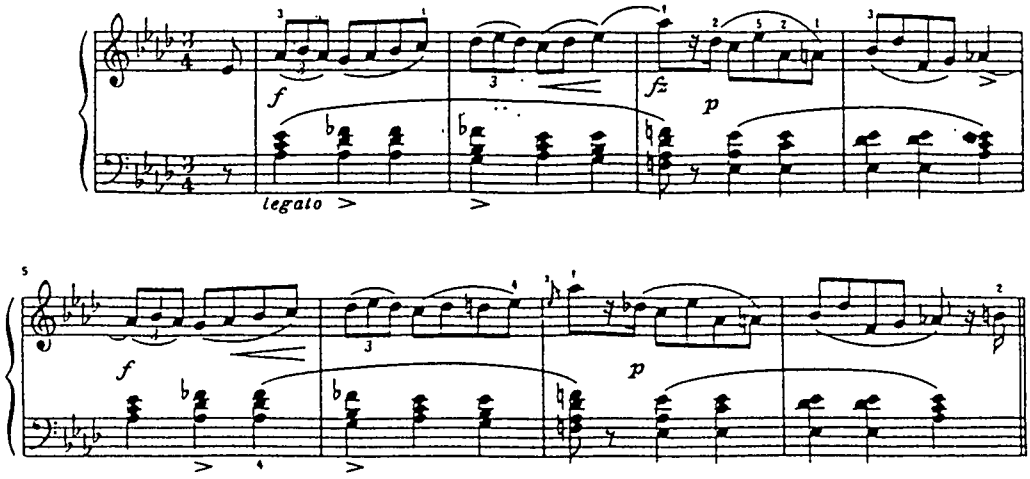


Oberek

The Oberek is a faster and more animated dance than the Mazur, in spite of having similar accents. {17} Rather than dotted rhythms and abrupt rhythmic changes, this dance displays uninterrupted light notes. Another characteristic is the use of repetitive melodic patterns based on major tonalities and occurring in the form of broken triads or chords. {18} Although repetitive, the rhythmic structure is not schematic. Accents occur on the second beat of the eighth bar because of the fast tempo. The Oberek is an instrumental dance form and has therefore no text. Usually several obereks follow each other to form a whole, although these could be in different tonalities, and not connected through modulation. {19}

Although the use of the Oberek and the Obertas {20} was reported as early as the end of the seventeenth century, very little is known about these dances and the only worthwhile information dates from the nineteenth century. In contrast to the Mazur and the Kujawiak, stylised renderings of the Oberek were rare with the exception of a few examples by Kolberg, Wieniawski, Statkowski and Bacewicz, while Leichtentritt identifies only three obereks among Chopin's mazurkas, namely, Op. 7, nos. 4 and 5 and Op. 68, no. 3. {21} Example 0.6 shows bars 1-8 of Op. 7, no. 4.

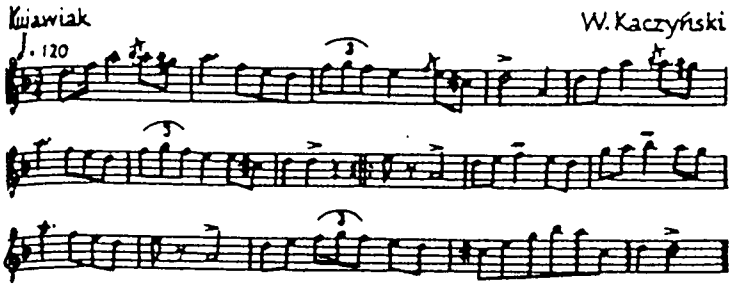
Example 0.6. Chopin, Mazurka Op. 7, No. 4, Bars 1-8



Kujawiak

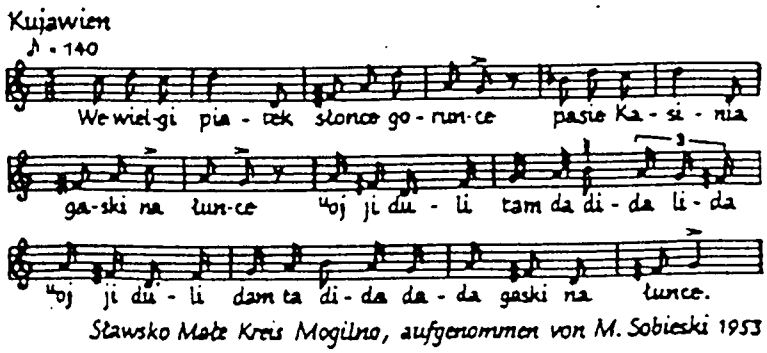
The Kujawiak exists both as a song and as an instrumental form with vocal insertions. {22} It is characterised by the use of the Aeolian and Dorian modes, as well as chromatic changes on the fourth and seventh scale degrees. It is constructed of periods consisting of two phrases of four bars each. Both phrases have identical symmetrically divided rhythmical patterns. The melodic line is characterised by the use of triplets, while trills or mordents occur on repeated notes (see Example 0.7). {23}

Example 0.7. Kujawiak



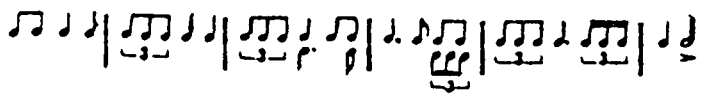
The character of the vocal Kujawiak is decidely instrumental, since the role of the vocalist is subservient to that of the instrumentalist, and therefore merely imitates the instrumental part. For an example of the vocal Kujawiak, see Example 0.8. {24}

Example 0.8. The Vocal Kujawiak



The instrumental Kujawiak of the peasants is constructed as follows: A (4+4), B (4+4), A (4+4). B could be either in the subdominant or dominant and the rhythmic structure within the bars is manifold (see Example 0.9). {25}

Example 0.9. Rhythmic Structure of the Instrumental Kujawiak

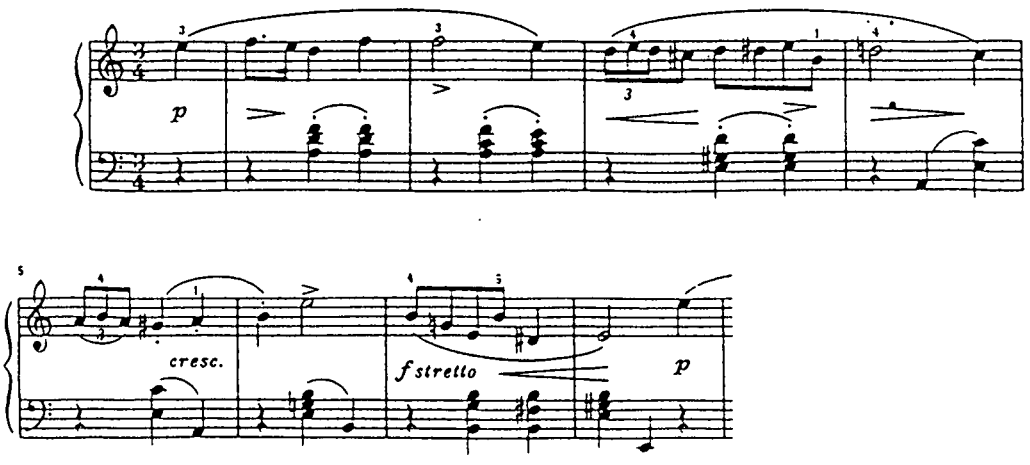


Traditionally, the Kujawiak is preceded by an introduction of four bars, played in fifths or octaves by the violinist. The stylised Kujawiak developed and became popular during the nineteenth century.

Although not as rare as the Oberek, the number of published kujawiaks is also far less than the Mazur. Examples are those of Miączyński, Kolberg and Kaczyński; the most familiar in this genre is the Kujawiak for Violin and Piano by Wieniawski and the Kujawiak for Chorus and Orchestra by Nowomiejski. (26)

Mazurkas of Chopin which exemplify the Kujawiak model are: Op. 6, nos. 1, 2 and 4, Op. 7, nos. 2 and 3, Op. 17, no. 2, Op. 24, nos. 1 and 4, Op. 30, nos. 1, 2 and 4, Op. 33, no. 1, Op. 41, nos. 1 and 2, Op. 50, no. 3, Op. 56, no. 3, Op. 59, nos. 1 and 3, Op. 63, nos. 2 and 3, Op. 67, nos. 2 and 4, Op. 68, nos. 2 and 4 and the first of the two A-minor mazurkas published without opus numbers during Chopin's lifetime. (27) Bars 1-8 of Op. 7, no. 2 presented in Example 0.10, display some of the melodic characteristics attributed to the Kujawiak:

Example 0.10. Chopin, Mazurka Op. 7, No. 2, Bars 1-8



Even the most superficial investigation of the contents and technical features of Chopin's mazurkas reveals that the composer's stylisation and artistic manipulation of the mazurka elements obscure a complete assessment as to which particular dance type each represents. Especially in the late mazurkas, the degree of stylisation is such that any direct relationship to the original dance types is almost incidental. Additionally, it was also pointed out above that elements of all three mazurka types can play into a single mazurka. The difficulty in relating individual Chopin mazurkas to the Mazur, Oberek or Kujawiak lies therefore both in the consistency of elements and in the nature of the various technical features in the mazurkas as manipulated by Chopin. It is the development of these features in conjunction with the basic elements and characteristics of the mazurka, that must be regarded as Chopin's contribution to this genre.

SECTION II

A CHRONOLOGICAL LIST OF CHOPIN'S MAZURKAS

The majority of Chopin's mazurkas were published in various numbered sets of at regular intervals throughout his lifetime. (28) These mazurkas will be considered first. In addition, a number of mazurkas have been published without opus numbers both during Chopin's lifetime and posthumously. Although most of these works were composed before the Op. 6 mazurkas, there are a few which were written during later years. Accordingly, the works without opus numbers will be listed separately. It must, however, be noted that the mazurkas comprising Opp. 67 and 68 (Chopin's last opus numbers), are a collection of works composed from 1827 up to his very last composition, the Mazurka in F minor Op. 68, no. 4, composed in 1849.

Opus 6

The four mazurkas of Op. 6 were published in December 1832 by the Leipzig publisher Kistner, while Schlesinger published them in 1833 in Paris and Wessel in London, August 1833. This set of mazurkas, dedicated to Countess Pauline Plater, a pupil of Chopin's, were composed during 1830 (Binental, Jachimecki, Brown, Sydow and Hedley cite 1830-1831 as the years of composition).

Opus 7

The five mazurkas of Op. 7 were composed during 1830-1831 according to Sydow, Hedley and Brown, and dedicated to the American Paul Emile Johns. They were published by Kistner simultaneously with Op. 6 in Leipzig (1832), by Schlesinger (Paris, 1833), by Wessel (London, August 1833) and Op. 7, no. 1 was published separately in the Polish edition of Klukowski (Warsaw, January 1835).

Opus 17

Dedicated to the singer Mme. Lina Freppa, this set of mazurkas was published in 1834 by Breitkopf and Härtel (Leipzig), Schlesinger (Paris) and Wessel (London). According to Kolberg-Hoesick, these mazurkas were completed before Chopin's arrival in Paris, that is, before September 1831; Brown, Hedley and Sydow mention the date of completion as 1832-1833.

Opus 24

The four mazurkas of Op. 24 were composed during 1834-1835 (Brown, Hedley and Sydow), and published in 1836 by Schlesinger (Paris), Breitkopf and Härtel (Leipzig) and Wessel (London). They were dedicated to Count de Perthuis whose wife was probably a pupil of Chopin's, and to whom the B minor Sonata was dedicated. {29}

Opus 30

Composed during 1836-1837 (Brown maintains that no. 4 had been sketched before 1836), this set was dedicated to Princess Maria of Wuerttemberg, née Czartoryska, and published by Schlesinger (Berlin and Paris, 1837) and by Wessel (London).

Opus 33

These mazurkas were composed during 1837-1838 and issued by Breitkopf and Härtel (Leipzig, 1838), Schlesinger (Paris) and Wessel (London). The set was dedicated to Countess Roza Mostowska.

Opus 41

The four mazurkas of Op. 41 were dedicated to the Polish poet Stefan Witwicki of whom Chopin used several verses for the Polish Songs, published posthumously as Op. 74. {30} Composed during 1838-1839, they were published by Breitkopf and Härtel (Leipzig, 1840), Troupenas (Paris 1840-1841) and by Wessel (London, either 1840 or 1841, according to Brown). {31}

Opus 50

Composed in 1841 (according to Hedley and Opieński, after 1840 (1841-1842), Sydow and Brown (Autumn 1841 until the summer of 1842), the three mazurkas of Op. 50 were published by Wessel

(London, 1847), by Schlesinger (Paris, 1848) and Breitkopf and Härtel (Leipzig). They were dedicated to Chopin's friend Leon Szmitkowski.

Opus 56

The three mazurkas of Op. 56 were composed during 1843 and issued by Breitkopf and Härtel (Leipzig) and Schlesinger (Paris) during 1844. In London they were published by Wessel, but the date of publication is unknown. They were dedicated to Chopin's pupil Catherine Maberly.

Opus 59

This set of three mazurkas was composed in 1845 and published in Berlin by Stern and Company in 1846 and about the same time in Paris by Schlesinger's successor, Brandus et Compagnie. They do not carry any specific dedication.

Opus 63

The three mazurkas of Op. 63 were dedicated to Countess Laura Czosnowska. Composed in 1846, these were the last three works that Chopin published during his lifetime. (32) They were issued by Breitkopf and Härtel (Leipzig, 1847 (?)), by Brandus (Paris, 1848) and Wessel (London, 1847).

Opus 67

Compiled by Fontana as Op. 67, (33) these mazurkas were published posthumously by Schlesinger (Berlin, 1855) and by Meissonnier in Paris, 1856. The first, dedicated to Anna Mlokosiewicz, and third, dedicated to Adelina (?) Hoffmann, were composed in 1835, while the fourth was composed in 1846 (Fontana, Brown, Hedley, Jachimecki, Niecks, Opieński, Sydow; the autograph indicates either 1846 or 1848). The second belongs to 1849, the year of Chopin's death (Fontana, Hedley, Hoesick, Niecks, Brown, Jachimecki, Opieński and Sydow cite 1845, while the Jedrzejewicz-Verzeichnis and Binental indicate 1848).

Opus 68

The four mazurkas published posthumously as Op. 68 (Schlesinger, Berlin, 1855; Meissonier, Paris, 1856), were written over a period of twenty-two years. The first in C major and the third in F major were written in either 1829 (Brown, Hedley, Sydow) or 1830 (Fontana, Niecks, Jachimecki, Opieński). The second in A minor dates from 1827 (Jedrzejewicz-Verzeichnis: 1826 (?)), while the fourth in F minor was, according to Fontana's testimony, Chopin's very last composition and composed in the summer of 1849 (this date corresponds with the information given by Hedley, Hoesick, Jachimecki, Niecks and Brown; the Jedrzejewicz-Verzeichnis and Binental indicate 1848, while Opieński and Sydow state that it was composed in either 1848 or 1849).

Mazurkas without Opus Numbers Published during Chopin's Lifetime

Two Mazurkas for Piano (G major and B-flat major)

These two mazurkas were composed in 1826 and published in Warsaw by Kolberg in 1826 and by Breitkopf and Härtel (Leipzig, 1879).

Mazurka for Piano (A minor)

Composed in 1840, this mazurka was published in Mainz by Schott (1842), in Paris by Troupenas (1845) and in London by Wessel (January 1846).

Mazurka for Piano (A minor)

Dedicated to Emile Gaillard, this mazurka originated in either 1840 (Brown) Sydow: 1840-1841) or 1841 (Hedley and Jachimecki). It was published by Schlesinger in January 1841 and by Bote and Bock (Berlin, 1855).

Mazurkas without Opus Numbers Published Posthumously

Mazurka for Piano (D major)

Composed in 1824-1828 (Jachimecki, Szulc); Oscar Kolberg: 1826-1827; Brown, Hedley, Opieński 1829; Breitkopf and Härtel, Niecks: 1829-1830), this work was published by N. Leitgeber in

Poznan (1875) and by Breitkopf and Härtel (Leipzig, 1880).

Mazurka for Piano (B-flat major)

According to the autograph, this mazurka was composed on June 24, 1832 and dedicated to Mme. Alexandrine Wołowska. It was published only in 1956 by Polskie Wydawnictwo Muzyczne in Crakow.

Mazurka for Piano (D major)

Composed in 1832, this mazurka was published by Breitkopf and Härtel in 1880.

Mazurka for Piano (C major)

This mazurka dates from either 1825 (Jachimecki, Sydow) or 1833 (Breitkopf and Härtel, Brown, Hedley, Jachimecki, Miketta, Niecks). It was published by Kaufmann (Warsaw, 1870) and by Schott (Mainz, 1870).

Mazurka for Piano (A-flat major)

Composed in 1834, this work was published as late as 1930 by Gebethner and Wolff. It was dedicated to Celina Szymanowska.

Mazurka for Piano (D major)

This work was composed while Chopin was still very young; Polinski and Brown are of the opinion that it originated in 1820. Facsimiles are available in Kobylanska and Poliński.

Mazurka for Piano (F-sharp major)

This work was published by Mechetti (Vienna, 1840-1845) and J. P. Gotthard (Vienna, date of publication unknown).

Finally, early versions of the mazurkas Op. 7, no. 4, no. 54 in D major and Op. 7, no. 2 are provided in the supplement of the Henle edition of Chopin mazurkas. Their dates of composition are given by the editor as: 1824, 1829 and 1829 respectively.

SECTION III

CHOPIN'S CONTRIBUTION TO THE MAZURKA

The purpose in discussing Chopin's contribution to the mazurka genre is not only to establish the extent to which the basic features and characteristics of the mazurka were manipulated by Chopin, but also to establish a general framework upon which analytic results pertaining to motivic design and tonal structure in the mazurkas can be verified. Within the basic orientation of this dissertation, a critical assessment will also be made of various arguments related either to motivic design or to tonal structure.

The following points of departure will be taken in examining Chopin's contribution to the mazurka: 1) the nature and influence of folkloric material and 2) a stylistic argument with regard to the application and development of folkloric material throughout the mazurkas, relating especially to tonal structure and form design, as well as the idea of artistic stylisation. The application of other notable technical features such as characteristic rhythmic patterns, phrase groupings and so on, which do not have a bearing on motivic or tonal-structural characteristics, will not be considered here.

The Nature of Folkloric Material

No other genre of Chopin's work represents nationalism and folk traditions more obviously and extensively than the mazurkas.

The Polish folk song played such a crucial role in Poland's struggle for national identity that it can indeed be described as a means of national expression. As Sula Bennet writes:

> A collection of Polish folk customs and folklore is not merely a collection of superstitions observed by the folk for the sake of practical results. It is also a record of national self-expression, deliberately cultivated as an expression of patriotism and the will to survive. (34)

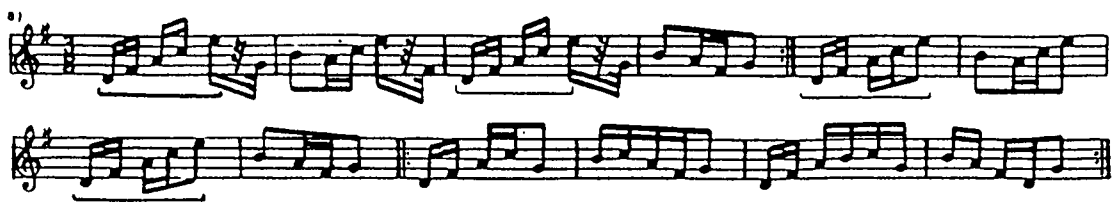
According to Bieganski, Chopin's attitude with regard to folklore in his mazurkas represents a logical process of the perfection of his skill as a composer, combined with the formation of his ideological attitude. (35) In order to gain better insight into the nature of folklore as reflected in the mazurkas, a brief consideration of some recent writings on this topic would seem necessary--especially the Polish studies forming part of the **Chopin Congress**, Warsaw 1960. (36) (Again, aspects of folklore in the mazurkas related to rhythm and meter will not be covered since they do not have a strong bearing on the discussion of elements related to motivic design and tonal structure).

Studying the relationship between Chopin's melody and Polish folk music, Hlawiczka finds that the more important studies concerning this topic approached the matter essentially with Chopin's ornamentation as the point of departure. (37) An exception to this approach is that held by Janusz Miketta, who discovered the so-called **Chopin motif**, consisting of the succession of the dominant and second and third degrees of the upper tonic. According to Hlawiczka, however, this motif appears so frequently in the melodic style of several other nationalities that it cannot be viewed as a specific characteristic of Chopin's

melody. More typical is the figurative ornamentation of the scheme 3-5-1, discovered by Jachimecki. (38) This schematic progression can be found in many themes throughout the different creative periods in Chopin's work. Hlawiczka, however, raises the objection that, in spite of its frequent occurrence, this progression has no material bearing on Chopin's melodic style.

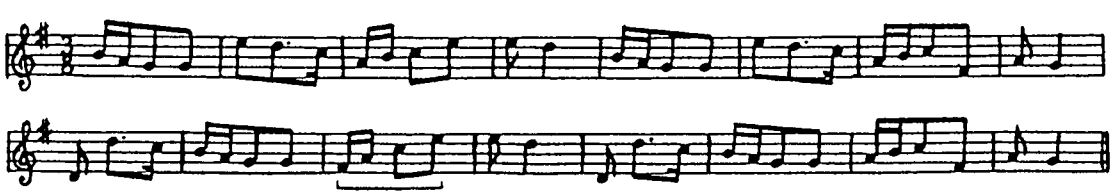
Comparative studies concerning the Polish folk melody and Chopin's melodic style make it evident that the essential element is the interval of the ninth, an observation made by Polish ethnographer Oscar Kolberg (39) (see Example 0.11). (40)

Example 0.11. O. Kolberg, Vol. IV, No. 321



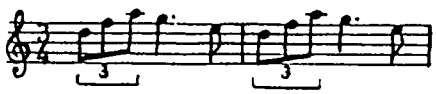
The characteristic colouring of the ninth chord is evident even in those melodies which contain only a seventh chord on the seventh scale degree or, in other words, a leading-tone chord or chord of the ninth without a root (Example 0.12).

Example 0.12. O. Kolberg, Vol. XII, No. 107



Another reminder of the ninth chord found frequently is the broken chord on the second scale degree (Example 0.13).

Example 0.13. O. Kolberg, Vol. I, No. 88

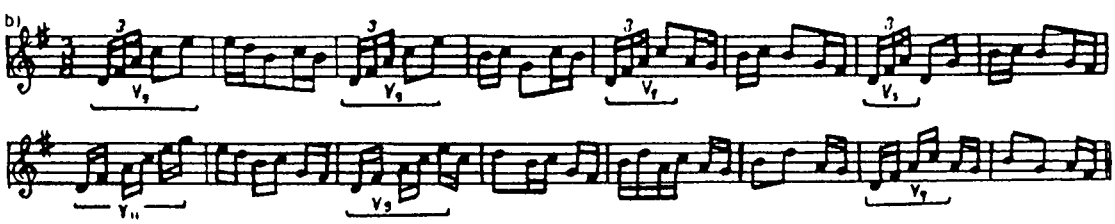


Characteristic of melodies from the region of Mazowia is a melodic line reaching a climax on the ninth of the dominant, frequently displaying a leap of a fifth, as in Example 0.14.

Example 0.14. O. Kolberg, Vol. I, No. 66

Also found in many folk song melodies is a strong tendency to return to the highest degree of the ninth chord (Example 0.15).

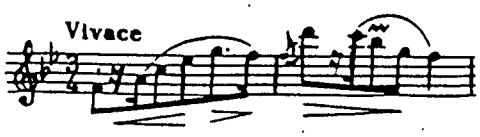
Example 0.15. O. Kolberg, Dobrzyn, No. 155



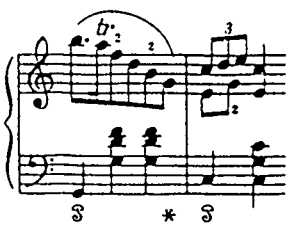
Tracing Chopin's use of the above mentioned elements, it becomes evident that these characteristics of Polish folk

melodies are to be found especially in those works of Chopin based on the rhythms of the Polish national dances, namely, the mazurkas and polonaises. On the other hand, Jachimecki claims that these characteristics are also to be found in other works of Chopin which do not use the dance forms. A few typical examples of complete broken ninth chords occur in the mazurkas Op. 7, nos. 1 and 5 (bars 7-8), as well as in Op. 56, no. 1 (bars 153-155 and further), Op. 68, no. 1 etc. Examples 0.16a and b shows the two excerpts from Op. 7, no. 1 and 68, no. 1 respectively.

Example 0.16a. Chopin, Mazurka, Op. 7, No. 1, Bars 7-8



Example 0.16b. Chopin, Mazurka, Op. 68, No. 1, Bar 11



Considering these and other examples of the ninth chord for a moment, different interpretations of the role of its ninth element can be observed. This is illustrated by comparing the two excerpts in Example 0.16. At a, the ninth must be interpreted as an upper neighbour, resolving into an octave, whereas at b, it does not imply an immediate voice-leading

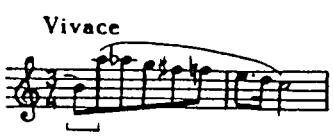
resolution to the octave, thus functioning within an underlying dominant ninth harmony. With regard to Op. 7, no. 1, both characteristics of the ninth indicated above are traced within the space of bars 5-8. The ninth as a neighbour note also has motivic significance in many mazurkas (see, for instance, the discussions of Op. 30, no. 4 and Op. 33, no. 1 in Chapter 7, and Op. 7, no. 1 in Chapter 11).

Melodies which contain direct leaps of a ninth may be found in Op. 24, no. 1 (bars 18-26), Op. 50, no. 3 (bar 76), Op. 56, no. 3 (bar 69), and Op. 63, no. 1 (bar 5). Example 0.17 is an excerpt from Op. 24, no. 1.

Example 0.17. Chopin, Mazurka Op. 24, No. 1, Bars 17-20

An example of the replacement of the ninth with a seventh chord or a seventh interval is to be found in the mazurka no. 57 in C major (bars 15-17), presented in Example 0.18.

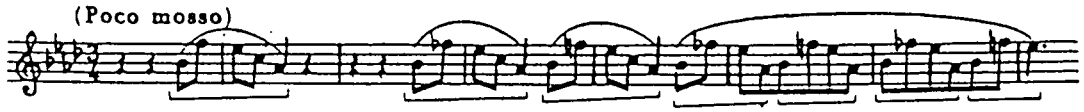
Example 0.18. Chopin, Mazurka in C Major, No. 57, Bars 15-16



A typical example of the compilation of the broken chord on the second scale degree as replacement for the ninth chord, or merely

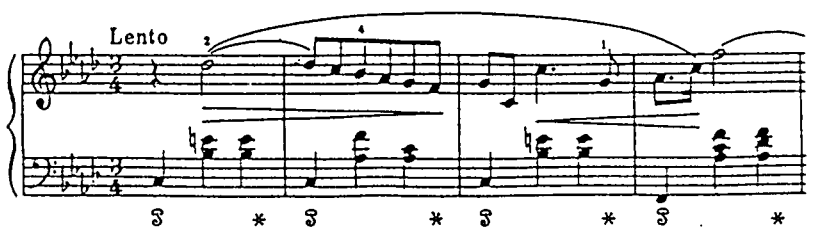
the fifth of this chord, is the mazurka no. 58 in A-flat major (bars 45-52 (Example 0.19)).

Example 0.19. Chopin, Mazurka in A-flat Major, No. 58, Bars 45-52



Characteristic of many mazurka themes is a melody or melodic phrase beginning with a dominant ninth, for example, Op. 7, no. 3 (bars 29-30), Op. 50, no. 3 (bars 51-52), and the mazurka no. 53 (bars 27-28). A striking instance is given in Example 0.20, from the opening of Op. 63, no. 2.

Example 0.20. Chopin, Mazurka Op. 63, No. 2, Bars 1-4



The movement from the ninth to the octave, and from the upper dominant to the dominant, so characteristic of the folk melody, may be found in Op. 24, no. 3 (bar 2), Op. 50, no. 1 (bars 3-4), and Op. 67, no. 3 (bars 7-8).

Resulting from this study Hlawiczka found that the elements which had the greatest influence on Chopin's melody were those belonging to what he refers to as the **neue Bauernstil**. The

conclusion to be drawn from his article is that the Polish folk melody was of fundamental importance for Chopin's melodic style, contributing to it the elements comprising the nature and essence of the national style.

Modality

A central issue regarding the nature of folklore in Chopin's mazurkas is that of modality. On the importance of folk elements and their influence on the mazurkas, Czekanowska points out that modality and specific folk chromaticisms had a direct bearing on the characteristic features of Chopin's national style. (41) Studies on the subject of modality in Chopin's work referred to by Czekanowska point out that in view of the discovery of new tonalities which are closely related to instrumental Polish folk music practices, the work of former scholars display a tendency toward a misconception of modality as it is reflected in Chopin's work. (42) Several theories have been proposed regarding the character of Chopin's modality, for example that of Windakiewiczowa, who views modality in Chopin as a kind of bitonality, a conclusion arrived at by her observation concerning the influence of the raised fourth scale degree on the harmonic character of the dominant. (43) This argument is refuted by Czekanowska on the grounds of inadequate evidence. Windakiewiczowa's second assertion is that some chromaticisms in Chopin can be seen as derived from the national half-chromatic scale--one consisting of varying intonations of its third and fourth degrees. To this, Czekanowska claims that there is as yet

no evidence that the authentic half-chromatic scale of the folk music exists in Chopin's work. Reference is also made to the complexity of the question of the raised fourth degree which, in Chopin, must be approached from at least three viewpoints: 1) varying raised degrees as single inflections; 2) as leading tone motion to the fifth; and 3) the authentic Lydian element which is therefore not a real raised fourth degree.

In addressing the question as to the structural consequences of modality for the mazurkas, Czekanowska also refers to the influence of various resulting interval-structures in Chopin's melody. For example, descending fourth motions possess a structure-building function, as well as being imitative of folk melodic motions. The mazurka Op. 6, no. 4 is cited as a case in point: the entire 24-bar structure is derived from what is identified as two fourth motions: E-flat to B-flat and D-flat to A-flat.

In determining the structural consequences of modality for the mazurkas, consideration of melodic interval-structures alone is too limited. Therefore, any conclusions reached can apply only to melodic structures, since the combined influence of harmony and voice leading is not accounted for. Likewise, the designation **structure-building function** ascribed to the descending fourth, for instance, is equally limited, in that no conclusions can be drawn about a composition's structure without considering the interaction of its harmonic and voice-leading events. In addition, the equal consideration of harmony and voice leading also have an effect on how interval-structures can be defined; thus, Czekanowska's designation of the second fourth

construct D-flat to A-flat in the Op. 6, no. 4 mazurka, as being structurally equal to the first E-flat to B-flat motion, is incorrect. Although from a melodic/motivic point of view, fourth motions play an important role in this mazurka, from the point of view of melodic/motivic design as it relates to tonal structure, only the motion from E-flat to B-flat can be regarded as the main melodic/motivic figure, since, contrary to the other fourth motions, it unfolds an interval of the E-flat minor tonic triad. From a tonal-structural point of view, therefore, the motion from E-flat to B-flat is at a higher structural rank, being connected to the main tonality of the piece. (44)

In an article concerning the influence of folk scales on the harmony of Chopin's mazurkas, (45) Bieganski discusses the modal idiom in Chopin's work, pointing to their folk rather than church origin. According to him, Lydian elements are represented the most liberally in the mazurkas, as divided into three groups: those with the Lydian mode proper, the Lydian major, and minor modes. Furthermore, he claims that the Lydian fourth led to new formations of chords which do not exist within the major/minor system, and also to new forms of dominant and subdominant functions which can be perceived as chords proper to the Lydian mode. The Phrygian mode is used to similar effect. He also regards the Gypsy scale, which appears in two types of construction, namely, with an augmented second between the third and fourth scale degrees, or alternatively between the second and third degrees, as of particular importance where tonicisation and modulation are concerned. Regarding the influence of folk chromaticism, Bieganski claims that it can be seen in the

oscillation of the melody pivoting round its centre, the oscillation of the voices in the accompaniment, and the growth of chromatic intensity. These phenomena lead to the appearance of altered forms of functions within one and the same tonality, or to tonal substitutes, which ultimately become the basis for afunctional development. The most important conclusion of his study is that the architectural design of folk songs and their general stylistic peculiarities exercise a strong influence on harmonic effects and tonal devices in the mazurkas. These influences, working in conjunction with the general harmonic development of that epoch, play an important role in the undermining of the major/minor system and in preparing the ground for new harmonic systems. Views related to those of Bieganski on the nature of harmony and tonality--particularly with regard to the last-period mazurkas--are held by Schaffer, who even claims that these and other mazurkas of Chopin exhibit characteristics of harmony and tonality corresponding to those of Wagner, Debussy and Bartok. (46) Like Bieganski, Schaffer attributes these characteristics to the influence of modality and chromaticism, especially specific chromatic inflections. (47)

Bieganski's arguments concerning the influence of the Lydian fourth on the character and functions of chord formations and the implications of folk chromaticisms for functional tonality and the major/minor system in the mazurkas must, however, be questioned (the same applies to Schaffer's assertion). An adequate assessment of the role of modality and chromaticism with regard to harmonic language and tonal characteristics in the mazurkas can be made only from the perspective of voice leading.

In its capacity as determinant of chord successions, the function and character of individual chords and of tonal progressions can be more effectively evaluated.

In his article on voice leading and chromatic harmony in the music of Chopin, Richard Parks alludes to an interesting aspect of Chopin's compositional technique, namely, his use of altered chords in passages where they do not appear to function in their conventional harmonic roles. (48) He refers to Gerald Abraham who, in observing certain chord successions where only the initial and final chords of the succession may be related to a key, states that, in such cases, a temporary suspension of the principle of tonality must be observed. In response, Parks asserts that the logic of such passages with regard to tonal organisation is to be found in the melodic dimension, their function being explained by voice leading. Concerning chromatic chord successions, he concludes that they result from the coincidence of moving parts whose rationale is primarily melodic rather than harmonic, so that these chords are not functional and do not require resolution to their conventional harmonic goals. Heard from this perspective, such passages, as they relate to a particular tonal scheme in each case, are emphatically tonal.

Parks concludes that most of the chromatic harmonies employed by Chopin were an integral part of the harmonic vocabulary of the period. In addition, these harmonies are complex and somewhat ambiguous in sound, and are frequently encountered as altered chords as well as diatonic harmonies. Those which appear most often--the fully diminished seventh and dominant seventh harmonies--are susceptible to enharmonic interpretation and

depend upon resolution for their functional definition. This characteristic of functional ambiguity makes them ideal choices for harmonies which serve a supporting and secondary role in passages which are primarily melodic in origin. Although Parks's conclusions were drawn from examples covering several genres in Chopin's work and are therefore not directed specifically towards the content of the mazurkas, they point to harmonic and voice-leading procedures basic to Chopin's compositional style. The mazurkas, written throughout Chopin's entire creative period, can thus be regarded as representing his compositional style.

Consequently, modality and folk chromaticism serve primarily to enrich these procedures and thus influence only the harmonic and voice-leading character of the mazurkas. Lydian inflections usually appear in conjunction with chromatic melodic motions where the raised fourth degree may function either as a chromatic passing tone or as a chromatic neighbour note embellishment. Harmonic supports for Lydian elements are thus characterised as agreeing with the above mentioned characteristics and melodic functions of the Lydian fourth within the harmonic/voice-leading framework of a piece, rather than purely from the standpoint of their different formations and functional alterations with regard to major/minor tonality. Hence chords involving Lydian as well as other modal inflections are frequently of a passing or embellishing nature, that is, resulting purely from voice-leading motions. In the mazurka Op. 7, no. 1, for instance, the continued harmony throughout bars 45-51 is the result of support given to the Lydian fourth (E), functioning as a chromatic lower neighbour to the fifth degree (F) in the B-flat major tonality

(for a further discussion of this mazurka, see Chapter 11). Also, the altered dominant harmony in bar 204 of the mazurka Op. 56, no. 3 results from the stepwise linear motion of the melody, displaying the Phrygian element as a purely melodic colouring event. Where Lydian inflections are of a more direct nature, less involved in chromatic melodic motions, they usually coincide with drone-bass or pedal point figures which present a static harmonic situation (as is the case in Op. 7, no. 1 cited above), thus enabling the modally inflected scale degree to be emphasised in accordance with its original modal setting. This, however, does not readily imply that chord formations resulting from these situations do not exist in the major/minor system or that they act as functional substitutes, a point which can be deduced clearly from the examples cited above. In fact, it will be argued later that in spite of the importance of modality with regard to harmonic and voice-leading characterisation in the mazurkas, the major/minor system still prevails throughout these compositions. Bieganski does, however, consider voice leading when he alludes to the importance of elements of Gypsy scales with regard to tonicisation in the mazurkas. For a detailed examination of the influence of specific modal elements with regard to motivic design and tonal structure in the mazurkas, see Chapter 11.

The Application and Development of Folklore

Having assessed the nature and influence of folkloric material in the harmonic/voice-leading structures of Chopin's mazurkas, we

now turn our attention to a consideration of the nature of their application throughout the mazurkas from a stylistic, evolutionary point of view. As the article of Bieganski concerning the evolution of Chopin's attitude regarding folklore in his mazurkas (see endnote 35) is the only study which systematically traces the development of folklore throughout the various opus numbers, we rely on his findings concerning this process, in which he distinguishes three phases, corresponding with the three periods of composition in Chopin's oeuvre.

Firstly, the mazurkas of Chopin's Warsaw period are considered. These comprise the earlier mazurkas, published before 1831 without opus numbers, as well as the mazurkas numbers 1 to 3 of the Op. 68 collection. Especially in the G major and B-flat major mazurkas of 1825, the A minor of 1827, the D major of 1829, and the F and C major mazurkas of 1829-1830, three symptoms of folklore can be traced: the drone bass, chromatic bridges, and Lydian intonations. The raised fourth scale degree appears either together with the drone bass, or is harmonised by a diminished seventh which neutralises its action. Folk modes do not penetrate the harmonic structure of these works but are confined to the melodic sphere. This is true also with regard to chromatic motions in bridge passages. (In view of the fact that melody can be interpreted as being synonymous with voice leading--an approach which will be followed in the present dissertation--the designation "melodic" here should rather be viewed as synonymous with "thematic". The latter appears to be preferable because it refers to the application of folk modes within the thematic content of these mazurkas alone). The Warsaw

mazurkas are also influenced by the city folklore with regard to their form structures in that the simple structure of a refrain with a Trio, usually in the subdominant, is maintained.

The four mazurkas of Op. 6 and the five of Op. 7 are linked to the Warsaw mazurkas by the simplicity of their form construction, the relatively few complications on the tonal level and the mechanical adoption of the drone-bass fifths. New elements are however introduced which have as their source the chromatic kind of folk song, displaying altered forms of the second, fourth, sixth and seventh scale degrees and their diatonic equivalents. Chromatic elements are linked to the harmonic development and take part actively in the construction of the works. Also evident is the oscillation of modes so characteristic of the Polish folk song.

In the mazurkas of Op. 17, the influence of folkloric elements can be traced by considering the complications of formal structure and development on the tonal level. Bieganski observes an extensively developed coda, as well as a change in the character of the introduction (see Op. 17, no. 4). In the early mazurkas the style of the introduction differed from the rest of the piece because of its direct imitation of folk elements. Here, the character of the introduction changes, no longer being only the rhythmic announcement of the work, but the beginning of its harmonic and melodic (thematic) development (see, for instance, the discussion of Op. 17, no. 4 in Chapter 8). This implies that these mazurkas are already more distant from the popular model, having become stylised works of art. There is also a greater mobility with regard to chromatic motions in these

mazurkas, to the extent that these dominate their thematic structures.

The four mazurkas of Op. 24 display a revolutionary attitude with regard to modality. Aeolian, Lydian, and Gypsy intonations are reflected here (for example, Lydian intonations in no. 2, and Gypsy intonations in nos. 1 and 4). The structures of the drone no longer constitute only an imitation of the popular manner of execution but are amalgamated in the harmonic development. In its role as pedal point, the drone is the basis for the creation of the coda, while the fifths of the drone have greater freedom of movement, thus making possible a variable accompaniment against the pedal tone (see for instance the coda of Op. 24, no. 4).

In contrast to the previous works, the mazurkas of Op. 30 display a weakening of modal influences. The most important factor here is the creative transformation of folk music repetitions resulting in a constant variability of chord functions (see for example Op. 30, no. 2 (bars 33-48)).

Regarding the mazurka Op. 33, no. 4, Bieganski claims that its construction indicates the way towards a transformed structure or through-composed form moving away from the refrain structure. According to him, it is this transformed structure that also characterises the mazurkas of Op. 50 and 56. This concept, together with the use of long passages in unison, is an indication that these mazurkas are moving away more and more from original folk song models.

In the Op. 41 collection, Phrygian elements are introduced for the first time, according to Bieganski (the Phrygian element can

in fact be observed in Op. 7, no. 2, although functioning as a chromatic rather than modal element there). Examples of Phrygian elements are cited in nos. 1 and 2 of Op. 41. Bieganski also observes an element of tonal indecision here, expressed in the multiplicity of meaning of the harmonic progressions. Here also, the characteristic traits of the folk dance give way to lyric expression, pointing to the preponderance of the more lyrical Kujawiak over the Mazur and Oberek types.

With the mazurka Op. 50, no. 3, Bieganski claims that it represents a leap in Chopin's attitude toward the whole artistic conception of the mazurka genre. It distinguishes itself by a completely mature conception of the so-called through-composed mazurka. Folk elements are also rendered in a deeply concealed form.

In the mazurkas Op. 56, polyphonic imitative structures are found which are used to expose melodies founded on folk music scales, such as in no. 2 (bars 61-76).

The three mazurkas of Op. 59 show a constant perfection of the through-composed mazurka. Folkloric influence manifests itself here in the thematic imitation of no. 3, the modulations and irregular phrase periods of no. 1, and in the harmonic progressions that dominate the codas generally.

Concerning the use of folkloric elements in the mazurkas of Op. 63 and 67, there is a return to the mazurkas of the Warsaw period. Op. 68, no. 4 is regarded by Bieganski as a perfection of the process of evolution in the mazurkas. Although no direct influence of folk music is manifested in this mazurka, Bieganski believes that it is the ultimate consequence in the evolution of

the folkloric character in the works of Chopin, as the traits of the Polish folk song are now transformed strongly and the national sentiments have reached sublimation through lyrical expression.

From the foregoing discussion it is evident that folkloric elements, as realised by Chopin in his mazurkas, not only contribute to the nature of harmony and voice leading, but are also instrumental in bringing about some of the tonal and formal characteristics of these works. It is therefore obvious that any satisfactory conclusions regarding the influence of folkloric elements on the harmonic/voice-leading structures of the mazurkas can be drawn only within the correct perspective concerning harmony and voice leading. With this in mind, a few characterisations and assumptions by Bieganski warrant reconsideration.

In discussing folkloric elements as they relate to the tonal and formal structures of the mazurkas, Bieganski refers to their position within the harmonic development of the works frequently. He also alludes to elements of tonal indecision, created by changes in the meaning of harmonic progressions. This indicates that Bieganski takes only the harmonic factor into consideration in dealing with these problems. Especially with regard to the latter observation, the result is usually the characterisation of individual harmonies in a tonal progression according to their immediate functions within a local tonal context. Consequently, the meaning of these harmonies with regard to the overall harmonic/voice-leading structure of a work cannot be assessed properly. This can cause an incorrect interpretation of the

tonal character of such a passage, especially in chromatic progressions where the functions of individual chords can be ambiguous or related to subsidiary tonal areas. Once again, the role of voice leading must be considered in conjunction with harmony in determining the meaning and logic of a progression, so as to arrive at an accurate assessment of the tonal characteristics of a composition. In addition, the interaction between harmony and voice leading emerges as a decisive factor in determining the influence of folkloric devices on the tonal structures of the mazurkas. It will be seen that the application of drone-bass structures, for instance, has a significance in terms of tonal structure which goes beyond their mere mechanical adoption (see Chapter 12). Although Bieganski does allude to the role of the drone bass in connection with formal development, his assertion as to its amalgamation with harmonic development alone leads to explanations whereby its association with voice leading and subsequent influence on tonal structures cannot be assessed fully.

In connection with Chopin's development of the so-called through-composed mazurka, it cannot be assumed that the mazurkas in question exhibit real through-composed structures, particularly since all of these works are still associated with the idea of a refrain and contrasting form sections. Development on the formal level in these works must therefore be seen rather as the result of a process whereby the stereotypical formal constructs associated with the authentic mazurka types are elaborated upon and developed by Chopin, in accordance with the idea of artistic stylisation. It is the nature of these

elaborations and developments which, in conjunction with the tonal structures of these works, contributes to their character as whole entities, as opposed to the more sectionalised character of earlier mazurkas.

In closing, it will be noticed that throughout this section, no attention was given to general compositional characteristics of the mazurkas. Nor has any attempt been made to identify specific correspondences of such characteristics with features of the authentic mazurka types. Except for those features deriving from the influence of folklore already considered, these general characteristics can be traced throughout Chopin's entire compositional oeuvre and are therefore not associated exclusively with his mazurkas or necessarily derived from the authentic mazurka. Consequently, a careful investigation of them in connection with Chopin's contribution to the mazurka is unnecessary. However, certain general compositional characteristics will play into the detailed analytic presentations of selected mazurkas to follow (Chapters 6-12), but again primarily in terms of their significance with regard to motivic design and tonal structure.

NOTES

1. C. S. Schaffer, **The Chopin Mazurkas** (Juilliard School, 1973), 4.

2. Czeslaw R. Halski and Maurice J. E. Brown, "Mazurka", **The New Grove Dictionary of Music and Musicians**, Ed. Stanley Sadie (London: Macmillan Publishers Ltd., 1980), Vol. 11, 865.

3. Schaffer, 4.

4. Halski and Brown, 865.

5. Schaffer, 5.

6. In an early version of Chopin's A minor mazurka Op. 7, no. 2, composed in 1829, and listed as Op. 7, no. 2a in the Supplement to the Henle edition of the Chopin mazurkas (München: G. Henle Verlag, 1975), the word "Duda" appears in the first bar (see the commentary at supplement 3, p. 178).

7. Schaffer, 6.

8. Loc. cit.

9. Marian Sobieski, "Mazur", **Die Musik in Geschichte und Gegenwart**, Ed. Friedrich Blume (Basel, London, New York: Bärenreiter-Cassel, 1960), Vol. 8, Cols. 1855-1857.

10. Schaffer, 7.

11. Sobieski, Col. 1859.

12. Halski and Brown, 865.

13. Sobieski, Col. 1859.

14. Loc. cit.

15. Starczewski as quoted by Hugo Leichtentritt, **Friedrich Chopin** (Berlin: Schlesische Verlagsanstalt, 1920), 7.

16. All score examples of mazurkas in this dissertation are

from the Henle edition of the Chopin mazurkas.

17. Schaffer, 7.

18. Sobieski, "Oberek", **MGG**, Vol. 9, Cols. 1770-1772.

19. This may be compared to the phenomenon of a simple dance series found in nineteenth century compositions, for example, Waltzes by Schubert, Chopin and Strauss.

20. Generally viewed as being identical to the Oberek, or Oberek being a diminutive of Obertas. For a detailed discussion of the differences, see the above mentioned article of Sobieski (endnote 18).

21. Leichtentritt, 7.

22. Sobieski, "Mazur", **MGG**, Col. 1857.

23. Loc. cit.

24. Loc. cit.

25. Ibid., Col. 1858.

26. Loc. cit.

27. Leichtentritt, 7.

28. Information concerning dates of composition, publication and people to whom works were dedicated is from Krystyna Kobylańska, **Frédéric Chopin, Thematisch-Bibliographisches Werkverzeichnis** (München: G. Henle, 1979), 9-285.

29. Herbert Weinstock, **Chopin - The Man and his Music** (New York: Alfred A. Knopf, 1949), 210.

30. Ibid., 248.

31. Ibid., 283.

32. In the Henle edition of the Chopin mazurkas, the four mazurkas of Op. 41 are arranged in the following order: No. 1 (E minor); No. 2 (B major); No. 3 (A-flat major); No. 4 C-sharp

minor). This ordering was done on the grounds of a comment made by Chopin in a letter to Fontana dated August 1839 (see Henle, p. 174). The traditional ordering of the Op. 41 mazurkas which is still found in most editions and publications of the mazurkas, that is, No. 1 (C-sharp minor); No. 2 (E minor); No. 3 (B major) and No. 4 (A-flat major), will, however, be maintained here for reference purposes, in order to avoid confusion.

33. Weinstock, 294.

34. Sula Benet as quoted by Shaffer, 3.

35. Krzysztof Bieganski, "Evolution de l'attitude de Chopin a l'égard du folklore (suivant ses Mazurkas)", **The Book of the First International Musicological Congress devoted to the Works of Frederic Chopin**, Ed. Zofia Lissa (Warsaw: 1963), 85-99.

36. See footnote 35 concerning the publication which resulted from the papers read during the Congress, the first of its kind, and held in commemoration of the 150th anniversary of Chopin's birth.

37. Karol Hlawiczka, "Ein Beitrag zur Verwandtschaft zwischen der Melodik Chopins und der polnischen Volksmusik", **Chopin Congress**, 176-184.

38. Loc. cit.

39. Ibid., 177. In Kolberg's collection "Lud", the broken ninth chord and the interval of the ninth was found to recur with great frequency.

40. With the exception of score examples 0.16b and 0.20, all other examples in this section are taken from the above mentioned article of Hlawiczka (see footnote 37).

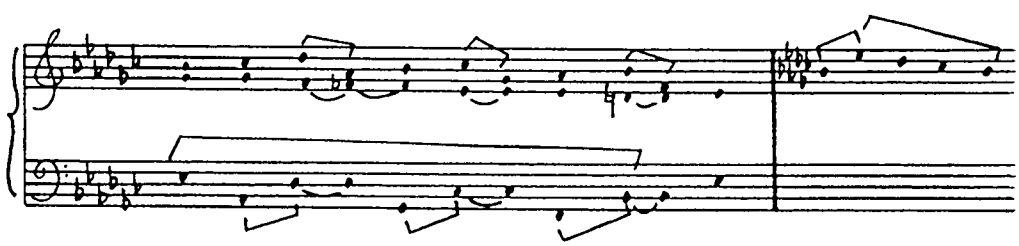
41. Anna Czekanowska, "Beiträge zum Problem der Modalität und

der sog. Halbchromatischen Leiter bei Chopin", **Chopin Congress**, 122-126.

42. Ibid., 122.

43. Windakiewiczowa as quoted by Czekanowska, op. cit.

44. The various fourth motions traced in the melodic and bass lines within the sequential passage (bars 9-16), must be interpreted as surface voice-leading figures in the service of the larger bass motions E-flat to B-flat, comprising bars 9-12 and 13-16. Reproduced below is an analytic sketch of bars 9-12, indicating the various fourth motions and their dependence upon the large fourth motion in the bass. Also reproduced here, is the melodic line of bar 1, where the organic origin of these motions can be traced (for a further discussion of this mazurka, see Chapter 12).



45. Bieganski, "Elements of Folk Scales in Chopin's Mazurkas and the Ensuing Harmonic Effects", **F. F. Chopin**, Ed. Z. Lissa (Warszawa: Uniwerzytet Warszawsksi, 1960), Summaries, 303-304.

46. Schaffer, 48.

47. Ibid., 49-51.

48. Richard S. Parks, "Voice Leading and Chromatic Harmony in the Music of Chopin", **Journal of Music Theory**, 20 (1967), 189-214.

PART ONE

SCHENKERIAN ANALYSIS: ITS JUSTIFICATION AND EXPLANATION

CHAPTER 1

HEINRICH SCHENKER AND THE ANALYSIS OF HARMONIC AND VOICE-LEADING STRUCTURES IN TRADITIONAL TONAL MUSIC

In the analysis of traditional tonal music, attention is paid predominantly to those elements directly related to the tonal profile of a composition, namely, harmony and counterpoint or voice leading. The nature and influence of these elements can be assessed in terms of aspects such as tonal and formal design, tonal directional motions, as well as specific features like motivic design, style traits and so on. It is, however, within the limits of conventional theory and analysis where problems are often encountered in determining the meaning, logic and significance of harmonic and voice-leading events within a given situation. These problems can be attributed to insufficient interpretations of the nature of harmony and voice leading, thereby resulting in inadequate explanations as to their influence on the structure of a composition. Even in discussions of a fairly general nature, the way in which harmony and voice leading are interpreted can lead to certain analytical conclusions which are not always convincing, as has already been observed in some of the findings of scholars concerning Chopin's contribution to the mazurka in Section III above. In dealing with specific analytical objectives, as, for instance, in the topics of this dissertation--an investigation of motivic design and tonal structure in the mazurkas of Chopin--it is essential to have the most effective available interpretation of harmony and

voice leading, if one is to arrive at the most reliable and convincing analytical conclusions.

Voice leading has been mentioned as a determinant of some chord successions, as well as of the function and character of individual harmonies and sonorities with regard to the mazurkas in Section III. It has also been noted that, in order to arrive at an accurate assessment of the tonal characteristics of a composition, consideration must be given to voice leading in conjunction with harmony. It stands to reason that these conclusions must be based on different concepts of the nature of harmony and voice leading than have been generally available.

Conventional theory and analysis have treated harmony and voice leading as separate elements of a composition, not necessarily depending upon each other for their definition or correct interpretation; that is, harmony is considered to be represented by all the vertical elements in a composition, while counterpoint, as Felix Salzer puts it, is confined to so-called independent voice leading and to such techniques as imitation, stretto, canon and fugue, etc. (1) This situation usually has the following analytical consequences: by failing to recognise the significance of voice leading regarding the interpretation of each vertical sonority in a particular progression of chords, theorists and analysts come to view each vertical sonority in a composition purely as **harmonic**. Conversely, counterpoint itself is effected by the conventional attitude with regard to harmony to the extent that linear activity or passing significance is attributed only to those tones which do not fit into a vertical tertian formation. (2)

The most innovative ideas on harmony and voice leading and their integration in a musical structure have been advanced by the early twentieth century Austrian pianist and music theorist Heinrich Schenker (1868-1935). Schenker's ideas on musical structure as developed in his numerous theoretical writings, but especially as demonstrated in his analytic method, may, in spite of arbitrary philosophical notions and historical biases, be regarded as presenting the most comprehensive system to address problems connected with tonal organisation in traditional tonal music.

By way of a general introduction to Schenker and his concepts on tonal organisation in music, Schenker writes as follows in the introduction to his **Free Composition**:

> The cultivation of genius is neither romantic nor living in the past. Rather it is the cultivation of a contemporaneity that bridges time; it is a strong belief in the absoluteness of art and its masters. If, after centuries have passed, only one person is once more capable of hearing music in the spirit of its coherence, then even in this one person music will again be resurrected in its absoluteness. (3)

This forceful conviction as to what constitutes the innate qualities of a musical work of art and that these qualities could be perceived and should be reinstated as the true ingredients of music, may be regarded as central in Schenker's work. Underlying this attitude are the concepts prominent in nineteenth century music theoretical writings as influenced by philosophical, psychological and aesthetic trends of the time, for example, unity, coherence, wholeness etc.

Concerning music analysis, the preoccupation which the nineteenth century had with the nature of genius, posed the

question as to what makes a work of art great, rather than the more general questions as to how it works. (4) From this it may be construed that since only works of genius possessed the quality of structural coherence, comparison of a work with an idealised model of structure or process produced a measure of its greatness. (5) Further, by adding a more general definition of the term analysis as: "that part of the study of music which takes as its starting point the music itself, rather than external factors", (6) we may gain a picture of the situation of which Schenker was a part and see how it helped to shape his own particular ideas and concepts on music. The desire to express and to codify them within musical instruction through the central activity of analysis (7) led Schenker to develop and formulate his unique theoretical principles and analytic concepts embodied in his theory of musical structure, (8) the main constituents of which being the **fundamental structure** or "Ursatz" and the concept of hierarchically ordered **levels of structure**, represented in graphic analyses.

Regarding the nature and purpose of analysis, Schenkerian analysis, by its very nature, can be seen to fulfill the basic premises of analysis if one takes into consideration the primary definition of the latter (that is, "the resolution of a musical structure into relatively simpler constituent elements, and the investigation of the functions of those elements within that structure"). (9) Furthermore, concerning the relationship between analysis and music theory, Bent points out that the statements of music theorists can form primary material for the analyst's investigations by providing criteria against which

relevant music can be examined. {10} In this regard, Allen Forte describes the basic requirements for analysis as established by Schenker's theory as follows: 1) An analysis should endeavour to explain the essential relationships within a composition, their genesis, ordering, interaction and relative importance to the parts and to the whole of the work, and 2) that as part of the analytic venture, a representational means and vocabulary should be developed which accord with the unique characteristics of the work. {11}

Schenker's Ideas and Concepts on Music and Tonal Organisation in Music

First of all, the main ideas and concepts underlying Schenker's analytic system are considered. This will be followed by a brief survey of his work and the literature on it, after which the main components and representational means of his analytic system will be considered in Chapters 2-5.

In addressing some of these ideas and assumptions on music, it will become apparent that, as already indicated above, they are heavily conditioned by Schenker's philosophical and historical attitudes which, at best, can be described as arbitrary and certainly debatable. This is a danger which must always be taken into consideration by the Schenkerian analyst dealing with certain problems to which the method either does not offer clear solutions, or which it simply cannot address adequately because of its built-in limitations. In other words, in spite of the elegant results and rich insights with respect to tonal

organisation in music which can be gained by applying Schenker's method, one must always bear in mind that the method is constructed in such a way that it clearly reflects these attitudes and assumptions. The result is a particularly closed methodology, possessing an extreme "fragility" in that it can show only those kinds of analytic results which Schenker intended it to show. (12) I do not propose to investigate in detail the implications of Schenker's analytical assumptions for the general validity of his system. For this, the reader is referred to the available critical literature. (13) It is, however, necessary to present some of his ideas on music in order to gain a better understanding of the origins of his analytic concepts. Apart from the justification of Schenker's method as the best available model for the analysis of harmonic and voice-leading structures in traditional tonal music, this overview will enable the reader to follow the analytic interpretations of aspects related to motivic design and tonal structure in the mazurkas which are to be presented later on, as well as to read and interpret the graphic presentations and comprehend their meaning and musical message.

Music as an Art: its Organisation, History and Elements

Firstly, it must be recognised that Schenker's definition of music as an art underlies all his subsequent views and forms the genesis of his analytic theories and concepts. To Schenker, music as an art had to be based on the organisational possibilities of tones themselves in the absolute sense without

the assistance of any secondary source such as text, programme, colour, texture etc. (14) This bears out what was already presented above as one of the basic properties ascribed to music by Schenker (see the quotation at footnote 3). In his "Kontrapunkt" 1, Schenker writes the following to this effect:

> The absolute character of tones automatically emancipates the life of tones from every external purpose, be it the word, the stage, or any kind of anecdote of a program. The innate calm of tones forces the obligation on the composer to acclimate himself to the characteristic life of tones, and makes every purpose with which music can be associated become secondary. In other words, the arrangement of a secondary objective must never be the uppermost factor that would have to be protested through (mostly unwanted) bad effects of tonal life itself! (15)

Oswald Jonas also makes the following faithful observation concerning this conviction of Schenker: "Lacking any association with the outer, spatial world, lacking purpose, the tone conjures up only the tone itself". (16)

These absolute qualities ascribed to tones are, according to Schenker, traced back to the **chord of nature** (the major triad) in the overtone series, and its compositional unfolding in time by means of the principles of voice leading (17) as expressed in strict counterpoint. In this regard, Schenker writes the following in the foreword to the first volume of his **Das Meisterwerk in der Musik**:

> The Nature-idea of the triad, the art-idea of the Auskomponierung of this chord, consummation in the transformation of a single chord into many by means of prolongations through voice leading, the emergence of form by way of the transpiring course of the Urlinie--all this comprises the masterwork. (18)

(The terms **prolongation** and **Urlinie** in this quotation will be

explained shortly, while a brief explanation of Schenker's theory of form in relation to his concepts of musical structure is presented in Part Two, Chapter 9.) Schenker must therefore be regarded as an absolute music purist in terms of the nineteenth century programme/absolute music debate.

Fulfilling this first prerequisite of music as art, Schenker believed that music possesses its own inherent associations, that is, a basis in nature, and the principle of **repetition**, (19) whereby musical components could be replicated at various points within the structure of a composition, not in a successive manner, but rather as organic outgrowths of an underlying fundamental musical structuring component. The principle of repetition in art is also the main idea behind Schenker's concept of the **motive** and how it operates in music (see Chapter 2). In this regard, he writes: "The motif, and the motif alone, creates the possibility of associating ideas, the only one of which music is capable. (20)

From this it follows that music had to be organically structured, (21) a process which Schenker demonstrated through his concept of large-scale structure, (22) comprising the fundamental structure or Ursatz, and his concept of organically **composed-out** levels of structure. The Ursatz represents a large-scale harmonic/contrapuntal model, signifying the overall tonal structure of a composition, whereas the levels of structure represent the further compositional elaboration of this model, each subsequent level being an elaboration of the previous one (in this regard, see the complete series of analytic graphs of the mazurka Op. 33, no. 2 in Chapter 6). As to the general

concept of structural levels, Allen Forte writes that it provides a hierarchical differentiation of musical components which in turn establish a basis for describing and interpreting relations among the elements of any composition, from the moment-to-moment events at the surface of the music to the connections of longer range that ensure continuity and coherence over the span of the entire composition. (23)

Already from these preliminary observations concerning the nature of music and its principal means of organisation, the vital importance for Schenker to demonstrate organic unity or tonal coherence in music by means of analysis based on new theoretical perspectives, emerges clearly. In essence, the notion of organic unity in music as advanced by nineteenth century music theorists, particularly Moritz Hauptmann, concerned the characterisation of the whole and its parts achieved by means of a harmonic/rhythmic architecture based on a general harmonic plan and the hierarchic differentiation of modulations within that plan presenting a work which is controlled by a single tonality. Schenker, in basing his theories on strict counterpoint and the harmonic scale step (see below), as well as adhering to the ideas of Hauptmann and others, developed a systematic analytic method by taking extended patterns of harmonic organisation and combining them with melodic or voice-leading patterns in hierarchical structural relationships, eventually producing a set of stereotypical models for organic unity in music--his fundamental structure. (24) Once again, in the introduction to his **Free Composition**, Schenker writes the following to this effect:

> ... I here present a new concept, one inherent in the works of the great masters; indeed, it is the very secret and source of their being: the concept of organic coherence.

He then indicates three basic procedures which form an instructional plan for providing, as he puts it, "a truly practical understanding of this concept", namely, instruction in strict counterpoint (according to Fux-Schenker), in thorough bass (according to J. S. and C. P. E. Bach), and in free composition (Schenker). Following this, he writes:

> Free composition, finally, combines all the others, placing them in the service of the law of organic coherence as it is revealed in the fundamental structure (fundamental line and bass arpeggiation) in the background, the voice-leading transformations in the middleground, and ultimately in the appearance of the foreground. (25)

(Further information concerning the role of strict counterpoint and free composition in Schenker's theory, as well as on background, middleground and foreground, follow in the course of the present chapter and in the subsequent chapters of Part One.)

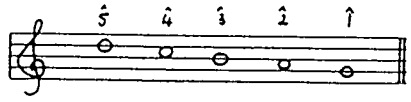
Composing-out and Prolongation

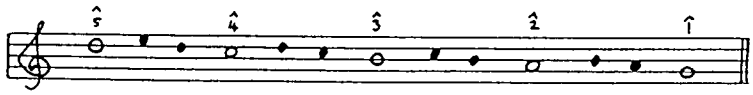
Basic to the fundamental structure and its relation to the details of a piece are the principles of **prolongation** ("Prolongation") and **composing-out** ("Auskomponierung"). According to Schenker, "composing-out shows voice leading as the means by which the chord, as a harmonic concept, is made to unfold and extend in time". (26) Prolongation refers to the extension of a single note or harmonic entity by means of the composing-out process.

The simplest and most direct illustration of these principles is given in Example 1.1, consisting of a major triad, first presented vertically at (a), and then horizontally in the form of a descending linear motion filling in the triad at (b). From this, it is clear that through the linear motion, the triad is not only prolonged, but also extended in time. In addition, any note of the triad or notes associated with its elements--passing tones as in the case of the linear motion at (b)--can be prolonged by means of further linear figurations, another form of which is shown at (c). In this instance, each of the notes of the horizontal linear unfolding of the triad are seen to be prolonged by means of embellishing neighbour figures, with a significant further result that the content of (b) can still be traced at (c), but on a level beneath the musical surface. Consequently, it is also clear that the content at (c) may still be regarded as extending the same major triad--but now over an even longer time span--because of the added voice-leading figurations to each note of the descending linear motion. At the same time, there is an organic relationship between the content of all three examples by means of the prolongation of elements at more than one level of the musical structure, which itself demonstrates the process of composing-out.

Example 1.1.

(a) 

(b) 

(c) 

It is therefore through the principles of composing-out and prolongation that levels of structure can be conceived: all events are interrelated, and all parts function to the benefit of the whole, (27) attesting once again to the role of these concepts in the demonstration of organic unity and tonal coherence. At this point it must also be stressed that organic unity, as realised by Schenker, is linked to tonal structure and its development through the concept of structural levels. Thus, through the principles of composing-out and prolongation new perspectives are to be gained not only on the tonal structure and organisation of a composition, but also with regard to the meaning and significance of each individual element of that composition in relation to its overall harmonic/voice-leading structure and profile.

The Concept of Reduction

In view of Schenker's demonstration of the organically structured and unified composition, for the moment consideration must also be given to the concept of **reduction**, which is a basic device in Schenkerian analysis, and linked to the concept of prolongation. The analytic technique of reduction is the process

whereby musical detail is reduced in order to reveal underlying content. The notion of reduction can, however, not be directly attributed to Schenker alone; it has been a procedure followed through the course of Western music history by a great number of music theorists in numerous theoretical writings. (28) Schenker, in drawing from this tradition, extended the notion of reduction considerably in service of the demonstration of organic unity. (29) For him, reduction became the analytic technique by which the complex structure of a composition could be traced to its foundation, that of the strictest diatonic voice leading. The purpose of this technique then is to retrace the process of composing-out. The reduction technique has also been described by Forte as the means by which Schenker revealed and articulated tonal organisation. (30)

The History and Evaluation of Art Music

Schenker's view of the history of art music also reflects his bias towards the absolute content of music. In addition, the concept of organically structured composition was itself a process of evolutionary development for Schenker, in that a synthesis of horizontal and vertical elements had to be reached in order to arrive at a state of absolute diatonic musical organic synthesis (31) in the history of music. For Schenker, this culminating period in the development of art music occurred in the eighteenth and nineteenth centuries, mainly in the works of the German masters from J. S. Bach to Brahms. Consequently, in his evolutionary historical scheme, early music, or the music

before Bach was regarded as still imperfectly evolved, and the music after Brahms as decadent. ("(Schenker) held that the history of music before 1700 represents a struggle, largely unsuccessful, on the part of the creator to free himself from bad theory, that during the period from 1700 to 1900 the great composers flourished despite the increase in bad theorists (exceptions among the latter being C. P. E. Bach and, with reservations, Johann Joseph Fux), that following the death of Brahms, music has gone into an infuriating decline, despite the presence of one inspired theorist".) {32}

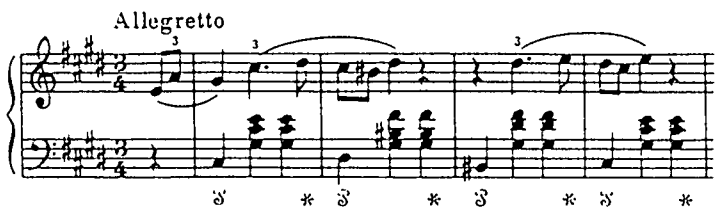
The Nature of Harmony and Counterpoint

Schenker's ideas on the nature of harmony and counterpoint were not only fundamental in the development of his theory of musical structure, but are of decisive importance for the interpretation of the harmonic and voice-leading content of a composition. In developing these concepts, Schenker firstly drew on strict counterpoint and figured bass practice as presented in the writings of Fux and C. P. E. Bach, which he associated with the notion of **diminution** (figuration of a single, correct underlying harmonic/voice-leading entity (see Chapter 2)). The underlying assumption is accordingly that the complex elaborated surface of a freely composed work can be understood to rest on the foundation of the strictest diatonic voice leading. Secondly, Schenker drew on Fundamental bass theory, essentially the "Stufentheorie" or **scale step theory** of Simon Sechter (c 1850). {33} The "Stufe" is a harmony of larger scope and not

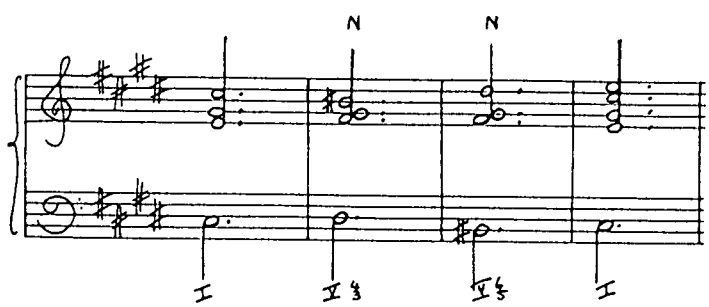
necessarily identical with a single chord, especially one that may simply be the result of linear motions and have no long range implications. (34) Therefore, according to this concept, some chords can be understood as passing or linear (that is, as serving voice-leading or contrapuntal purposes), rather than purely harmonic ones (that is, chords of cadence-structuring significance, and chords which procreate new content and/or to which passing content leads). (35)

To illustrate this idea, Examples 1.2a and b present the opening bars from one of Chopin's mazurkas (Op. 63, no. 3).

Example 1.2a. Chopin, Mazurka Op. 63, No. 3, Score, Bars 1-4

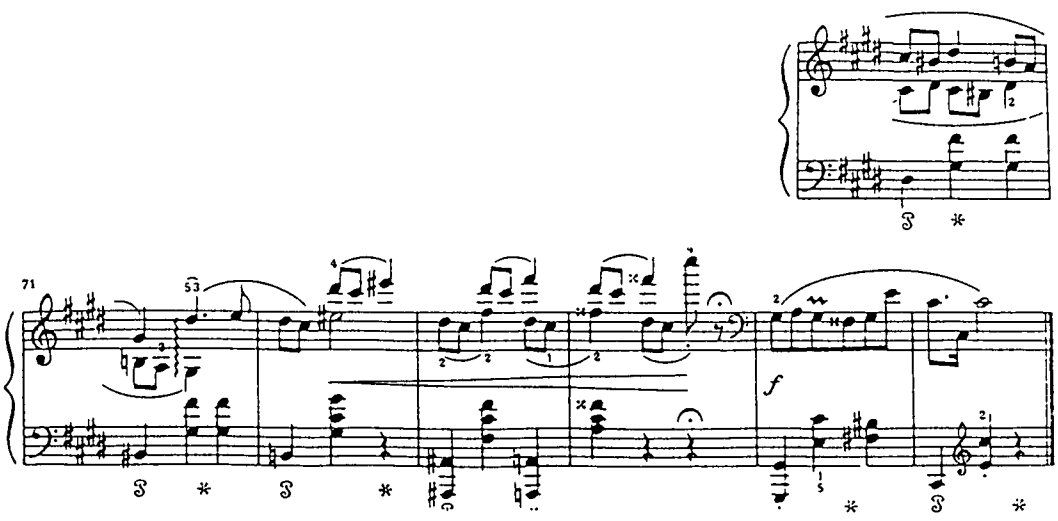


Example 1.2b. Mazurka Op. 63, No. 3, Harmonic Reduction, Bars 1-4

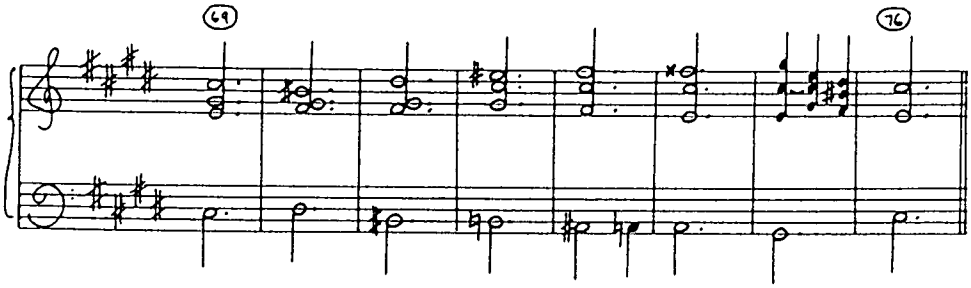


Two dominant seventh harmonies (in second and first inversion respectively), are seen to embellish a single C-sharp minor tonic harmony appearing at the beginning and end of the passage, this tonic being recognised here as a Stufe. Looking at the harmonic reduction of these bars at (b), it is clear that the two dominant harmonies result purely from linear voice-leading activity, since their outer voices function as upper and lower neighbour notes in relation to the first and third degrees of the tonic triad. This is also one of the reasons why the passage does not give the impression of an authentic cadential progression. The two dominant harmonies can therefore not be interpreted as harmonically equal to the tonic. At the conclusion of the same mazurka, the motion from the tonic to the cadential dominant is effected by several intervening harmonies which are the result of a descending linear motion in the bass, filling in the space between I and V (see Examples 1.2c and d). In this instance, therefore, only the first tonic, the cadential dominant and the closing tonic are regarded as Stufen, since they constitute the harmonic framework of the closing bars.

Example 1.2c. Mazurka Op. 63, No. 3, Score, Bars 69-76



Example 1.2d. Mazurka Op. 63, No. 3, Harmonic Reduction, Bars 69-76



Schenker thus distinguished between chords as members of a harmonic progression (Stufen), and chords serving some other purpose to its logical conclusion, and explained the essential process of all music as deriving on several levels at once from this idea. Schenker therefore assigns to harmony only the abstract guiding power of the scale steps, {36} while counterpoint (that is, voice leading), represents the means of connecting the true scale steps.

The Concept of Tonicisation

A further important consequence of the concept of the harmonic scale step for Schenker is its role in connection with the adequate explanation of the function of subsidiary key areas within the main tonality of a composition. By supplying a particular harmonic scale step with its own dominant, it can itself become a temporary tonic--the process of **tonicisation** ("Tonikalisierung"). This concept of the tonicised scale step within the tonality, replaces, in Schenker's view, the notion of arbitrary keys other than the tonic within one composition. {37}

A tonal composition can thus be explained, according to Forte, as being always within a single tonality within which the process of tonicisation serves to form coherent and organic surface features that interact with the deeper musical structure. (38) It is the principle of the harmonic scale step and the concept of tonicisation that must be regarded as the corner-stones in the development of Schenker's concepts of composing-out and prolongation. A more detailed consideration of these aspects will be undertaken when dealing with Schenker's analytic system during Chapters 2-4, as well as in the subsequent mazurka analyses in Part Two, Chapters 7-12.

Preliminary Information about Schenker's Graphic Notational System

At this point it is appropriate to consider briefly the representational means that Schenker devised for his analytic system, since there is an important relationship between the method of presentation and Schenker's overall concept as to what his analyses represent (in this regard, see also Allen Forte's reference to Schenker's representational method as one of the basic requirements for analysis established by Schenker's theory, as presented above).

Schenker demonstrated the musical content of a composition by means of a system of graphic notation which takes the form of sets of carefully worked out and often elegant graphs of the harmonic and voice-leading content of that composition. These graphic analyses are constructed in accordance with the concept

of structural levels, in that the various stages in a composition's organic structure can be clearly delineated in the graph. Especially evident, however, is the relationship between Schenker's graphing method and his vision of the total organically structured work of art. With this in mind, Felix Salzer writes as follows in his introduction to Schenker's **Five Graphic Music Analyses**:

> An analytic approach which centers on the recognition of each detail in relation to the totality or total organism of a work needs a different way of demonstration. (39)

In the introduction to the English edition of Schenker's **Der freie Satz (Free Composition)**, Allen Forte also mentions the fact that Schenker's graphic methods were developed concurrently with his powerful concepts of musical structure, and that he invested them with singular importance. The most significant statement as to the role of the graphic presentation, however, is given by Schenker himself in **Free Composition** where he writes: "The graphic presentation is part of the actual composition, not merely an educational means". Forte concludes that "they are not to be regarded as merely pedagogical devices, but rather as accurate representations of the musical structures". (40)

Schenker and Some of his Contemporaries

Before coming to a survey of Schenker's work and the main literature in this regard, it will be illuminating to consider briefly a few aspects related to some of the basic assumptions underlying Schenker's concepts of musical art, as well as the

main components and representational means of his theory of musical structure, in the writings of some of his contemporaries, indicating how his thoughts were appropriate to, or characteristic of that generation. Although this is by no means an adequate account of the analytic concepts of Schenker's contemporaries, this overview will help to give a better perspective on Schenker's work, especially regarding the origins of his ideas and concepts, since, in the light of the seeming revolutionary nature thereof, there is often a tendency (especially among Schenkerian scholars), to exaggerate--even to the point of absurdity--the uniqueness of Schenker as opposed to the insignificance of his contempraries.

August Otto Halm (1869-1929), inspired by Schopenhauer, asserted the autonomy of music, dissociating it from the other arts. (41) Ernst Kurth (1886-1946), influenced by the ideas of the "Gestalt" psychologists, saw three levels of activity in musical creation: 1) the **Will**, in the form of kinetic energy; 2) the psychological, drawing from this energy to produce a play of tensions; and 3) the accoustical manifestation. These activities were the essential elements of his concept of the **Linear**, embodied in his theory of **linear counterpoint**. According to this theory, music is seen as a texture made up of lines, each of which is powered by kinetic energy. (42) Although Kurth's concept of levels did not involve structural differentiation of musical content as in Schenker's case, the psychological factors underlying them nevertheless have a bearing on the way in which musical structure is perceived by Schenker. In **Free Composition**, for example, Schenker equates his designation of three broad

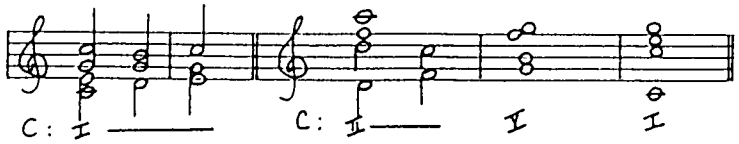
levels of musical structure (**background**, **middleground** and **foreground**), to "origin, development and present". (43) Furthermore, the importance of the linear element in music for Kurth is relevant to Schenker's notion of counterpoint as representing an aspect of music more elemental than harmony. (44) Finally, also influenced by philosophical concepts, notably those of Schopenhauer, Kurth maintains in his theory of musical form, for example, that form is not a static pattern, but a creative process. (45) As will be noted at the beginning of Chapter 9 where a brief account is given of Schenker's form theory, he viewed form as a similar process as did Kurth, but, in Schenker's case, as being generated by the various composed-out structural levels of a composition.

Arnold Schering (1877-1941), in his examination of the fourteenth century Italian madrigal, employed reduction techniques closely allied to those applied in Schenkerian analysis. (46) The work of Hugo Riemann (1849-1919) contains the beginnings of a view of large-scale linear structure resembling that of Schenkers', where, for example, in isolating particular notes from a larger melodic continuum, it served to reveal a more fundamental underlying linear structure. (47) Riemann's belief that all significant features of a tonal composition must express the content of a single underlying key, (48) is basic to the development of Schenker's fundamental structure and what it represents in music (see Chapter 3).

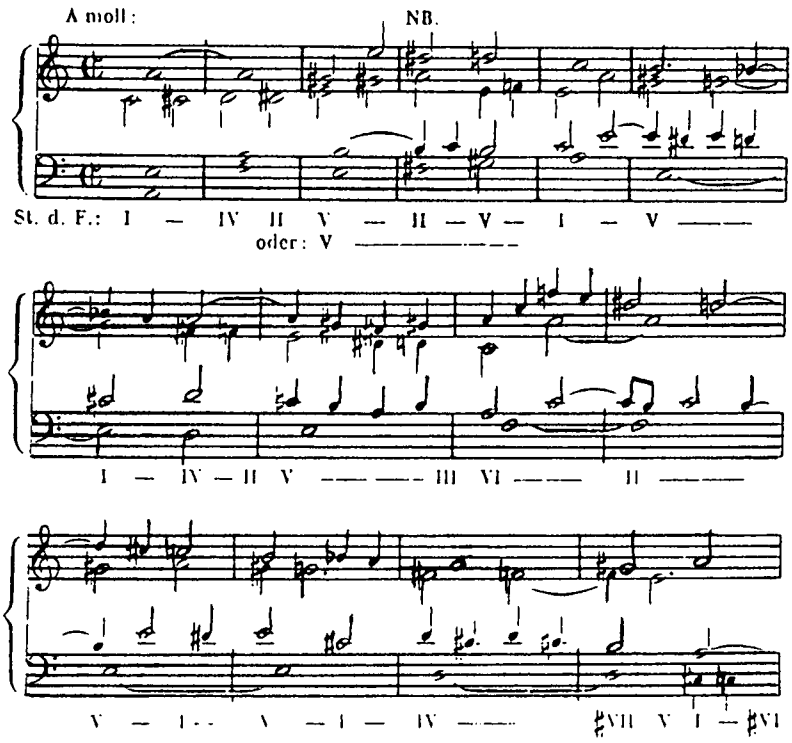
The influence of Moritz Hauptmann and Simon Sechter has been mentioned with regard to Schenker's notions of organic unity and the harmonic scale step. It would, however, be interesting to

mention a few additional aspects in the work of these theorists to see how closely these are related to some of Schenker's basic analytic concepts. In Hauptmann's work one finds, for instance, the idea of the expansion of the harmonic progression I-V-I to the level of key area, and the insistence of I-V-I as the only proper form or framework for modulation, in other words, the transfer of characteristic chord progressions to plans of modulation. In Sechter's fundamental bass harmonic theory there are four points especially significant to Schenker's work, beyond the obvious taking-over by the latter of the Roman numeral method of notation of chord roots: 1) Certain chords are understood not as **harmonies**, deserving a fundamental bass note, but as passing chords or chords resulting from a combination of arpeggiation and passing tones, etc. (see Example 1.3); 2) chromatic chords are understood to be based on simpler, diatonic fundaments (Example 1.4); 3) a single fundamental can represent a degree which is "tonicised" (not Schenker's word); its control expanding to several subsidiary chords (see Example 1.5, where the second and third examples are derived from the first and have the same fundamental bass); and 4) a single melodic line can be "reduced" (again, not Schenker's word) to its harmonic content with voice leading in several parts (see Example 1.6). (49) The real significance of these ideas and illustrations for Schenker's analytic system will become more fully apparent when considering his system and its application to the harmonic and voice-leading content of Chopin's mazurkas in more detail from Chapter 3 onwards.

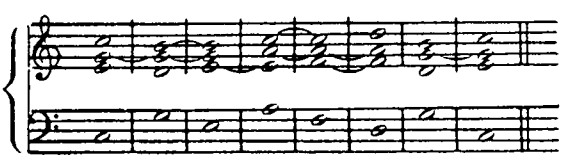
Example 1.3.

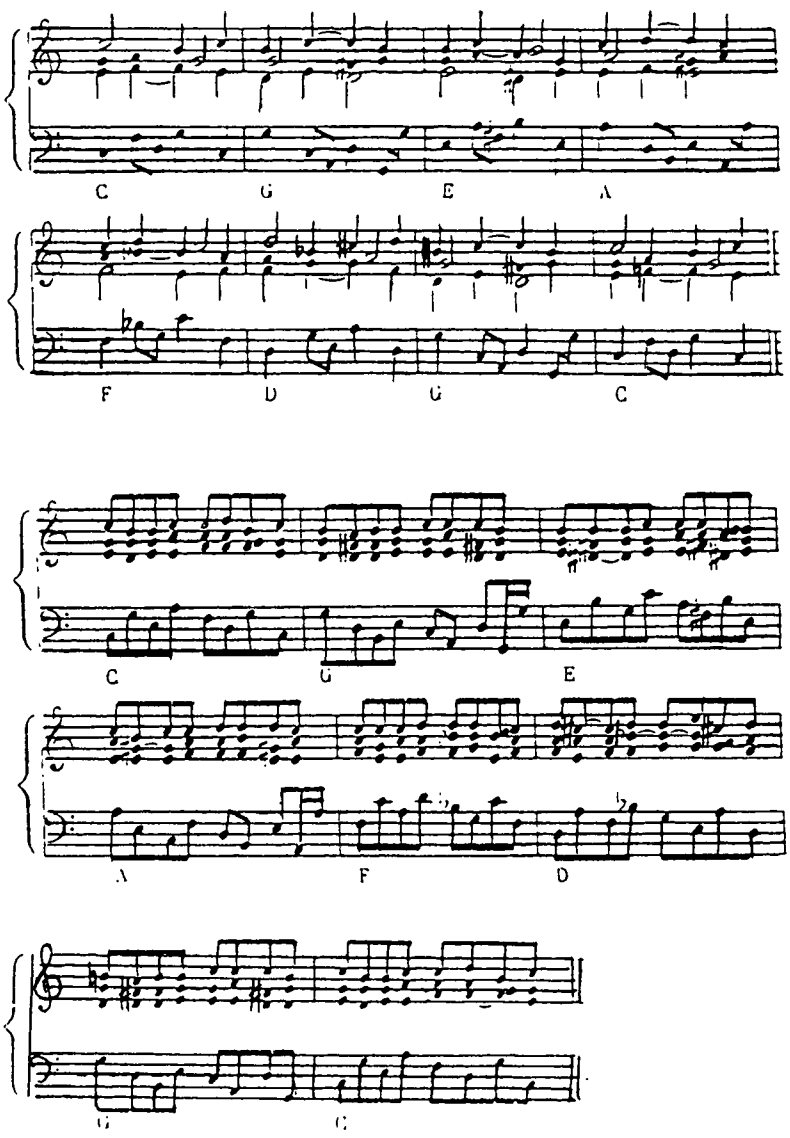


Example 1.4.

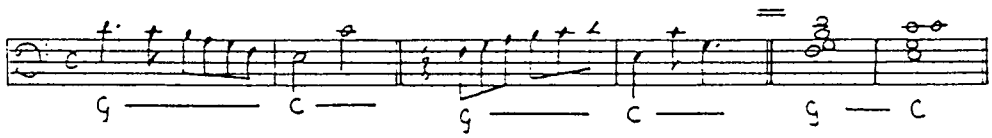


Example 1.5.





Example 1.6.



Finally, regarding representational means in analysis, the work of Lorenz deserves mention for his use of graphic and tabulatory techniques, as well as special analytic symbols and diagrams, each of these procedures representing a specific

element of a composition. (50)

A Survey and Assessment of Schenker's Theoretical Writings

Having considered the fundamental principles and concepts underlying Schenker's analytic system, it should be evident that these were the results of years of study of the nature and elements of tonal music. At the same time, Schenker's theoretical writings reveal a clear picture of the conception and development of his theoretical principles and analytic concepts, as well as the concurrent development of a special analytic vocabulary and representational means. An awareness of the evolution of all these principles and concepts will facilitate a better understanding of their meaning and significance and the analytic perspectives which they can provide. It will therefore be instructive to examine the evolution and development of Schenker's theoretical concepts by tracing them through his most important theoretical writings, while simultaneously offering a broad survey of these writings. Before coming to this, however, a brief consideration of a few biographical details of Schenker is provided, since they reveal the nature of his activities which were instrumental in the development of his theory of musical structure.

Biographical Details

Heinrich Schenker was born in Wisniowczyki, Galicia, June 19 1868 and died in Vienna on January 13 1935. As a youth he

demonstrated great talent as a pianist and received encouragement from Carl Mikuli, a student of Chopin. Having been awarded an imperial scholarship which enabled him to study under Bruckner at the Vienna Conservatory, he subsequently moved to Vienna. He also earned the doctorate of laws degree at the University. He became prominent in Vienna as a song accompanist, chamber music performer, critic and editor. In addition, he was also active as conductor and composer. His compositions gained the approval of Brahms who recommended them to his publisher Simrock. During the 1890s Schenker wrote essays in musical criticism for various periodicals in Berlin, Leipzig and Vienna. Two important factors emerged as a result of these writings: his dissatisfaction with traditional theoretical training and the unsatisfactory attempts to define qualities of unity and wholeness in literary terms alone. These factors led Schenker to the study of the masterworks, as well as the theoretical literature of the eighteenth and nineteenth centuries, notably the writings of C. P. E. Bach, Fux, Kirnberger and Rameau who served as points of reference with which to agree or to reject. It was during this process that thorough-bass revealed to him the kinship with vital compositional practices that he had found lacking in the theories of the Rameau system, which, via Sechter, Bruckner's teacher, had come down to Schenker. {51}

Schenker's Publications

Schenker's publications may be grouped into three principal areas, 1) theoretical writings, 2) editions of music and 3)

essays and reviews. A comprehensive list of these publications has been compiled by David Beach. (52) For the present purpose, only Schenker's theoretical publications are considered, starting with the series entitled **Neue musikalische Theorien und Phantasien**. (53) This main series in his theoretical output was published intermittently over a period of about 30 years and comprises three volumes: Vol. 1, **Harmonielehre** (published in 1906), Vol. 2, **Kontrapunkt** 1 and 2 (published in 1910 and 1922 respectively), and Vol. 3, **Der freie Satz** (published in 1935).

Referring to these publications Beach writes as follows:

> This series ... represents the full cycle of development and transformation of Schenker's conception of musical structure. The growth of his most important concepts can be traced from their initial statements in his Harmonielehre to their final form of expression in Der freie Satz. (54)

Furthermore, these volumes were also designed to instruct in the traditional disciplines of harmony, counterpoint and form. Schenker's innovation, however, is that this instruction is so designed that it leads step by step to an understanding of the tonal work in all its complexity. To this Beach writes: "For it is in Schenker's approach to this material that we find a radical departure from the past".

Harmonielehre

The importance of **Harmonielehre** lies in the fact that it contains many of his less conventional ideas in their initial stages of development. Of primary importance here are his concepts of the **scale step** (Stufe) and the process of

compositional unfolding (Auskomponierung). The application of these ideas to increasingly broader levels of compositional structure eventually led to Schenker's concept of the fundamental structure (Ursatz) in **Der freie Satz**. Another important contribution contained in **Harmonielehre** is the distinction between tonicisation and modulation, this being a direct outgrowth of the concepts of scale step and composing-out noted earlier.

Kontrapunkt

The two volumes of **Kontrapunkt**, besides being a complete treatise on species counterpoint, can also be regarded as a history of counterpoint pedagogy, in that it includes numerous references to the classical treatises (Fux, Albrechtsberger, Bellermann, Cherubini), as well as criticisms of the existing approaches to the subject. Schenker believed that the true significance of counterpoint and counterpoint pedagogy had gone unrecognised for years and sought to restore the proper perspective. **Kontrapunkt** therefore represents a systematic study of fundamental problems of voice leading within the framework of strict composition. Of primary significance here is the fact that Schenker incorporates his concepts of musical structure and motion, first stated in his **Harmonielehre**, into this discussion. Part One represents two part writing and the various procedures connected to it, while Part Two begins with a continuation of these procedures as applied in counterpoint of three, four and more parts. The final section of Part Two, which Schenker

entitled "Uebergange zum freien Satz" (transition to free composition), is significant in the development of his conception of musical structure, in that he shows the relation between strict and free composition by approaching the latter through so-called mixed species. This section can be seen as the forerunner of those ideas and concepts presented and formulated in his final work and culminating statement, **Der freie Satz**.

Der freie Satz

What was to be Part Three of **Kontrapunkt**, was published as **Der freie Satz** shortly after Schenker's death in 1935. The work is divided into two volumes, consisting of the text and musical examples respectively. Although the title might suggest a book on compositional method, it is in reality a study of structure in tonal music. In it, Schenker shows how counterpoint combines with harmony and other musical elements such as rhythm, to form a musical composition. The concepts presented in this work are the final synthesis of those contained in his earlier publications. Of central importance here is his concept of large-scale structure, described in terms of the **Urlinie** (fundamental melodic line), the **Ursatz** (fundamental structure or composition), and the most general concept, that of **Schichten** (structural levels), these being presented here in their final form. Schenker's representational devices in the musical example volume have also reached a degree of refinement which renders lengthy verbal commentary unnecessary. The book is divisible into three parts, corresponding to Schenker's designation of three broad levels of

musical structure, **background**, **middleground** and **foreground**. (55) The final two chapters of Part Three deal with Schenker's concepts of rhythm and meter (Chapter 4), and form respectively (Chapter 5).

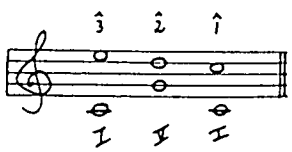
Complementary Publications to Neue musikalische Theorien und Phantasien

Although the concept of large-scale structure may be seen to have developed primarily through the writings in this series, the actual development of the fundamental structure and levels of structure took place in what may be described as Schenker's complimentary publications to **Neue musikalische Theorien und Phantasien**. These comprise the following: 1) A monograph on Beethoven's ninth symphony (1912); 2) the explanatory editions of the late Beethoven piano sonatas (Opp. 109 (1913), 110 (1914), 111 (1915) and 101 (1920 (each of these meant as an extended introduction to Schenker's new edition of the Beethoven piano sonatas)); 3) **Der Tonwille** (consisting of ten issues and published between 1921 and 1924); 4) **Das Meisterwerk in der Musik** (a second set of journals in three volumes published in 1925, 1926 and 1930); and 5) **Fünf Urlinietafeln** (published in 1932 and later translated as **Five Graphic Music Analyses**). Some of these publications will be noted briefly in connection with their role in the development of the above mentioned concepts. (56)

The notion of an Urlinie or fundamental melodic line in a composition was first mentioned by Schenker in the introduction

to his explanatory edition of Beethoven's piano sonata Op. 101 (1920). This melodic structure was initially defined by Schenker as a diatonic line derived by analytical reduction when the upper voice elaborations are removed. The Urlinie thus initially consisted of successions of short melodic progressions, each spanning several bars and representing a more fundamental structural component. {57} In **Der Tonwille** the notion of the Urlinie was developed quite extensively where Schenker also quoted most of his introduction from the Op. 101 publication. This development continued through the essays of **Das Meisterwerk in der Musik**. Subsequently the Urlinie was extended to span the upper voice of an entire composition. At the same time, it was coordinated with the large-scale structural bass arpeggiation ("Bassbrechung") ascending from tonic to dominant and returning to tonic, {58} thus forming the fundamental structure (Ursatz), presented finally in **Der freie Satz**. Example 1.7 shows one of the three basic forms of fundamental structure, comprising a $\hat{3}$-$\hat{2}$-$\hat{1}$ motion in the fundamental line along with the I-V-I bass arpeggiation (for more information on the fundamental structure, see Chapter 3).

Example 1.7. Fundamental Structure from $\hat{3}$



The concept of structural levels which was basic to the development of large-scale structure, was first set forth by

Schenker in the analyses of **Der Tonwille**, (59) this being in conjunction with the further development of the Urlinie in the same periodical. At the same time, Schenker's reduction technique in these early analyses only served to reveal sublevels within the foreground and to a certain extent the middleground. This also corresponds with the profile of the Urlinie of 1921 (**Tonwille**), the latter being more what Schenker would ultimately designate a "Zug" (**linear progression**) at the middleground level. (60) (In this regard, see Linear Progressions in Chapters 4 and 5.) The subsequent extention of the content and meaning of levels of structure in a composition led to Schenker's final formulation of the fundamental structure and its relation to the details of a composition, as demonstrated in **Free Composition** and illustrated in **Five Graphic Music Analyses**. Thus, the evolution of the concept of large-scale structure as it took shape through the initial concepts of the Urlinie and levels of structure, leading finally to the broadening of the concept of structural levels and the extention of the fundamental line principle in conjunction with large-scale harmonic motion, can be seen to have taken place primarily through these complementary writings.

Literature on Schenker's Analytic Theory and Method

In concluding this survey of Schenker's work, a few details concerning subsequent publications dealing with his analytic theory and method are appropriate. This will assist the reader in coming to terms with the usability and value of these sources both for further study and a better comprehension of Schenker's

ideas and concepts.

The first publication dealing with Schenker's theory was that of Oswald Jonas entitled **Das Wesen des musikalischen Kunstwerks: eine Einfuehrung in die Lehre Heinrich Schenkers** (1934). (61) This title is an accurate assessment of what Jonas intended the book to be, namely, an introduction to Schenker's theories for the general reader. The importance of this work lies in the fact that Jonas (a student of Schenker) provides further information about Schenker's most important concepts in an effort to clarify and interpret them in his own terms. (62) The book focuses on Schenker's concept of composing-out and the specific techniques by which it is executed. There is, however, little detailed discussion of Schenker's theory of structural levels and no rigorous characterisation of the three broad categories of background, middleground and foreground levels. (63)

A second book published in 1945 was that of Adele Katz entitled **Challenge to Musical Tradition**. (64) Although Schenker was already known in the USA through the teaching of his method and some reviews concerning his ideas and writings, this book was the first extensive treatment of Schenker in that country. (65) It is divided into discussions of a variety of composers in presenting a picture of the possibilities afforded by the tonal system, as well as an introduction to the techniques of the polytonal and atonal systems, investigated in order to find a new concept of tonality which they express. This latter feature is important, in that it already predates Felix Salzer's attempts regarding the analysis of compositions after Brahms (this having been outside Schenker's own sphere of activities as a result of

his evolutionary view of music history referred to above). Throughout the book the basic terminology associated with Schenker's ideas and a sketch technique derived from his method of graphic representation are both in evidence. (66)

Before coming to Salzer's already well-known **Structural Hearing**, attention should be paid to his earlier book **Sinn und Wesen der abendländischen Mehrstimmigkeit**, (67) an interesting publication in which Salzer explores music before Bach from a conservative Schenkerian point of view, that is, still taking Schenker's position regarding the music before Bach as being imperfect. (68) This is different from the position which he assumed later in his second book which became widely known, namely, **Structural Hearing**. (69) Until fairly recently this book was the only textbook in English which covered Schenker's theories extensively. Like **Der freie Satz**, this book is also published in two volumes, vol. 1 containing the text, and vol. 2 consisting of numerous analyses of compositions ranging from the middle ages to the present. Many of Schenker's ideas are used by Salzer in the discussion and analysis of pre-tonal as well as modern works. The primary motivation behind **Structural Hearing** was the organisation of Schenker's ideas into textbook format. (70) A large number of concepts essential to Schenker's analyses are, however, never introduced explicitly in the book, for example, the idea of structural levels. With this in mind, Milton Babbitt, in his review on **Structural Hearing**, stresses that it was not intended to be a substitute for Schenker's own work. (71)

The most important recent textbook on Schenkerian analysis was

published in 1982 as **Introduction to Schenkerian Analysis** by Allen Forte and Steven Gilbert. (72) The authors intended it to serve as a basic textbook on Schenkerian analysis, and present detailed and comprehensive discussions and illustrations of Schenker's analytic concepts and techniques. The book is divided into three parts. Part One presents a survey of basic concepts of Schenker in connection with harmony and voice leading, while Parts Two and Three focus on the development and application of ideas that are more specifically Schenkerian. The book is also intended to cover basic form structures and this feature has been used in the organisation of the material. (73)

Finally, two more publications on Schenker deserve to be mentioned. The first is a comprehensive article by Allen Forte entitled "Schenker's Conception of Musical Structure", first published in the second volume of **Journal of Music Theory** (1959), and subsequently republished in **Readings in Schenker Analysis and Other Approaches** by Maury Yeston. (74) This introductory article on Schenker's theoretical activities and analytic system came at a time when, apart from **Structural Hearing**, no publications of this nature were available in English. In it Forte covers the subject from the influence of previous theorists upon Schenker to (at that time) yet unresolved questions posed by Schenkerian theory. Careful definitions of Schenker's basic concepts and terms are presented, as well as a detailed explanation of a typical analytic sketch. (75) It also gives an account of Schenker's attitude towards musical performance and music education, as well as focusing on his pedagogical activities and his work as editor.

The second publication appeared as recently as 1988, namely, an English translation of Felix-Eberhard von Cube's **Lehrbuch der musikalischen Kunstgesetz**, by David Neumeyer, George R. Boyd and Scott Harris, published as **The Book of the Musical Artwork: An Interpretation of the Musical Theories of Heinrich Schenker**. {76} Von Cube was one of the very few of Schenker's serious students who did not emigrate to the United States in the 1930's. No definitive data can be assigned to the original manuscript which remained unpublished. The book was begun in 1934, but work on the main text of its two volumes was executed mostly between 1947 and 1955. Appendices were added as late as the 1970's, and the authors' final note is dated January 4, 1980. In its character and effect, Von Cube's book goes far beyond the pedagogical: In Part 1 (as the material is arranged in the translation), he develops a careful argument for the acoustical foundations of Schenker's theory. Part 2 is a concise, tabular presentation of essential elements of the theory in the context of an "entelechical" concept of music. Part 3 offers annotated analytic sketches; it has more complete analyses of pieces, covering a wider range of the historical repertory, than any other source. {76}

After this overall survey of Schenker and his work, attention will now be focused on his analytical system in more detail during the following five chapters. This is done for the sake of more direct confrontation with the application of his ideas and concepts and to assess their meaning and significance for the detailed analyses of selected Chopin mazurkas, which follow in Part Two.

NOTES

1. Felix Salzer, **Structural Hearing: Tonal Coherence in Music** (New York: Dover Publications, 1982), 14.

2. Sylvan Kalib, **Thirteen Essays from the Three Yearbooks "Das Meisterwerk in der Musik" by Heinrich Schenker: an Annotated Translation** (Northwestern University, 1973), Vol. 1, 422.

3. Heinrich Schenker, **Free Composition**, translated and edited by Ernst Oster (New York and London: Longman, 1979), xxiv.

4. Ian D. Bent, "Analysis" in **The New Grove Dictionary of Music and Musicians**, Ed. Stanley Sadie (London: Macmillan Publishers, 1980), Vol. 1, 342.

5. Ibid., 343.

6. Ibid., 341.

7. Allen Forte, "Schenker's Conception of Musical Structure" in **Readings in Schenker Analysis and other Approaches**, Ed. Maury Yeston (New Haven and London: Yale University Press, 1977), 7-8.

8. Ibid., 7.

9. Bent, **Grove**, Vol. 1, 340.

10. Ibid., 341.

11. Forte, **Yeston**, 31.

12. This latter observation about Schenker's method was made by Prof. David Neumeyer in a paper entitled "Haydn's Last Word on Text Representation and Organic Unity", delivered at a theory symposium at Indiana University during July 1982.

13. See Kalib, **Thirteen Essays** ... Sonia Slatin, **The Theories of Heinrich Schenker in Perspective** (Columbia University, 1967), and Eugene Narmour, **Beyond Schenkerism** (Chicago and London:

University of Chicago Press, 1977).

14. Kalib, Vol. 1, xiv.

15. Schenker, **Kontrapunkt** 1, as quoted by Kalib, Vol. 1, 362-363.

16. Oswald Jonas, **Introduction to the Theory of Heinrich Schenker: The Nature of the Musical Work of Art**, translated and edited from the German edition entitle: **Einfuehrung in die Lehre Heinrich Schenkers**, by John Rothgeb (New York and London, Longman, 1982), 2.

17. Kalib, Vol. 1, 362.

18. Schenker, Foreword to Vol. 1 of **Das Meisterwerk in der Musik**, as translated by Kalib in **Thirteen Essays** ... Vol. 2.

19. Kalib, Vol. 1, 363.

20. Heinrich Schenker, **Harmony**, Ed. Oswald Jonas, translated by Elizabeth Mann Borgese (Chicago and London: University of Chicago Press, 1954), 4.

21. Kalib, Vol. 1, 363.

22. Allen Forte, "Heinrich Schenker", **Grove**, 16, 627.

23. Ibid., 628.

24. David Neumeyer, "Organic Structure and the Song Cycle: Another Look at Schumann's Dichterliebe", **Music Theory Spectrum**, 4 (1982), 92-93.

25. Schenker, **Free Composition**, xxi.

26. Schenker, **Harmony**, ix.

27. David Neumeyer, **Guidelines for Analysis of Traditional Tonal Music using Heinrich Schenker's Method**, unpublished manuscript (Indiana University, 1982), 4.

28. For a comprehensive and illuminating discussion of musical

reduction as part of the theoretical tradition, see Robert P. Morgan, "Schenker and the Theoretical Tradition: the Concept of Musical Reduction", **College Music Symposium**, xviii (1978): 72-96.

29. Neumeyer, **Guidelines**, 5.

30. Forte, **Yeston**, 7-8.

31. Kalib, Vol. 1, 384.

32. William J. Mitchell, as quoted by Slatin, Part 2, 518.

33. Neumeyer, **Guidelines**, 5.

34. Forte, **Grove**, Vol. 16, 627.

35. Kalib, Vol. 1, 413.

36. Ibid., 420.

37. Forte, **Grove**, Vol. 16, 627.

38. Loc. cit.

39. Heinrich Schenker, **Five Graphic Music Analyses** (New York: Dover Publications, 1969), Introduction, 15.

40. Schenker, **Free Composition**, Introduction to the English Edition, xix.

41. Alfred Grant Goodman, "August Otto Halm", **Grove**, Vol. 8, 59.

42. Bent, **Grove**, Vol. 1, 359.

43. Schenker, **Free Composition**, 3.

44. Forte, **Grove**, Vol. 16, 627.

45. Bent, **Grove**, Vol. 1, 359.

46. Ibid., 354.

47. Morgan, 94.

48. Loc. cit.

49. See Neumeyer, **Guidelines**, 176, 180 and 184. The musical

illustrations were taken from Sechter's **Grundsaetze der musikalischen Komposition**, as reproduced in **Guidelines**, 181-183.

50. Bent, **Grove**, Vol. 1, 359-361.

51. These biographical details have been compiled from the section on Schenker by Forte, **Grove**, Vol. 16, 627, the biographical sketch in **Free Composition**, v, and Biographical Data in Slatin, Vol. 1, 9.

52. See David Beach, "A Schenker Bibliography", **Yeston**, Part 3 275-309, as well as his article entitled "The Current State of Schenkerian Research", **Acta Musicologica**, vii/2 (1985): Appendix I, Schenker's Writings, 299-301. In both publications Beach also provides listings of secondary literature on Schenker; the latter publication provides updated information in this regard.

53. Heinrich Schenker, **Neue musikalische Theorien und Phantasien**, Vol. 1, **Harmonielehre** (1906), Vol. 2, **Kontrapunkt** 1 and 2 (1910 and 1922), Vol. 3, **Der freie Satz** (1935). All three volumes in this series were published by Universal Edition, Vienna.

54. Beach, **Yeston**, 279.

55. Loc. cit.

56. All of these were published by Universal Edition (Vienna) with the exception of **Das Meisterwerk** ... which was published by Drei Masken Verlag (Munich).

57. Forte, **Grove**, Vol. 16, 628.

58. Loc. cit.

59. Forte, **Yeston**, 18.

60. Ibid., 19.

61. Oswald Jonas, **Das Wesen des musikalischen Kunstwerks: eine**

Einfuehrung in die Lehre Heinrich Schenkers (Saturn-Verlag, 1934). (This book was subsequently translated into English by John Rothgeb as **An Introduction to the Theory of Heinrich Schenker**, with the original title retained as a subtitle. For further details see endnote 16.)

62. Beach, **Yeston**, 287.

63. Jonas, ix-x.

64. Adele T. Katz, **Challenge to Musical Tradition: A New Concept of Tonality** (New York: Alfred A. Knopf, 1945).

65. I am indebted to my promotor, Prof. David Neumeyer, for bringing this to my attention.

66. Beach, **Yeston**, 293.

67. Felix Salzer, **Sinn und Wesen der abendländischen Mehrstimmigkeit** (Vienna: Saturn-Verlag, 1935).

68. This information was presented at a seminar on Schenker, given by Prof. David Neumeyer at Indiana University during the second half of 1982.

69. Felix Salzer, **Structural Hearing: Tonal Coherence in Music**, two volumes (New York: Charles Boni, 1952), reprinted by Dover Publications, New York, 1962, and subsequently again in 1982 by the same publishers, with both volumes bound as one.

70. Beach, **Yeston**, 294.

71. Milton Babbitt, "Review of Salzer's Structural Hearing", **Journal of the American Musicological Society**, 5/3 (1952): 260-265.

72. Allen Forte and Steven E. Gilbert, **Introduction to Schenkerian Analysis** (New York and London: W. W. Norton and Company, 1982).

73. Ibid., Introduction, 2.

74. For further information, see endnote 7.

75. **Yeston**, 3.

76. Felix-Eberhard von Cube, **The Book of the Musical Artwork: An Interpretation of the Musical Theories of Heinrich Schenker**, translated with an afterword by David Neumeyer, George R. Boyd and Scott Harris (Lewiston / Queenston: Edwin Mellen Press, 1988.

77. Ibid., translators' preface, vi-vii. (In the translators' afterword (p. 356), however, the dates for the period in which Von Cube's **Lehrbuch** was written are given differently as between 1947 and 1951.)

CHAPTER 2

BASIC PREMISES IN SCHENKERIAN ANALYSIS

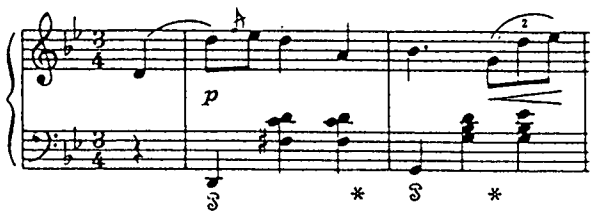
Chapter 1 introduced Schenker's concept of tonal organic composition, initiated by the fundamental structure (Ursatz) and developed through composed-out levels of voice-leading structure according to the principle of prolongation. Before considering this concept in more detail, however, it is important to focus attention on some basic premises underlying this perception of a composition's harmonic/voice-leading structure. The idea of compositional elaboration of basic elements, and conversely, the idea that the complex voice-leading manifestations in a composition can be traced to simple underlying harmonic and voice-leading components, depends on these premises for their definition and clarification. This is also true with regard to structural levels and their identification in a composition.

Voice-Leading Principles in Schenkerian Analysis

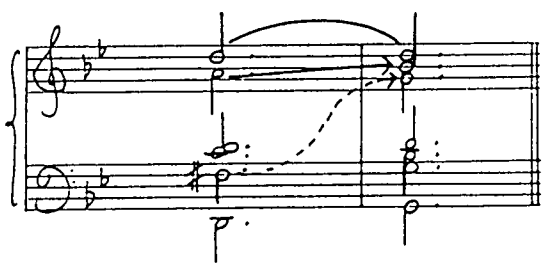
The following observations can be made concerning the tracing of voice leading in connection with the concept of composed-out levels of structure. In subjecting the voice-leading elements of the background or any middleground level to prolongation, it means that these elements remain effective as the point of origin or return for the initiation of new voices within the next composed-out level without having to be literally present all the time. Accordingly, voice leading following from a particular

level into the next level of the structure has to be recognised as motion to and from more than one voice instead of motion within a single voice. Examples 2.1a and b, the score and a reduction of the opening bars from Chopin's mazurka Op. 67, no. 2, illustrate this idea.

Example 2.1a. Chopin, Mazurka Op. 67, No. 2, Score, Bars 1-2



Example 2.1b. Mazurka Op. 67, No. 2, Harmonic Reduction, Bars 1-2



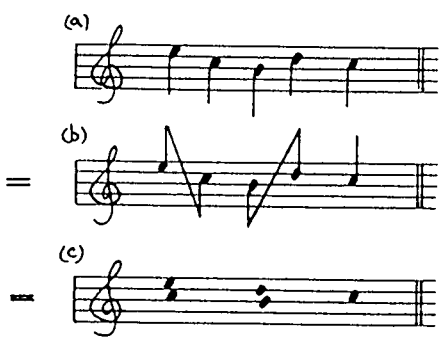
Note firstly how the D over V7 in bar 1 is maintained in the reduction over I in bar 2, although in the score, it is absent in the melodic line from the third beat of bar 1 to the third beat of bar 2. The fact that the melodic motion does return to D at the end of the excerpt, together with the fact that D is the common tone to both V and I, is proof of its prominence as a

prolongational element and its retention in the voice leading at a deeper level of structure. At the same time, some of the elements of V and I in the reduction are also present in the melodic line, notably the fifth degree of V (A) and the third degree and root respectively of I (B-flat and G). Although these notes seem to be part of a single voice, they actually belong to more than one voice in terms of the principles of prolongation and composing-out; that is, in the case of A and B-flat, their connection to each other in the reduction clearly shows them to be a second voice apart from D and its upper neighbour embellishment (E-flat), while G, the resolution of the leading tone F-sharp appearing in the left hand, represents a third voice. This assumption can be made despite the fact that F-sharp does not appear in the melodic line. Further proof of this interpretation lies in the fact that, since V and I respectively support the melodic motions of bars 1 and 2, their elements are therefore potentially available for utilisation as instigators of further voices and voice-leading content.

Thus, motion in a particular melodic or bass line can take place either from an upper voice or bass to an inner voice of a prolonged harmony in question, or from an inner voice to an upper voice or bass forming part of the same prolonged harmony. This can be observed even in the fundamental structure itself as the first stage in the compositional unfolding of the tonic triad (the **chord of nature**), where the upper voice and bass already represent a horizontalising of the components of the tonic triad. This idea of more than one voice being generated in a single melodic or bass line is basic to Schenker's concept of

polyphonic or **compound** melody. (1) This implies that a melody is essentially a horizontalising of components represented vertically in an earlier level, where the latter comprises more than one voice. Apart from Examples 2.1a and b which already demonstrate this idea, Example 2.2 offers a more explicit case in point, namely, a presentation of the technique of unfolding of voices. By its simplest definition this involves the making of a vertical interval (comprising two potential voices) into a horizontal one within a single melodic line. As is the case at (b) and (c), unfolding usually involves more than one interval pair, thus making a continuation of their voice-leading components possible (more on this technique in Chapters 4 and 5 below).

Example 2.2.



Two further factors need to be acknowledged here for a proper understanding and evaluation of Schenkerian voice leading. The first is that voice-leading processes at different levels of structure in a given composition necessarily operate all at once, since the overall tonal-structural hierarchy of that composition

is a temporal occurrence which necessitates a simultaneity of all its elements. Because of prolongation, a note assigned to a particular level, being prolonged in subsequent levels, is thus also present (active) in every later level. (2) Accordingly, it is difficult to determine the content and structural position of a specific voice-leading progression immediately. Therefore, cognizance has to be taken of the relation of such a progression to both the fundamental structure and the compositional surface in order to determine its particular structural position. Secondly, the determination of voices as to their level of operation in the tonal structure is subject to the concepts of **strict** and **free composition**, which, in turn, are closely linked to the concept of composed-out levels of structure. What this implies is that voice leading, moving from its strictest basis in the fundamental structure, becomes successively freer with each subsequent level towards the foreground, whereupon the amount of new potentially active voices springing forth from voices in previous levels also increases markedly. This, in turn, brings about a situation of "Freistimmigkeit", a tendency associated with free composition and which means that voices may appear and disappear, since the later levels do not demand that they have to be followed through in a consistent manner as should be the case in the earlier levels which are subject to stricter composition where voices move accordingly stricter and in more definable numbers.

Therefore, voice leading in Schenkerian analysis entails the following three principles: 1) horizontal melodic motion does not presuppose a single voice, but may involve several strands of

voices, 2) the definition of voices is subject to their position within the overall tonal-structural hierarchy, and 3) the complex and even ambiguous reality of **free** surface voice-leading motions in a given composition must be perceived as relating to, and resting upon, more strict and correct underlying voice-leading models.

Free Composition and Strict Counterpoint

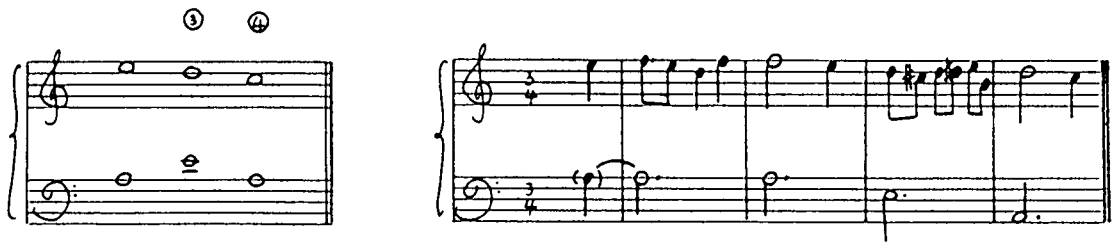
In connection with the third principle of voice leading stated above, it is necessary to reconsider Schenker's notion of **free composition** ("freier Satz"), and how it is related to strict counterpoint. As already mentioned in Chapter 1, Schenker originally meant to publish the first version of **Der Freie Satz** as the third volume of his **Kontrapunkt**. His intention was to demonstrate that the voice-leading principles of strict counterpoint ("der strenge Satz") also underlie the voice-leading events of actual free composition, that is, of music written in "freier Satz". In free composition, the original strict laws of counterpoint are extended and prolonged, not just through freer treatment, but particularly through the composing-out process and the inclusion of other aspects of music, notably harmony. (3) In this regard, strict counterpoint is associated with the concept of **diminution** (see below) in order to make composing-out possible, as well as with the extended harmonic scale step (see Chapter 1 above) in order to deal with harmonic hierarchies within the composing-out process. (4)

A simple instance of the relationship between free composition

and strict counterpoint is shown in Example 2.3 from the opening bars of the mazurka Op. 7, no. 2.

Example 2.3. Mazurka Op. 7, No. 2, Bars 1-4

(a) (b)



At (a), the controlling background melodic line for bars 1-4 and its supporting bass tones are given. Together, these voices represent a typical first species model, that is, a one/one relation between the voices with each note of the cantus firmus (in this case, a reduction of part of the opening theme of the mazurka) having its own consonant support. At (b), on the other hand, the original melodic line for these bars is given together with a rhythmically simplified bass, resembling the one given at (a). If, in this instance, the bass were to represent the tones of a cantus firmus, it is easy to recognise how the upper voice presents a freer contrapuntal motion against the bass. At the same time it is clear that this freer counterpoint is the result of voice-leading embellishments or figurations added to each of the tones of the melodic reduction at (a).

The Principle of Consonant Support for Dissonant Elements

With regard to the role of composing-out and prolongation in establishing a connection between free composition and strict counterpoint, attention must be focused on one of the most significant features of Schenkerian analysis, namely, the conversion of dissonant elements into consonant ones. For Schenker, the only way in which a dissonant element could be subjected to prolongation, is for it to be made consonant. In **Free Composition** he states the following on this phenomenon:

> The dissonant passing tone ... is itself a means of composing-out. Therefore, as long as it retains its dissonant quality, it cannot at the same time give rise to a further composing-out; only the transformation of the dissonance into a consonance can make composing-out possible. Such an opportunity was lacking in strict counterpoint.

He then continues by pointing out that, already in the fundamental structure, the first transformation of a fundamental-line tone into a consonance is exhibited, whereupon he refers to the possibility of subsequent composing-out of these dissonant tones. Having been initiated in the fundamental structure, the further significance of this concept--and by implication also the fundamental structure--is indicated by Schenker as follows:

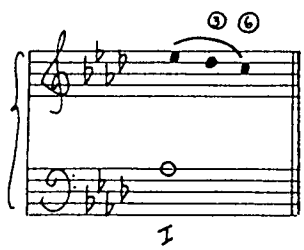
> This principle continues through all levels of the middleground, creating more and more new levels which present new possibilities of prolongations for dissonant passing tones either in the outer or in the inner voices. Finally the foreground, with its greatest freedom, shows voice-leading events which are not understandable as passing motions unless one refers to relationships in the middleground and background. (5)

Finally, Jonas states that a dissonant passing note, having become part of a composed-out triad, can unfold with its own passing notes, thus having no relationship to the point of origin of the passing note. In such cases it can even be subjected to tonicisation. {6}

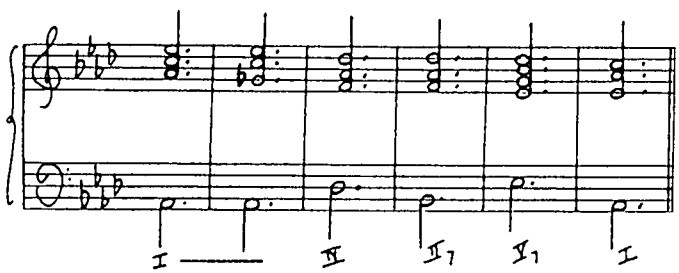
Once again, a relatively simple instance of this phenomenon is shown in Example 2.4 from the opening six bars of the mazurka Op. 41, no. 4.

Example 2.4. Mazurka Op. 41, No. 4, Bars 1-6

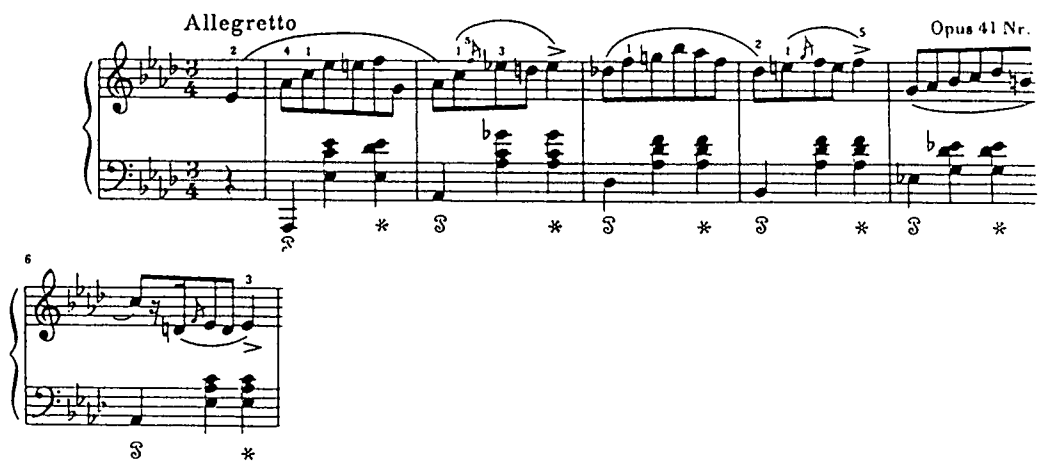
(a)



(b)



(c)



At (a) the controlling background melodic line for these bars is given together with a single tonic bass, representing the prolonged background harmony. The result is that the D-flat of the upper voice is dissonant against the A-flat of the bass. (Incidentally, this example is reminiscent of a typical third species model in strict counterpoint.) In the harmonic reduction of the same bars at (b), note how the D-flat of the upper voice is now given its own consonant support, firstly in the form of both D-flat and B-flat (IV and II) in the bass, resulting in its prolongation and the subsequent composing-out of IV and II in bars 3 and 4 respectively. Thereafter it is supported by E-flat (V) in the bass at bar 5, resulting in the composing-out of V, before it moves to C and I in the bass at bar 6. The score of bars 1-6 is presented at (c), indicating the composed-out voice leading for each of the prolonged notes of the background melodic line.

Diminution

In the traditional manner--especially in the seventeenth century--diminution refers to the process by which an interval formed by notes of longer value is expressed in notes of shorter value. The various kinds of musical events involved in this "diminishing" process are known collectively as **diminutions**, comprising the passing note, neighbouring note and the arpeggiation, as well as subspecies of these. {7} In Schenkerian analysis, however, the term diminution means embellishment in a general broad sense and has nothing to do with diminution,

meaning repetition of smaller note values (that is, the opposite of augmentation). {8} This is because it is associated here with prolongation and composing-out, that is, as representing figurations of underlying voice-leading entities and thus also the basic mechanism for composed-out levels of structure. The elementary types of diminution mentioned above, therefore may and do occur in durationally expanded form and are not restricted to the durations of short notes. As such, this represents a basic concept in Schenkerian analysis. {9}

For Schenker, diminution is the basic element in the achievement of organic relationships. In the process of the demonstration of organic unity in tonal voice leading, the background fundamental line represents the first diminution, that is, the linear composing-out of the tonic triad. (In this case, the non-triadic tones are passing tones and therefore dissonant.) By harmonising each element of a line separately, the dissonant elements, being made consonant, are able to support further diminutions. {10} Diminutions therefore become capable of prolongation, themselves capable of supporting diminutions at later levels. {11} To this, Schenker writes:

> All diminution must be secured firmly to the total work by means which are precisely demonstrable and organically verified by the inner necessities of the voice leading. The total work lives and moves in each diminution, even those of the lowest order. Not the simplest part exists without the whole. The establishment of an inner relationship to the whole is the principal problem not only in the creation of diminution out of background and middleground, but also even in its re-creation, where constant reference to middleground and background must be made. The atmosphere of diminution is the whole. {12}

Instances of diminution in Schenkerian terms are already

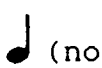
present in the foregoing examples of this chapter, as well as in the examples of Chapter 1 above, and will continue to be present in every subsequent example of this dissertation. Therefore, no additional examples are needed here.

Schenker's Graphic Analytic System

At this point in the consideration of Schenkerian theory, it is appropriate to return to the discussion of his graphic notational method first brought up in Chapter 1. Apart from its already referred to link with Schenker's concept of musical structure and the fact that Schenker accordingly viewed it as part of the actual composition itself and not merely an educational means, (13) this particular kind of presentation and the various graphing methods involved in it need to be discussed in considerable detail here mainly because a thorough understanding of Schenker's work requires the ability to interpret the graphs, as they contain, almost without exception, information in graphic form not always discussed in the text.

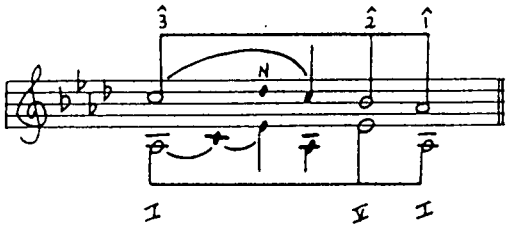
Reading the graphs is complicated by the fact that Schenker's use of the various symbols is flexible. In addition, it must be noted that there are basically two kinds of graphs, the first of which may be characterised as **rhythmic**. In a graph of this kind, the basic durational values are retained, but may be enlarged now and then to eliminate notes of less importance which do not affect the basic voice leading. The second type of graph is the **structural** graph, in which some of the traditional durational note values are used to represent structural relations among the

musical components. In addition to this, various other graphic symbols are used, each with its own special significance, representing tonal relations in a composition. It is the structural graph that is the subject of the following discussion of the normative usage of the graphic notation, and which will also be used throughout the analytic examples in this dissertation.

In the structural graph, note values are not associated with durational values but represent hierarchical distinctions. The order may be described approximately as follows:  (beamed or not),  (beamed),  (not beamed),  (slurred to a stemmed note), (slurred to a note not stemmed), (not slurred), (**interesting** note, or note of motivic interest rather than structural significance). (14) It must be noted that the half note with eighth-note flag usually indicates a bass note with a special function.

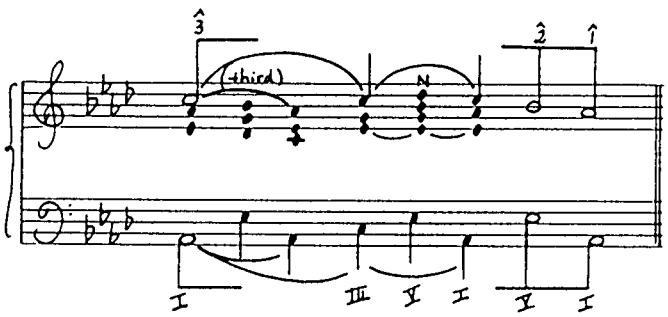
The larger note values, half and whole notes, belong to the deeper structural levels, that is, to middleground and background. Beams and stems are used to connect components of the fundamental line (Example 2.5), and components of linear progressions at the middleground level, connecting members of lines which are hierarchically superior to other lines included in the same context.

Example 2.5. Mazurka Op. 24, No. 3, Background Graph



In most such cases, black notes with stems are used (Example 2.6).

Example 2.6. Mazurka Op. 24, No. 3, Middleground Graph

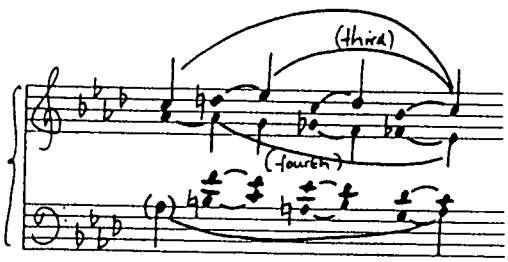


Beams and stems may also be used to connect the main bass notes of a span of music. As illustrated in Example 2.5, the scale degrees of the fundamental line are labeled by arabic figures with caret marks, while the bass has the customary Roman numerals below. If a succession of components of a fundamental line (notes with numbers and carets) is enclosed in parentheses, it means that the succession replicates a fundamental line, but is not equivalent to it (thus indicating a replica of that particular fundamental line at a later level in the structure).

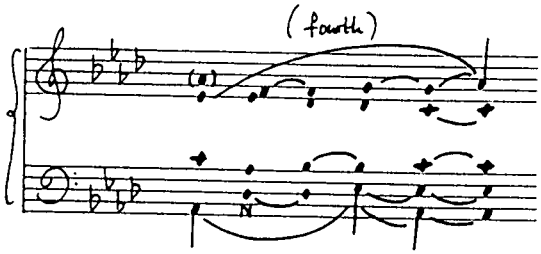
Slurs delineate structurally cohesive motions involving two or

more components. They may thus be used instead of, or even in addition to, beams to connect elements of a line (Example 2.7a). Their various other uses are to indicate a line of unstemmed notes (example 2.7b), to connect a note with its recurrence, to connect notes in the arpeggiation of a chord (Example 2.7c), to indicate transfer of register (often with an appended arrow (Example 2.7d)), and to connect a note of **tendency** such as a dissonance, a seventh or tritone member, passing tone or some type of auxiliary note, chromatically altered degree, etc, to its resolution.

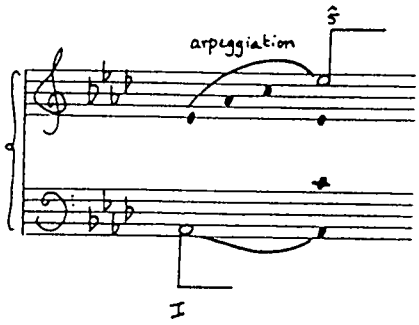
Example 2.7a. Mazurka Op. 24, No. 3, Bars 25-28



Example 2.7b. Mazurka Op. 41, No. 4, Bars 16-18



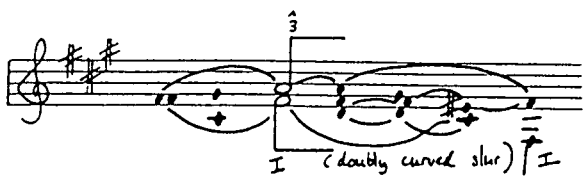
Example 2.7c. Mazurka Op. 41, No. 4, Bar 1



Example 2.7d. Mazurka Op. 41, No. 4, Bar 1

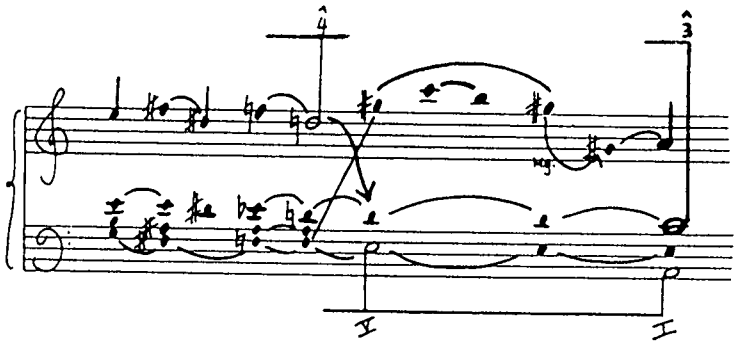
Furthermore, slurs are used to connect the tonic and dominant degrees in the bass, members of bass arpeggiations, pre-dominant bass support with the dominant, secondary dominant bass with the tonicised degree, etc. (15) It must be noted that the doubly curved slur applied to either the bass line, or the numerals below it, or both, is a symbol Schenker employs to denote progression to the dominant by way of a secondary dominant (Example 2.7e)

Example 2.7e. Mazurka Op. 6, No. 1, Bars 1-16

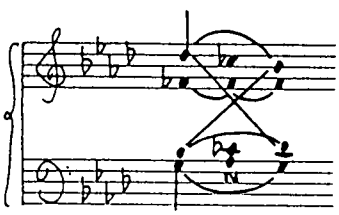


Among the other frequently used graphic symbols is the diagonal line which serves a number of purposes, the most important of which are to indicate that the outer parts it connects because of their displacement in the actual music, belong together structurally (16) (Example 2.8a). It may also be used to indicate an octave displacement of a note. Criss-crossed diagonals point out an exchange of voices (Example 2.8b).

Example 2.8a. Mazurka Op. 17, No. 4, Bars 104-108

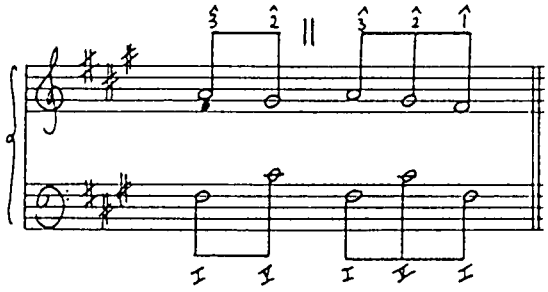


Example 2.8b. Mazurka Op. 17, No. 3, Bar 24



The short double thin barline above the upper staff denotes the so-called interruption of the fundamental line (Example 2.8c (see Chapter 3)).

Example 2.8c. Mazurka Op. 6, No. 1, Background Structure



A long-range connection of some kind between unison-related or octave-related notes is indicated by a dotted line, while the use of brackets points either to parallel intervals or motivic material of interest.

One frequently used graphic device requires special mention: the crosswise beam connecting the down stem of a pair with the up stem of the other, or vice versa (Example 2.8d). This is the symbol for the unfolding, one of the most important types of prolongations in free composition (see Chapters 4 and 5). To indicate further structural significance or a note of special interest, one or both of the notes may have an additional stem and/or flag.

Example 2.8d. Mazurka Op. 17, No. 1, Bars 1-4

Among the devices less frequently used is the large V which marks a hiatus of some kind, such as a discontinuity in a linear progression, or a break in an otherwise stepwise motion. Schenker also sometimes uses large parentheses to delimit passages that are in some way preparatory to the initial structural statement.

In addition to the above graphic symbols, Schenker employs conventional symbols such as figured bass, Roman numerals and numerals to show contrapuntal patterns and letters designating form. The Roman numeral symbols (sometimes used at more than one level) designate the **true** harmonies on the level of structure in question, those harmonies being the ones prolonged, those supporting notes of significant lines, or those involved in bass arpeggiation, or predominant constructions, etc. Schenker uses the notation of the Viennese fundamental bass school (Simon Sechter), in which all symbols are upper-case Roman numerals; no symbol is used for the secondary dominant (thus V/V is written as II-sharp or II-sharp3) and figured bass numbers are not combined with Roman numerals (thus, inversions are not indicated). {17}

In addition to all these devices, labels are given frequently to show the type of prolongation in operation at a particular point, such as initial ascent (Anstieg--a voice-leading technique associated with the first level following from the background (see Chapter 5)), or to indicate contrapuntal function such as neighbour or passing note. Finally, the use of the exclamation mark (of which Schenker was very fond!) always marks an event that is unusual in some very striking respect, deserving special examining.

As this survey of Schenker's graphic notation already alludes to the various manifestations and techniques of voice leading of his analytic system not yet presented in detail, it will be useful to refer back to this overview in the ensuing discussion of the techniques of the method.

The Motive

In completing this overview of Schenker's concepts on tonal organisation and the basic premises involved, a final aspect must be considered, since it is regarded as an important feature of voice-leading organic synthesis, namely, Schenker's concept of the **motive** as element of design. In order to trace the development of its specific nature in Schenkerian terms, we have to recall a basic aesthetic principle referred to in Chapter 1 in connection with the view of music as an autonomous art: **repetition**. Apart from its relevance to Schenker's idea of structural levels, repetition also has as its primary expression, the motive. {18} In its association with structural levels, it has been observed that, instead of only a literal repetition of events in a successive manner, this principle involves the idea that voice-leading elements can be replicated within different structural levels. With the development of the concept of structural levels, the nature of motivic repetitions accordingly also changed from simple exact repetitions to the indication of motivic life on any level. {19}

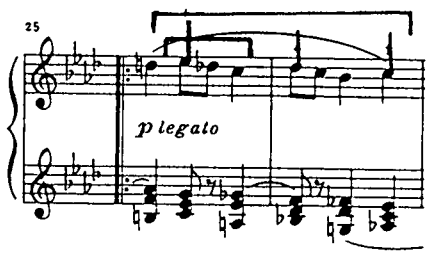
In his comprehensive article entitled "Schenker's Motivic Parallelisms", Charles Burkhart refers to ideas on motivic

structuring more or less similar to Schenker's advanced by other writers of the twentieth century, notably Rudolf Reti and Joseph Rufer. He alludes to a basic feature that distinguishes their approach to motivic ideas from that of Schenker. This is that both start with the motive or theme, and attempt to derive the rest of the composition therefrom, pointing to subsurface configurations of notes, claiming that, by virtue of a vague resemblance in general shape, these configurations are organically related. Such an interpretation, however, is not supported by criteria of a systematic nature, that is, there is no attempt to relate melodic phenomena to the domains of harmony and tonal structure. Burkhart then points out that in contrast to this, Schenker's starting point is a theory of tonal structure that accounts for both melody and harmony and the interaction of the two. He continues that, because the melodically particular arises from systematically defined constants, it can be analised in terms of those constants with consistency and precision. Thus, in trying to locate all his specific ideas on musical organisation hierarchically, Schenker discovered the nature of one such idea, namely, that in a given tonal composition, a melodic unit or **motive** can be subjected to hidden repetitions, taking the form either of simple rhythmic transformations on the surface or, more interesting for Schenker, involving subsurface elements, that is, in which the motive is expressed on different structural levels in the small or the large. Burkhart designates this central idea concerning motivic structuring that of "motivic parallelisms".

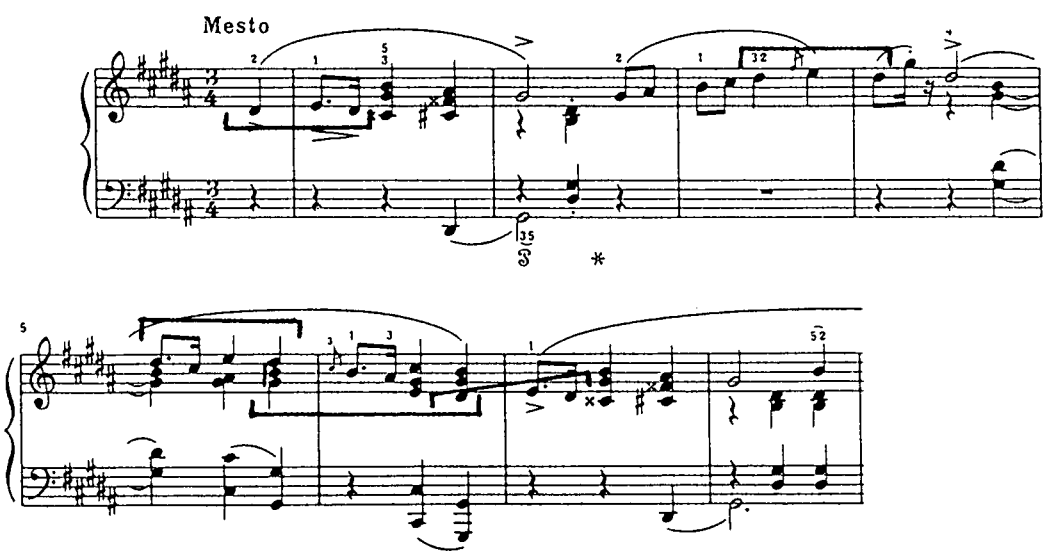
Although numerous examples of various kinds of motivic

structuring from a Schenkerian point of view are presented in connection with the detailed discussions of selected mazurkas in Part Two, mention can be made here of some of the basic structural characteristics of motives resulting from this conception of their nature. For instance, motivic statements can be nested--one within the other--as in Example 2.9, or they can be temporarily separated as in Example 2.10. In the former, the two statements are necessarily on different levels, but in the latter, statements can be on the same, or on different levels as is the case in Example 2.10. For a detailed discussion of this mazurka, see Chapter 7.

Example 2.9. Mazurka Op. 24, No. 3, Bars 25-26



Example 2.10. Mazurka Op. 33, No. 1, Bars 1-8



The motives themselves can also exhibit a variety of designs, the most frequent of which are the filled-in third as in Example 2.9, the turn, and especially the upper neighbour note formula {20} as in Example 2.10 .

All these characteristics of motivic structuring and design, and more, will be seen to operate in the tonal structures of Chopin's mazurkas. Indeed, it will also be seen how, in certain instances, motivic design even conditions the tonal structure of some mazurkas. By placing the emphasis in this particular study on both motivic design and tonal structure, it will finally be demonstrated how the Schenkerian notion of the motive is part of a process of melodic/harmonic interaction, originating from a single source, the tonic triad, and codified within its first diminution, the fundamental structure.

NOTES

1. Forte and Gilbert, **Introduction to Schenkerian analysis**, 67.

2. Neumeyer, **Guidelines for Analysis of Traditional Tonal Music using Heinrich Schenker's Method**, 4.

3. Schenker, **Free Composition**, introduction to the second German edition, xii.

4. Neumeyer, **Guidelines**, 5.

5. Schenker, **Free Composition**, Pars. 169-170.

6. Jonas, **Introduction to the Theory of Heinrich Schenker**,

60.

7. Forte and Gilbert, 7.

8. Schenker, **Free Composition**, 93.

9. Forte and Gilbert, 11.

10. Neumeyer, **Guidelines**. 9 and 14.

11. Ibid., 16.

12. Schenker, **Free Composition**, Par. 253.

13. Unless otherwise mentioned, the information concerning Schenker's notational system has been drawn from the introduction to the English edition of Schenker's **Free Composition** by Allen Forte, xix-xx.

14. Neumeyer, **Guidelines**, 41.

15. Loc. cit.

16. Such a displacement of parts is associated with free composition, being the result of composing-out, where elements in strict voice-leading configurations at deeper levels in the structure become displaced at later levels (more on displacement in Chapter 4).

17. Neumeyer, **Guidelines**, 42.

18. Schenker, **Harmony**, xvi

19. Charles Burkhart, "Schenker's Motivic Parallelisms", **Journal of Music Theory**, 22/2 (1978): 168.

20. Except for the analytic illustrations which are my own, all subsequent information regarding motivic structuring in Schenkerian analysis have been compiled from the article by Charles Burkhart quoted above, pp. 145-46 and 166-71. In it Burkhart also gives an account of the growth of the idea of motivic parallelism in Schenker's writings.

CHAPTER 3

THE BACKGROUND

The Fundamental Structure (Ursatz)

The most far-reaching concept of Schenker's theory of tonal structure is that of the **fundamental structure** or **Ursatz**. It comprises a basic harmonic/contrapuntal unit that underlies the entire structure of a tonal composition (the final result of successive reductions of the part-writing), (1) and thus may be said to represent that composition's overall **background** tonal structure. Although a distinction is usually made between fundamental structure and background structure (see below), Schenker regards the latter as being represented by the former, since the background of a given composition cannot be determined without recognising in it a particular form of fundamental structure.

This phenomenon--which may also be regarded as a codification of the essential properties of tonal music (harmony and counterpoint or voice leading)--is not merely the end-result of a process of evolution that led to the establishment of an overall controlling harmonic/contrapuntal framework for each tonal composition. For Schenker, it also came to represent the starting point for the conception of tonal composition and the establishment of organic connections and relationships between its elements.

As to the unifying role of the two basic components of the

fundamental structure--**fundamental line** ("Urlinie") and **bass arpeggiation** ("Grundbassbrechung")--Schenker writes the following in **Free Composition**:

> The life of the fundamental line and the bass arpeggiation manifests itself not only in the first horizontal succession and in the first arpeggiation; it also expands through the middleground, through what I have called the voice-leading and transformation levels, prolongations, elaborations and, similar means, into the foreground. Whatever the manner in which the foreground unfolds, the fundamental structure of the background and the transformation levels of the middleground, guarantee its organic life. The fundamental structure represents the totality. In it resides the comprehensive perception, the resolution of all diversity into ultimate wholeness. {2}

(Once again, it should be emphasised that these views on organic unity, and indeed the fundamental structure itself, are the results of nineteenth century philosophical and aesthetic principles, and as such, have to be understood from these perspectives.)

The fundamental structure, however, also represents the ultimate stage of what Wilhelm Furtwängler termed "Fernhören" (literally, **distance hearing**), {3} meaning, the perception of connections between tonal events separated from each other over longer distances. Felix Salzer, in writing about Schenker's distinction between structure and prolongation, gives his own assessment of how music should be perceived in these terms--a perceptual concept analogous to that of Furtwängler, and termed "structural hearing" by Salzer--when he writes:

> By means of this distinction we hear a work, not as a series of fragmentary and isolated phrases or sections, but as a **single organic structure** through whose prolongation the principle of artistic unity and variety is maintained. {4}

In similar vein Oswald Jonas writes:

> For Schenker, the discovery of the background ... was essential to the perception of the continuity of a work of art. Points separated in time could be heard and understood as belonging together, because they constituted the initial and concluding points of an interval, rooted in nature and grasped as a unity. (5)

The interval to which Jonas refers here is the one spanned by the fundamental line.

Apart from its indispensable connection to the concepts of prolongation and composing-out in establishing organic connections and relationships between its elements and those in the foreground, the fundamental structure also embodies an additional factor which is decisive in asserting its power as tonal-structural unifier, namely, that of **tonality**. For Schenker, tonality constitutes the primary means of effecting unity. Its evolution is rooted in the fact that Schenker's theory of tonal structure is an example of what is called **natural theory**, that is, based on the overtone series or the **chord of nature** (the triad). (6) The primordial compositional decision, then, becomes a revoicing of this chord, (7) and as such, constitutes its first extention or elaboration in time. This primordial compositional event is the fundamental structure, behind which lies the source of its existence, a single all-embracing tonal spatial entity; the originator of tonality. For Schenker, tonality is the fashioning and expression in time of one single chord as given by nature and extended in space. (8) Through its prolongation and extention in time, it becomes the constant reference point of the structure as its elements are

gradually and variously expanded or unfolded. (9)

Finally, the establishment of underlying models of tonal structural origin for surface voice-leading activities rests on the principle of goal-directed motion, an idea basic to tonal organisation. In Schenkerian terms this principle is represented by the motion from one component to the other of a composed-out interval, which, in turn, implies a point of initiation of movement in a prolonged tonal space, followed by a directional motion within that tonal space, leading to a point of conclusion or tonal goal. Regarding this, Schenker writes: "The goal and the course to the goal are primary. Content comes afterward: without a goal there can be no content". (10) Consequently, the fundamental structure, as it came into being through the evolution of the concept of structural levels, represents the basic model for, and shape of, goal-directed motion in tonal music.

The Concept of the Background

An examination of the content of the background requires a brief explanation concerning the three broad levels of structure, designated by Schenker as **background** ("Hintergrund"), **middleground** ("Mittelgrund") and **foreground** ("Vordergrund"), and the distribution of content across these levels.

Although it is true that the content of a musical composition unfolds within these three defineable structural areas, the number of actual levels depicted in an analysis of a particular compositon is mostly more than three, being subject to the

complexity of such a work. The reason for this is that background, middleground and foreground each represent a particular position and role within the overall harmonic/voice-leading hierarchy of a composition. The background, as already observed, can be described in essence as a temporal projection of the tonic triad, (11) while the foreground represents the first stage of reduction from the musical surface. In the case of a longer and more complex work, it should be evident that a considerable gap can arise between the content of the musical surface and that of the fundamental structure, unfolding a single triad. In order to bridge this gap, that is, to make a logical connection of content from background to foreground possible and thus prevent the fundamental structure from becoming a mere abstraction of a composition's harmonic/voice-leading content, various sublevels within each of the three general hierarchic levels--but most especially the middleground as the mid-area between background and foreground--can be produced. For an illustration of the identification of sublevels within the three broad level designations of a composition, see the presentation and discussion of the complete set of analytic graphs of the mazurka Op. 33, no. 2 in Chapter 6.

With this in mind, a distinction may be drawn between the fundamental structure as the essential content of Schenker's conception of the background, and the concept of the background in toto. Whereas the fundamental structure presents the simplest and most direct melodic and harmonic unfolding of the tonic triad, the background may involve initial diminutions directly

related to the components of the fundamental structure; that is, representing a level of prolongation still dependent on the fundamental structure. Therefore, in the literature one finds that the content of what is called background is often equal to what Schenker designates in his **Five Graphic Music Analyses** as "Erster Schicht", that is, first level of composing-out content. (12) Such a background affords a better connection to the tonal and formal complexities often encountered in the foreground.

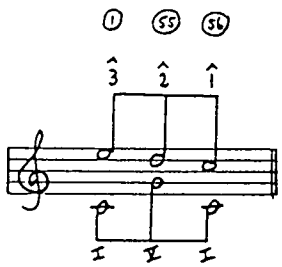
The Content of the Fundamental Structure

The fundamental structure consists of two parts (bass and descant or upper voice) in counterpoint with each other; the counterpoint being strict--as in species--thus making possible--through prolongation--its connection with the freely composed compositional surface. The upper voice represents the large-scale melodic motion of a composition (the **fundamental line**. It projects the tonic triad in the form of a descending linear succession which spans the lower triadic third, fifth, or octave. (13) The fundamental structure thus presents itself in one of three basic forms in a tonal composition ($\hat{3}$-$\hat{2}$-$\hat{1}$, $\hat{5}$-$\hat{4}$-$\hat{3}$-$\hat{2}$-$\hat{1}$, or $\hat{8}$-$\hat{7}$-$\hat{6}$-$\hat{5}$-$\hat{4}$-$\hat{3}$-$\hat{2}$-$\hat{1}$). The movement of the fundamental line is always strictly diatonic.

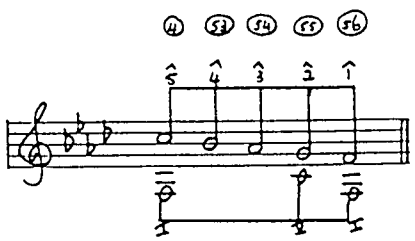
The bass, on the other hand, represents the large-scale I-V-I harmonic motion of a composition, outlining the triadic fifth, the tonality-defining interval. (14) It therefore effects an arpeggiation of the triad through the upper fifth, (15) also known as the **dividing dominant** construction (16)

("Dominantteiler"). This fundamental bass motion is called **bass arpeggiation**. The term bass arpeggiation is, however, usually understood as an elaboration of the motion I-V-I. (17) The simplest forms of the fundamental structure, that is, with one of the three possibilities of the fundamental line, and the essential I-V-I bass motion, is given in Example 3.1a-c, representing the fundamental structures of three mazurkas by Chopin.

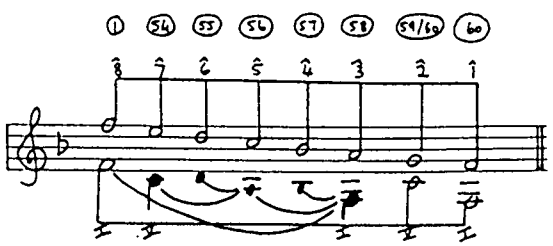
Example 3.1a. Mazurka Op. 67, No. 3, Fundamental Structure from $\hat{3}$



Example 3.1b. Mazurka Op. 63, No. 2, Fundamental Structure from $\hat{5}$



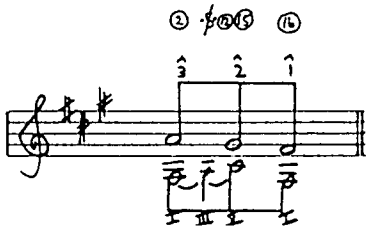
Example 3.1c. Mazurka Op. 68, No. 3, Fundamental Structure from $\hat{8}$



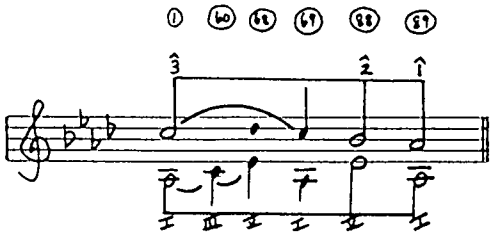
Elaborations of the I-V-I Bass Arpeggiation

The dividing dominant construction of the background bass may be combined in various ways with two other devices--the prepared dominant and the I-III-V-I bass arpeggiation--in harmonising the fundamental line. The prepared dominant may be used as follows: I II V I, or I IV V I, or I II6 V I, etc. The I-III-V bass arpeggiation is shown in Example 3.2. Although it appears by far the most in minor key compositions, it also has a place in major keys (18) (see Example 3.3). The prepared dominant is often included in the background because it is a simple prolongation of the dominant over the second scale degree in the fundamental line, thus helping to effect a complete harmonic phrase in the background, for example, I, followed by a full cadence--II6-V-I. (19)

Example 3.2. Mazurka Op. 6, No. 1

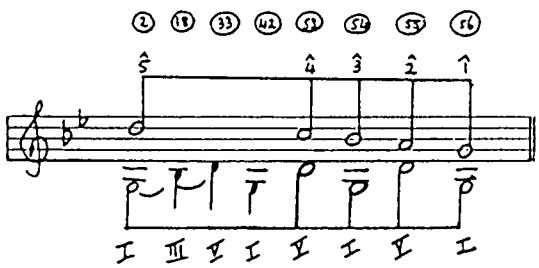


Example 3.3. Mazurka Op. 59, No. 2



In the case of the I-III-V-I bass arpeggiation, it already belongs to the first level of composing-out from the fundamental structure, since it is, according to Schenker, the space-filling motion with which the bass goes beyond the I-V-I of the fundamental structure. {20} It also has formal significance, in that the middle section of a three-part form structure can be derived from a prolongation of the third component in the bass arpeggiation, which achieves the value of an independent root {21} (see Example 3.4). In Example 3.3, however, the meaning of this so-called **third divider** ("Terzteiler") is different, in that it is still part of the first tonic and as such does not signify a new key area and an independent form section as is the case in Example 3.4.

Example 3.4. Mazurka Op. 67, No. 2



Prolongations of the Fundamental Line

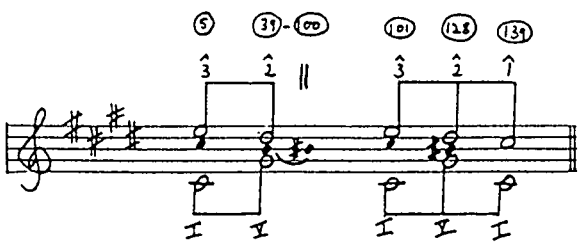
So far the only prolongations encountered in the fundamental structure involved the filling-in of the essential bass motion I-V-I, leaving the fundamental line intact. The following are those first order prolongations which actually affect the

fundamental line itself. Of these, the most significant phenomenon is the so-called **interruption** ("Unterbrechung"), since it opens the way to the first division of the tonal structure by affecting the direct descending and uninterrupted motion of the fundamental line. It therefore has far-reaching implications for form design from Schenker's viewpoint (see below).

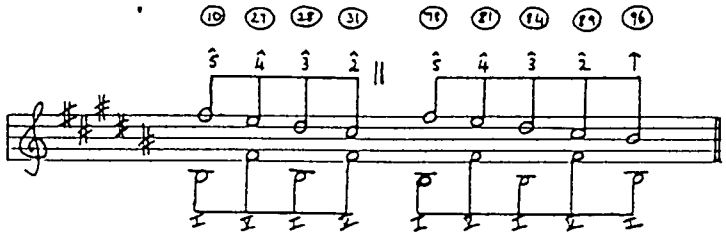
The Interruption

The interruption is accomplished when the fundamental line descends to scale degree $\hat{2}$ whereupon the expected motion to the final $\hat{1}$ is interrupted, and there is a return to the first note of the fundamental line, after which it descends to $\hat{1}$. This situation occurs only in fundamental lines from $\hat{3}$ and $\hat{5}$, that is, $\hat{3}$-$\hat{2}$]] $\hat{3}$-$\hat{2}$-$\hat{1}$, or $\hat{5}$-$\hat{4}$-$\hat{3}$-$\hat{2}$]] $\hat{5}$-$\hat{4}$-$\hat{3}$-$\hat{2}$-$\hat{1}$ (see Examples 3.5 and 3.6). (As in the previous examples, bar numbers will be included so that the reader can easily locate the point of the interruption in the music.) {22}

Example 3.5. Mazurka Op. 30, No. 4



Example 3.6. Mazurka Op. 63, No. 1



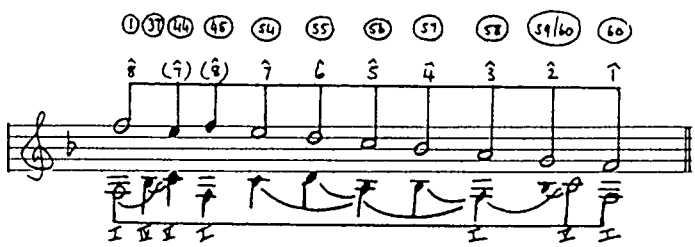
Looking at Example 3.5, the D-sharp might give the impression of a lower neighbour to the E. This is, however, not the case because the D-sharp in this situation is already in the process of unfolding the tonic triad and not part of the prolongation of the first E ($\hat{3}$). It should also be pointed out in this connection that the interruption was Schenker's means of accounting for the traditional half cadence. {23} Schenker also explains in **Free Composition** that, since the first $\hat{2}$ is associated with the fundamental structure, it remains true to the principle of the passing tone within the space of a third and therefore never takes on the character of a lower neighbouring note. {24} In an interruption from $\hat{5}$, the $\hat{5}$ can sometimes reappear already over the dominant and even simultaneously with $\hat{2}$, without having to be postponed until the re-establishment of the tonic chord. This is the case in Example 3.6.

In a fundamental line from $\hat{8}$, Schenker maintains that no interruption is possible, for two reasons. Firstly, the distance traversed from $\hat{8}$ to $\hat{2}$ is the interval of a seventh--causing a dissonance of $\hat{2}$ against the initial $\hat{8}$. Secondly, because $\hat{2}$ would have to be followed by $\hat{8}$ after the interruption, it would have created the impression of an upper neighbour to a structural $\hat{1}$

which would seem to have been transferred an octave higher. Therefore, according to Schenker, the only division possible in a line from $\hat{8}$ comprises a partial descent of the line to $\hat{5}$, followed by a continuing descent from $\hat{5}$ to $\hat{1}$ ($\hat{8}$–$\hat{7}$–$\hat{6}$–$\hat{5}$]] $\hat{5}$–$\hat{4}$–$\hat{3}$–$\hat{2}$–$\hat{1}$). This version of the 8-line also goes along with two bass arpeggiations instead of only one, as is the case in fundamental lines from $\hat{5}$ and $\hat{3}$; thus: I–V–I–V–I, corresponding to the division of the 8-line shown above.

It is interesting to note that the only example of an 8-line (if perhaps somewhat doubtful) in Chopin's mazurkas, that in Op. 68, no. 3 (see Example 3.1c above), does contain two bass arpeggiations and some kind of division of the tonal structure. The fundamental line, however, does not descend to $\hat{5}$ at the appropriate point, but only to $\hat{7}$, whereupon it returns to $\hat{8}$, before a complete descent to $\hat{1}$ (see Example 3.7).

Example 3.7. Mazurka Op. 68, No. 3

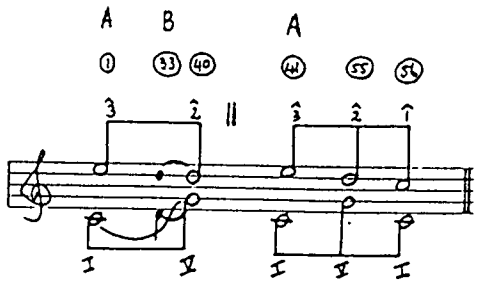


The reason for this interpretation lies in the mazurka's motivic design, where the neighbour-note motion F/E/F (representing $\hat{8}$–$\hat{7}$–$\hat{8}$ in the fundamental line), plays a prominent role in the structure of this mazurka, not only as a surface feature, but also in connection with the Lydian fourth which can be traced in the

Trio, and in delineating its form sections (see the further discussion of Op. 68, no. 3 in Chapter 11).

As already mentioned, the interruption is intimately connected to the notion of the half cadence and, consequently, to tonal and formal design, as it opens up the way to large-scale two-part division of the tonal structure. From a formal point of view, this suggests either large binary form structures or the tonal-structural conditions for sonata form, which, according to Schenker, is essentially dependent on the interruption. (25) In addition, the prolongation of $\hat{2}$ and V in the middleground can bring about ternary form design as shown in Example 3.8 from the mazurka Op. 67, no. 3.

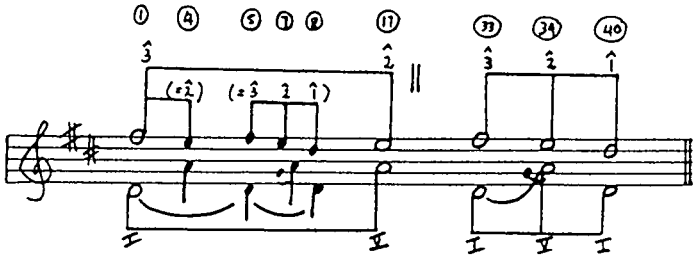
Example 3.8. Mazurka Op. 67, No. 3



Finally, it must be noted that the dividing dominant does not always coincide with an interrupted fundamental line, but also occurs at particular formal divisions in a composition where the fundamental line does either not descend, or where it has already descended to $\hat{5}$ in the case of an 8-line (see, for instance, Example 3.4 above). Also, interruption patterns sometimes occur in the foreground and in such cases must be regarded as

mini-interruptions, which are removed at deeper levels of the structure. Example 3.9 shows one such an instance.

Example 3.9. Mazurka Op. 33, No. 2, Background Structure, Bars 1-40



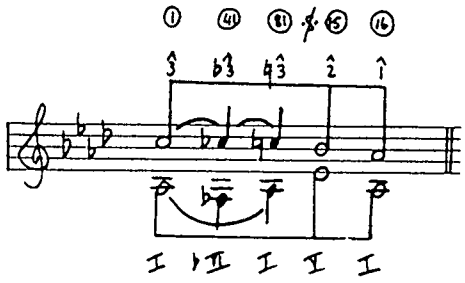
Mixture

A second category of first order prolongations is the so-called **mixture** ("Mischung"). In essence it refers to the mixing of two tonalities or scale forms, so that tones or sonorities from the one may be used in the other. (26) More specifically: mixture is achieved through the chromatic inflection of a particular note--either a semitone down or up--and is mostly associated with the major or minor third. In the background mixture may be applied to a note of the fundamental line--usually the primary tone--or an inner voice within the tonal area associated with the first note of the fundamental line, or to a note in the bass. Three factors are associated with mixture: 1) mode change (parallel major and minor); 2) chromatic mediant relationships; and 3) flat-$\hat{2}$, which Schenker calls the "Phrygian $\hat{2}$" but which applies to the

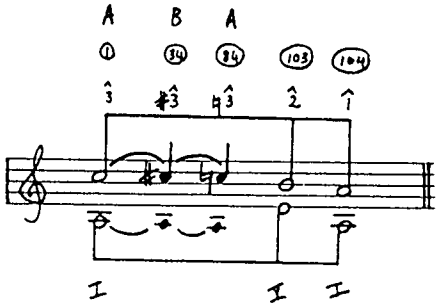
Neapolitan chord. (27) In the background, the element of mixture is particularly important as a form-generating device.

Illustrations of the various possibilities and effects of mixture from the mazurkas are given in Examples 3.10-14. (In the case of Example 3.13, the score of bars 1-16 of Op. 7, no. 2 is also provided in order to show graphically how the notes of the background--in this case those of bars 1-16--are situated with respect to the actual music.)

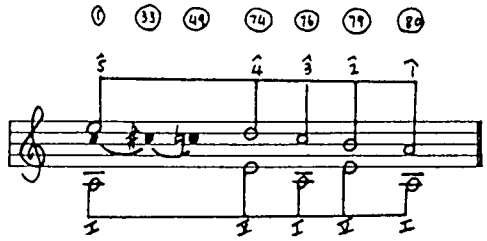
Example 3.10. Mazurka Op. 17, No. 3



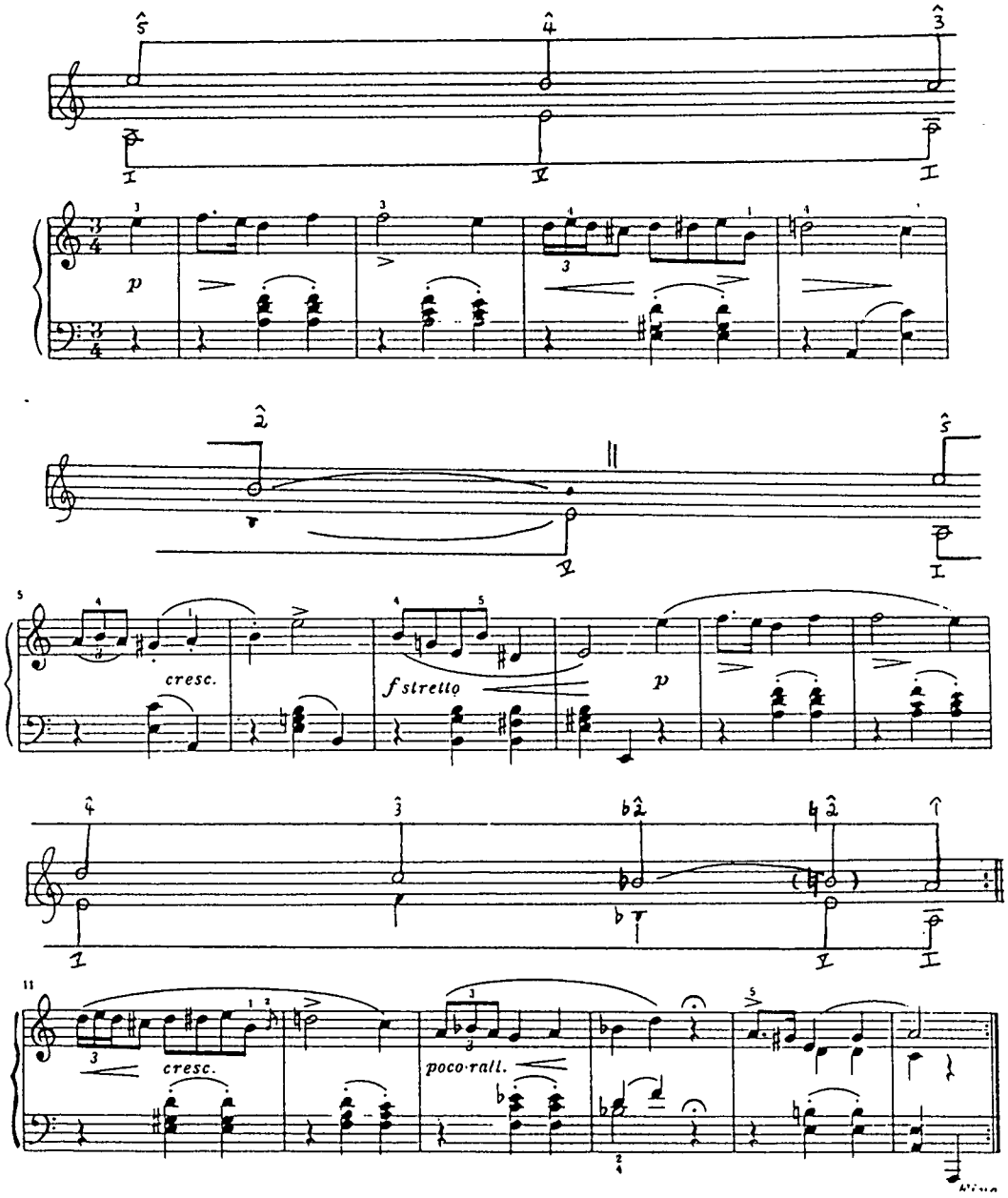
Example 3.11. Mazurka No. 52 (A Minor)



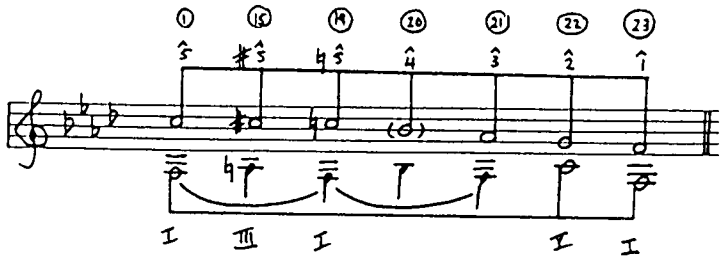
Example 3.12. Mazurka Op. 67, No. 4



Example 3.13. Mazurka Op. 7, No. 2, Background Structure and Score, Bars 1-16



Example 3.14. Mazurka Op. 68, No. 4, Background Structure, Bars 1-23



While Examples 3.11 and 12 are clear cases of mode change (in these instances to the parallel major), the situation in Examples 3.10 is the result of mixture applied to both $\hat{3}$ and VI in the bass. In the case of Example 3.12, the inner voice C-sharp (the result of mixture applied to the third of the A minor tonality (C) in an inner voice), assumes temporary superiority over the first fundamental-line tone E or $\hat{5}$ in the background, since it is responsible for generating the voice leading of the large middle section. Such an inner voice fulfils the role of what may be termed a **structural alto**, because it operates at a level in the structure still under the control of the primary fundamental-line tone of the composition. In Example 3.13, the correction of flat-$\hat{2}$ to natural-$\hat{2}$ in the fundamental line points to the fact that the flattened note is an accidental or ornamental inflection of the natural degree and thus hierarchically subordinate to the diatonic degree. {28} There are, however, mazurkas in which flat-$\hat{2}$ appears either without support of the Neapolitan chord, or without its usual correction to natural-$\hat{2}$ in the fundamental line. In these cases the influence of the Phrygian mode will be seen to prevail over the idea of the purely chromatic derivation

for flat-$\hat{2}$ (see the discussions of Op. 41, nos. 1 and 2 in Chapter 11). Finally, in Example 3.14, the motion of the bass from F to A within the overall F minor tonality of this mazurka, operating in conjunction with an upward chromatic inflection of $\hat{5}$ (C to C-sharp), results in a striking motion from F minor to the mediant major (A major).

One additional possibility of mixture in the upper voice must be mentioned. This involves the chromatic embellishment of $\hat{5}$ in a major key by flat-$\hat{6}$ as its upper neighbour. {29} There are, however, no examples of this in the mazurkas. {30}

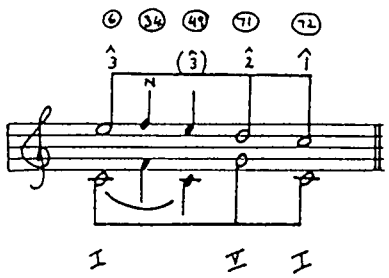
In all the examples of mixture cited above, the chromatically inflected notes do not function as neighbour notes, but as ornamentations of the diatonic degree which they subsequently prolong. Notes which are chromatically inflected can, however, have an additional function, namely, as chromatic passing tones, but as such, they usually belong to the later middleground or even foreground. {31} Such chromatic passing motions are a regular feature in many mazurkas, especially in connection with motivic structuring (see Chapter 10).

More Prolongational Possibilities in the Background

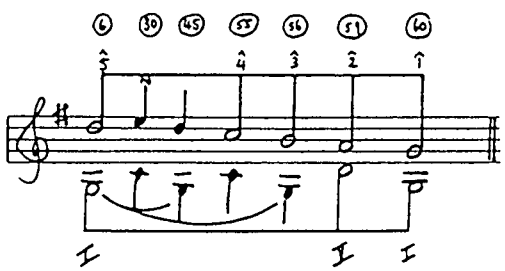
Two additional prolongational classes deserve to be considered in connection with the background. The first is an upper neighbour note (diatonic or chromatic) connected to the first note of the fundamental line (either $\hat{3}$ or $\hat{5}$), for example, $\hat{3}/\hat{4}/\hat{3}$, $\hat{5}/\hat{6}/\hat{5}$, or $\hat{5}$/flat-$\hat{6}/\hat{5}$. Note, however, that this is not applicable to $\hat{8}$, since the bounds of the octave space would be overstepped.

{32} The importance of these neighbour-note configurations in the background is again one of formal significance, since a neighbour note connected to a note of the fundamental line, when subjected to prolongation, always results in a new form section being generated from it {33} (see Examples 3.15 and 3.16).

Example 3.15. Mazurka Op. 68, No. 1



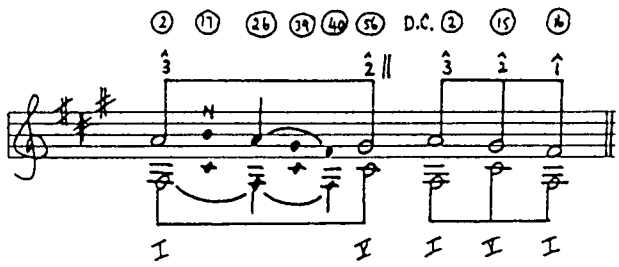
Example 3.16. Mazurka Op. 67, No. 1



The second prolongational class indicated above is a line ("Zug") connected to the first note of the fundamental line which replicates the fundamental line. This situation frequently occurs in the mazurkas, where, due to the requirements of dance forms (see Section I), many mazurkas consist of individual tonally closed form sections. This means that such a particular section (usually the A section or the Trio) contains its own

internally closed fundamental structure. (34) (Note, for instance, that the background structures in Examples 3.2 and 3.9 comprise only the first main sections of these mazurkas.) By including such middleground lines in the background, attention is directed towards the miniature replication of the complete tonal structure of a given composition within its main form section (in this regard, see Example 3.17).

Example 3.17. Mazurka Op. 6, No. 1



Finally, it should be evident from the examples that more than one of the prolongational classes mentioned above may be included in a single background graph (Example 3.17 offers a case in point). It must, however, be emphasised that they do not belong to the same level, but are indicated according to the specific needs for establishing a rapport between the background and foreground, or, in most instances, according to what the analyst particularly wishes to show in a composition.

The Obligatory Register

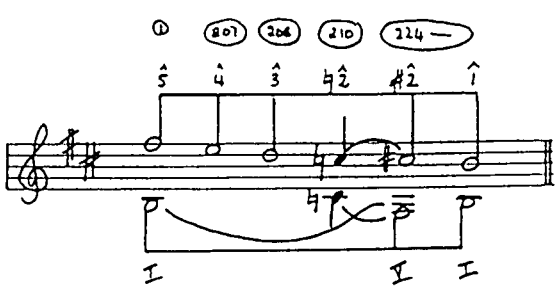
Closing the present discussion of the background, three additional factors are to be mentioned: 1) the **obligatory register** ("Obligate Lage"), 2) the **unsupported stretch** ("Leerlauf"), and 3) implied notes. Schenker's principle of the obligatory register dictates that the fundamental line should present itself within a single octave. The latter constitutes the primary (obligatory) register of the work. {35} This does not mean that the fundamental line cannot be affected by a change of register of some of its elements, but this will be the result of middleground or even foreground involvement with these elements. Such changes of register are possible according to Schenker, exactly because they refer back to the obligatory register. {36} The obligatory register is an important idea because it is connected to the notion of the background as a strict contrapuntal **exercise**. Thus, the notion of registral manipulation of voices is understood as a device of free composition. {37}

The Unsupported Stretch

The phenomenon of the **unsupported stretch** occurs when individual elements of a fundamental line do not have proper contrapuntal support in the bass. This prevents their further prolongation in the middleground and foreground, a necessary condition for the fundamental line in order to be connected to the details of a composition and to assert its influence on the

unfolding of that composition's harmonic/voice-leading structure. In spite of this, an unsupported stretch is sometimes valid in a fundamental line, especially when there is a strong conviction as to its prominence at the close of a work, or when the middleground and foreground do not attest to further prolongation of those elements involved in the unsupported stretch. This phenomenon occurs fairly frequently in the mazurkas, mainly due to the influence of either drone-bass components or drone-bass related pedal point constructions, making proper support for elements of their fundamental lines impossible, or at least extremely doubtful. In some cases this poses a serious problem in identifying a legitimate tonal-structural close, and by implication, a legitimate fundamental structure for these works (a question which will be addressed in Chapter 12). In other cases the definite feeling of a genuine structural close--at least melodically, supported by the formal layout of the piece--may override the lack of proper support created by the unsupported stretch. In the meantime, an example may suffice of the occurrence of such an unsupported stretch in the mazurkas (see Example 3.18).

Example 3.18. Mazurka Op. 33, No. 4



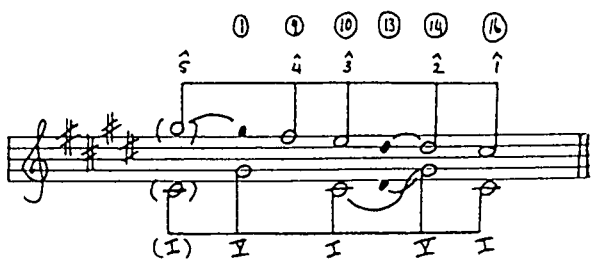
Implied Notes

Occasionally, because of rhythmic displacement of a voice-leading device at a later level, a note of the fundamental line (or any other middleground line) may be implied rather than literally represented (that is, actually sounding). (38) See, for instance, Example 3.14 where the B-flat as $\hat{4}$ of the fundamental line had to be implied, since the B-flat in question is not present in the music itself. A further justification for a note to be implied if not present in the voice leading is that such an implication is necessary when it represents the completion of a specific voice-leading connection. (39) As already hinted, implied notes do however also occur at all subsequent levels up to the foreground, and in fact become more frequent at later levels, due to greater flexibility in terms of the number of constantly present (active) voices and of registral movements.

There are very few instances in the backgrounds of the mazurkas where implied notes occur at those places in the fundamental line where they are normally expected--that is, involving elements of the line which are ultimately dissonant, such as the passing notes that fill in the arpeggiation of the tonic triad (40) (see again Example 3.14 as one such instance). They do, however, fairly regularly involve the first note of the fundamental line or bass arpeggiation, or both, especially when there is no definite statement of them, and of the main tonality at the beginning of a mazurka. A case in point is Op. 6, no. 2, which starts on the dominant before going to the first tonic.

The first note of the fundamental line ($\hat{5}$) is already present above the dominant, but, by the time the tonic is reached, has moved down to $\hat{3}$, causing an apparent displacement of $\hat{5}$ and I which normally would have to be corrected in the background reading. In the present case, however, there is no displacement of $\hat{5}$ and I, since such instances usually present the opposite situation, that is, a firmly established tonic at the beginning of the piece without the immediate presence of the first fundamental-line tone, and a subsequent displacement of the bass when the first fundamental-line tone is reached. Here the problem is solved by implying $\hat{5}$ and I prior to the music itself (see Example 3.19). This action is justified since the implied $\hat{5}$ and I indicate the already mentally present main tonality of the mazurka prior to its actual start on the dominant (for a detailed discussion of this mazurka, see Chapter 12).

Example 3.19. Mazurka Op. 6, No. 2, Background Structure, Bars 1-16



A final remark concerns the appearance of $\hat{2}$ in the background. Although it is supported only by V in the fundamental structure, it frequently happens that the note involving $\hat{2}$ will appear first above a pre-dominant harmony, and then be replaced by an inner

voice--usually the leading tone--at the appearance of the final cadential dominant. In such cases the original $\hat{2}$ is still regarded as active in the voice-leading structure and will therefore not be implied (see, for instance, Op. 68, no. 3, bars 15-16 and corresponding places, where G in the upper voice, appearing above II6, moves to the inner voice E above V.

NOTES

1. **The New Grove Dictionary of Music and Musicians**, Vol. 19, 489.

2. Schenker, **Free Composition**, 4-5.

3. Wilhelm Furtwängler, as quoted by Allen Forte in "Schenker's Conception of Musical Structure", **Yeston**, 19.

4. Salzer, **Structural Hearing: Tonal Coherence in Music** (New York: Dover Publications, 1982), 13.

5. Oswald Jonas, **Introduction** to Schenker's **Harmony**, xix.

6. David Neumeyer, **Exercise Manual for Schenkerian Analysis** (Indiana University, 1988), 7.

7. Neumeyer, **Guidelines for Analysis of Traditional Tonal Music using Heinrich Schenker's Method**, 1982), 8.

8. Schenker, **Harmony**, xxi-xxii.

9. Neumeyer, **Guidelines**, 9.

10. Schenker, **Free Composition**, 8.

11. Forte, "Schenker's Conception of Musical Structure", **Yeston**, 12.

12. Strictly speaking, **Erste Schicht** is first middleground, but it is used freely as background in the literature, since it includes first order diminutions such as the interruption and initial ascent.

13. Forte, "Schenker's Conception of Musical Structure", **Yeston**, 12.

14. Loc. cit.

15. Schenker, **Free Composition**, 4.

16. Neumeyer, **Guidelines**, 22.

17. Ibid., 9.

18. Ibid., 22-23.

19. In **Free Composition**, Schenker shows various combinations of fundamental line and bass, and the harmonic progressions they represent or suggest; in Fig. 15, from $\hat{3}$; in Fig. 16, from $\hat{5}$; in Fig. 18, from $\hat{8}$.

20. Schenker, **Free Composition**, Par. 53.

21. Ibid., Par. 55.

22. In connection with Example 3.6, the interruption is read by Schenker in **Free Composition** Fig. 53,3 as occurring for the first time in bar 31, thereby implying that the control of the dominant in the background structure already extends from bar 29 four bars before the start of the large middle section of this mazurka (bars 33-100). In Example 3.6, however, the interruption is not suggested until bar 39; an interpretation favoured over the one given by Schenker, since the structural implication of the latter is clearly contradicted by the surface harmonic motions in bars 31-38, suggesting that these bars are still under the control of the tonic and $\hat{3}$.

23. Neumeyer, **Exercise Manual**, 93.

24. Schenker, **Free Composition**, Par. 91.

25. Neumeyer, **Exercise Manual**, 93.

26. Ibid., 91.

27. Loc. cit.

28. Neumeyer, **Guidelines**, 27.

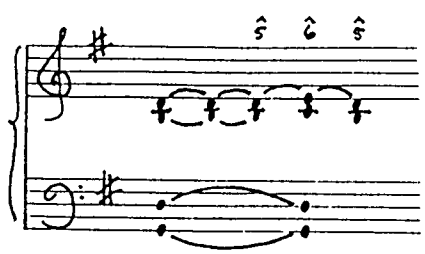
29. Loc. cit.

30. There are three mazurkas in which chromatic upper neighbours to the fifth scale degrees can be identified, but these are all within the foreground as part of their coda constructions and involve only inner-voice motions. In Op. 24, no. 4, G-flat, the upper neighbour of F (the fifth degree) becomes a chromatic note with the change from B-flat minor to B-flat major in the coda; in Op. 56, no. 1, the diatonic sixth degree is operated upon by mixture at the end of the piece, while in Op. 56, no. 3, a similar situation as in Op. 24, no. 4 occurs in the parallel C major tonality of its coda.

31. Neumeyer, **Guidelines**, 27.

32. Schenker, **Free Composition**, Par. 106.

33. In connection with the mazurka cited in Example 3.16, there is an imaginative surface parallelism of the large $\hat{5}$-$\hat{6}$-$\hat{5}$ background motion in its introductory melodic figure during bars 1-4 which may be interpreted as a subtle foreshadowing of the piece's overall controlling background melodic structure (see the analytic sketch below).



34. This is regarded by Schenker, however, as a demonstration of the principle of **repetition**, attesting to the organic nature of a well-composed work. In many instances, these middleground transformations of fundamental structures have a profound significance in terms of motivic structuring or design in a composition (see also the reference to, and discussion of, repetition in Chapters 1 and 2).

35. Forte and Gilbert, **Introduction to Schenkerian Analysis**, 169.

36. Schenker, **Free Composition**, Par. 8.

37. This observation was made by Prof. David Neumeyer in a doctoral seminar on Schenkerian analysis given by him at Indiana University, fall 1982.

38. Neumeyer, **Guidelines**, 27.

39. Forte and Gilbert, 119.

40. Neumeyer, **Guidelines**, 27.

CHAPTER 4

THE FOREGROUND

We continue our overview of Schenker's analytic method by firstly considering the content, function and devices of the foreground (the level of composing-out or reduction closest to the music score itself), before coming to the middleground. This particular approach is justified on the following grounds: firstly, since the latter constitutes the intermediate stage or stages of voice-leading transformation or development from background to foreground, it requires considerable interpretation with respect to the correct allocation of voice-leading content in relation to the background and foreground. To add to this, the middleground does not necessarily consist of one level only, but may often be divided into a number of levels (see Chapters 5 and 6), which sometimes makes it difficult to distinguish whether a particular level is late middleground or early foreground. Thus, it is better to experience the different diminutions within a foreground context first, since they are closely associated with surface elements, in contrast to the middleground, where there is greater distance between the voice-leading elements that are prolonged by the diminutions.

Secondly, the foreground contains all the various voice-leading techniques and devices which need to be considered in order to understand the idea of elaboration of the underlying harmonic/voice-leading events. In this regard, the middleground still lacks the freedom of usage that these techniques and

devices have in the foreground. Thirdly, as part of the process of reduction from the musical surface to its background, the foreground represents the most familiar material in terms of the actual composition. This should facilitate a better understanding of the various voice-leading techniques and devices with respect to their prolongational or diminutional role, because of their association with the immediately perceivable surface events. Finally, it could be argued that, since the various techniques and devices are to be discussed with respect to their prolongational role first, they could conceivably be addressed here in terms of foreground and middleground together, since the difference is ultimately one of context. It should, however, be emphasised that these techniques and devices still depend ultimately on the various structural levels for their final meaning, and therefore need to be considered separately within foreground and middleground contexts.

As noted above, the foreground may be described as the first level of reduction from the score or the closest to the musical surface of a composition. Although this may sound like one and the same thing, there could be a difference in interpretation. For instance, in **Free Composition**, the content of the various musical illustrations presented there as foreground examples are in most cases still relatively far removed from the score, but in spite of this, they are designated by Schenker as "foreground". The reason for this is that, in contrast to his earlier works where the fundamental structure had not yet acquired its final form and placement in the overall structural hierarchy of a composition, Schenker's final formulation of the fundamental

structure and its relation to the details of the foreground made him present the content of the structural levels more abstractly in **Free Composition**, resulting in middleground and foreground being submerged more deeply into the music.

On the other hand, in his **Five Graphic Music Analyses**, Schenker presents his so-called "Urlinietafeln", in which the content involves voice-leading elements closer to the actual composition itself. He did this by combining traditional foreground events--that is, those events lying beneath the musical surface--with what may be called a harmonic reduction of the score, and even a rudimentary melodic/motivic analysis. {1} This latter conception of the foreground is generally accepted nowadays over those particular foreground renderings in **Free Composition**, since **Five Graphic Music Analyses** can be regarded as Schenker's final idea on how a complete set of analytic graphs should be constructed, thereby also implying the necessity for the content of each level to be defined more precisely.

In addition, present-day Schenkerian analysts often use their analytic presentations of a composition for purposes other than a pure demonstration of organic voice leading; that is, they often use the method in order to demonstrate specific compositional aspects, such as motivic design or harmonic language and even the role of voice leading with regard to specific style periods or stylistic tendencies. These objectives sometimes require a more detailed investigation of the musical score, in order to arrive at more conclusive and satisfactory answers with regard to the particular problem being investigated. This point of departure promotes a tendency to construct more detailed foreground graphs,

especially since the analyst may wish to concentrate on specific portions of a composition or movement therefrom.

Before coming to the basic voice-leading techniques which are employed in the middleground and foreground, and the various resulting analytic devices, it is necessary to point out the three main types of melodic prolongational motion through which the basic types of melodic diminution can be identified. These are: 1) motion from a given note, normally a descending diatonic scale segment or arpeggiation (where the prolongation follows the note that is prolonged); 2) motion to a given note, normally an ascending diatonic scale segment or arpeggiation (where the prolongation precedes the note that is prolonged); and 3) motion about a given note, most frequently by means of upper and/or lower neighbouring notes (which may in turn be prolonged themselves). {2}

Within these three categories of prolongational motion, the three simplest diminutions--and thus the three basic classes--are: 1) the neighbour note (which gives rise to other auxiliary notes), 2) the passing tone (which gives rise to lines, and 3) the chord tone (which gives rise to arpeggiation). Arpeggiation, in turn, is related to the techniques of register transfer, voice exchange and unfolding. Additionally the register transfer and the line combine effects to produce the technique of overlap or reaching-over of voices. The initial ascent ("Anstieg") is a special case of the line, {3} as we shall see later.

With regard to those techniques and devices constituting the content of the foreground, the function of the foreground in

relation to the middleground can be stated as showing those lines, arpeggiations, non-harmonic note embellishments, unfoldings, voice-exchanges (properly only in the foreground), and other devices that serve to prolong the elements of the middleground. (4) The three basic diminutions and the various techniques resulting from them will now be considered separately, as well as in combination with each other within the context of the foreground, and by way of suitable examples from the mazurkas.

The Neighbour Note

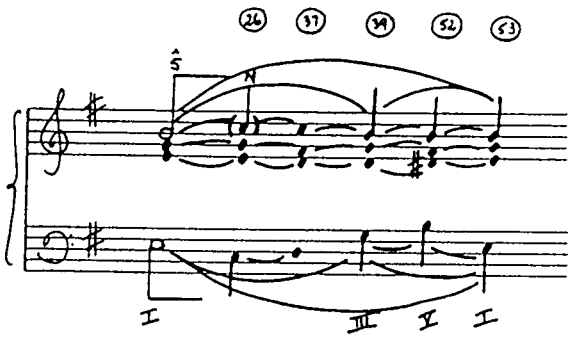
The neighbour-note figure belongs to the category of melodic prolongation where the basic movement is about a single tone, the latter serving both as the point of departure and the return to the neighbour note. As a diminutional technique, the neighbour-note figure may also occur at any level up to the first middleground or background (5) (see Chapter 3). There it is still linked to the notes of the fundamental line only, and the motion itself is restricted to that of the upper neighbour alone, the lower neighbour-note figure being prohibited due to its close involvement with the fundamental line and the interruption. In addition, neighbour-note figures in the background involve only a motion from $\hat{3}$ or $\hat{5}$, and their structural significance with regard to both background and middleground is of a form generating nature (see again Chapter 3, as well as Chapter 9).

In comparison to the background and first middleground, the neighbour note at the later levels (particularly as a foreground

phenomenon), can be both upper and lower, and may occur with any tone. Thus, in free composition, the neighbour note may vary in scope from simple melodic embellishment, as it is found even in ornaments, up to the condition of greater independence when there is a simultaneous movement in the bass, resulting in the neighbour note being given its own chord, which, if identified as a middleground element, could be subject to further prolongation. The opportunity is therefore provided for a neighbour note within a melodic line to become more than a purely ornamental aspect of the musical surface, even though such foreground triadic areas do not have to be subject to further composing-out.

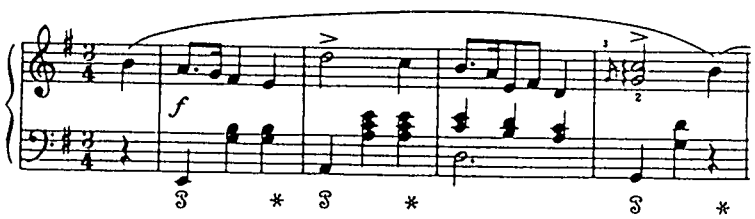
To illustrate the use of the neighbour note as diminution, as well as its expanding or embellishing role, a few excerpts from the mazurkas are examined. Firstly, to distinguish between the use of the neighbour-note figure at different structural levels, Example 4.1a offers a background/middleground graph of Op. 17, no. 2, where B (the first fundamental-line tone), is embellished by its upper neighbour (C) in bar 26, followed by a return to B in bar 38. Note that the neighbour note C has harmonic support in the form of VI of E minor and V of III of E minor, and that this opens the way for further composing-out stemming from it. The same neighbour note also appears as a middleground/foreground element during bars 1-4 and corresponding places of this mazurka, now supported by two foreground harmonies, IV of E minor and again V of III of E minor, as illustrated in Example 4.1b.

Example 4.1a. Mazurka Op. 17, No. 2, Background/middleground Graph, Bars 1-53

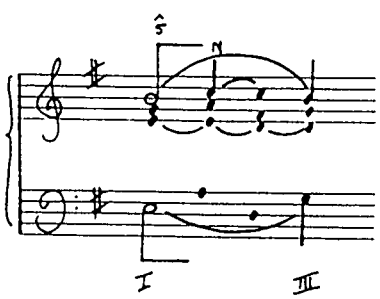


Example 4.1b. Mazurka Op. 17, No. 2

(i) Score, Bars 1-4

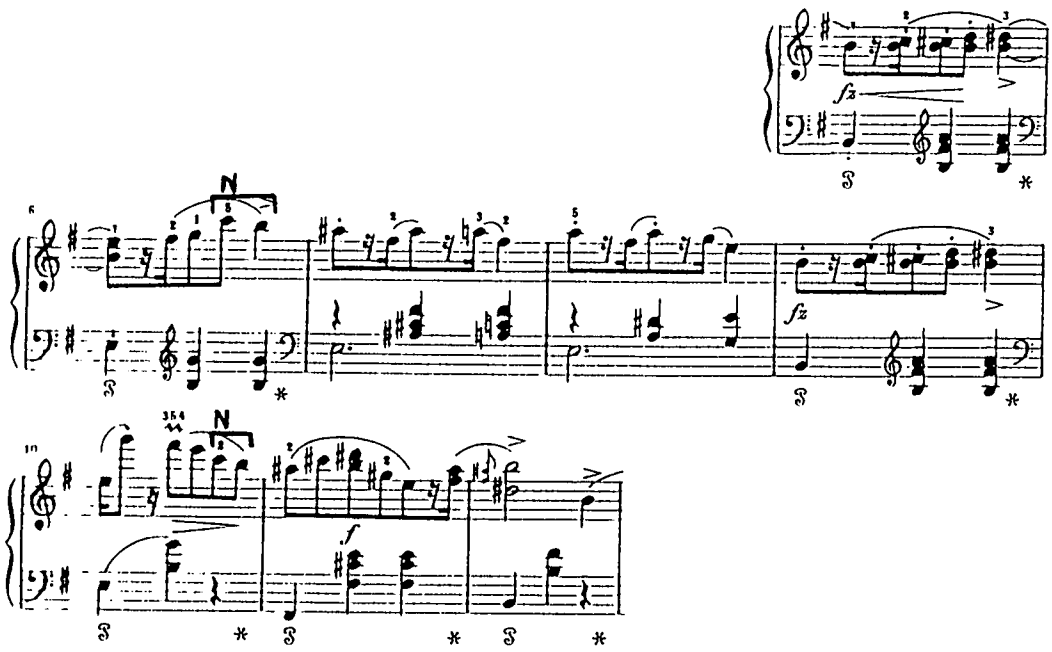


(ii) Middleground/Foreground Graph, Bars 1-4

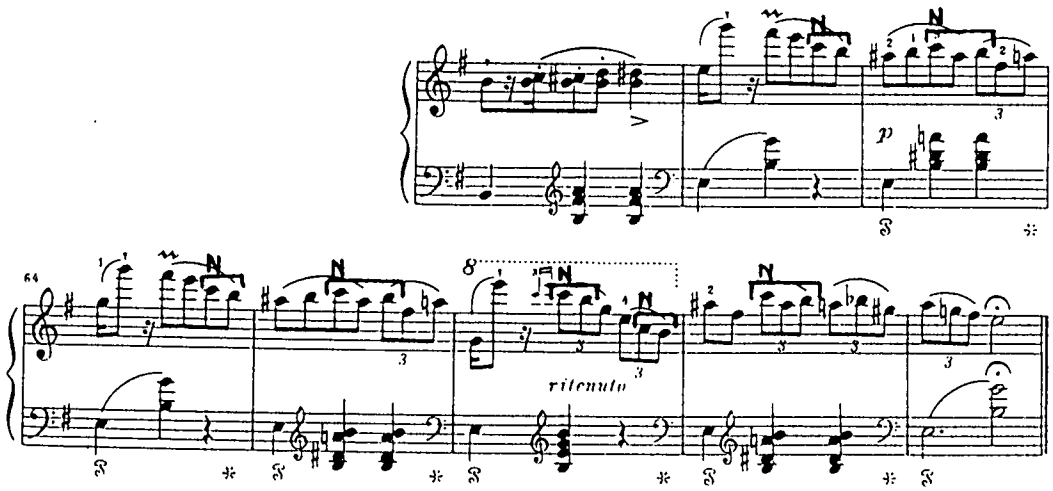


Finally, Examples 4.1c and d respectively present the melodic line of bars 5-12 and 61 to the end, indicating several appearances of the neighbour note C as melodic surface figure.

Example 4.1c. Mazurka Op. 17, No. 2, Bars 5-12



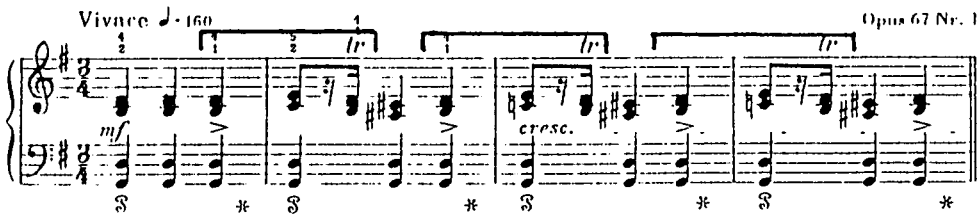
Example 4.1d. Mazurka Op. 17, No. 2, Bars 61-69



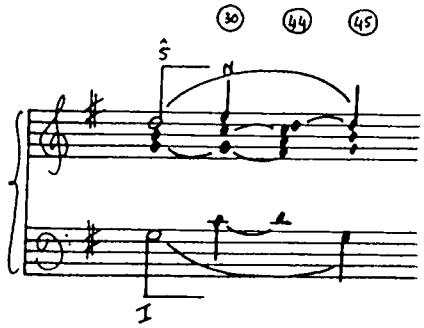
Notice that, in these instances, the connections between B and its upper neighbour C are direct, while in the former two examples this is not the case; that is, there are other notes

forming part of the composing-out process, intervening between B and C. This testifies to the fact that even in the foreground there can already be a distance between the elements of such neighbour configurations and the actual musical surface as is the case here, demonstrating that also the foreground presentation of a work is primarily concerned with tracing the correct voice leading underlying its surface configurations. This fact in itself can open up the way for the discovery of further large-scale voice-leading connections, involving similar configurations derived from the musical surface. An instance of such a connection is found in Op. 67, no. 1, where the opening melodic configuration (a neighbour-note motion D/E/D, must have served as the initiation for its occurrence in the background of this mazurka; its subsequent prolongation in the middleground generating the large middle section or Trio (see Examples 4.2a and b). In this regard, such a neighbour-note configuration becomes a **structural motive** (that is, a specific voice-leading configuration occurring at different structural levels, and a phenomenon which will be encountered throughout the discussions and analyses of mazurkas in Part Two).

Example 4.2a. Mazurka Op. 67, No. 1, Bars 1-4



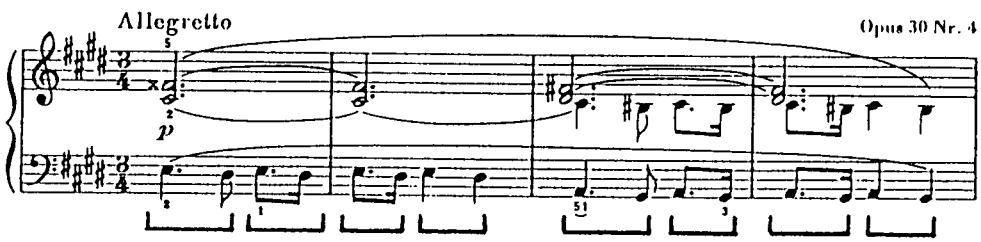
Example 4.2b. Mazurka Op. 67, No. 1, Background Graph, Bars 1-45



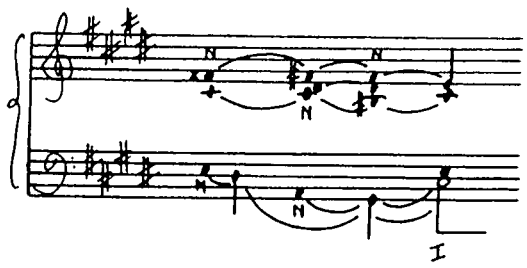
Example 4.3a, contains a series of incomplete neighbour notes in the bass, situated on the musical surface and connected directly to their notes of resolution. These figures nevertheless play an important role in the motivic design of this mazurka. In addition, Example 4.3b offers a passage from the same mazurka where there is a surface lower neighbour-note figure in the opening theme, involving the first note of the fundamental line. They are, however, presented without independent harmonic support. These particular lower neighbour-note configurations are also related motivically to the opening bars and related material of this mazurka (for a detailed discussion, see Chapter 7).

Example 4.3a. Mazurka Op. 30, No. 4

(i) Score, Bars 1-4

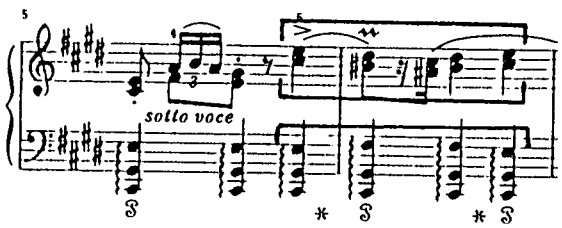


(ii) Graph, Bars 1-4

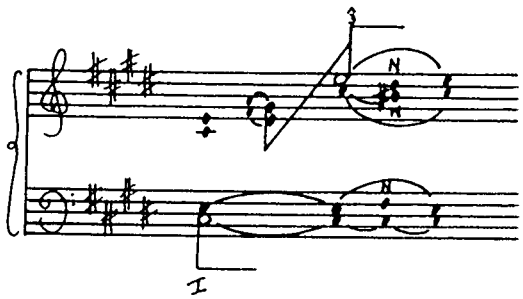


Example 4.3b. Mazurka Op. 30, No. 4

(i) Score, Bars 5-6



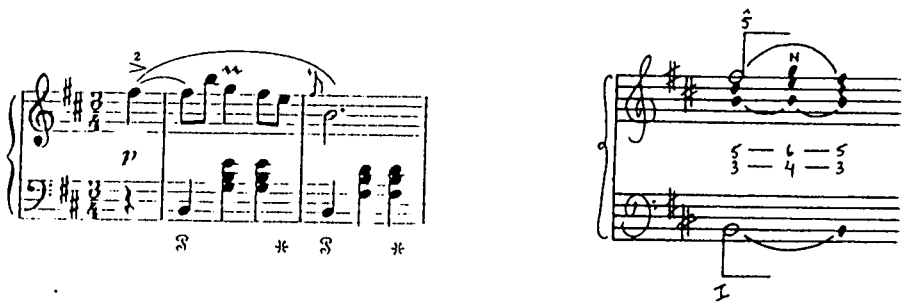
(ii) Graph, Bars 5-6



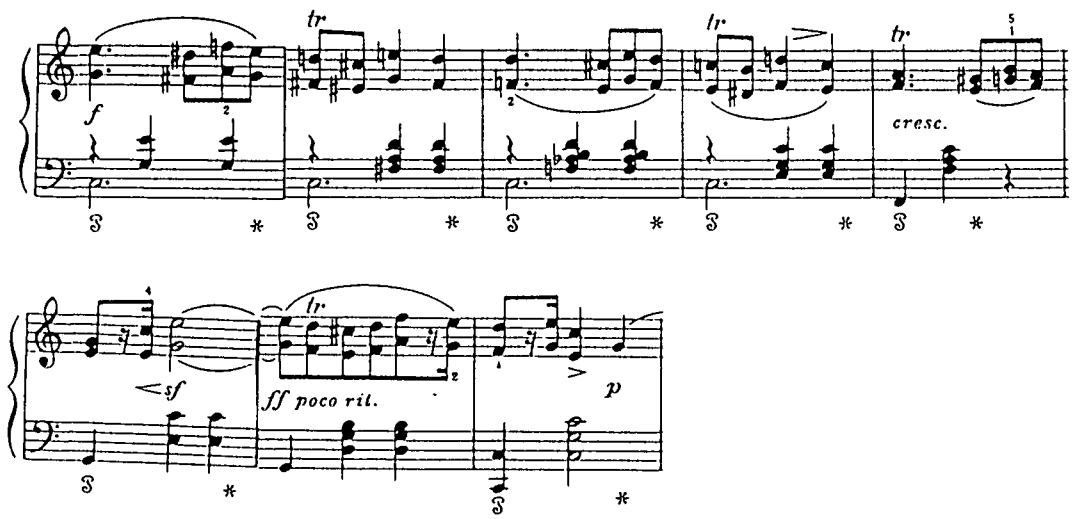
It should be evident that there is a variety of possibilities concerning the use of neighbour notes. They may be presented either as single figures or in combinations of two or more figures being presented simultaneously. The latter can result in a neighbour chord or neighbour harmony. Example 4.4 presents such an instance from Op. 33, no. 4, namely, a 5/3;6/4;5/3 double neighbour-note figure over tonic in the bass. Numerous other cases of double neighbour figures can be traced in the mazurkas--notably, the surface figures in the opening of Op. 67, no. 1--the top voice of which has been discussed above (see also the double neighbour-note surface figures in the main theme of Op. 30 no. 3, Example 10.5 below, as well as in the main theme of Op. 67, no. 3 in Examples 4.5).

Example 4.4. Mazurka Op. 33, No. 4

(i) Score, Bars 1-2 (ii) Graph, Bars 1-2



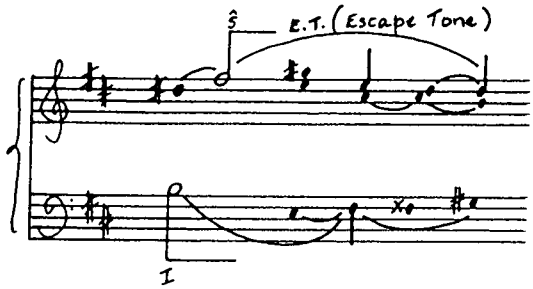
Example 4.5. Mazurka Op. 67, No. 3, Bars 9-16



Special neighbour configurations functioning as diminutions include, in addition to the incomplete neighbour note, the escape tone and appoggiatura. These figures usually occur in the foreground only. The escape tone can, however, also occur in the middleground. (6) An instance of the escape-tone figure is found in Op. 33, no. 4 (Example 4.6), where the particular passage given, represents the foreground melodic motion F-sharp/G-sharp/E/D-sharp, the G-sharp escape tone being

succeeded directly by the E.

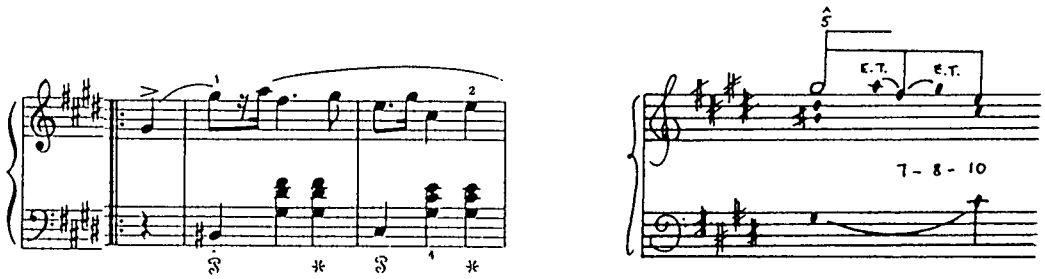
Example 4.6. Mazurka Op. 33, No. 4, Bars 129-133



The curious--but not uncommon--figure 7/8, in which 8 becomes subordinate to and embellishes the dissonant 7, is also based on the escape tone figure {7} (see Example 4.7).

Example 4.7. Mazurka Op. 6, No. 2

(i) Score, Bars 9-10 **(ii) Graph, Bars 9-10**

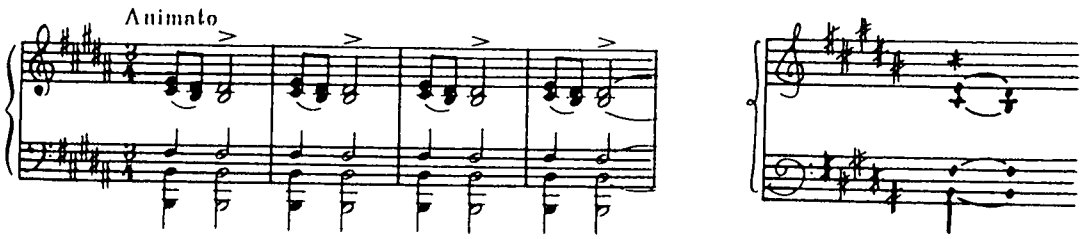


A striking example of surface appoggiaturas is Op. 41, no. 3, where there is an opening appoggiatura figure in the right hand, repeated four times, and having a delaying function with regard to the tonal structure and the commencement of the opening theme period. Although this appoggiatura figure is particularly

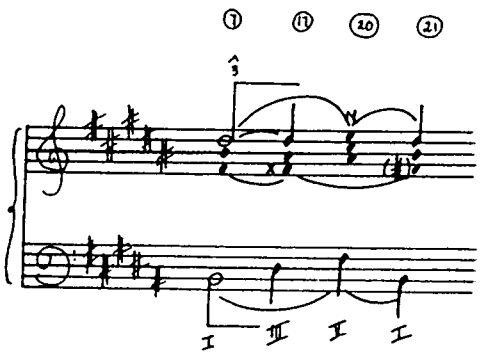
striking, it does not seem to appear at all in the rest of the mazurka's surface voice leading. It does, however, feature in the middleground, thus giving a larger structural role to the figure, although not one of any note with regard to motivic design or tonal structure (see Examples 4.8a and b).

Example 4.8a. Mazurka Op. 41, No. 3

(i) Score, Bars 1-4 **(ii) Graph, Bars 1-4**



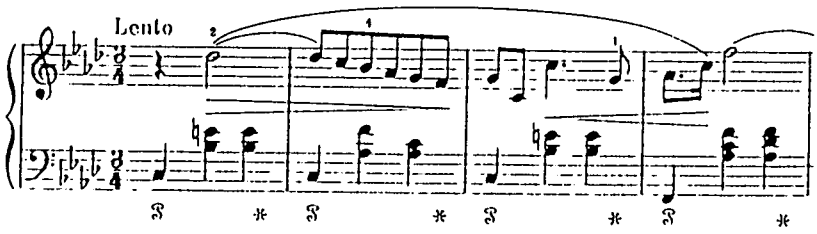
Example 4.8b. Mazurka Op. 41, No. 3, Background/Middleground Graph, Bars 1-21



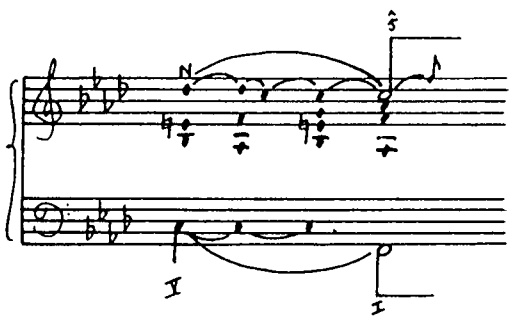
The manner in which the appoggiatura usually penetrates deeper into the structure is by way of a prefix to a note of greater structural weight {8} (see Example 4.9).

Example 4.9. Mazurka Op. 63, No. 2

(i) Score, Bars 1-4



(ii) Graph, Bars 1-4



Linear Progressions

Every analysis using Schenker's method will have lines in it. (9) This is because linear voice leading represents the means by which composing-out is achieved. Coupled with the concept of structural levels, it also becomes the principal means of effecting a connection between a composition's tonal-structural origin, the tonic triad, and its surface voice-leading components. In Chapter 3, this process was shown to start with the fundamental line as the first horizontal unfolding of the constituent intervals of the tonic triad, out of which further

linear activity is created through the process of voice-leading transformation from level to level up to the foreground. Thus it is that the concept of linear progressions, meaning stepwise melodic motions, is regarded by Schenker as the basic element of tonal voice-leading content in a composition. In **Free Composition**, he writes:

> A linear progression is above all else, the principal means of creating content in passing motion, that is, of creating melodic content. (10)

More specifically defined, the term **linear progression** ("Auskomponierungszug") refers to the compositional unfolding of a specific interval, one of the intervals of the triad; the fifth and third, as well as their respective inversions, the fourth and sixth. Additional possibilities include inverting the step of a second into a seventh, which signifies an ascending or descending register transfer of the second, and therefore an enlargement of its space, and the octave, which also amounts to a register transfer, in this case, of the same tone. The hallmark of the linear progression is the passing tone. (11) The linear progression always presupposes a passing tone; there is no linear progression without a passing tone, and no passing tone without a linear progression. (12) Schenker names linear progressions after the respective intervals that they traverse (third, fourth, fifth, sixth, seventh, and octave-lines), and they can be either descending or ascending. (13)

Because the idea of linear progressions finds its original model in the fundamental line, it happens frequently that a specific linear progression in a subsequent level from the

background reflects the specific model of fundamental line operating in a particular composition. This conforms to Schenker's idea of "repetition" (see Chapters 1 and 2). Therefore, as we have already seen, where the fundamental structure of a tonally closed portion of a composition is regarded as a miniature replica of the overall fundamental structure of that composition, this event in itself is a middleground linear progression. This specific application of the concept of the linear progression is common to the mazurkas, and as such, plays a significant role in creating voice-leading organic unity in these compositions.

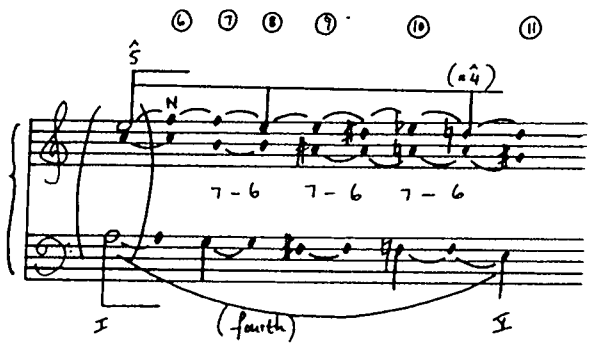
It is important to realise that the interval spanned by a linear progression will be a component of a harmonic function relevant to the context. (14) Lines of a seventh or ninth are not true lines; they are rather composed-out steps to which register transfer has been applied, (15) since there is no possiblility for an underlying harmonic entity to be prolonged through the composing-out of an interval of a second.

The essential nature of a linear progression is that it exists as a bridge between two structural voices. (16) This indicates that linear progressions (specifically in the upper voices), actually involve motion at a deeper level from one structural voice to another. The fact that each component of a linear progression is usually harmonised, also points to this observation. (17) The descending linear progression always signifies a motion from the upper voice to an inner voice, while the ascending progression denotes a motion from an inner voice to the upper voice. (18) Normally the first pitch in a descending

line is the one that connects to the next deeper level, but the last pitch in an ascending line. (19) Similarly, this situation may be reversed, depending on the role of a particular linear progression within the larger tonal structure, as will be observed later.

Before considering the individual linear progressions, it is necessary to acknowledge an essential difference in function between linear progressions in the upper voice and those in the bass, although Schenker labled both "progression" ("Zug"). With respect to linear progressions in the bass (in particular, the descending fourth which is perhaps the most common type of linear progression in the bass), the crucial distinguishing factor is that the interval spanned by a line of a fourth cannot correctly be verticalised under normal circumstances. An example of such a descending line of a fourth in the bass will demonstrate this (see Example 4.10).

Example 4.10. Mazurka Op. 17, No. 4, Bars 5-12



As seen here, the motion from A down to E supports a harmonic progression from I to V. While the tonic and dominant notes can coexist within a single vertical, the harmonies which they

support cannot. Thus, as Forte and Gilbert put it:

> the difference between the two main categories of linear progression, upper voice and bass, resides in the simple fact that the bass supports, while the upper voices are the ones supported. (20)

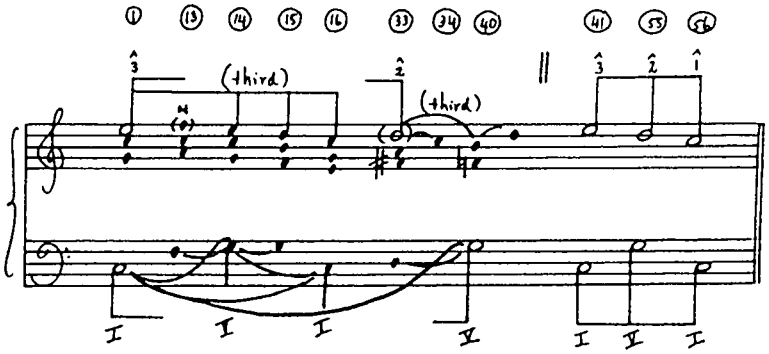
Neumeyer, however, makes a clearer assessment of this problem when he writes:

> Because of its association with the half cadence (thus, with two chords), the line of the fourth is more difficult to correlate with its harmonic foundations. This fourth is explained as embellishment of the first part of a dividing dominant construction.

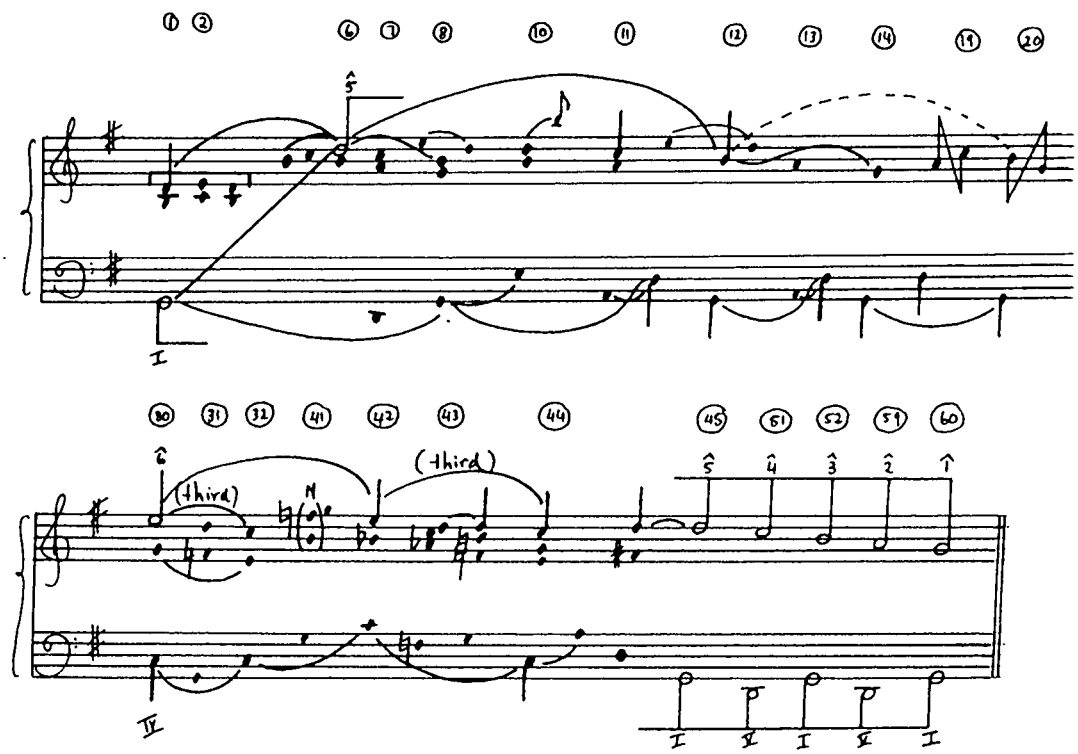
(in this regard, see again Example 4.10). He continues by referring to what he calls "certain otherwise problematic fourth-lines in the upper voice", explaining their nature also as depending in part on the dividing dominant in the underlying bass. (21)

Let us consider the various types of linear progressions individually. The most common, and also the simplest of all linear progressions is the line of the third, the simple passing-tone figure. Third-lines at the later levels can occur within the interruption figure where, within the prolongation of $\hat{2}$ over V, there can be a motion from $\hat{2}$ to the ascending leading tone as the inner voice, and the neighbour-note figure where a line of the third results either from a superimposed inner voice above the controlling background neighbour note, or from the neighbour note itself to an inner voice, acting as a controlling structural line for that particular passage. These instances are illustrated in Examples 4.11 and 4.12 respectively.

Example 4.11. Mazurka Op. 67, No. 3, Middleground/Foreground Graph



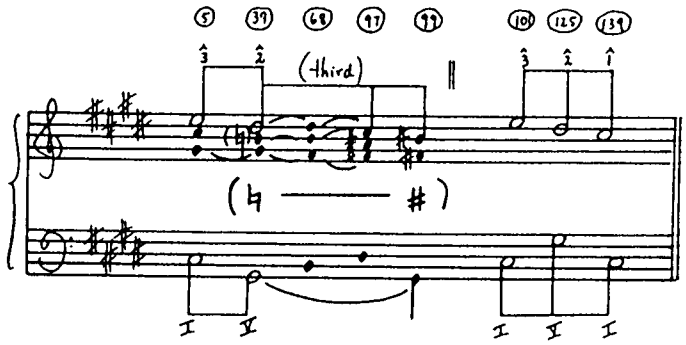
Example 4.12. Mazurka Op. 67, No. 1, Middleground/Foreground Graph



In the case of Example 4.11, this is not at all a frequent usage in the mazurkas, except for a few instances where lines of the third, resulting from the interruption, are placed rather deep in

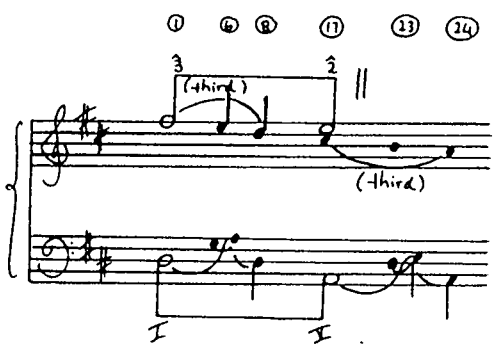
the structure (see Example 4.13).

Example 4.13. Mazurka Op. 30, No. 4, Middleground Graph



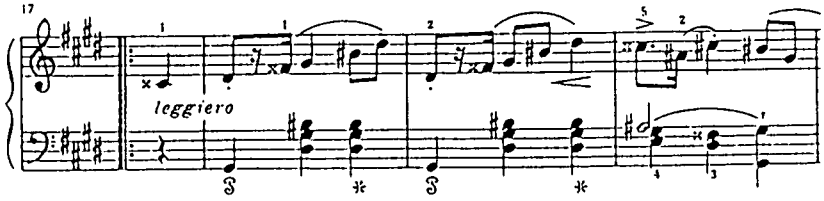
Another manner in which a third-line occurs in conjunction with the interruption figure or the half cadence, is as resulting from the inner voice within the dominant harmonic area prolonged by the $\hat{2}$ or a $\hat{5}$ (see Examples 4.14 and 4.15).

Example 4.14. Mazurka Op. 33, No. 2, Middleground/Foreground Graph, Bars 1-24

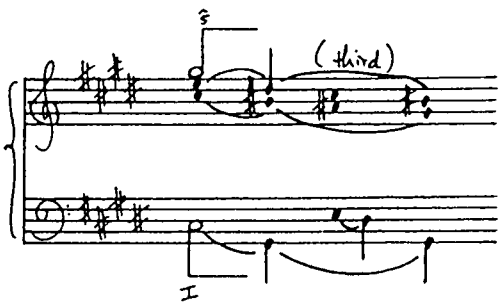


Example 4.15. Mazurka Op. 6, No. 2

(i) Score, Bars 17-19



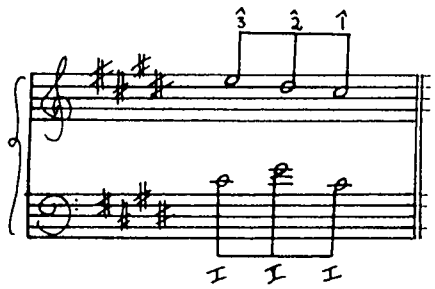
(ii) Graph, Bars 17-19



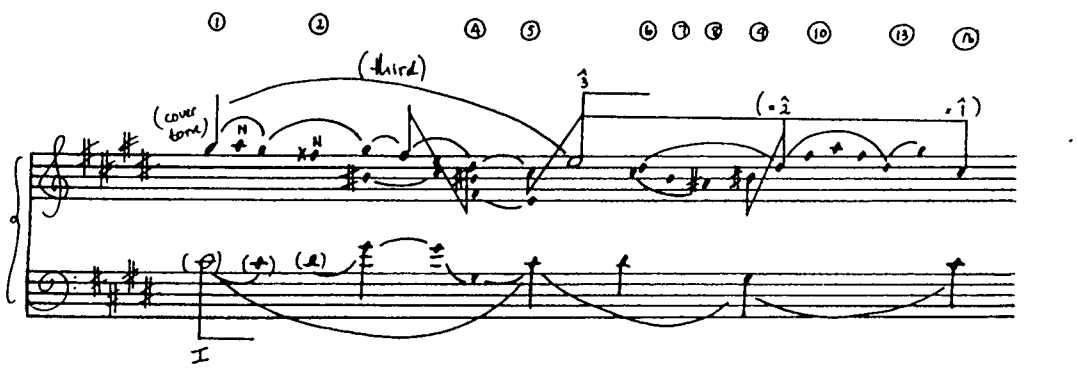
By far the most common way in which third-lines in particular appear in the foreground is by way of an offshoot from a main tone into an inner voice, often called "Innenterzzuege" (inner third-progressions) by Schenker. This frequently gives rise to a nesting of third-lines at more than one level (see Example 3.6 above), a phenomenon which is often of motivic significance. (22) In many cases such inner lines are also associated with a fundamental line $\hat{3}$-$\hat{2}$-$\hat{1}$, where the latter is paralleled by the inner third-line at a later level. This is the case in Op. 50, no. 3, where the fundamental line $\hat{3}$-$\hat{2}$-$\hat{1}$ is paralleled at two different levels (foreground and middleground) in the first sixteen bars (see Examples 4.16a and b). Note also the descending third-line G-sharp/F-sharp/E, prefixing the first

fundamental-line tone, and the inner third-line D-sharp/C-sharp/B-sharp, prolonging the $\hat{2}$ of the middleground third-line.

Example 4.16a. Mazurka Op. 50, No. 3, Background Graph



Example 4.16b. Mazurka Op. 50, No. 3, Foreground Graph, Bars 1-16

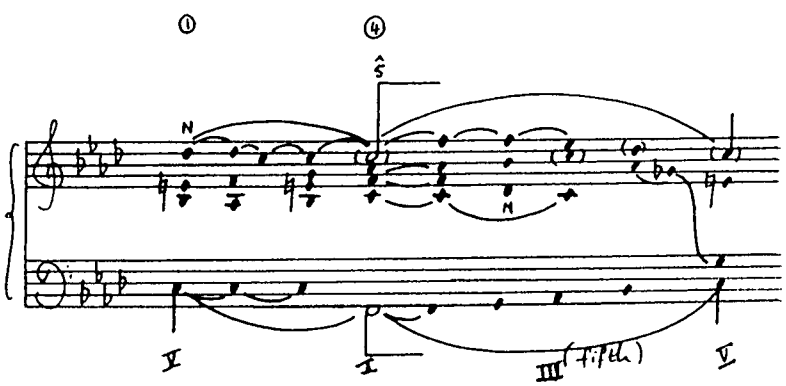


The line of the fifth (spanning the complete triad, and thus involving both its outlining fifth, as well as its constituent third intervals) is also very common and often used for longer spans of music (that is, middleground) with prolongation of individual elements. This specific application of the line of the fifth is especially characteristic in the mazurkas, where

fifth-lines in particular often fulfill the role as background line in a tonally closed internal form section of the work (a situation already referred to in Chapter 3; in this connection, see also Example 3.13. There, the fifth-line E/D/C/B/A functions as the controlling structural line for section A of Op. 7, no. 2. Lines of the fifth are also often divided into thirds (especially in minor keys).

Another common occurrence of a line of the fifth is in an ascending form in the bass (especially in minor), where it acts in conjunction with the bass arpeggiation I-III-V-I as the filling-in of its spaces (see Example 4.17).

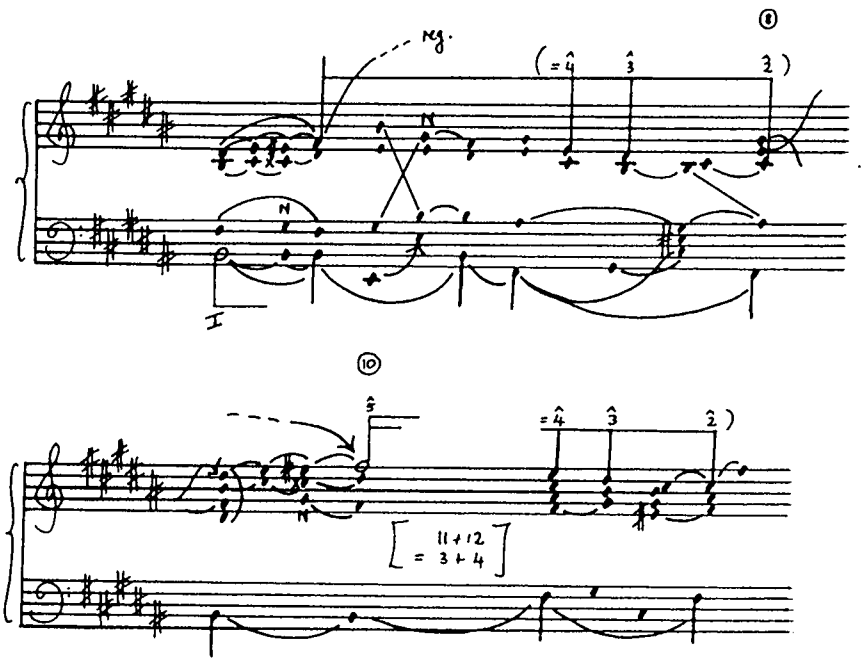
Example 4.17. Mazurka Op. 63, No. 2, Bars 1-8



Lines of the fourth are usually found where the top voice starts on the fifth scale degree and descends to the second in conjunction with the half cadence. Having alluded to problematic fourth-lines in the bass earlier on, this can be seen as a similar instance, in that the line again does not span a single harmony (in this case, the tonic). However, such a line is acceptable here, since the figure is so common, namely, the half

cadence; the basis of the interruption. An instance of this application of the line of the fourth is found in Op. 63, no. 1, where a parallel version of the same line in the background of this mazurka was already cited in Example 3.2. This same line, however, also occurs twice in the foreground of the mazurka, controlling the opening thematic statement and its repetition an octave higher (bars 1-8 and 9-16 respectively (see Example 4.18).

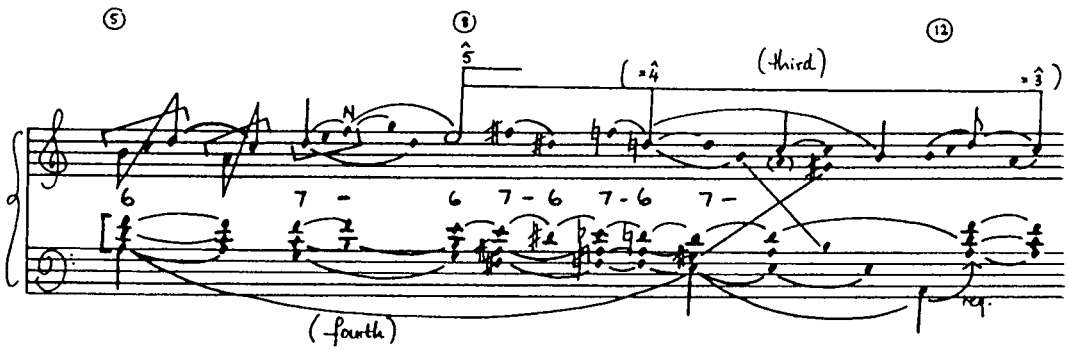
Example 4.18. Mazurka Op. 63, No. 1, Bars 1-16



A second application of the line of the fourth involves the bass, where it acts like a line of a fifth inverted; the rising line representing V-I, and the falling line I-V (see the bass line of Example 4.19). An explanation of the descending fourth in the bass has already been given in the discussion on the

distinction between linear progressions in the upper voice and bass.

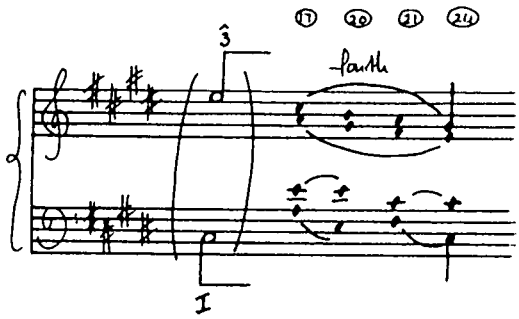
Example 4.19. Mazurka Op. 17, No. 4, Bars 5-14



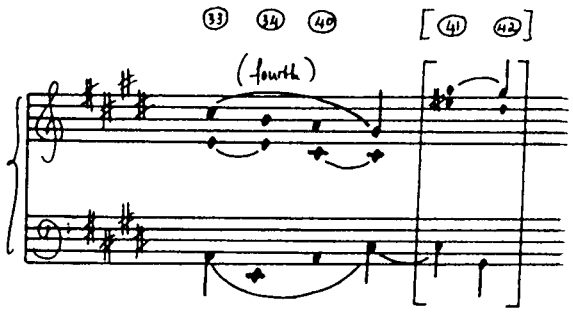
Another possibility of the line of a fourth in the upper voice which may be mentioned here, is the filling-in of the space between $\hat{8}$ and $\hat{5}$ (see Example 4.21 below).

Two final instances of fourth-lines in two mazurkas may be offered here (both descending). The first spans two inner voices (see Example 4.20), while the second represents a motion from an inner voice to the highest note of the fundamental line, but at this point, appearing an octave lower (see Example 4.21). In the latter case, the usual situation with regard to the note being prolonged in a descending linear progression (that is, its starting tone), is reversed here, in that the fundamental line tone is actually the last note of the linear progression. This illustrates the point that the determination of the priority of head note or tail note of a linear progression is not arbitrary, but depends upon the role of that progression in the middleground and background levels. {23}

Example 4.20. Mazurka Op. 50, No. 3, Bars 17-24



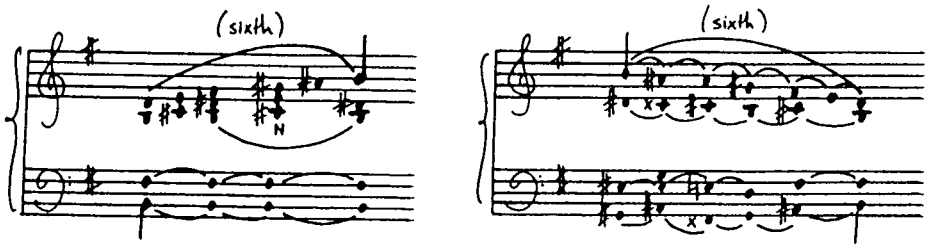
Example 4.21. Mazurka Op. 6, No. 2, Bars 33-40



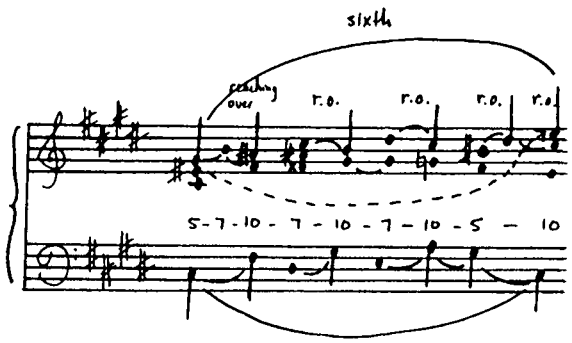
The line of the sixth is an inversion of the third-line (commonly $\hat{8}$ down to $\hat{3}$ as the inversion of $\hat{1}$ up to $\hat{3}$). However, the rising sixth is usually understood as a sixth, and not a third (as in $\hat{5}$ up to $\hat{3}$, or $\hat{3}$ up to $\hat{8}$).

Instances of sixth-lines in the mazurkas are found in Op. 41, no. 2 and Op. 63, no. 3 (see Examples 4.22 and 4.23 respectively). In the former, there are two sixth-lines; the first (if perhaps somewhat doubtful due to a lack of proper harmonic support for its elements), ascending from $\hat{3}$ up to $\hat{1}$, and the second, descending from $\hat{1}$ down to $\hat{3}$--a retrograde motion of the first, while in the latter, there is a motion from $\hat{5}$ up to $\hat{3}$. This is a most imaginative composed-out structural parallelism

Example 4.22. Mazurka Op. 41, No. 2, Bars 17-21 and 37-41



Example 4.23. Mazurka Op. 63, No. 3, Bars 45-52



of the ascending melodic motion from G-sharp to E in bars 1-4 of this mazurka.

The line of the seventh has already been encountered at the beginning of the discussion on linear progressions, where it was stated that it is not a true linear progression, but rather an inversion of the second step with register transfer. These lines are frequently divided into thirds and used in sequence constructions. However, if the dominant seventh were to be included in the class of basic harmonies, it follows that a linear progression can span the seventh or the tritone, as well as one of the triadic intervals of the dominant seventh chord. All of these must, however, be regarded as at or near the foreground level, thus making their status as linear progressions

at best questionable. (24)

Finally, the line of the octave also amounts to an ascending or descending register transfer, in this case, of a single tone. This complex stepwise register motion is usually divided into fifth and fourth, or vice versa. A good example of an octave-line in the mazurkas is Op. 68 no. 3, where it involves the actual fundamental line itself, as well as its middleground replications (see Examples 3.1c and 3.7). (25) An instance of an octave-line in the bass is found in Op. 56, no. 3 (see Example 5.10 below).

Arpeggiation

In Schenkerian terms, the central idea behind the technique of arpeggiation is that of prolonging or unfolding an underlying chord or harmonic entity. The most basic of arpeggiated motions within Schenker's system is that which is offered by the bass in the fundamental structure, namely, the fundamental harmonic progression from tonic to dominant and back to tonic, representing the large-scale unfolding of the overall controlling tonic triad. This phenomenon, together with certain derivative types of bass arpeggiation, filling in the space of a fifth between tonic and dominant, has already been observed in Chapter 3. These arpeggiated bass motions are, however, not the only form of prolongational usage of the concept of arpeggiation. Also, the traditional manner of presenting chords in a broken form, that is, arpeggiated (even when this represents only an ornamental surface element of the music), can already be seen as

prolongation of that specific chord broken up into its constituent voices by the arpeggiation. Therefore, from a Schenkerian perspective, the idea of arpeggiated chords can be interpreted on a broader basis to include similar prolongational arpeggiated motion on different structural levels, involving both bass and upper voice patterns.

Two basic applications of arpeggiation can thus be distinguished: 1) the unfolding of the tonic triad by way of the fundamental harmonic progression I-V-I and elaborations thereof, and 2) the elaboration of any part of voice leading by way of a broken chord; both instances involving a vertical configuration (the chord), which is made linear or horizontalised. (26)

As can already be deduced, arpeggiation may occur at any level. (27) With regard to the bass, the various models derived from the background structure are reflected at subsequent levels, thus establishing a connection between the harmonic progressions in the middle- and foreground, and that of the controlling background. (It is for this reason that the essential characteristics of the bass arpeggiation and its structural derivatives are maintained at every level.) Oswald Jonas also points to the insight provided by the **divider** (see Chapter 3) into the hierarchic order of triads--their "stratification". (28)

With regard to arpeggiation in the upper voice, its structural initiation can also be traced back to the fundamental structure, namely, as part of the purpose of the fundamental line. Although the latter represents a melodic unfolding of the tonic triad, this line is nevertheless shaped by, and dependent upon, the

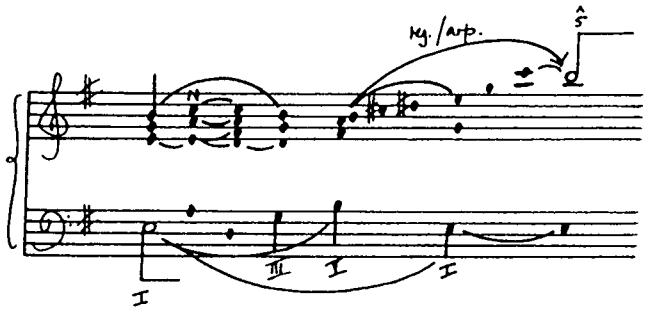
basic chord tones of the unfolded tonic triad. This also gives rise to the fact that, especially in the bass, structural arpeggiations frequently coincide with passing melodic motions, thus filling in the spaces of the arpeggiation, for example, the I-III-V arpeggiation presented with passing tones, as in Op. 63, no. 2 (see Example 4.17 again). This also accords with the fact that arpeggiations frequently occur together with other voice-leading diminutions, or are even elaborated by them.

Like the prolongational line, the arpeggiation (that is, in the upper voice), normally prolongs its topmost structural note. Special rank is given to what is known as the **first-order arpeggiation**, which ascends through the tonic triad to the primary tone of the fundamental line, thereby performing a function analogous to the initial linear ascent (Anstieg); (29) a concept discussed in Chapter 5. Naturally, arpeggiated motions can be either ascending or descending.

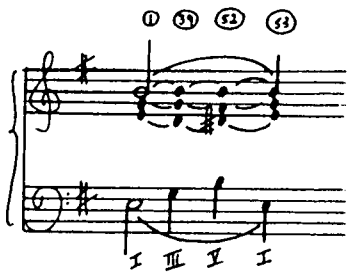
Apart from the essential bass motions present in every tonal composition, numerous examples of arpeggiated motions in the upper voices and the bass are found in the mazurkas. Here are just a few notable foreground instances.

Firstly, Example 4.24a offers a I-III-V-I arpeggiation in the bass from bars 1-6 of Op. 17, no. 2. This arpeggiation also happens to be a foreground parallelism of a large I-III-V-I arpeggiation running through the middleground of this mazurka, and presented in Example 4.24b.

Example 4.24a. Mazurka Op. 17, No. 2, Bars 1-6

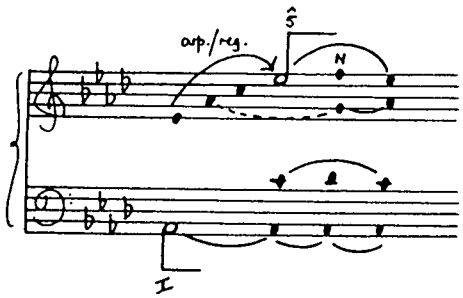


Example 4.24b. Mazurka Op. 17, No. 2, Middleground Graph, Bars 1-53



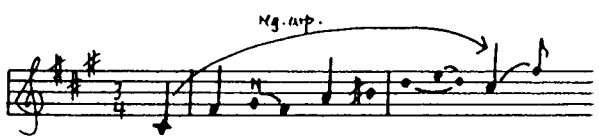
In the mazurkas, especially, arpeggiation figures in the upper voices frequently comprise an ascending motion through the tonic triad, ultimately reaching the first note of the fundamental line--thus more a middleground than a foreground feature as will be seen in Chapter 5). Nevertheless, most of these figures actually lie very close, or even at the surface in the mazurkas. One such instance can be observed in Example 4.25. In addition, these ascending arpeggiation figures almost all of the time also involve a registral motion of a particular tone, carried through an octave by means of the arpeggiation (see register transfer below). This is also the case in Example 4.25.

Example 4.25. Mazurka Op. 41, No. 4, Bars 1-2



Instances where arpeggiations coincide with other voice-leading diminutions, especially the line, are also very numerous. Apart from the filling-in of the I-III-V bass arpeggiation already cited in Example 4.18, Example 4.26 presents the opening melodic line of Op. 59, no. 3, containing surface neighbour-note embellishments of some of the components of the arpeggiation. {30}

Example 4.26. Mazurka Op. 59, No. 3, Melodic Line, Bars 1-2



Finally, a basic voice-leading principle regarding arpeggiation in Schenkerian analysis must be noted here, since it has an important bearing on the continuation of voices. This is namely that an arpeggiation can indicate several strands of voice leading, each to be followed carefully if necessary, {31} since each component of an arpeggiation is a potentially active voice.

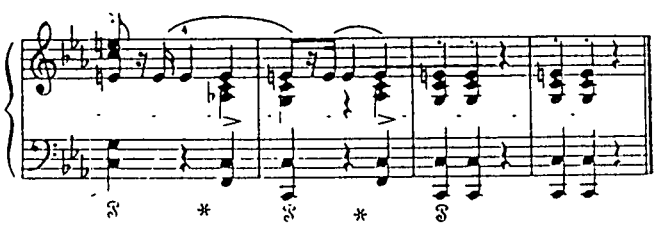
Such a situation where more than one component of an arpeggiation is active in the voice leading, represents the concept of "polyphonic melody", {32} or "compound melody", {33} the latter already referred to in Chapter 2. This implies that an arpeggiated melodic figure or a melodic line itself can actually involve the simultaneous movement of more than one voice. Coupled with the principles of prolongation and composing-out, this idea is central to the Schenkerian interpretation of melody.

An instance of such a polyphonic melodic structure generated from an arpeggiated melodic figure is found in the opening melodic idea of Op. 59, no. 1 (see Example 4.27). Here the descending arpeggiation figure E/C/A in the right hand of bar 1 (with a tiny incomplete lower surface neighbour embellishment to C), is followed by B/G-sharp/E in bar 2. Both B and G-sharp are seen to follow from the preceding C and A of bar 1, while the E in bar 2 represents an octave transfer of the first E in bar 1. Thereafter, the same figure of bar 2 is presented in an ascending form and with filled-in passing tones in bar 3, followed by the resolution of B to C in the melody and an implied resolution of G-sharp to A in bar 4, as well as the upward transfer of the E of bar 2 back to the E of bar 4.

Example 4.27. Mazurka Op. 59, No. 1, Melodic Line, Bars 1-4

Finally, a few more possibilities of arpeggiated bass figures, particularly present at later levels, not yet covered so far, deserve mention. These are: 1) A fifth descent--the so-called dividing subdominant--presented as I-IV-I, or third descent, normally used to divide the dividing subdominant, presented as I-VI-IV; 2) an inversion of an ascending third into a descending sixth, presented as I-VI-III or I-V-III; (34) and 3) a filling-in of the space between dominant and tonic by way of the mediant, presented as V-III-I. There are no examples of the dividing subdominant in its descending form in the mazurkas, except for a I-IV-I plagal cadential figure in the closing bars of Op. 56, no. 3 (see example 4.28).

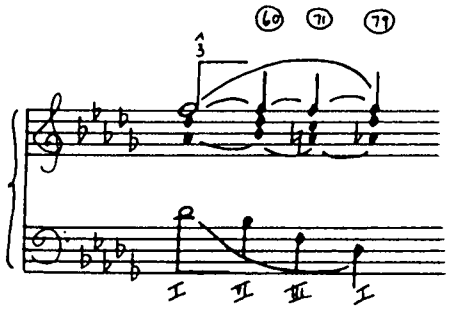
Example 4.28. Mazurka Op. 56, No. 3, Score, Bars 217-220



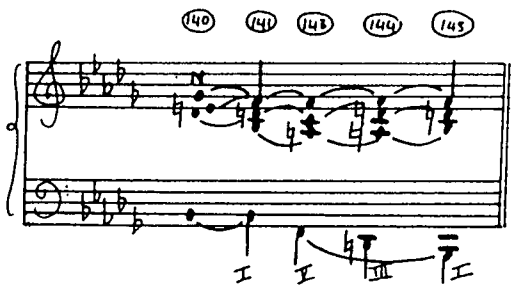
The I-IV-I arpeggiation figure does, however, appear in the backgrounds of those mazurkas with trio-sections in the subdominant, as in Opp. 6, no. 3, 7, no. 4, 17, no. 1, 50, no. 2, 67, no. 1 and 68, nos. 1 and 3 (all of these instances, with the exception of Op. 68, no. 3, coinciding with the prolongation of an upper neighbour to the first fundamental-line tone in the trio of each mazurka). There is one instance of the I-VI-III figure in the middleground of Op. 30, no. 3 (see Example 4.29), while a

most interesting foreground V-III-I figure occurs in the coda of Op. 24, no. 4 (see Example 4.30). This figure happens to be a retrograde version (in major) of a I-III-V arpeggiation (in the tonic minor key of this mazurka) which can be traced in its middleground structure.

Example 4.29. Mazurka Op. 30, No. 3, Background/Middleground Graph, Bars 1-79



Example 4.30. Mazurka Op. 24, No. 4, Bars 140-145



Unfolding

The technique of unfolding ("Ausfaltung") represents the most basic way of separating the component voices of a particular

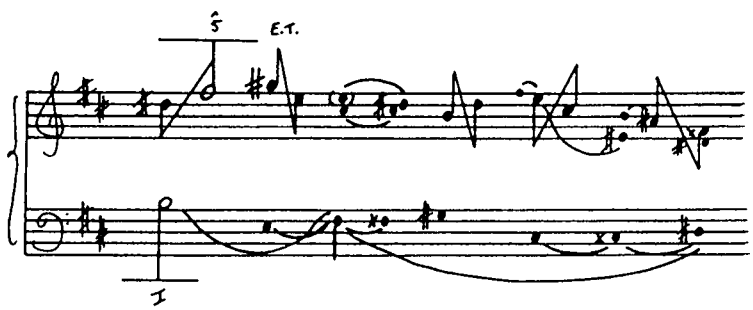
interval or set of intervals in order to show their melodic continuity in composed-out tonal voice leading. Its role in demonstrating--together with arpeggiation--the idea of more than one active voice in a given melodic situation, becomes evident.

By its simplest definition, unfolding is the horizontalisation of a vertical interval in an earlier level. Because of this, two voices are identified, which, if they are to be structurally active, have to form part of a complete and coherent progression, and must have a clear structural role at the foreground and middleground levels. (35) Accordingly, the unfolding pattern usually involves two or more interval successions, since, in a true unfolding, both components have linear continuity. (36) Thus, what results, is the horizontalisation of an interval pair formed by the upper voice and "alto" (that is, highest inner voice), or by the bass and tenor (that is, lowest inner voice). (37) There are, however, instances in which an unfolding applies only to a single interval rather than to a pair of intervals. This is legitimate, since in such cases, the component voices will usually continue in a recognisable way in the voice leading.

In the upper parts, unfolded intervals most often come in pairs (or longer series) and are most often thirds. The pair d5-3 or a4-6 is also common. (38) Additionally, an unfolding pattern may also comprise sixth intervals. Usually both voices of an unfolded interval succession move stepwise; one voice may remain stationary while the other moves by step, or one voice may leap. (39) Unfoldings can occur in both the middleground and foreground, but are most commonly used in the latter.

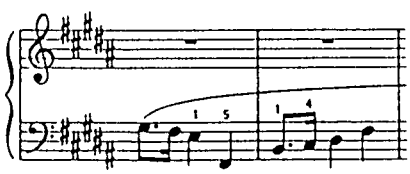
The following examples illustrate some of the unfolding patterns found in the mazurkas. Example 4.31a shows a series of unfolded thirds in the upper voice, while Example 4.31b shows another unfolding pattern in the bass. A single unfolded third in the bass is also present a few bars later in the same mazurka (see Example 4.31c).

Example 4.31a. Mazurka Op. 33, No. 4, Bars 129-136



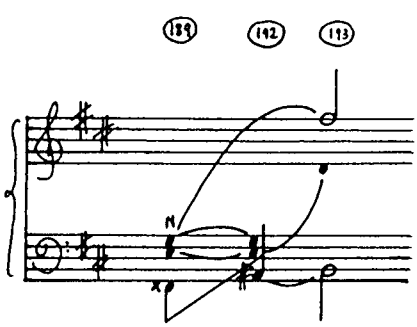
Example 4.31b. Mazurka Op. 33, No. 4

(i) Score, Bars 177-178



(ii) Graph, Bars 177-178

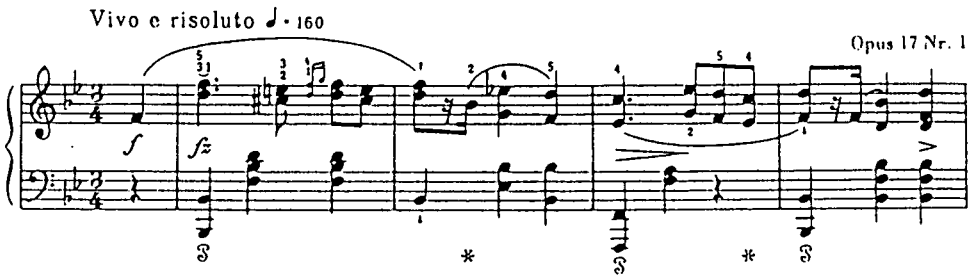
Example 4.31c. Mazurka Op. 33, No. 4, Bars 189-193



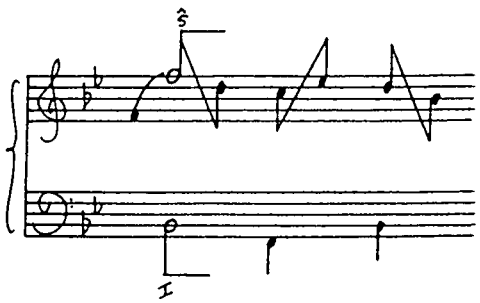
A somewhat larger scale series of unfolded thirds was already presented in Example 4.16b above, where the pattern is slightly obscured by surface diminutions filling in the spaces between the voices of the unfolded thirds. Another succession of three unfolded thirds are shown in Example 4.32, (40) while a pair of unfolded sixths is shown in Example 4.33, a graph based on Schenker's reading of this section of Op. 30, no. 4 in **Free Composition** Fig. 53,3.

Example 4.32. Mazurka Op. 17, No. 1

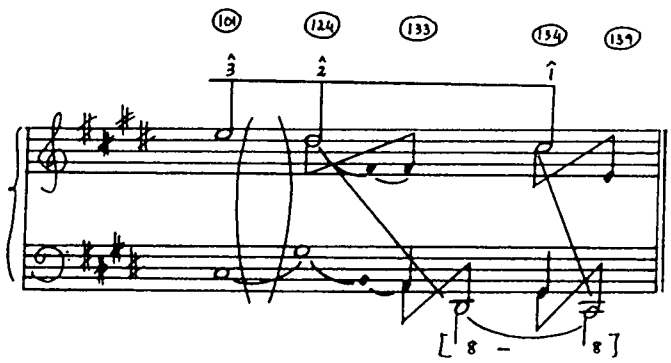
(i) Score, Bars 1-4



(ii) Graph, Bars 1-4



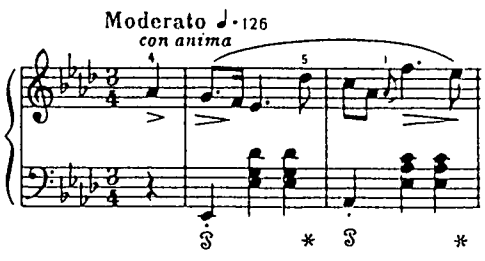
Example 4.33. Mazurka Op. 30, No. 4, Bars 101-139

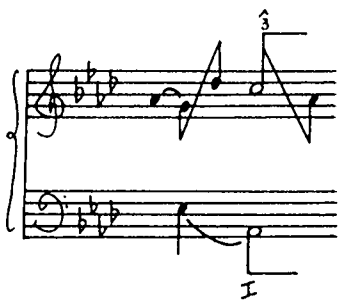


Finally, Example 4.34 offers an instance of a pattern d5-M3, while at bars 10-12 and corresponding places in the same mazurka, two unfolding patterns locked within each other also deserve attention here. The first is a pair of thirds where the last note of the pattern is transferred an octave down. At this point, a pair of unfolded sixths appear which concludes just before the final note of the third pattern. This sixth pattern is instigated by a neighbour-note figure F/E-flat which appears frequently in the course of this mazurka, and which is an important motive in this piece (see Example 4.35).

Example 4.34. Mazurka Op. 24, No. 3

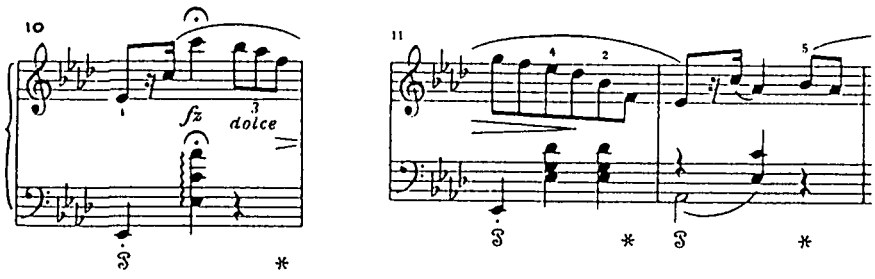
(i) Score, Bars 1-2 (ii) Graph, Bars 1-2



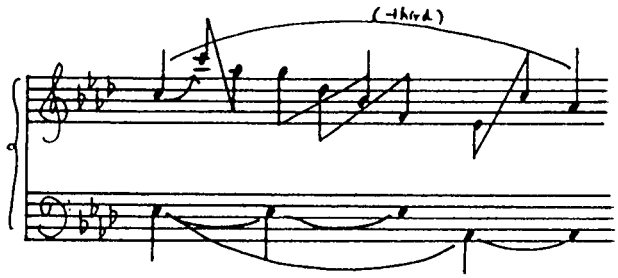


Example 4.35. Mazurka Op. 24, No. 3

(i) Score, Bars 10-12



(ii) Graph, Bars 10-12

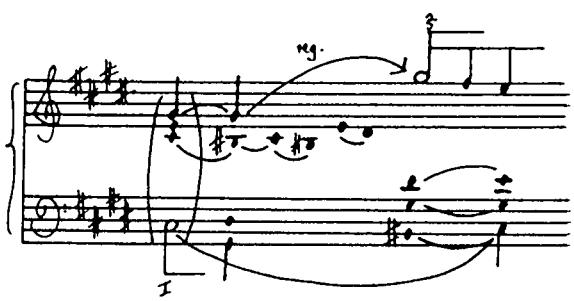


Register Transfer

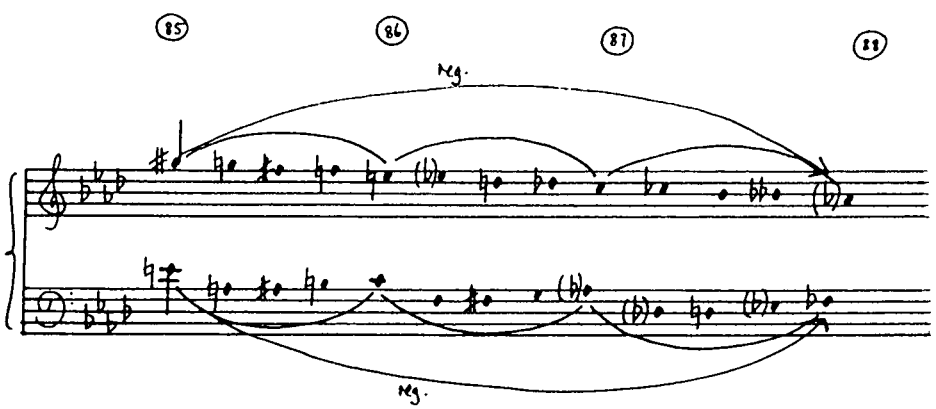
In Schenkerian theory, the interplay of registers involving either structural elements or any other voices generated from them is a by-product of the process of composing-out from the fundamental structure in its obligatory register to an ever-increasing freer association of voices and subsequently also registers, leading to free composition. At the same time, registral motion also serves as a means of prolonging a particular structural voice by way of its connection with another register.

The term **register transfer** denotes a displacement of a note in the voice leading by an octave, either up or down. It can also mean, the placement of a note in a different octave, thereby implying that the transfer may involve not only an octave, but also a seventh or ninth interval. This device may occur at any level of composing-out (already implied above), but is perhaps most common in the foreground. Register transfer is accomplished in two ways: 1) a direct motion or leap (Example 4.36), and 2) an indirect motion, that is, through other prolongational devices, notably arpeggiation (see Examples 4.25 and 4.26 above), a line (Example 4.37), a combination of arpeggiation and line (Example 4.38), or the technique of reaching-over (see below).

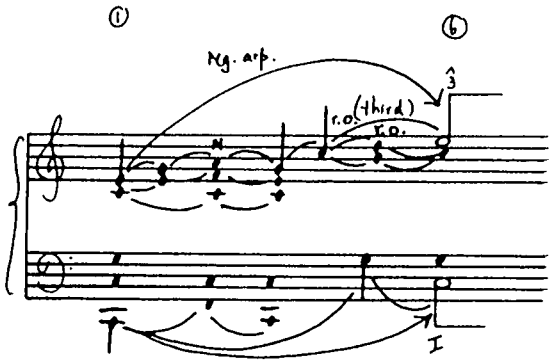
Example 4.36. Mazurka Op. 6, No. 2, Bars 1-10



Example 4.37. Mazurka Op. 59, No. 2, Bars 85-88

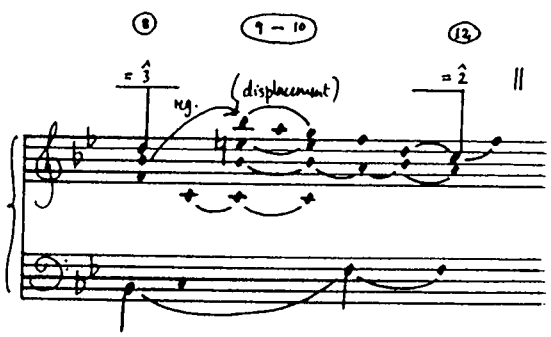


Example 4.38. Mazurka Op. 68, No. 1, Bars 1-6



An aspect of voice leading frequently involved in register transfer is that of displacement, that is, the replacement of a particular voice by another in a given melodic structure. The terms transfer and displacement are linked by the basic fact that the latter is usually the result of the former. If, for instance, an inner voice moves up an octave while the upper voice remains stationary, it is likely that the inner voice will temporarily replace the upper voice as the highest voice at that particular point in the voice-leading structure (see Example 4.39).

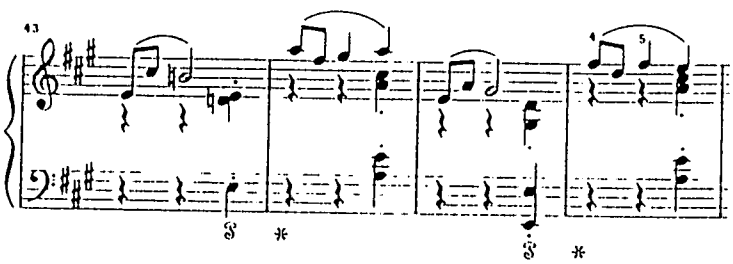
Example 4.39. Mazurka Op. 17, No. 1, Bars 8-12



Register displacement as a result of register transfer can also happen when motion by step is inverted into a seventh (see Example 4.40), where the descending line of a sixth from C-sharp to E in bars 33-40 is repeated in bars 43-50 with registral displacements of some of its elements.

Example 4.40. Mazurka Op. 63, No. 1

(i) Score, Bars 43-46



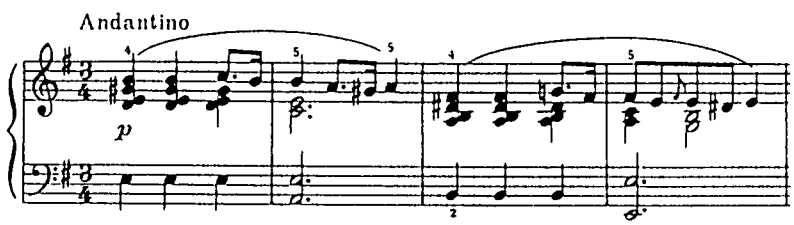
(ii) Graph, Bars 43-46

Several German terms are associated with the register transfer technique: "Hoherlegung" and "Tieferlegung", which refer to moving a note or voice up or down respectively; "Uebergreifen" or "Untergreifen", which emphasise the leap over (or under) another voice in the voice leading (see reaching-over below); and "Koppelung", which is the middleground phenomenon of linear

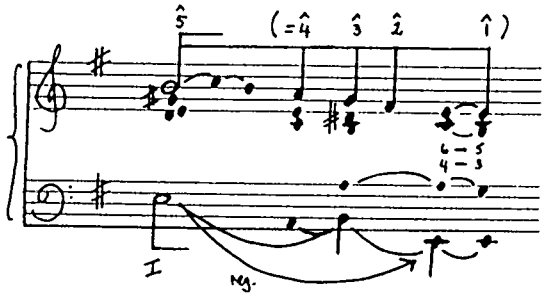
doubling of a tone or tones of the fundamental line, as in Bach's Prelude no. 1 in C major from the "Wohltemperiertes Clavier" (see Schenker's reading of this prelude in **Five Graphic Music Analyses**). However, it is important at this point to distinguish register transfer and coupling of registers more clearly. Although both terms involve the same procedure, they can be distinguished from each other in the following manner. The term register transfer covers the general situation of change of octave of a specific note. Coupling, on the other hand, is a term used when two registers (octaves) are linked by a structural motion at a particular juncture in the music. Therefore, couplings typically involve components of the fundamental structure or elements directly related to them, and as a process, it is obviously one form of register transfer--one that occurs at a level of middleground very close to the background. Couplings are also very common in the bass. Often the bass line of a piece begins in a higher octave which is then brought down to its obligatory register in order to emphasise the arrival of the first important cadence in the harmony. This is the case in Op. 41, no. 2 (see Example 4.41).

Example 4.41. Mazurka Op. 41, No. 2

(i) Score, Bars 1-4

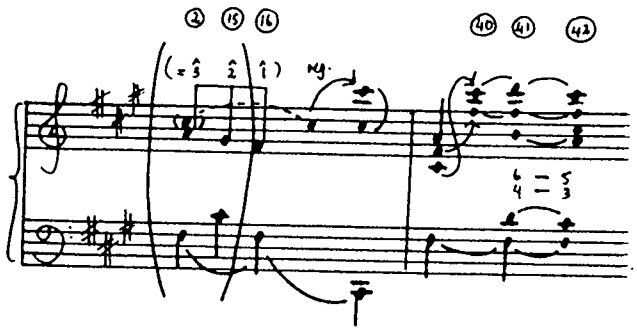


(ii) Graph, Bars 1-4



Finally, once registral relations (couplings) have been established in a composition, it is possible to refer to these in very subtle and artistic ways and to develop progressions which incorporate register in a structural way and not merely as an arbitrary decorative factor. {41} Example 4.42, for instance, illustrates a situation in Op. 6, no. 1, in which two distinct registers are identified by means of coupling (bars 16-17). This distinction of registers has first of all been used by Chopin as one of the means of creating contrast between the internal divisions of section A. However, in the Trio, Chopin makes use of the higher register in the voice leading again, thus creating a long-range registral connection back to the one exploited in the second part of section A. Such long-range registral connections are a common feature of Schenkerian voice-leading interpretation, being the result of the careful distinction and artistic usage of the concept of register transfer or coupling.

Example 4.42. Mazurka Op. 6, No. 1, Bars 16-17 and 40-42



Voice Exchange

The three remaining devices of voice leading in Schenkerian analysis, voice exchange ("Stimmtausch"), reaching-over ("Uebergreifen"), and the cover tone ("Deckton"), all stem from arpeggiated, registral, or linear motion, or combinations of these motions. The technique of voice exchange is a derivative of arpeggiation or simple chordal unfolding and consists of a pattern involving two voices only, in which the voices literally exchange their pitches, that is, they trade places with each other simultaneously. As a result, various interval patterns can be formed between the two voices involved in the exchange, the most common of these being the 10-6 pattern or its reverse, 6-10. Other interval patterns which may occur include 5-4 or 4-5 (but not involving the bass), or--within the dominant seventh chord--d5-A4 or A4-d5. A voice exchange occurs within a single chord, though there may be intermediate embellishing chords, thus making it appear within a single harmony. Usually the outer voices (bass and soprano) are involved in an exchange of voices,

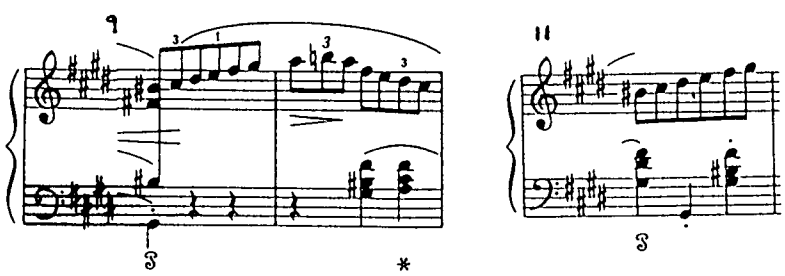
but it can also occur either between bass and inner voice or soprano and inner voice.

The purpose of a voice exchange is to serve the needs of composing-out and expansion of an interval (the one which is prolonged by it), or harmony (represented through the specific interval in question). Like the register transfer, voice exchange may be a simple prolonging device without effect on the voice leading, or it may join or connect with continuing voices. Voice exchanges, like other prolongational patterns, may be enriched by diminutions, and those diminutions may conceal, to some extent, the underlying exchange. As it is only involved in the prolongation of a single chord or harmony over a short time span, the voice exchange is mainly a foreground phenomenon. (42)

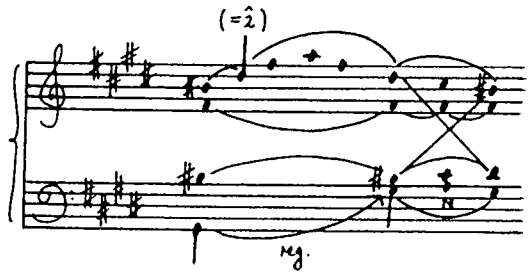
Example 4.43a demonstrates a simple 10-6 exchange pattern between the melody and inner voice, prolonging the dominant harmony during bars 9-12 and corresponding places of Op. 50, no. 3, while in Example 4.43b, a double exchange figure is shown, operating in the Trio of the same mazurka and involving the dominant of B major.

Example 4.43a. Mazurka Op. 50, No. 3

(i) Score, Bars 9-11

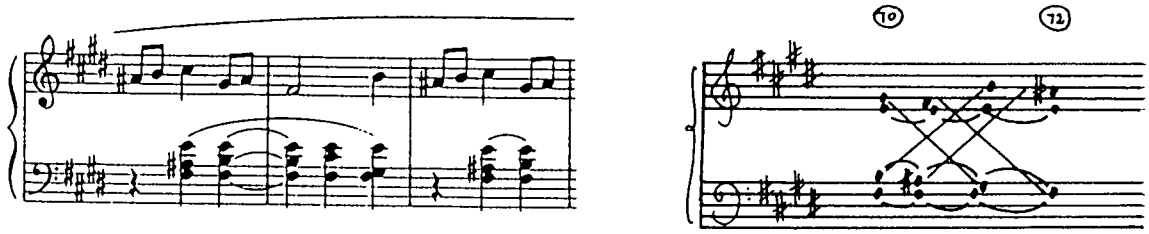


(ii) Graph, Bars 9-11



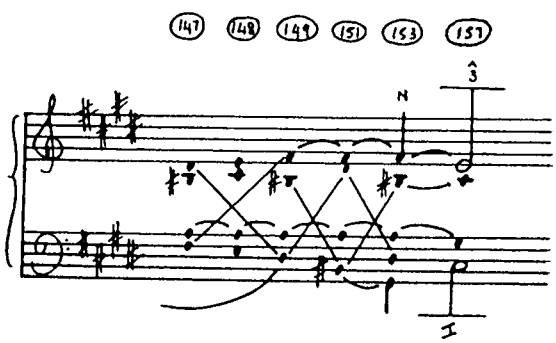
Example 4.43b. Mazurka Op. 50, No. 3

(i) Score, Bars 70-72 (ii) Graph, Bars 70-72



Later on near the end of the piece, a series of voice exchanges occur, again prolonging the dominant (see Example 4.43c).

Example 4.43c. Mazurka Op. 50, No. 3, Bars 147-157



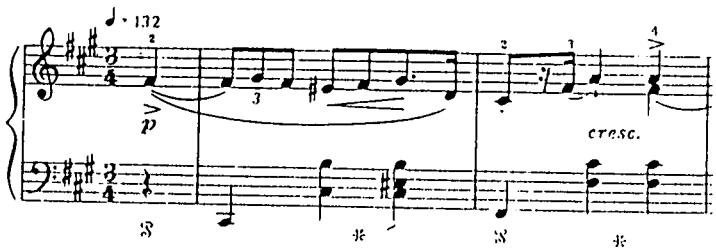
There are numerous other places in this mazurka where voice exchanges occur--each time involving the dominant, or

embellishing harmonic regions to it. Since the prolongation of V is seen to be a prominent structural feature of this mazurka--being associated with form generation, for instance, where the entire middle section as well as large portions of the outer form sections constitute a prolongation of V and $\hat{2}$--the structural and even motivic significance of the voice exchange device, playing an important role in the various prolongations of V and $\hat{2}$, is evident.

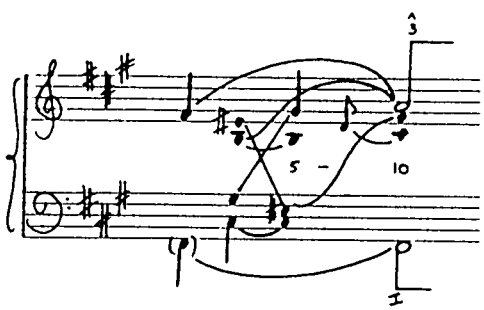
An instance of a 6-10 exchange pattern occurs at the opening of Op. 6, no. 1 (see Example 4.44a), while a 4-5 pattern occurs in bars 17-18 of the same mazurka (see Example 4.44b).

Example 4.44a. Mazurka Op. 6, No. 1

(i) Score, Bars 1-2

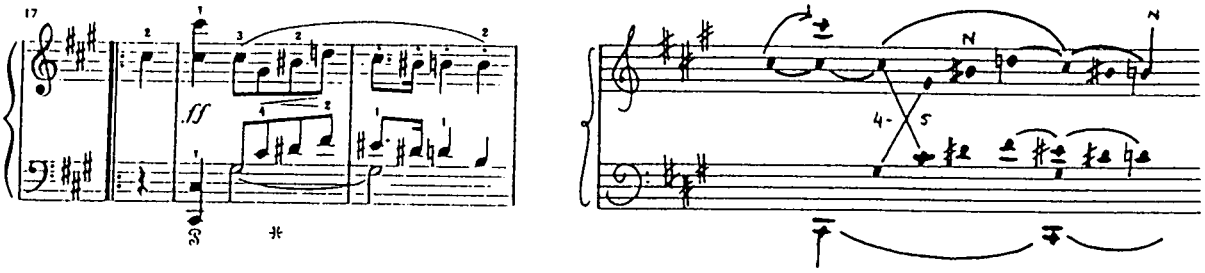


(ii) Graph, Bars 1-2



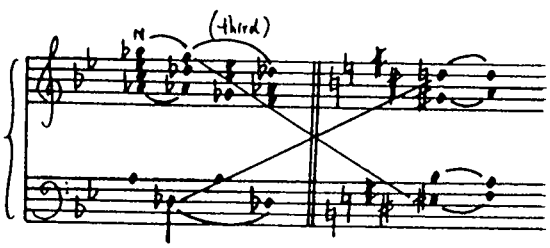
Example 4.44b. Mazurka Op. 6, No. 1

(i) Score, Bars 17-18 (ii) Graph, Bars 17-18



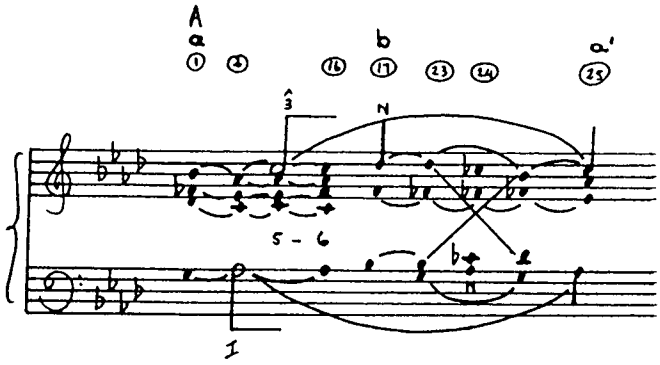
Chromatic changes may also be applied to notes in the voice exchange, where the functional relationship is more complex, (43) as in Example 4.45. Although no clear chord identity is established by the exchange here, it nevertheless draws together the intermediate chromatic voice-leading motions into a prolongational entity which serves as a preparation for the dominant at the interruption (see also Chapter 6).

Example 4.45. Mazurka Op. 33, No. 2, Bars 61-66



Finally, Example 4.46 shows a striking application of the technique of voice exchange at the end of the internal b-section within the main A-section (bars 23-24) of Op. 17, no. 3.

Example 4.46. Mazurka Op. 17, No. 3, Bars 1-25



Here, instead of the impression of a distant key region (with regard to the prevailing tonal context) being presented by the first two chords of bars 23 and 24, tonal unity is guaranteed by a voice exchange operating across these bars, linking the first chord of bar 23 (a diminished seventh) to the last chord of bar 24 (another diminished seventh built on the same scale degree as the first). The result is that both bars 23 and 24 prolong a single diminished seventh harmony, thereby rendering the status of the intervening chord that of a passing harmony (for more information on these bars and on the mazurka as a whole, see Chapter 10).

Reaching-Over

Schenker's term "Uebergreifen", already referred to in connection with register transfer, has been translated as "reaching-over" by Ernst Oster in **Free Composition**, and has become the accepted translation, although Forte and Gilbert use the term "overlapping". In an editorial note in **Free**

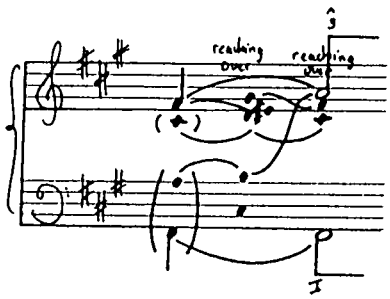
Composition, Oster refers to Uebergreifen as literally meaning "reaching over, or across, the top voice, in order to get hold of the following higher tone". (44)

A reaching-over occurs when a note of the upper voice is obliged to resolve downward by step, but, as it does, enters an inner voice. (45) Putting it differently, as the original top voice descends by step, an inner voice appears which reaches over it to become the new highest voice in the structure. Therefore, a reaching-over essentially results from the superposition of an inner voice (thus a species of register transfer), bringing about a motion upward either by step or by leap.

The nature of a reaching-over is seen to yield either an ascending linear progression, an ascending arpeggiation, an ascending register transfer, or a neighbouring note. Therefore, the reaching-over of voices is often subordinate to these techniques which are effected by it. Voices reaching over each other frequently occur in pairs where the succession of notes in the uppermost position alternates among the two or more structural voices in sequence. For example, if the alto was placed above the soprano in the first reaching-over, the soprano will be restored to its rightful position in the second. (46)

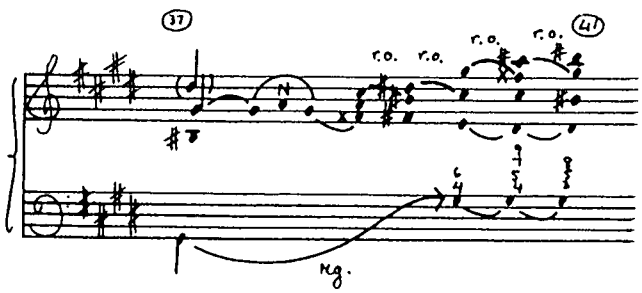
Here are a few examples from the mazurkas in which the technique of reaching-over occurs. Example 4.47 shows the opening of Op. 6, no. 1 where the reaching-over aids in effecting an ascending third-line, moving to the first note of the fundamental line.

Example 4.47. Mazurka Op. 6, No. 1, Bars 1-2

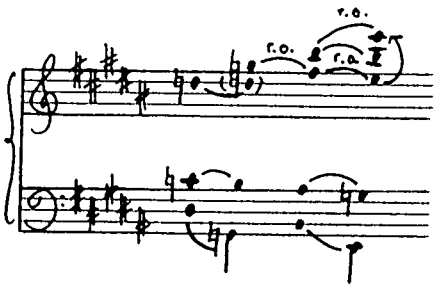


Example 4.48, on the other hand, presents a series of reaching-overs, while Example 4.49 shows a pattern consisting of three superimposed inner voices. Finally, Example 4.50 presents an instance in Op. 63, no. 1, where a series of reaching-overs are functioning in the service of a larger registral motion from D-sharp to it equivalent pitch an octave higher.

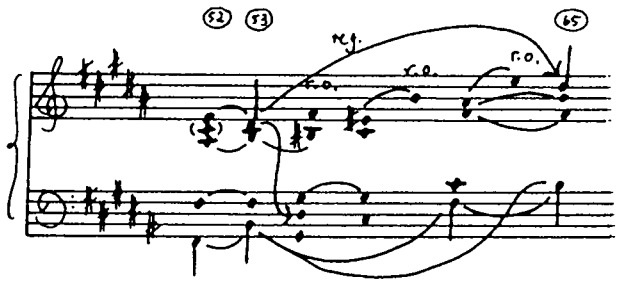
Example 4.48. Mazurka Op. 50, No. 3, Bars 37-41



Example 4.49. Mazurka Op. 41, No. 3, Bars 46-49



Example 4.50. Mazurka Op. 63, No. 1, Bars 52-65



The Cover Tone and Boundary Play

In **Free Composition**, Schenker defines the concept of the cover tone as follows:

> A cover tone is a tone of the inner voice which appears above the foreground diminutions. It constantly attracts the attention of the ear, even though the essential voice-leading events take place beneath it. (47)

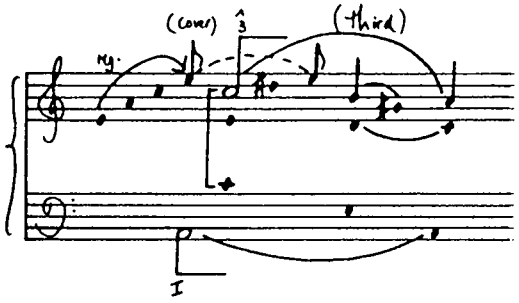
Like a reaching-over, the cover tone is formed by an upward transfer or doubling of an inner voice and the displacement of the upper voice by that voice (the upper voice being in this case, the primary structural tone). It differs from reaching-over in that the main thread of melodic activity remains with the displaced voice while the voice that does the displacing functions as a **cover**, hence its name. (48)

The nature of a cover tone is two-fold: 1) it can either be an isolated note above the upper voice with no voice leading following from it, (49) or, 2) it may be involved in the voice leading, and yet not form part of the structural voice leading represented by the motion of the fundamental line or middleground

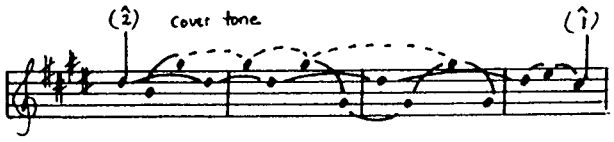
replications thereof. Such an instance where voice leading either leads to or follows from a cover tone is referred to by Forte and Gilbert as a "covering progression", (50) since it covers the primary structural tone beneath it. However, in **Free Composition**, Schenker refers to such a situation as "boundary play" (51) ("Ränderspiel"), meaning, voice-leading activity above the primary fundamental-line tone, and at the boundary of the register of the fundamental structure. Therefore, cover tones themselves essentially belong to (or near) the foreground, but can very readily impinge on the deeper structural levels (52) (see also endnote 54 below). Boundary play itself occurs in later middlegrounds and the foreground. (53)

A clear case of a cover tone situated above the first note of the fundamental line with no voice leading following from it, but nevertheless of motivic significance, is found in the main theme of Op. 68, no. 2 (Example 4.51 (in this regard, see Chapter 11)), while another instance of a cover tone with voice leading following from it (thus boundary play), occurs in the opening melodic figure of Op. 50, no. 3 (see Example 4.16b). This cover tone also appears at different points in the same mazurka, notably, together with the prolongations of $\hat{2}$ in the middleground (see Example 4.52).

Example 4.51. Mazurka Op. 68, No. 2, Bars 1-4

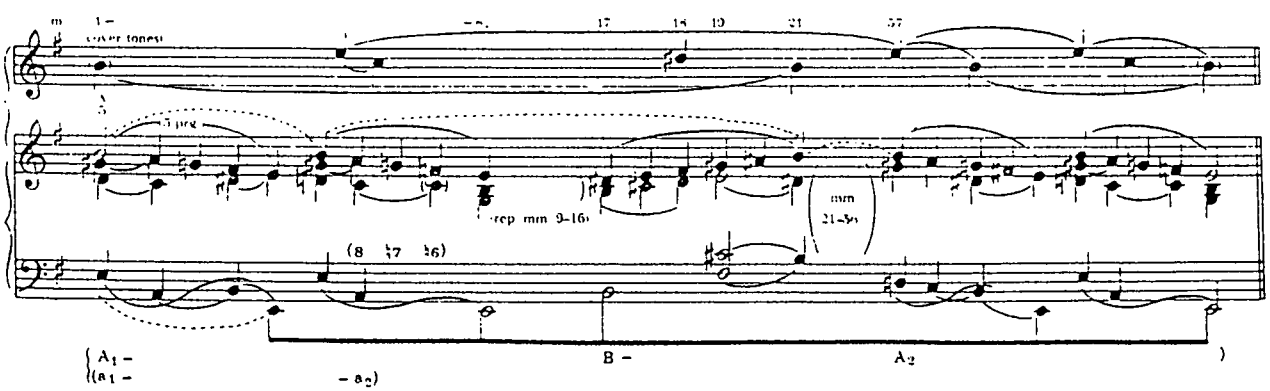


Example 4.52. Mazurka Op. 50, No. 3, Bars 13-16



A by now well-known example of the use of cover tones is found in **Free Composition** Fig. 75, from the mazurka Op. 41, no. 2. This figure is reproduced in Example 4.53.

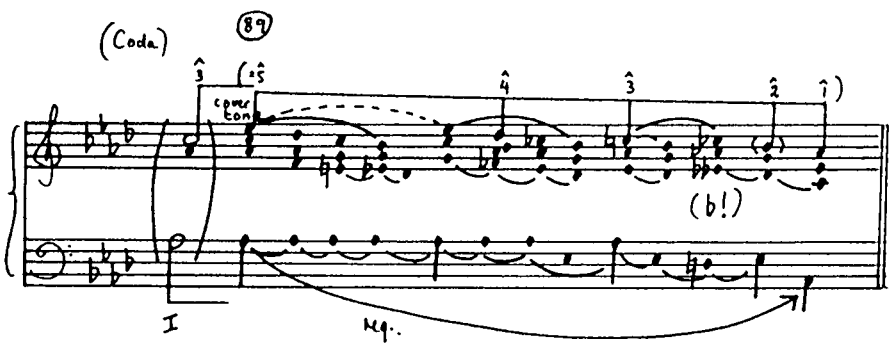
Example 4.53. Mazurka Op. 41, No. 2, from Schenker's Free Composition, Fig. 75



Here, we observe two cover tones (B and E), operating above the fundamental structure. Although no immediate voice leading follows from the E, it is connected over a distance of four bars to a D-sharp which appears at the start of section B. Thereafter, the original E returns in a dramatic way at the start of A', completing the large middleground covering progression or boundary play E/D-sharp/E (for more information on this mazurka, see Chapter 10).

A cover tone and/or boundary play can also appear at the end of a composition (usually in the coda), that is, after the completion of the fundamental structure. Example 4.54 is taken from the coda of Op. 59, no. 2, where a middleground line of a fifth is generated from an E-flat, situated above the highest note of the fundamental line (C). {54}

Example 4.54. Mazurka Op. 59, No. 2, Bars 89-111



Finally, a cover tone can also be classified as what may be termed the phenomenon of the **interesting note**, meaning any note in the music that is a striking feature on its own, and which may have motivic interest, but neither play any role in the voice leading, nor has any structural importance. Sometimes, however,

such interesting notes may, in their double capacity as cover tones, have long-range registral significance as, for instance, in the case of the A-flat interesting note found in the main theme of Op. 7, no. 4 (see Chapter 8), and the G-sharp found in the main theme of Op. 33, no. 1, where it is also tied up with the motivic development in this particular mazurka (see Chapter 7).

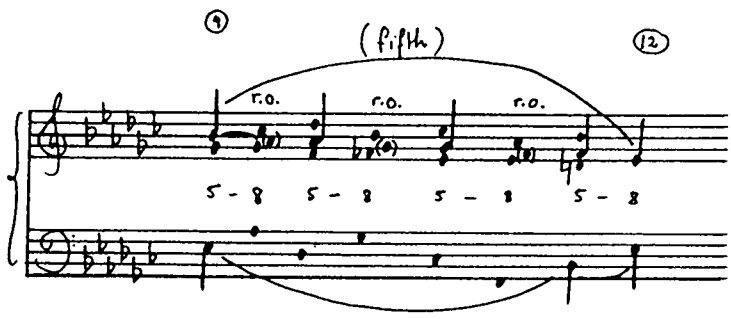
Linear Intervallic Patterns and Sequence Constructions

Apart from the importance of composing-out and prolongation in establishing relationships between foreground events and their underlying harmonic and voice-leading constituents at the middleground and background levels, the ability to extend or prolong a particular harmonic entity, or to effect a connection between two harmonies which may be separated from each other over a larger distance, also depends on the principle of goal-directed tonal motion (see Chapter 2), created by means of linear progression. The characterisation of such a directed linear motion with respect to its prolongational or connective role calls for the simultaneous participation of both upper voice and bass within the progression, so as to establish, by way of intervallic relationships between these voices, the correct underlying harmonic/voice-leading content. Subsequently, various patterns of intervals can result from this process, each pattern demonstrating a particular prolongational motion. These patterns within the voice-leading design of the foreground are designated by Forte and Gilbert as "linear intervallic patterns". (55)

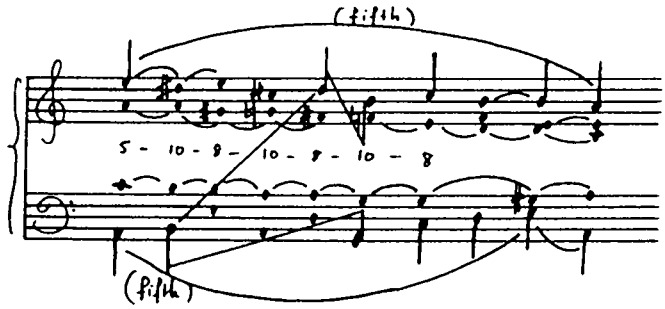
Neumeyer also speaks of repeated harmonic/voice-leading patterns and streams of parallel intervals, which he includes under the general designation of "sequence", although he qualifies this by adding that such patterns are not necessarily linked to melodic sequence. {56} They do, however, occur most often in conjunction with sequence constructions in the music (this being particularly true in the mazurkas).

The constituents of a linear intervallic pattern--the intervals formed by the outer voices of a voice-leading design--may be two imperfect consonances (for example, tenths), two perfect consonances (for example, the octave and the fifth), an imperfect and a perfect consonance (for example, the sixth and the fifth), and a dissonance and an imperfect consonance (for example, the seventh and the tenth). {57} Most of these patterns derive from the diatonic **circle of fifths** progression, for instance, 5-8-5-8 (Example 4.55), 10-8-10-8 (Example 4.56), or 7-10-7-10 (Example 4.57). Other interval pairs found within sequence constructions in the mazurkas include 5-10-5-10 and parallel tenths (see Example 4.58).

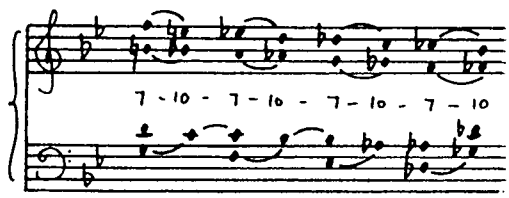
Example 4.55. Mazurka Op. 6, No. 4, Bars 9-12



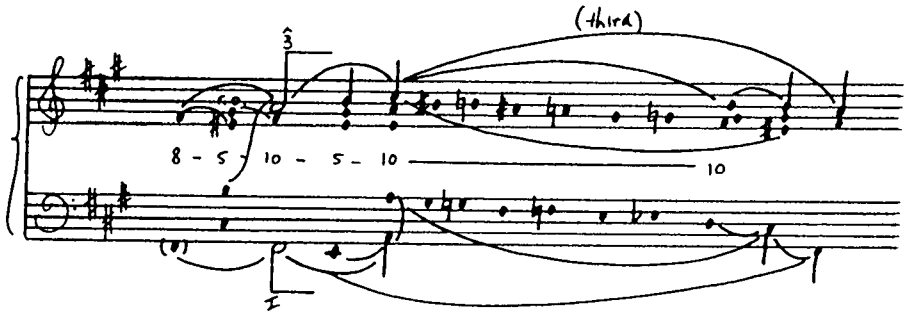
Example 4.56. Mazurka Op. 56, No. 2, Bars 36-44



Example 4.57. Mazurka Op. 67, No. 2, Bars 21-24



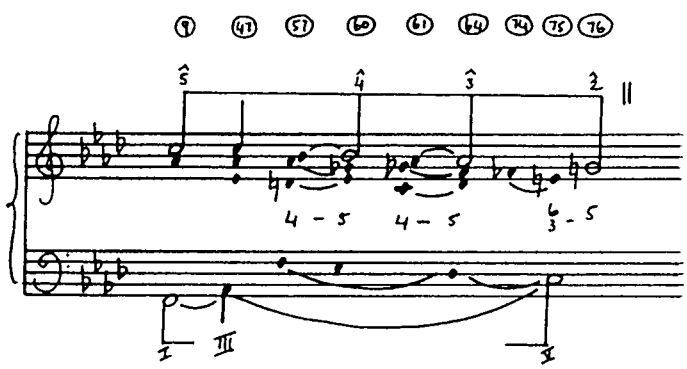
Example 4.58. Mazurka Op. 6, No. 1, Bars 1-10



As to the structural allocation of sequence patterns, they are properly part of the foreground, but may occasionally invade deeper levels if some of their elements are connected to notes of those levels. Normally, the first chord and last one or two in a sequence pattern are the controlling chords and are retained at

the next deeper level (see, for instance, the second sequence pattern in Example 4.58). However, in other instances, the context may demand that more elements of the sequence be carried into deeper levels. This happens when a sequence is used to harmonise a line in the middleground (or--rarely--even the fundamental line). (58) A noteworthy instance of the latter occurs in Op. 7, no. 3, where the first descent of the fundamental line, leading to an interruption, is contained within a sequence pattern, producing the unusual interval succession 4-5-4-5 in the outer voices (see Example 4.59). An additional reason for including all the elements of the sequence pattern in this case is to avoid parallel fifths which would otherwise have resulted in the outer voices.

Example 4.59. Mazurka Op. 7, No. 3, Middleground/Foreground Graph, Bars 9-76



To summarise: The essence of the linear intervallic pattern is that it determines the voice leading of the outer voices of the passage that it controls, representing directed tonal motion with complete precision and without ambiguity once the pattern has been initiated. Thus it can be said that the linear

intervallic pattern represents the basic voice-leading motion of tonal music in the most concise and intensive way. Furthermore, a linear intervallic pattern may effect a connection between two statements of the same harmony (as in Example 4.55), or between one harmony and another (as, for instance, in Example 4.57). As a general observation it can be said that linear intervallic patterns never serve as primary structural constituents, but always serve some musical element of larger scale. (59) Finally, in service of a linear intervallic pattern, sequence constructions also fulfill a significant role within the tonal structure of a composition.

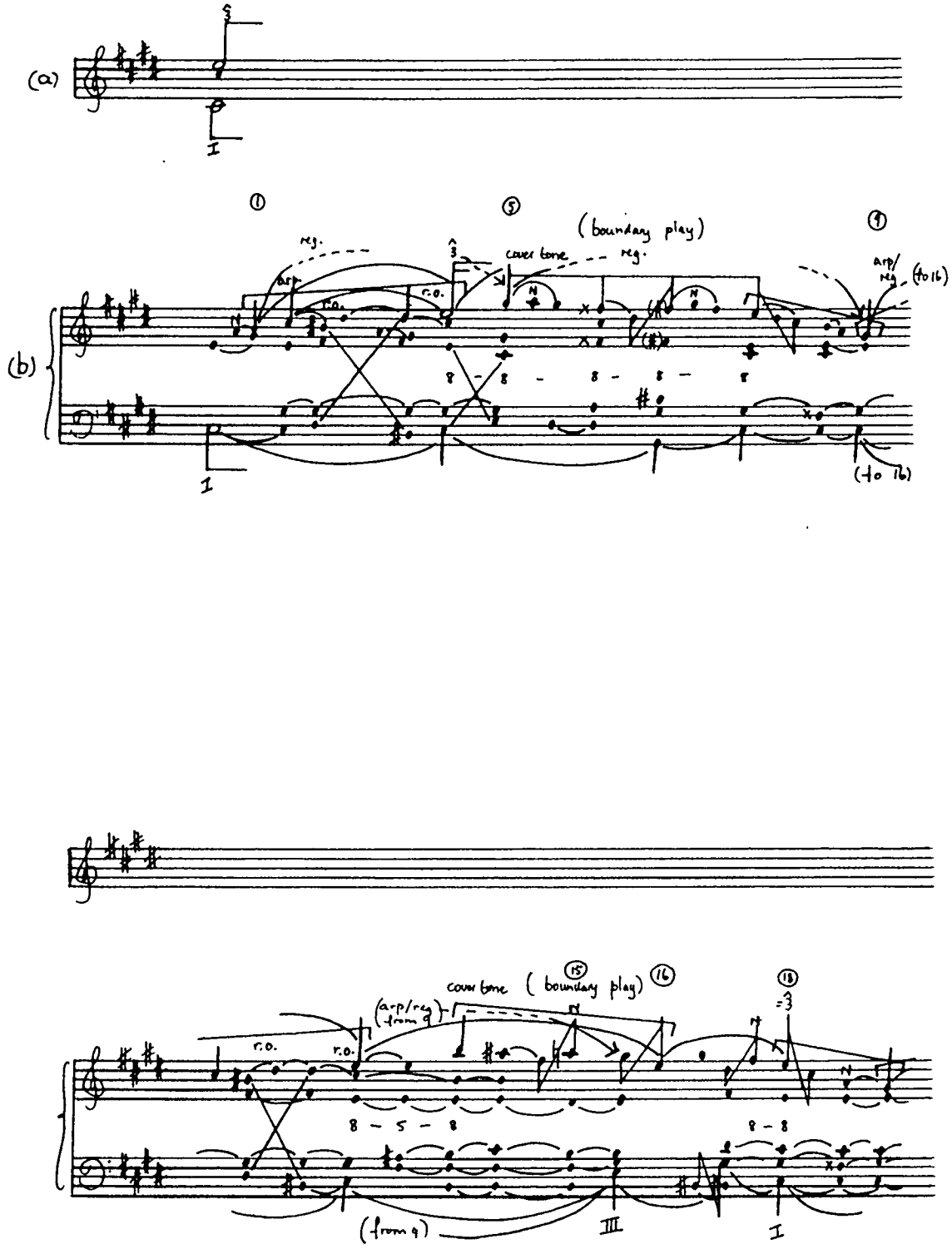
Concluding Remarks

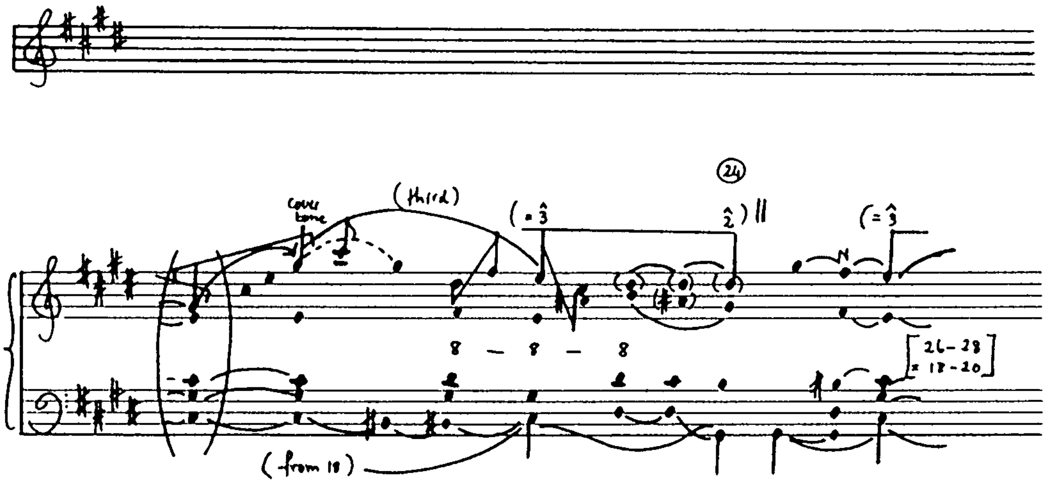
Reflecting on the foregoing discussion of the foreground, it is important firstly to realise that the foreground actually contains the content of all the levels of structure prior to it, including the fundamental structure itself. This is because it represents the culmination of the process of composing-out from the background, where each prolongational event has become the initiator of new harmonic/voice-leading entities. As a result, the various prolongational techniques or voice-leading diminutions, as well as the basic harmonic/voice-leading motions, are all capable of being reflected at different points within the tonal structure of a composition. All the various types of harmonic/voice-leading patterns represented by the bass and upper voices, including structural divisions (notably the interruption), other secondary features such as chromaticism

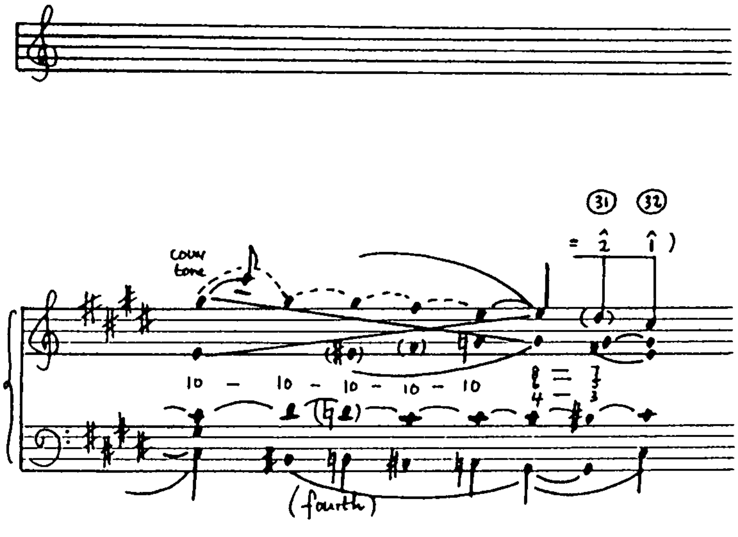
(notably mixture and the Phrygian $\hat{2}$), and the basic diminutional voice-leading figures, can thus occur at any level. The distinction as to the function of a particular harmonic/voice-leading progression or diminutional figure accordingly becomes one of contextual differentiation. In his review of **Free Composition**, Carl Schachter refers to the fact that the varied materials within the five chapters of Part III ("The Foreground"), are a reflection of Schenker's belief that the process of prolongation is partly one of differentiation. (60) In addition, it has also been demonstrated in the various musical examples throughout this chapter that the different prolongational techniques are always to be found in combination with each other and are never presented as isolated entities.

To end, Example 4.60 presents a foreground graph of the first 32 bars of the mazurka Op. 63, no. 3 (level b), as well as the first I and $\hat{3}$ of the fundamental structure representing these bars in the background (level a). Most of the various voice-leading techniques and devices discussed in this chapter are included in the graph. The apparent level of abstraction with regard to the organic tonal-structural function of the first two components of the fundamental structure in relation to the voice-leading events in the foreground graph indicates the necessity of a middleground level or levels, serving as the place in which the knitting together of the disparate material of the foreground and the underlying components of the background takes place. This intermediate stage of voice-leading development and connection between the content of the background and foreground is the focus point of the next chapter.

Example 4.60. Mazurka Op. 63, No. 3, Bars 1-32




cover tone
(third)
24
(= 3̂
2̂) ||
(= 3̂
8 – 8 – 8
26–28
= 18–20
(from 18)


31 32
= 2̂ 1̂)
cover tone
10 – 10 – 10 – 10 – 10
(fourth)

NOTES

1. Neumeyer, **Guidelines for Analysis of Traditional Tonal Music using Heinrich Schenker's method**, 20.
2. Forte and Gilbert, **Introduction to Schenkerian Analysis**, 144.
3. Neumeyer, **Guidelines**, 43.
4. Ibid., 40.
5. Ibid., 43.
6. Ibid., 45.
7. Ibid., 46.
8. Loc. cit.
9. Ibid., 49.
10. Schenker, **Free Composition**, Par. 203.
11. Jonas, **Introduction to the Theory of Heinrich Schenker**, 62.
12. Schenker, **Das Meisterwerk in der Musik**, Vol. 2, p. 24, as quoted by Jonas, 62.
13. Jonas, 64.
14. Forte and Gilbert, 237.
15. Neumeyer, **Exercise Manual for Schenkerian Analysis**, 92.
16. Forte and Gilbert, 243.
17. Ibid, 237.
18. Schenker, **Free Composition**, Par. 203.
19. Neumeyer, **Exercise Manual**, 92.
20. Forte and Gilbert, 239-240. (The example given in the present text is not the one relevant to the information given in Forte and Gilbert quoted above, but is my own.)

21. Neumeyer, **Guidelines**, 51.

22. In Chapter 8 below, this mazurka is discussed in detail concerning motivic design and its relation to tonal structure.

23. Forte and Gilbert, 238.

24. Ibid., 240.

25. Except for details mentioned otherwise, information on the various individual linear progressions was compiled from the relevant sections on linear progressions in Jonas, 65-81, Neumeyer, **Guidelines** and **Exercise Manual**, 48-49 and 92 respectively, and Schenker, **Free Composition**, Par. 211-216.

26. **The New Grove Dictionary of Music and Musicians**, Vol. 1, 622.

27. Neumeyer, **Guidelines**, 54.

28. Jonas, 46.

29. Forte and Gilbert, 153.

30. Note especially that the B-sharp in bar 1 is not interpreted as a passing tone between the third and fifth of the F-sharp-minor tonic triad, but rather as a lower neighbour to the C-sharp, since this melodic motion involves an augmented second interval between A and B-sharp, and, since the latter, being a raised fourth, is therefore only a semi-tone distance from the C-sharp, making its structural dependency on the latter all the more evident.

31. Neumeyer, **Guidelines**, 54.

32. Loc. cit.

33. Forte and Gilbert, 67.

34. Neumeyer, **Guidelines**, 54.

35. Forte and Gilbert, 253.

36. Ibid., 255.

37. Neumeyer, **Guidelines**, 63.

38. Neumeyer, **Exercise Manual**, 96.

39. Forte and Gilbert, 252.

40. Schenker has four references to this mazurka in **Free Composition**; Figs. 76,5, 83,2, 103,3d and 119,11. With the exception of Fig. 103,3d, all the others include either interpretations of bars 1-8, presented in Example 4.33, or its repetition (bars 17-24). Contrary to Example 4.33, where unfoldings are suggested in the voice leading, Fig. 76,5 presents a middleground fifth-line for this passage. Although Schenker does not commit himself as to the exact bars in which each of the components of the fifth-line occurs, it would seem as if the line is suggested only for the first four bars (these being repeated literally in bars 5-8). This assumption is based further on the grounds that, both in Figs. 76,5 and 83,2, bars 9-16 are presented as a prolongation of G (the upper neighbour of F or $\hat{5}$), which, because of the internal descent to B-flat during the previous bars, will still be present in the middleground. As opposed to this reading, unfolded thirds for bars 1-8 suggest a middleground descent from $\hat{5}$ to $\hat{3}$, followed by an interruption (bars 9-16). I believe that this latter interpretation is preferable to that offered by Schenker, because bars 17-24 give a clear indication that the first part of the large A-section (bars 1-4) and its repetition (bars 5-8) should be read as a motion from $\hat{5}$ to $\hat{3}$ as suggested by the series of unfolded thirds). Thereafter, the motion continues to 2 at bar 9, and only descends to $\hat{1}$ in bar 24 (the conclusion of section A). This

interpretation--at least of bars 17-24--is also suggested by Schenker himself in his sketch of these bars (Fig. 119,11), and the fact that this final sketch is not compatible with his other interpretations of the same thematic material is seen clearly in the various harmonic supports given for each of the corresponding theme phrases in the different figures. In addition to this, Schenker's aim, that is, to demonstrate that there is a parallelism between the second part of section A and the Trio, both involving the prolongations of the upper neighbour to $\hat{5}$ (Figs. 76,5 and 83,2), is not entirely satisfactory, since the middleground of bars 1-17 produces parallel fifths between the bass and upper voice.

41. Except for the musical illustrations which are my own, all the information on register transfer and coupling were compiled from the relevant sections in **Grove**, Vol. 3, 814, Forte and Gilbert, 123, 167, 220 and 260, Jonas, 105, Neumeyer, **Exercise Manual**, 93, and Schenker, **Free Composition**, Pars. 147-149 and 152-153.

42. Except for the musical illustrations and the accompanying commentaries to them which are my own, as well as a few additional remarks, all other information on voice exchange were taken from the relevant sections in Forte and Gilbert, 110-113, Jonas, 103 and Neumeyer, **Guidelines** and **Exercise Manual**, 57 and 94 respectively.

43. Neumeyer, **Exercise Manual**, 94.

44. See the editorial note by Ernst Oster at the end of Par. 134 of Schenker's **Free Composition**.

45. Neumeyer, **Guidelines**, 61.

46. See Forte and Gilbert, 221 and 265, Jonas, 106, and Neumeyer, **Guidelines**, 61.

47. Schenker, **Free Composition**, Par. 267.

48. Forte and Gilbert, 223.

49. Neumeyer, **Guidelines**, 53.

50. Forte and Gilbert, 224.

51. Schenker, **Free Composition**, Par. 143 (in referring to the content of Fig. 45).

52. Forte and Gilbert, 224.

53. Neumeyer, **Exercise Manual**, 94.

54. In Forte and Gilbert, p. 224, it is pointed out that, because of the possibility of a cover tone taking part in voice leading, it is frequently seen to enter into the very basic decision as to the identity of the primary tone and, consequently, the shape of the fundamental line. In the mazurkas in particular, there are numerous instances where cover-tone activity causes considerable difficulties in establishing whether a fundamental line runs from $\hat{3}$ or $\hat{5}$. One such case is Op. 6, no. 1. Here, an initial linear ascent from the first melodic tone F-sharp to C-sharp in bar 4 seems possible, whereupon voice leading can be traced further from the C-sharp5 down to A (bars 5-10), and finally from the C-sharp (bar 12), down to F-sharp (the closing melodic tone of section A) at bar 16. Both the second part of section A and the Trio have C-sharp again as a prominent note in the voice leading. These possible voice-leading motions, together with a fair amount of emphasis on C-sharp throughout the mazurka, would seem to pose a serious question as to whether the piece should be read from $\hat{3}$ or $\hat{5}$.

Although a descent from C-sharp to F-sharp (bars 12-16) is possible, there is no adequate harmonic support for each element of the line in order for it to be read as a true linear progression from $\hat{5}$ to $\hat{1}$, except when it is interpreted as containing an unsupported stretch involving the last three notes of the progression. However, if the final descent of the fundamental line (which also resembles the background upper voice motion of bars 12-16), is to be read from $\hat{3}$ (thus a motion from A down to F-sharp), the role of the C-sharp as a cover tone, and the subsequent voice leading following from it as middleground/foreground boundary play, can be argued for.

55. Forte and Gilbert, 83. Forte also uses this term in **Tonal Harmony in Concept and Practice** (New York: Holt, Rinehart and Winston, inc., 1962).

56. Neumeyer, **Guidelines**, 63.

57. Forte and Gilbert, 83.

58. Except for the musical illustrations which are my own, see Neumeyer, **Guidelines**, 63.

59. Except for the musical illustrations which are my own, see Forte and Gilbert, 84 and 99-100.

60. Carl E. Schachter, "A Commentary on Schenker's Free Composition", Journal of Music Theory, 25/1 (1981): 136.

CHAPTER 5

THE MIDDLEGROUND

The previous two chapters dealt with the background and its content and with the foreground, where, within its context, attention was given to the various techniques and devices of voice-leading prolongation. The credibility of the background as the logical end result of a systematic process of reduction, or conversely, that of the foreground as the logical end result of a process of composing-out from the background, depends on the middleground: the intermediate stage or stages of voice-leading transformation between background and foreground. It is this essential transformational or developmental nature of the middleground which makes possible the correct identification and interpretation of both background and foreground, as well as the establishment of the correct connection between these two levels.

It follows that the middleground represents that stage of voice-leading development in a tonal composition where most of the refinement of voice-leading interpretation takes place. Without the correct interpretation of voice leading in the middleground, situations often arise where a particular foreground may be constructed which may be questioned as to a satisfactory or even convincing connection of its content with that of the background. The same applies to establishing the correct underlying background structure of a composition. Therefore, this present survey of the various structural levels

and their content will be completed with a consideration of the middleground, its main functions, specific features common to it, and finally, its content and role with regard to background and foreground.

The first function of the middleground is to show those lines, non-harmonic figuration, unfoldings and other prolongational devices that directly connect to (prolong) elements of the background. (1) The second important function of the middleground is to reconcile what we have in the music (that is, the score itself), with what is found to be conceptually correct voice leading in the background. (2) From this, it would seem as if Schenker's description of the content of the middleground in **Free Composition** Part II as being the first level of prolongation from the background or fundamental structure, is adequate enough. However, in view of the differences in length and/or complexity of a composition, it was already pointed out in Chapter 3 how these factors can influence the structural distance between the fundamental structure and the music itself--an important motivation for broadening the range of the background so as to include also the content of the first level of prolongation. Because of this, the second or even third levels of prolongation from the fundamental structure are nowadays frequently regarded as middleground. Additionally, since the middleground comprises the underlying voice-leading model for the content of the foreground, it is likewise expanded, in order to become associated more closely with the foreground. Therefore, the accepted practice with regard to the broadening of the middleground is to separate its content into more than one level;

the number of these being subject to the amount of voice-leading activity between the background and the musical surface.

Two specific features of the middleground may also be mentioned here. Firstly, it is in the middleground where broad tonal and formal areas of a composition can be traced. Secondly, the middleground is usually the source of repetitions, and thus of the idea of motivic parallelism which has a direct bearing on the subject of this dissertation. In view of the possibility for voice-leading diminutions to be repeated at different points within the tonal structure of a composition, the middleground, being the pivot between background and foreground, is the place where such repetitions occur most frequently. Therefore, the middleground accordingly often provides the analyst with decisive information about the origins of particularly striking or important surface diminutions, or how these diminutions may have developed out of the background.

Almost all of the prolongational techniques and devices, except perhaps for voice exchange, may form part of the content of the middleground. Accordingly, these will be dealt with again, but in terms of their middleground functions.

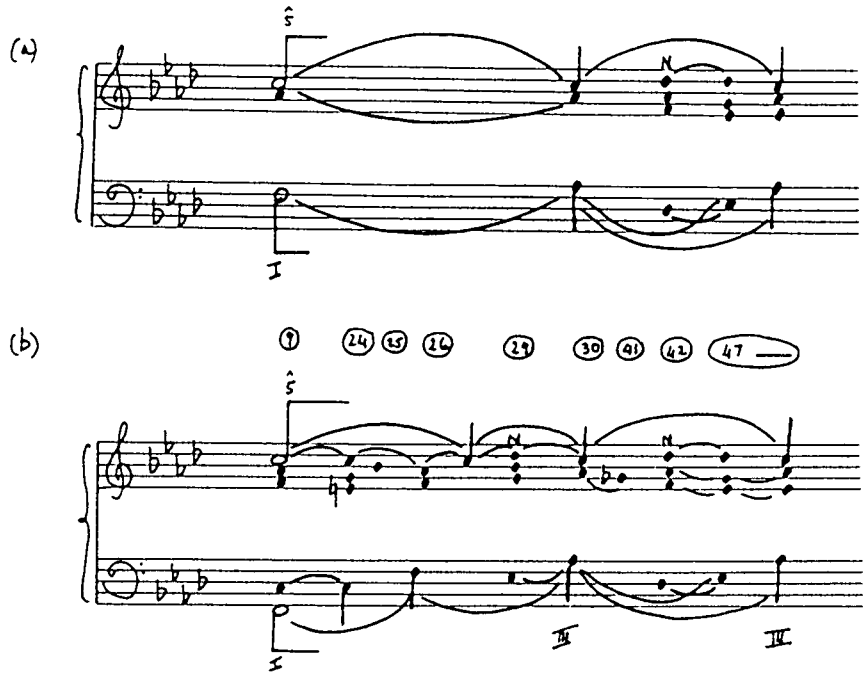
Neighbour Notes

In Chapter 4, detailed attention was given to the role of the neighbour note as a diminutional figure within the various structural levels from deep middleground (that is, working background), to foreground. Concerning the middleground, it was established that the neighbour note, like any other diminutional

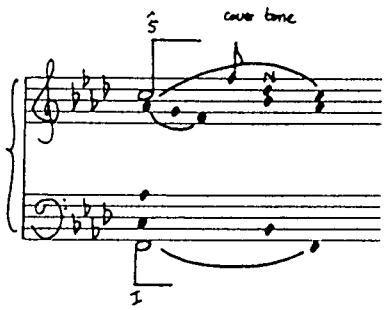
figure which might be included in it, has to be directly related or connected to the elements of the background. As to its structural role, the neighbour note was observed to be mostly a form-generating device in the middleground, but also, able to play a significant role with regard to motivic design, in that important surface neighbour-note configurations may frequently derive, through prolongation, from an underlying middleground neighbour-note pattern. All these aspects have also been demonstrated at various points so far. See, for instance, the role of the neighbour note figure D/E/D in establishing the ternary form division of the mazurka Op. 67, no. 1, and how this same figure is related to the surface configuration of the opening bars (Examples 4.2a and b). In addition to this, see also Examples 3.16 and 4.8b.

One further instance of the application of middleground neighbour notes in the mazurkas may, however, be cited here: Op. 7, no. 3. Firstly, Example 5.1a presents two middleground levels of this mazurka, aligned with each other, both containing the same neighbour-note figure C/D-flat/C, operating at different points in the tonal structure. In Example 5.1b, the figure appears in the foreground of bars 9-12, while Example 5.1c shows it to be on the surface of the introductory bars; this latter feature being the actual instigator of all the subsequent structural applications of the neighbour note in this mazurka.

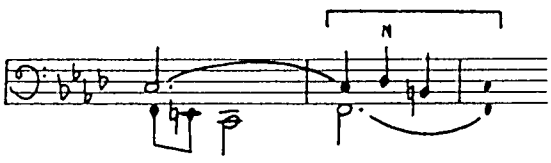
Example 5.1a. Mazurka Op. 7, No. 3, Bars 9-47



Example 5.1b. Mazurka Op. 7, No. 3, Foreground Graph, Bars 9-12



Example 5.1c. Mazurka Op. 7, No. 3, Bars 1-3



For the moment this example of middleground neighbour-note motions will suffice, since it represents an adequate picture of the ways in which neighbour notes may be applied in the middleground. At the same time, however, it is by no means representative of all the ways in which neighbour-note figures operate in the mazurkas, especially with regard to motivic design. This latter role of the neighbour note will be considered in more detail in the chapters on motivic design and tonal structure in Part Two.

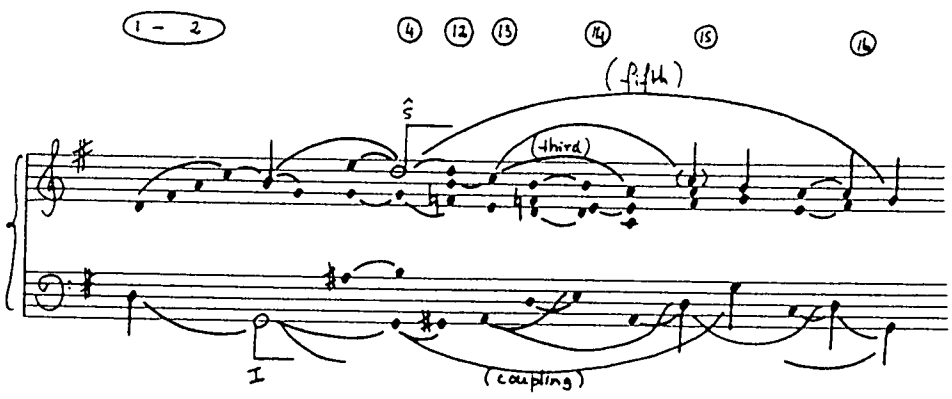
Linear Progressions

In **Free Composition**, Schenker makes a distinction between what he calls linear progressions of the first order (that is, at the first level of prolongation from the fundamental structure), and linear progressions at the later levels. He asserts that "an ascending or descending linear progression of the first order must, by definition, be related to a tone of the fundamental line". (3) Even though in the definition of the middleground to be used here, at least one or two of the so-called later levels may be included, this condition for a linear progression to be recognised as belonging to the middleground, remains valid, since these levels are still related to the fundamental line. Therefore, every middleground linear progression will involve motion between a specific fundamental line tone and an inner voice.

It has already been noted in Chapters 3 and 4 above that linear progressions are often reflections or replications of a

particular fundamental line at different points within the tonal structure of a composition. This variety of linear progressions is of particular note in the middleground, since such lines usually also function as the structural line of an independent tonally closed form section. With the exception of a few cases, all the mazurkas contain such individual tonally closed form sections where the specific linear progression involved also reflects the fundamental line of the composition. Some notable instances of these middleground lines already presented include: Examples 3.13 and 3.17 (Opp. 7, no. 2 and 6, no. 1 respectively), and Examples 4.14, 4.16b and 4.60 (Op. 33, no. 2, Op. 50, no. 3 and Op. 63, no. 3 respectively). One further example may be cited from the mazurka Op. 50 no. 1, since it offers not only a linear progression, acting as the background line of the first 16 bars of the piece, but also a striking example of how such a line can contain further prolongations of some of its components (see Example 5.2).

Example 5.2. Mazurka Op. 50, No. 1, Bars 1-16



Other instances of middleground lines in the mazurkas also included in the examples of linear progressions in Chapter 4 are Op. 67, no. 1 (Examples 4.12), and Op. 30, no. 4 (Example 4.13). In Example 4.12, a middleground line controls the background structure of the A-section, while another serves to extend an earlier-level neighbour note which functions as the controlling element of the Trio in the subdominant key. Example 4.13, on the other hand, shows a line which forms part of the extension of the dominant at the point of the interruption. Note that it is only with the extention of the neighbour note that no direct connection of the linear progression with a note of the fundamental line occurs. The validity of the line as a middleground event is attested to by the fact that the neighbour note itself is still directly connected to the $\hat{5}$ of the fundamental line, being its first middleground extention.

Initial Ascent (Anstieg)

A special category of linear progression which belongs exclusively to the middleground involves an ascending linear motion from an inner voice to the first note of the fundamental line, a phenomenon which Schenker terms "Anstieg", translated as **initial ascent** in **Free Composition**. This is, strictly speaking, the only possible ascending linear progression in the middleground, although there is one other ascending line which Schenker allows in a second level of middleground, namely, a line from an established inner voice upward to a note of the fundamental line. Such a line is most likely to occur in

developmental or transitional areas (examples of which may be found in **Five Graphic Music Analyses**). (4) There is, however, no example of this in the mazurkas.

The Anstieg may begin from $\hat{1}$ to reach $\hat{3}$ or $\hat{5}$, or from $\hat{3}$ to reach $\hat{5}$, or--rarely--from $\hat{3}$ or $\hat{5}$ to reach $\hat{8}$. Normally each tone of the Anstieg will have harmonic support; however, this is not an absolute requirement. (5) In an initial ascent moving to $\hat{5}$, the fourth degree is frequently raised in order to effect a leading-tone motion to the fifth degree, thus preventing the fourth degree from becoming more naturally inclined towards a resolution to $\hat{3}$, due to the normal semi-tone distance between $\hat{4}$ and $\hat{3}$. (6) This application of the raised fourth degree in an initial ascent occurs only in the major key.

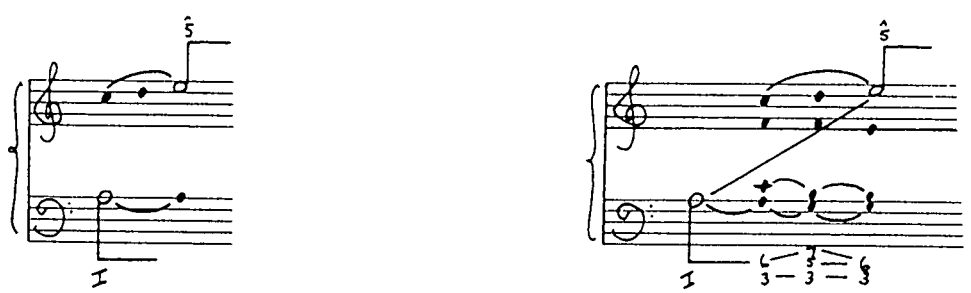
Strictly speaking, the initial ascent is a line based on an interval of the tonic triad, but it may also comprise a line, arpeggio, or combination of both. (7) In fact, the term "initial ascent" may be interpreted in a broader sense so as to include any of these prefix-type motions, while the term Anstieg specifically applies only to an ascending linear prefix to the first tone of the fundamental line.

Particularly in the mazurkas, initial ascent patterns involve mostly either arpeggiation or the combination of arpreggiation and line, frequently including register transfer at the same time. Examples of these were already presented in Examples 4.25, 4.26 and 4.38. Additional examples will be offered in the section on arpeggiation below. In the mazurkas there are not many strictly linear initial ascents: see, for instance Example 4.19, where the motion is from $\hat{3}$ to $\hat{5}$, and 4.47, where the motion

is from $\hat{1}$ to $\hat{3}$. Example 4.19 also illustrates an important procedure connected with initial ascent, namely, displacement of elements. Notice that before $\hat{5}$ is reached in the upper voice, the bass has already moved away from the tonic degree--which needs to be presented simultaneously with $\hat{5}$ in the background--on its way to the dominant via the descending fourth. This displacement of tonic and $\hat{5}$ is caused by foreground contrapuntal motion and therefore is corrected in the middleground so as to bring tonic and $\hat{5}$ in alignment. Subsequently, it is customary to use a diagonal line in the foreground in order to indicate which components belong to each other in the middleground and background, and incidentally, to show the degree of the displacement. A clearer picture may be obtained from Example 5.3 from the same mazurka (Op. 17, no. 4). At (a) the initial ascent is shown only with the tonic bass, while at (b) the foreground motion of the bass is shown along with the rising line. This situation demonstrates once again how it is the task of the middleground to serve as the place where surface voice leading has to be **corrected** in order to lead the analyst to the strictest model of the background. {8}

Example 5.3. Mazurka Op. 17, No. 4, Bars 6-8

(a) (b)



An instance where the raised fourth degree is employed as part of an Anstieg pattern is found in Op. 63, no. 1, where there is an ascending surface chromatic motion from D-sharp to F-sharp. However, the latter note upon which the motion concludes is not yet the first $\hat{5}$ of the fundamental line, but actually the F-sharp of bar 10 to which it is coupled in the middleground (see Example 4.17). There is, however, no instance in the mazurkas where the raised fourth degree is used in an initial ascent in conjunction with the tonicisation of the dominant, this being a frequent manner of exposition of the raised fourth in Anstieg patterns. (9)

An anomaly is the **initial descent**, a descending linear motion from a superimposed inner voice or cover tone to the first tone of the fundamental line. It is not at all as frequent a phenomenon as is the initial ascent, and usually involves a motion from $\hat{8}$ down to $\hat{5}$, or $\hat{5}$ down to $\hat{3}$. One instance of such an initial descent in the mazurkas can be seen in the opening of Op. 50, no. 3, cited in Example 4.16b, where the motion is from the first G-sharp, acting as a cover tone, down to E, the first $\hat{3}$.

Arpeggiation

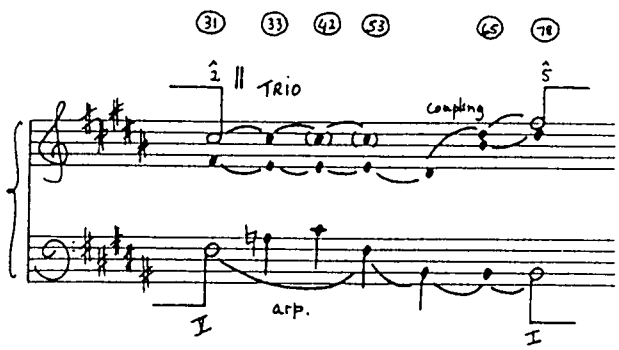
There are two principal ways in which the technique of arpeggiation is employed in the middleground: 1) elaboration of the fundamental bass motion from I to V, becoming I-III-V-I; 2) in connection with initial ascent.

The first of these has already been presented in Chapter 3, where it was referred to as the structural bass arpeggiation.

Because of its function, this bass arpeggiation is situated deep in the tonal structure. Other instances of background/middleground bass arpeggiations already presented include Examples 4.24b and 4.29. In addition, it should be noted that, just as the background line of a particular tonally closed form section becomes a middleground event in the overall tonal structure, so does a bass arpeggiation (be it I-V-I or I-III-V-I), which is involved in the same situation.

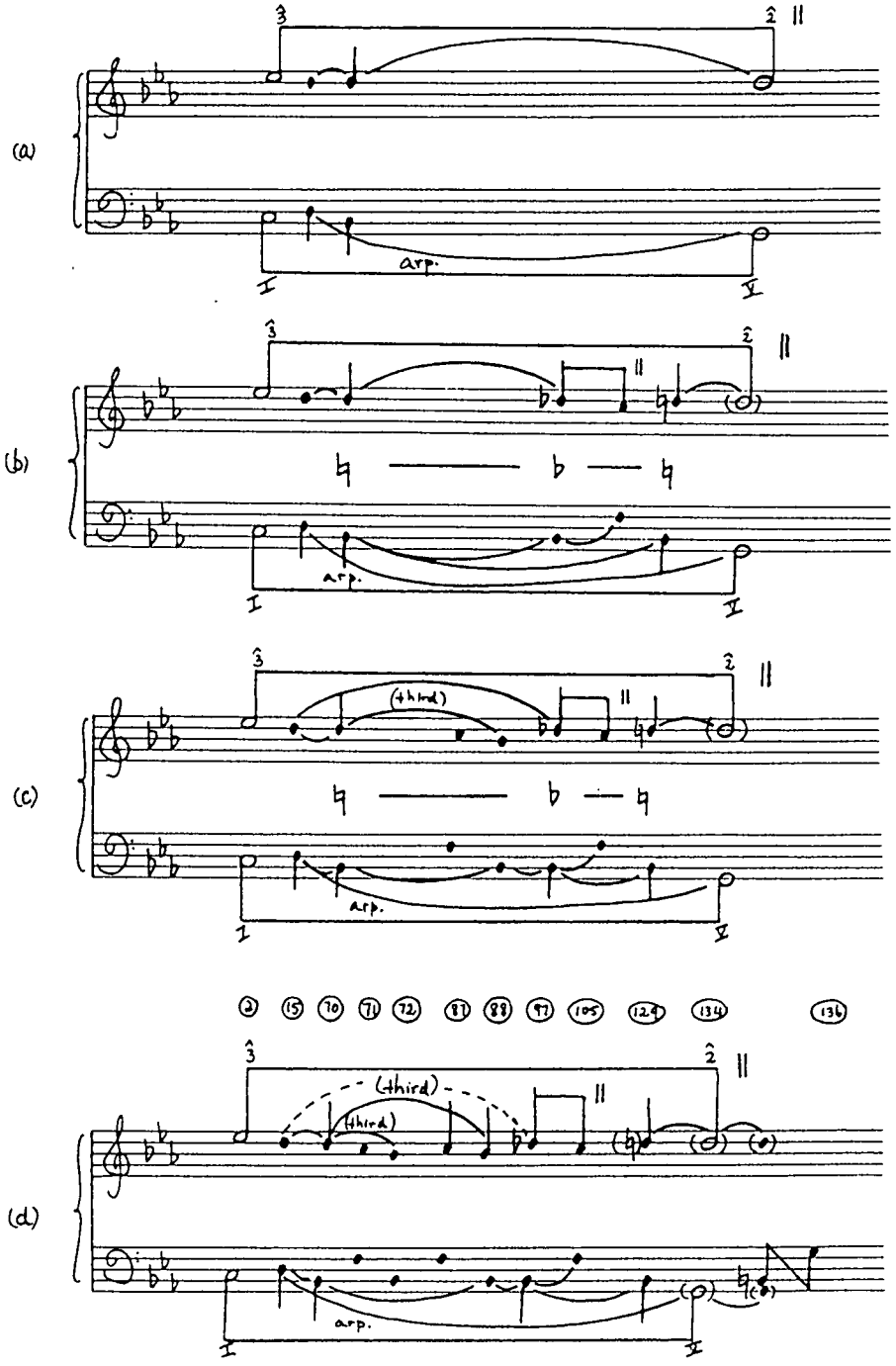
Bass arpeggiation figures also function as a middleground feature within the prolongation of the dominant and $\hat{2}$. This is the case in Example 4.13, as well as in Example 5.4, taken from Op. 63, no. 1. Note especially how the distant key region of A major in the Trio results from the prolongation of the third degree of the bass arpeggiation within the somewhat unusual dominant minor.

Example 5.4. Mazurka Op. 63, No. 1, Bars 31-78



One additional instance of a middleground bass arpeggiation pattern within the prolongation of V and $\hat{2}$ is from Op. 56, no. 3 (see Example 5.5, level a).

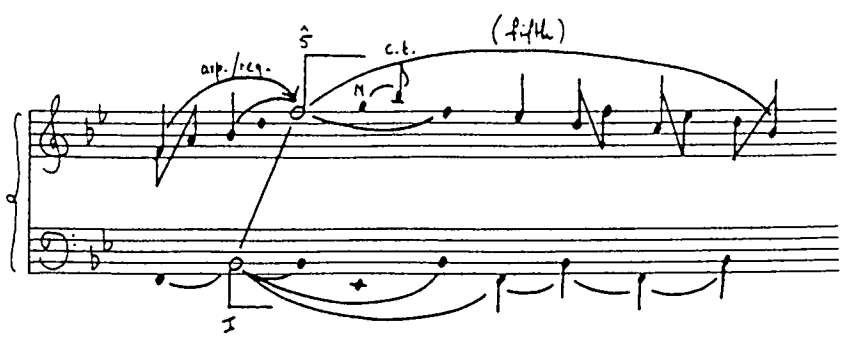
Example 5.5. Mazurka Op. 56, No. 3, Bars 2-136



Here, the descending figure D/B-flat/G appears in the first middleground, elaborating the harmonic motion from II to V within the interruption, and causing the two middle form sections of the mazurka to evolve from the prolongation of the B-flat of the arpeggiation. Three additional middleground levels of the same passage from this mazurka are also given in Example 5.5, where more diminutions appear in conjuction with the arpeggiation. The first of these (level b) shows a third-line within the prolongation of B-flat, followed by mixture and interruption at level c, and another third-line at level d, preceding the one at levels b and c, as well as a middleground unfolding which forms part of the prolongation of the final G in the arpeggiation. For a detailed discussion of this mazurka, see Chapter 9.

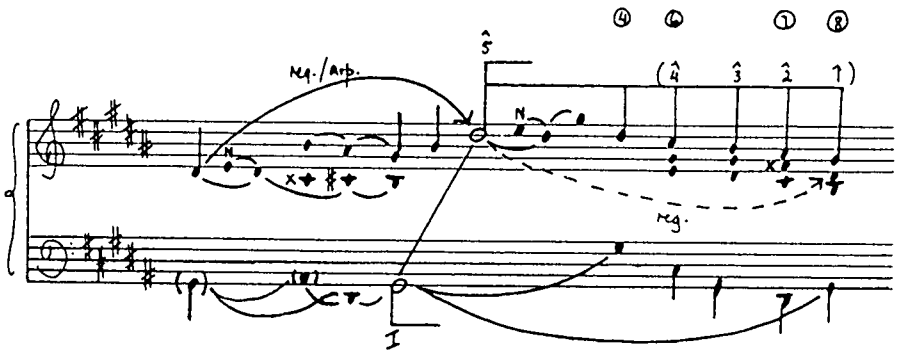
The second application of arpeggiation in the middleground mentioned above, is restricted to the top voice only. In addition to examples already referred to, three further instances may be cited. The first (Example 5.6) presents an arpeggiated motion from B-flat4 to F5 ($\hat{5}$) in the opening bars of Op. 7, no. 1, (10) the first B-flat4 being preceded by an A4 as lower neighbour prefix to it over V in the bass.

Example 5.6. Mazurka Op. 7, No. 1, Bars 1-12



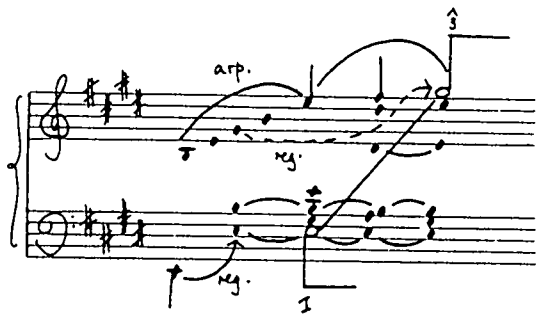
In addition, the arpeggiation from B-flat4 to F5 is filled in by passing notes on the surface. This mazurka is also discussed further in Chapter 11. Example 5.7 shows the opening bars of Op. 33, no. 1, where the arpeggiated motion is from D-sharp4 to D-sharp5 (the first $\hat{5}$), with two foreground diminutions in the form of a neighbour-note figure and a line, connected respectively to D-sharp4 and G-sharp4. Surface passing tones similar to those found in Op. 7, no. 1, then fill in the continuing motion from G-sharp4 to D-sharp5. Notice that register transfer is also involved during these bars (for a detailled discussion of this mazurka, see Chapter 7).

Example 5.7. Mazurka Op. 33, No. 1, Middleground/Foreground Graph, Bars 1-8



The third instance of an arpeggiated initial ascent is taken from Op. 6, no. 3, where there is an arpeggiation figure running from B3 up to G-sharp5 (the first $\hat{3}$), and involving also a linear motion at the end of the figure from E5 to G-sharp5 (see Example 5.8, as well as further discussion of this mazurka in Chapter 12).

Example 5.8. Mazurka Op. 6, No. 3, Bars 9-12



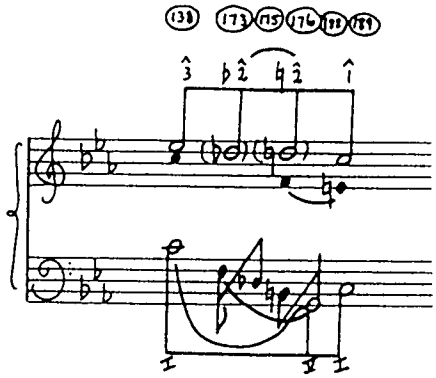
Upper-voice arpeggiations in the middleground may also be stretched over longer distances in the music, being accomplished by means of foreground diminutions connected to the various components of the arpeggiations, and often causing them to be concealed within the foreground voice leading. There are, however, no examples of such long-range arpeggiation figures in the mazurkas, except for those in the bass cited above.

Unfolding

Unfoldings may sometimes be presented on a larger scale, controlling many foreground diminutions, as well as problematic foreground passages in which underlying harmonic/voice-leading derivations are difficult to assess. See, for instance, the unfolding of Example 5.5, level d above, and how the surface voice-leading motions may be derived from it. Another more spectacular instance of such a long-range unfolding is found in a further passage from Op. 56, no 3. Here, the complicated surface chromatic motions and melodic diminutions at the point of the final $\hat{2}$ in the fundamental line can be traced back to a

middleground unfolding B/G in the bass (see Example 5.9). One other similar type of unfolding was already presented in Example 4.34, after Schenker's example in **Free Composition**.

Example 5.9. Mazurka Op. 56, No. 3, Bars 138-189

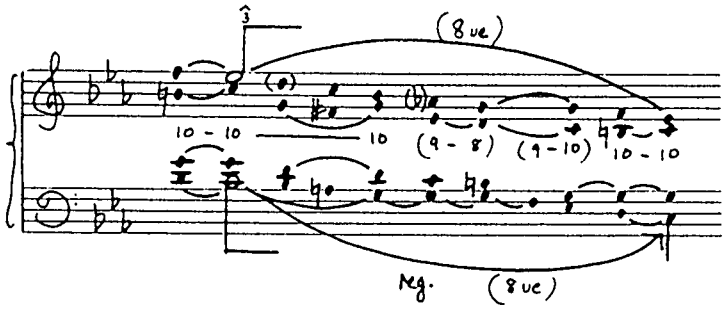


Register Transfer (Coupling)

Register transfer is usually a foreground device, but it is frequently involved in initial ascent patterns as has been illustrated in Example 5.6 above, as well as other similar instances cited in Chapter 4. Middleground coupling of registers is, however, a more frequent phenomenon, especially if a note of the fundamental line is involved. This is the case in Example 5.10, a passage again taken from Op. 56 no. 3. Here, the first note of the fundamental line (E-flat5 at bar 3), is coupled to E-flat4 in bar 10 by means of a descending linear motion, accompanied by an octave-line in the bass, through which there is a further coupling of C4 to C3. Also involved are tonic and dominant harmonies--the dominant area being tonicised in the

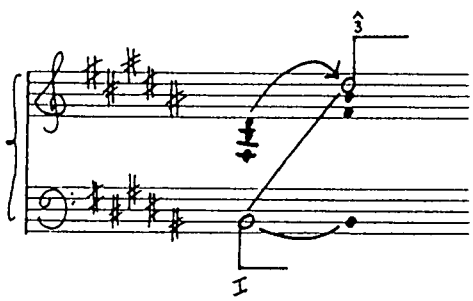
foreground. (11) Equally so, but functioning in a different manner, the bass coupling observed in Example 4.41 must be seen as a middleground event.

Example 5.10. Mazurka Op. 56, No. 3, Bars 1-10



One more notable instance of a middleground coupling occurs in the opening bars of the A-section from Op. 41, no. 3. Here, we observe a coupling of D-sharp4 to D-sharp5 (the first $\hat{3}$), acting as the sole element of the middleground initial ascent to $\hat{3}$ (see Example 5.11). In the foreground, this coupling is filled in by surface diminutions.

Example 5.11. Mazurka Op. 41, No. 3, Bars 1-7



Reaching-Over

A reaching-over may also function as a middleground device whenever it is involved in initial ascent patterns, where it helps to effect the middleground linear or arpeggiated ascent to the first note of the fundamental line (see, for instance, Example 4.47 and the foreground of Example 4.60).

Linear Intervallic Patterns and Sequence Constructions

In Chapter 4, attention was given to the structural role of linear intervallic or sequence patterns, where it was pointed out that, in spite of their being primarily foreground in nature, these voice-leading patterns may also be involved in earlier levels of structure when the necessity arises for some of their elements to be connected to components of a middleground line or to notes of the fundamental line itself (see, for instance, Examples 4.55 and 4.59).

The Middleground in Selected Mazurkas

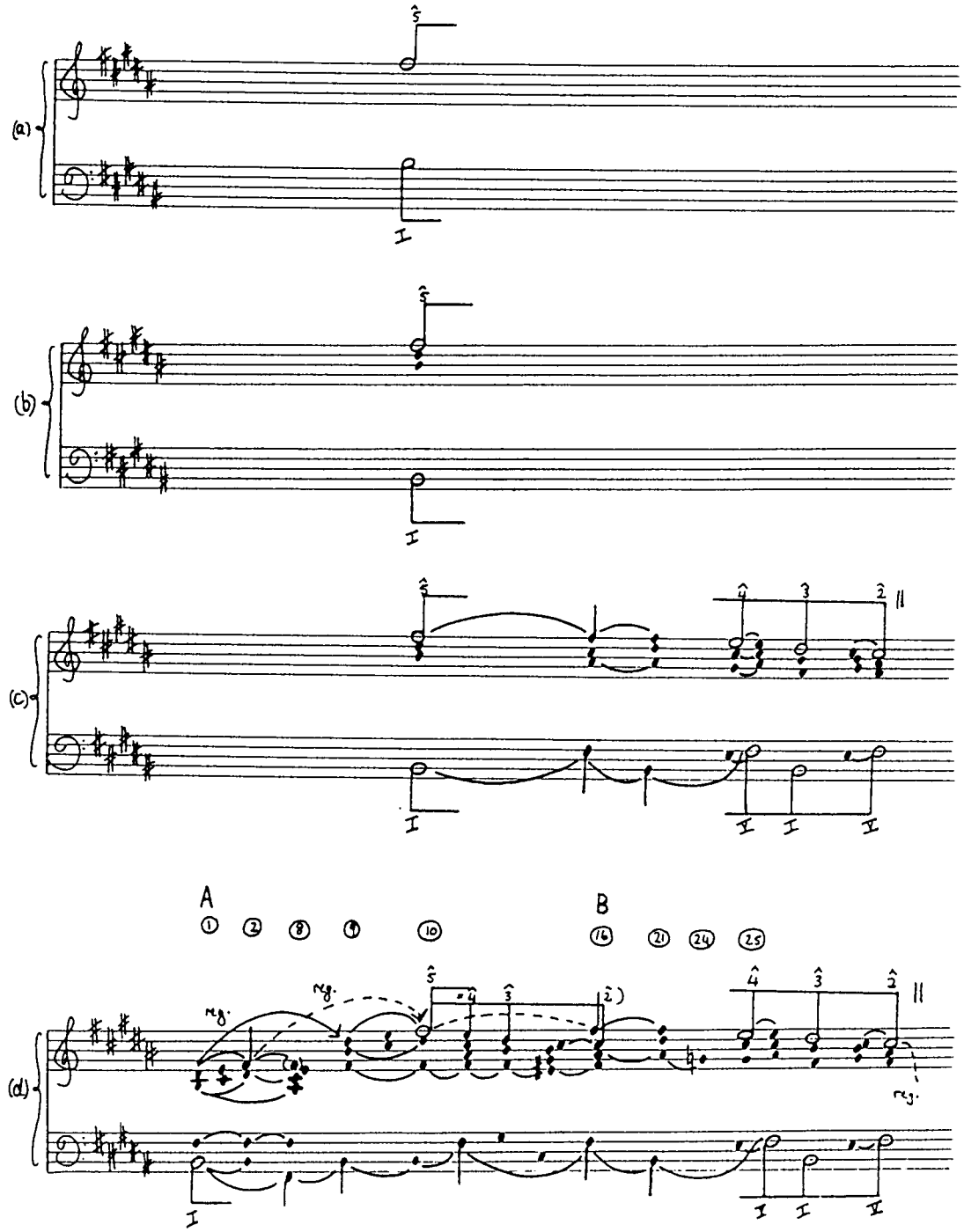
In the foregoing sections, emphasis has been placed on the way various voice-leading techniques and devices may, apart from their diminutional role, also serve as underlying structural derivations for further composed-out content, that is, how they are employed in the middleground in order to initiate the content of the foreground. In concluding this chapter on the middleground, it will be useful to show how the middleground

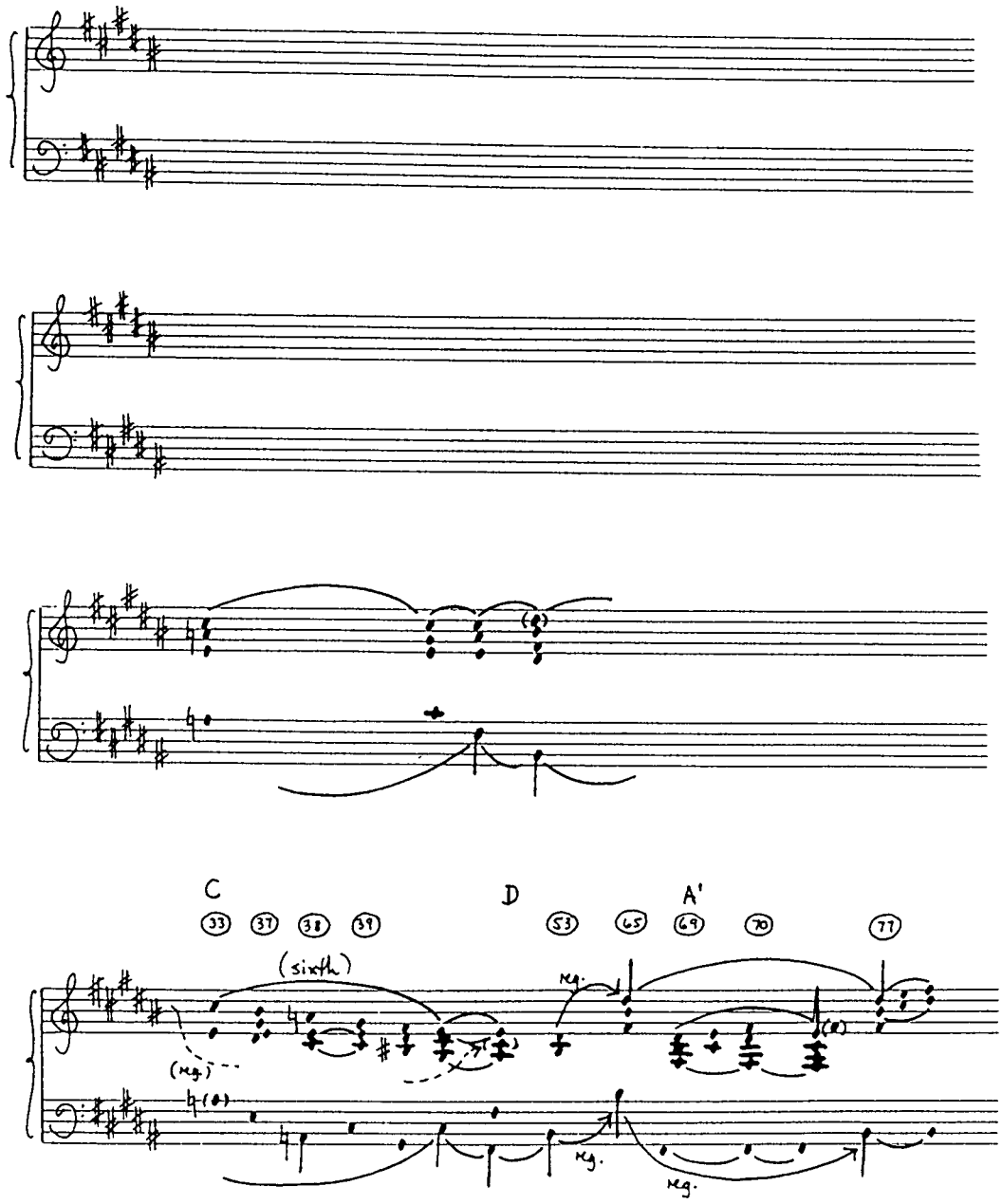
functions, firstly, in relation to the fundamental structure; secondly, in relation to form; {12} and thirdly, in relation to chromatic foreground interpolations. In addition, the way in which these illustrations are presented, that is, as a series of structural levels aligned with each other, will serve as further preparation for the object of the final chapter of this part, namely, the presentation of a comprehensive model example in which all stages of tonal-structural development from fundamental structure to foreground will be demonstrated in a complete set of analytic graphs.

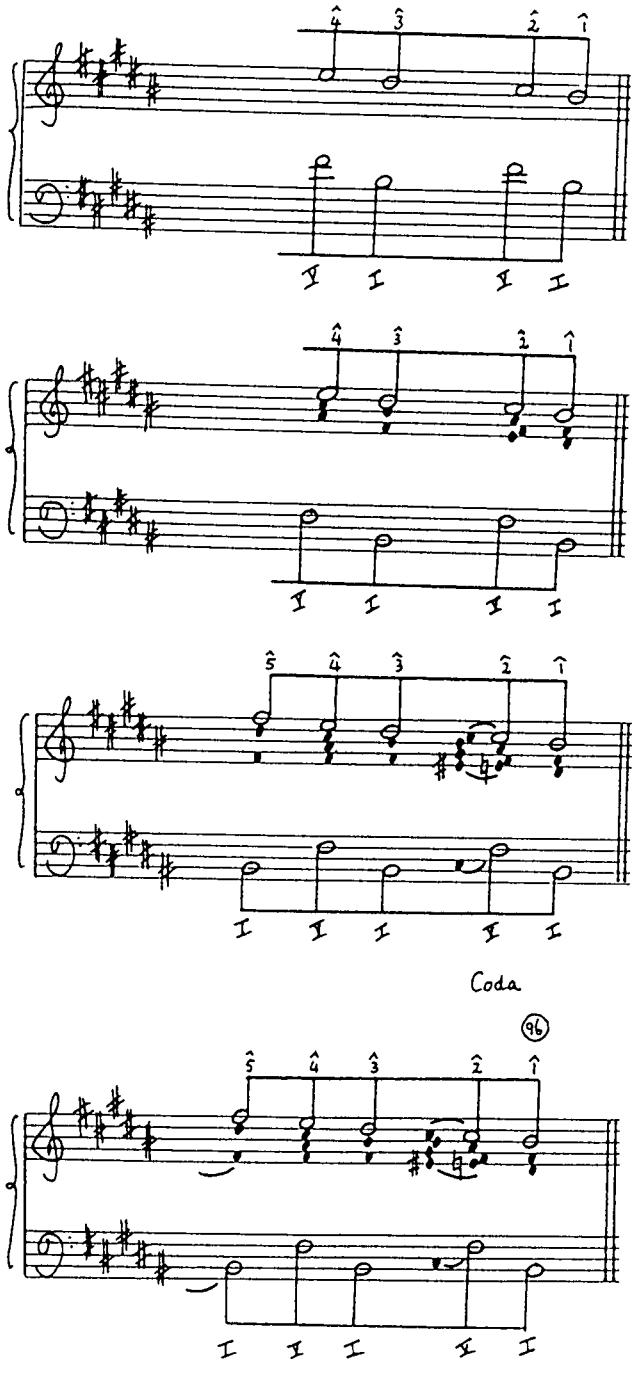
A partial set of analytic graphs for the mazurka Op. 63, no. 1 is provided in Example 5.12. Firstly, only the fundamental structure is presented at level a, while at level b, the first prolongational device connected to the fundamental structure in this composition is presented, namely, an interruption of the fundamental line. The latter is also responsible for creating the large two-part division of the piece's tonal structure. Although level b constitutes the first level of composing-out from the fundamental structure, and thus, strictly speaking, the first level of middleground for this mazurka, it is nevertheless regarded as the background here for reasons already explained in Chapter 3. Therefore, the subsequent level of prolongation from the interruption is interpreted as the first middleground (see Example 5.12, level c).

At this level, 5 and I are initially elaborated by means of a dividing dominant in the bass prior to the first descent of the fundamental line to $\hat{2}$ and the interruption. Note also that the dividing dominant and the descent from $\hat{5}$ to $\hat{2}$ represent the

Example 5.12. Mazurka Op. 63, No. 1




C
D
A'
33
37
38
39
53
65
69
70
77
(sixth)
(ng.)
ng.
ng.
ng.


Coda
96

underlying voice-leading content of the B-section, while the initial $\hat{5}$ and I represents section A. The interruption at this level is prolonged by means of an internal I-III-V-I bass arpeggiation within the dominant minor; the third degree of which generates section C, while section D is built on V and I of the arpeggiation (see also Example 5.4 above). Thereafter, $\hat{5}$ returns, followed by the final descent of the fundamental line. Both these events coincide with the reprise of section A and its conclusion by way of a surface elaboration of the final $\hat{2}$, representing the final bars of A', but also resulting in the start of a tiny artful coda which involves the motion from $\hat{2}$ to $\hat{1}$ within the final structural cadence. The elaboration of $\hat{2}$ is represented at this level by the II-V motion of the bass under $\hat{2}$.

Finally, at level d of Example 5.12, the next level of composing-out and final middleground level of this mazurka, the middleground derivations of the foreground voice-leading events are presented. The opening thematic statement and its repetition an octave higher are characterised by an initial chromatic linear ascent from D-sharp4 to F-sharp4 and the coupling of F-sharp4 to F-sharp5 already referred to earlier on. This is followed by a middleground/foreground descent from $\hat{5}$ to $\hat{2}$ within the motion from I to the dividing dominant, a parallelism of the background descent from $\hat{5}$ to $\hat{2}$ (see also the foreground graph of these bars in Example 4.18). The motion from the dividing dominant back to I is effected by means of a third-line F-sharp5/E5/D-sharp5, a diatonic retrograde version of the initial ascent pattern. This line also serves as the underlying melodic motion of the first

eight bars of section B. Therefore, the motion down to D-sharp5 at this point (bar 24) is not yet part of the background/middleground descent to $\hat{2}$. As a result, the voice leading of bars 17-24 within which the line is effected, still prolongs $\hat{5}$ at a deeper level, and the first descent to 4 or E5 does not occur before bar 25.

The prolongation of the third degree of the I-III-V-I bass arpeggiation within V is effected at this level by a descending sixth-line from C-sharp5 to E4, acting as controlling line for the voice leading of section C, as well as serving to bring the voice leading back to the original opening register of the piece. This is followed by a coupling from D-sharp4 to D-sharp5, representing the underlying voice-leading motion of section D. In the foreground, this coupling is composed-out by means of a series of reaching-overs (see Example 4.50). Incidentally, the foreground of section C (first part of Example 4.50), reveals several surface registral motions which clearly derive their origin from the middleground registal couplings in this mazurka.

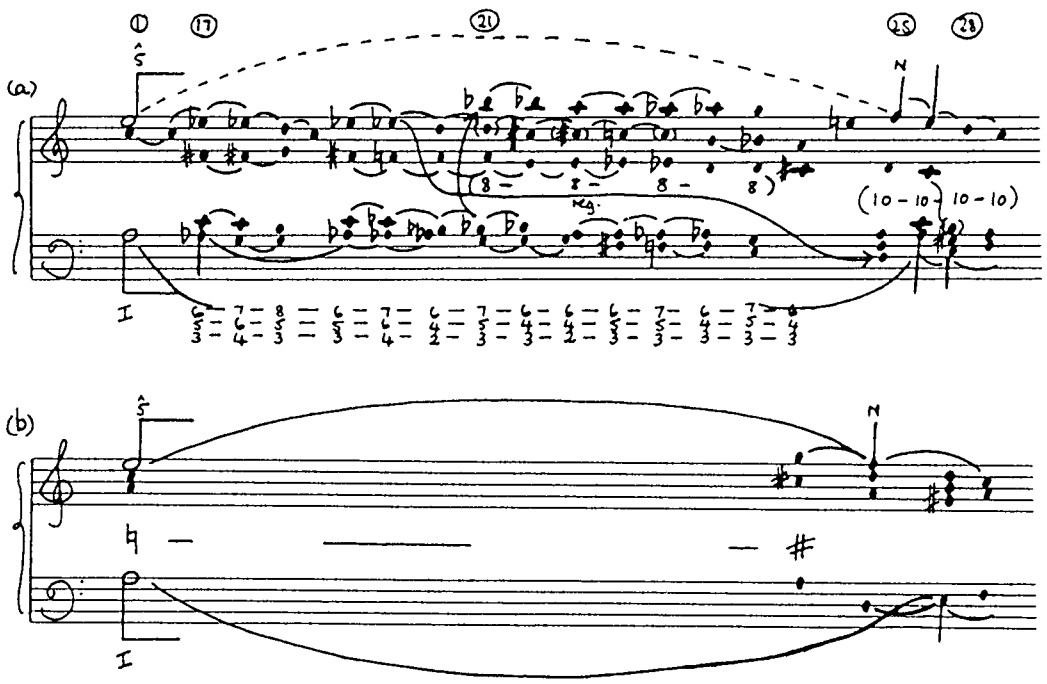
Looking at the different levels of harmonic and voice-leading content cited in Example 5.12, note that the various prolongational features presented involve either the first note of the fundamental line, or $\hat{2}$ at the interruption; the one exception is the surface prolongation of $\hat{2}$ during the final descent of the fundamental line. Although it is often the case that the other components of a fundamental line or middleground linear progression are not subjected to further diminutions or prolongation as they usually form part of the descent of a line at the point of a structural cadence, this is by no means a

general assumption, as can be seen from the instance above where the final $\hat{2}$ is prolonged (see also Example 5.4). It is, however, generally the case in the mazurkas; there are few instances in which $\hat{2}$ and the interruption itself is further prolonged. An interesting feature of the present mazurka is the prolongational attention given to the inner voice D-sharp during section D through the middleground coupling. It also continues to be prolonged during the first nine bars of A', but at an earlier level of middleground. In the relevant place at level d of Example 5.12, however, an upper neighbour to D-sharp4 (E4) is seen to be prolonged in the late middleground and not the D-sharp4 of bar 69 as expected. The reason for this interpretation lies in the F-sharp of the bass, situation underneath D-sharp4 at bar 69. This causes a 6/4 suspension on the dominant instead of a retension of the previous tonic harmony at this level, thereby making the D-sharp4 a foreground suspension element. With the ultimate appearance of V7 at bar 73, E4 emerges in the upper voice as the resolution of D-sharp4. There is also a further motivic significance for this interpretation, namely, that the harmonic progression V7-I in the late middleground of bars 69-77 is a parallelism of the surface V7-I motions during section D.

Finally, in connection with the functioning of the middleground in relation to form, it has been noted throughout this discussion of Op. 63, no. 1 how the various middleground diminutions also generate new form sections. Thus, at the final level of middleground in Example 5.12, the basic form plan of the mazurka is already clearly recognised.

In the final illustrations, a few instances are presented in which it will be demonstrated how basic harmonic and voice-leading motions underlie certain foreground interpolations, specifically chromatic sequence patterns. Example 5.13 comprises a foreground graph (level a) of the sequential b-section, leading into the first four bars of the repetition of the first part of section A of the mazurka Op. 7, no. 2, followed by a middleground graph (level b) which also takes into account the controlling tonic harmony of the mazurka, showing the underlying harmonic and voice-leading content from which this particular portion of the music is derived.

Example 5.13. Mazurka Op. 7, No. 2, Bars 17-28

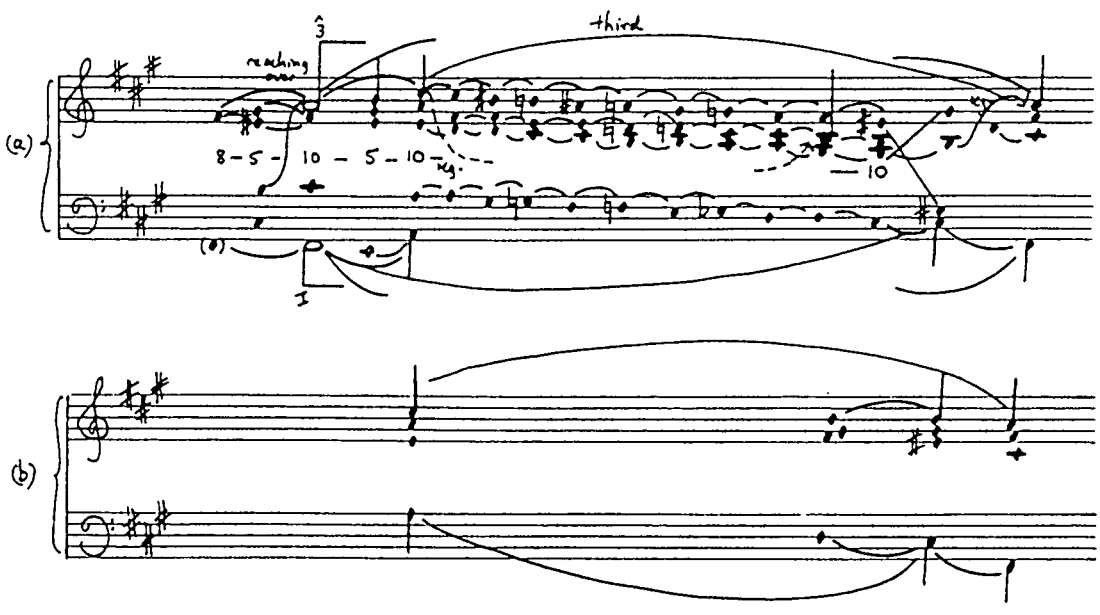


Notice, for instance, the I-I7-IV-V7-VI harmonic progression which is conditioned by the overall melodic motion E/F/D/C in the

upper voice, thus relegating the E between F and D (bar 26) to that of a passing tone with tonic support. (13) Also, the G which is the next note from E in the top line of this level, and the one immediately preceding the F, is a surface embellishment of the deeper level neighbour note F, and is derived from the superimposed inner voice motion from B-flat5 indicated in the foreground graph of Example 5.13.

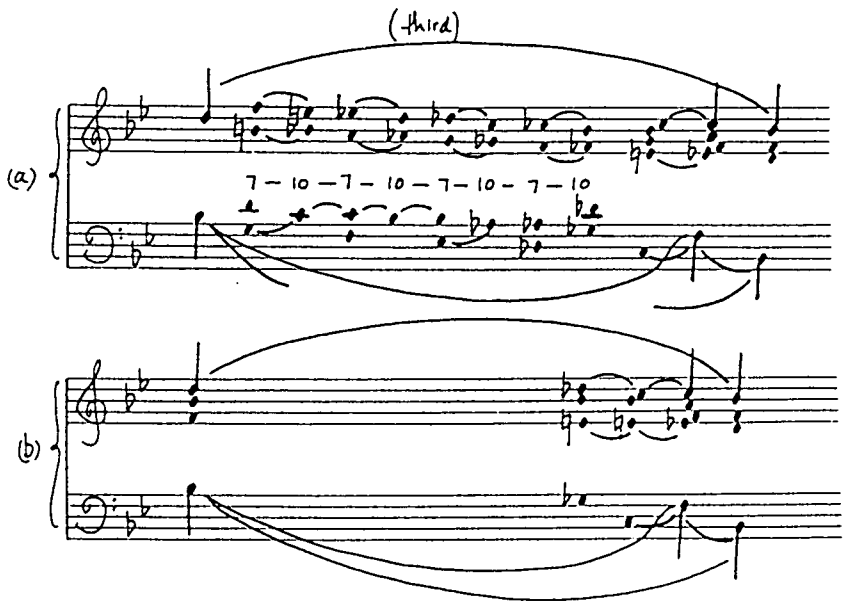
The next example is taken from the mazurka Op. 6, no. 1 bars 5-8 (a foreground sketch of the first 10 bars having already been presented in Example 4.58 above). For better clarification, however, level a of Example 5.14 is a reproduction of Example 4.58, showing also the contrapuntal motion in tenths as underlying pattern for the voice leading of bars 5-8, while level b of Example 5.14 comprises the underlying middleground harmonies for this chromatic sequence.

Example 5.14. Mazurka Op. 6, No. 1, Bars 1-10



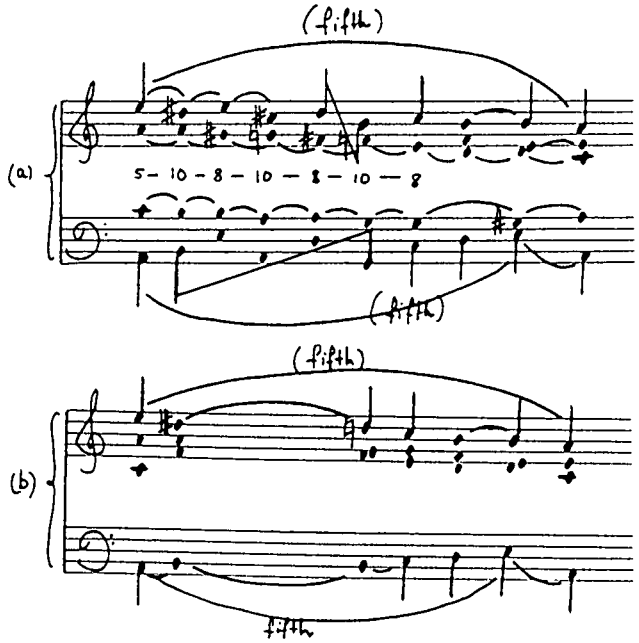
A somewhat similar situation occurs in Example 5.15, taken from the B-section of the mazurka Op. 67, no. 2, where the content of bars 20-26 presented at level a is built on a I-II-V-I harmonic progression in the middleground (level b). Note the underlying 7-10 contrapuntal patterns.

Example 5.15. Mazurka Op. 67, No. 2, Bars 20-26



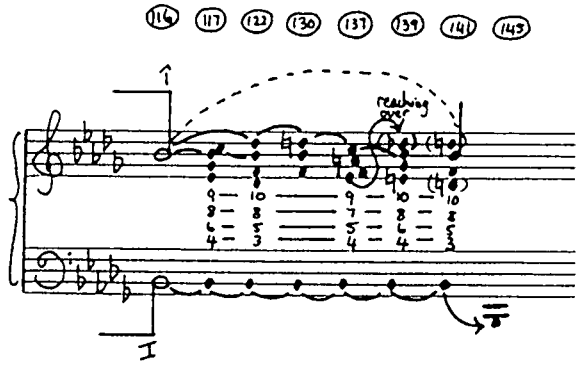
Example 5.16 involves bars 37-44 of the mazurka Op. 56, no. 2 (the graph at (a) having already been presented in Example 4.57 above). Here, the somewhat unexpected underlying harmonic/voice-leading content for this sequence pattern shown at (b) must be seen as conditioned by the middleground ascending fifth-line in the bass, a fact already alluded to by Oswald Jonas. (14)

Example 5.16. Mazurka Op. 56, No. 2, Bars 36-44



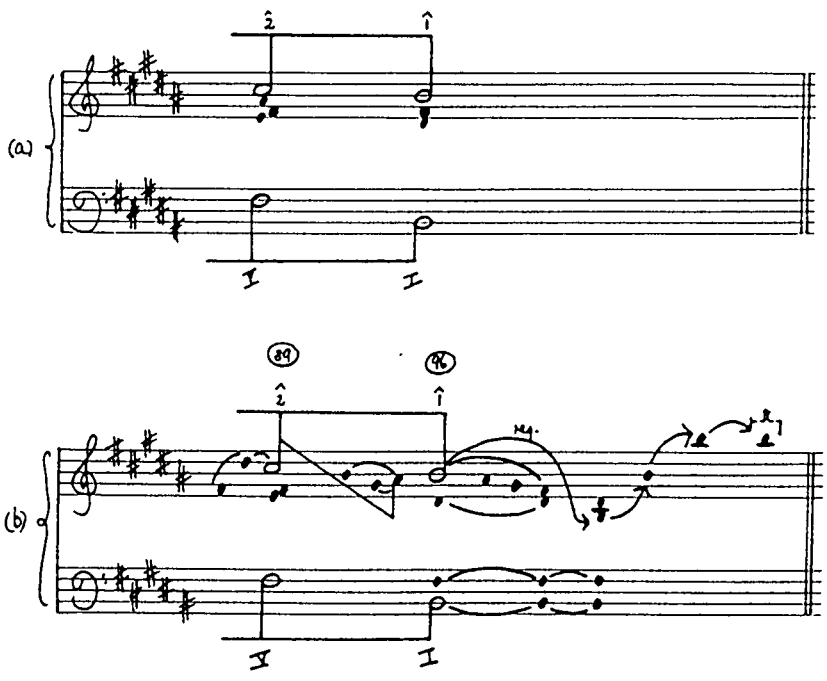
In conclusion, one more distinct property of the middleground must be mentioned here, namely, that it is the main structural determinant of the familiar coda-section in a composition. This is so because the coda usually appears at that point in a composition where the fundamental line has already made its final descent to $\hat{1}$ with the accompanying harmonic close in the bass. Therefore, the entire coda will be a prolongation of the final $\hat{1}$ and I, and its content will be composed-out either by way of surface embellishments of the final $\hat{1}$, or by means of a middleground linear progression and accompanying harmonic progression. An instance of the former may be cited in Example 5.17 from the coda of Op. 24, no. 4, while the latter situation has already been cited in the coda of the mazurka Op. 59 no. 2 (Example 4.54).

Example 5.17. Mazurka Op. 24, No. 4, Bars 116-145



One instance, however, in which the coda appears within the final descent of the fundamental line, and more specifically, within the motion from $\hat{2}$–$\hat{1}$, is Op. 63, no. 1. The content of the coda at this point (bars 95–96) reveals a subtle reference to the first two bars of the theme of section C (compare the end of Examples 5.12 levels c and d above to the score of bars 33–34, the opening two bars of section C, and bars 95 to the end, presented in Example 5.18). Note, however, that the final $\hat{1}$ and I are already reached in bar 96 and continue to be prolonged throughout the remaining six bars of the mazurka.

Example 5.18. Mazurka Op. 63, No. 1, Bars 89-102



NOTES

1. Neumeyer, **Guidelines for Analysis of Traditional Tonal Music using Heinrich Schenker's Method**, 39.

2. This observation on the middleground was made by Prof. David Neumeyer in a doctoral seminar on Schenker, given at Indiana University, fall 1982.

3. Schenker, **Free Composition**, Par. 113.

4. Schenker, **Five Graphic Music Analyses**, as referred to by Neumeyer in **Guidelines**, 47-48.

5. Ibid., 62.

6. Additional implications of the raised fourth (both motivic and structural) for specific mazurkas are addressed in Chapter 11.

7. Neumeyer, **Exercise Manual for Schenkerian Analysis**, 87.

8. Again, this observation on the task of the middleground was made by Prof. David Neumeyer at the Schenker seminar (Indiana University, 1982).

9. An instance where the raised fourth does, however, appear as an important melodic element--but not as part of an initial ascent pattern--in conjunction with the tonicisation of V, is found in Op. 24, no. 1 (for a discussion of the structural role of the raised fourth in this mazurka, see Chapter 11, endnote 4).

10. Subsequent registral designations for structural notes and pitches forming part of voice-leading and motivic configurations are according to the system of the **American Acoustical Society** (C4 = middle C).

11. This particular example also evokes the concept of a **leading** linear progression. What this amounts to is that in situations like the one in Example 5.10 where two linear progressions are seen to operate simultaneously and in parallel motion with each other, one will have preference over the other as the leading linear progression, since it alone is seen to represent the linear composing-out of the underlying harmony or key-area in question, while the other one acts purely as a counterpoint to it (see **Free Composition**, Par. 221).

12. A brief account of Schenker's theory of musical form is provided in Chapter 9.

13. A most ingenious parallelism of the middleground harmonic progression of bars 1-28 shown in Example 5.13, level b, but with another I replacing VI, can be traced in the foreground harmonic motion from bar 32.1--bar 32.2 being an anticipation of the tonal change to come in the following bars--to bar 34, comprising the final I of section A and the opening two bars of the Trio of this mazurka. In fact, this same harmonic progression, but without the first I, also underlies the voice leading of the entire Trio.

14. See the discussion of these bars from the mazurka Op. 56, no. 2, in Jonas, **Introduction to the Theory of Heinrich Schenker**, 75. The way in which the octave C within the ascending fifth-line of the bass connects back to the octave B, the one prior to it in the line, is mentioned specifically.

CHAPTER 6

A GRAPHIC ANALYSIS OF THE HARMONIC/VOICE-LEADING STRUCTURE OF CHOPIN'S MAZURKA OP. 33, NO. 2

The object of this final chapter in the systematic presentation of Schenker's analytic method is to offer a comprehensive model analysis involving a complete composition (Op. 33, no. 2), for which the tonal structure will be presented in all its stages of development from the fundamental structure to the foreground. Not only will this furnish the reader with an idea of the degree to which the harmonic/voice-leading structure of a composition can be interpreted from a Schenkerian perspective, but it will also provide an overview of the principles and processes within Schenkerian analysis as presented thus far. In particular, the concepts of background, middleground and foreground can now be placed in the correct perspective with regard to one another, since they are presented within the context of a systematic distribution of the various stages of composing-out in the tonal structure of Op. 33, no. 2. In addition, the analysis, being as comprehensive as it is, will focus on the degree of organic unity achieved in this mazurka, while it will also provide insight into its tonal-structural and formal processes. It does not, however, focus on details of motivic design in the mazurka, except for one instance which points to the relationship between the background/middleground melodic profile and the coda. From a Schenkerian point of view, specific organic voice-leading processes in a composition often

do have motivic significance and as such may frequently be regarded as part of a composition's motivic structure--this also being the case in the present mazurka. It should nevertheless be stressed that the main object of this analytic presentation is to guide the reader in following through the successive stages of composed-out voice leading, and once again, to demonstrate the essential features of the analytic method.

In Example 6, the harmonic/voice-leading structure of Op. 33, no. 2 is presented in a series of six levels of structure, aligned with each other and successively arranged in the order of fundamental structure to foreground. Each of these levels will be considered in turn, following the model of composed-out voice leading from the fundamental structure. The number of levels of voice-leading content in this analytic presentation is greater than in most published graphs. This is justified by virtue of it providing a detailed picture of the possible number of structural levels, thereby enabling the reader to follow through the various stages of the tonal structure with as much consistency and accuracy as possible.

In spite of the present-day convention of presenting first order prolongations as part of a background graph, the true fundamental structure ("Ursatz") of the mazurka is presented alone here, to suggest its essential meaning in the composition and to show more clearly how the initial prolongations follow from it. Level a presents the fundamental structure of Op 33, no. 2, consisting of the fundamental line $\hat{3}$–$\hat{2}$–$\hat{1}$ and the I–V–I bass arpeggiation.

Concerning the prolongational role played by the components of

the fundamental structure in the present mazurka, it will be noted that the $\hat{3}$ and I exert their influence in the background throughout almost the entire mazurka. It is only in the final structural cadence in bars 119-120 that the descent to $\hat{1}$ occurs together with the accompanying V-I harmonic motion in the bass. Although exactly the same cadence figure appears eight bars later, just before the coda, the latter forms part of a repetition of the previous eight-bar phrase comprising the main-theme period of the mazurka. Strictly therefore, this final repetition of the main-theme period is no longer part of the tonal structure proper, since it represents purely the structural ground already covered by the previous eight bars and its cadential close. From a structural point of view it can thus be inferred that this repetition represents a final echo of the main-theme period, a fact cleverly attested to by the contrast in dynamic levels (ff, pp) marked at this and other corresponding places in the score. In fact, the same situation is paralleled in all places throughout the mazurka where the main-theme period occurs.

The prolongation of the first two components of the fundamental structure illustrates clearly how the main tonality is in control in the background across the entire harmonic/voice-leading structure of the mazurka. In addition, the continued presence of $\hat{3}$ and I throughout the mazurka places all other voice-leading motions in the service of an overall controlling tonal entity (the tonic triad). Furthermore, attention is directed towards the final structural cadence, assigning it an importance and structural significance far

overriding that of its internal counterparts (those cadences involved in the closes of each of the various statements of the main-theme period). It will become clear as we proceed along the path of composing-out that the fundamental structure is mirrored at every subsequent level of structure up to the foreground, thus representing--together with those prolongational devices directly connected to it--the most important determinant of voice-leading organic unity in the mazurka.

Level b gives the first and most immediate level of composing-out from the fundamental structure: its first division by means of the interruption. This gives rise to the large two-part tonal division of the mazurka: first part to the interruption, bars 1-80; second part after the interruption to the structural close, bars 81-120. Note that the initial $\hat{3}$ and I now remain effective across the large A-section with its ternary form division, as well as the first part of the Trio (bars 1-48 and 49-64 respectively), whereupon V and the interruption occur, being also the determining background structural elements for the second part of the Trio (bars 65-80), a transitional section leading to A'. Although $\hat{2}$ does not occur before bar 72, it can be seen that the preceding bars of the transitional passage are already under its control. Bars 73-80 (the rest of the transition) are merely a repetition of the previous eight bars. The $\hat{3}$ and I, regained after the interruption reassert their influence till the structural cadence. Note finally that a pre-dominant chord is included in the final structural cadence at the descent to $\hat{2}$. The inclusion of the pre-dominant at this level is purely conventional, that is, it is normally included if

it supports the $\hat{2}$.

The large ternary form division of the mazurka becomes evident in the next level of composing-out (level c). Here the principal feature is the chromatic inflection of $\hat{3}$ to flat-$\hat{3}$, the latter occuring at bar 49, representing most of the middle part of the large ternary form design.

At this point in the graph, the flat-$\hat{3}$ would seem to be a clear example of the principle of **mixture** in the background or first middleground, such as was referred to in Chapter 3 (a notable case being the background of the mazurka Op. 17, no. 3). However, the present situation turns out to be different (but not uncommon) from the normal way in which the mixture is applied; that is, as a chromatic inflection of the first note of the fundamental line or of a prominent inner voice associated with it. While the prolongation of such mixture usually results in an independent form section with its own self-contained tonal structure, the mixture functions here as a large-scale chromatic passing tone between $\hat{3}$ and the interruption. This prevents the large middle-section from being a self-contained structure, rather allowing it to continue into the transitional area which anticipates and concludes on the dominant and $\hat{2}$ before the reprise of the large A-section. It is nevertheless interesting to note that a substantial cadence does occur at the end of the first part of the Trio, just before the second part, but that it involves the mediant major (D-flat major) within the opening B-flat major key region of the Trio. This motion from B-flat to D-flat major is also effected, interestingly enough, through mixture, this time involving an inner voice, as can be seen in

level d. The reason for already including the D-flat harmony in level c is to break up the parallel fifths B-flat;F/A;E, which would otherwise have resulted at this point.

Within the main tonality of D major, the Trio is thus represented harmonically as flat-VI, moving to its III (D-flat major), which, in turn, has to be enharmonically interpreted as C-sharp, or VII of D, moving to V and the interruption. Thus, the large-scale harmonic progression operating at this level is I-flat-VI-VII-V-I-II6-V-I. One additional prolongation is included in this level: a middleground third-line, supported by a I-V-I bass arpeggiation, and representing the internally closed tonal structure of the large A-section (bars 1-48). This is also the first reflection of the fundamental structure in the middleground.

In level d, further elaboration is added within the first internal third-line in the form of a middleground interruption (bar 17). Hereby a ternary form division is created within the first 48 bars: A, represented by $\hat{3}$ over I, prolonged through bars 1-16; B, by $\hat{2}$ over V, prolonged during bars 17-32; and A', represented by the regaining of $\hat{3}$ over I (bar 33), with a descent to $\hat{1}$ (bars 38-40). Note that bars 41-48 (the concluding bars of A), are again a mere repetition of the previous eight bars.

Within the first part of the Trio, which is controlled by the large-scale mixture (flat-$\hat{3}$), the next stage of prolongation is further mixture (already referred to above) involving an inner voice on the third degree of the B-flat major triad, and comprising the motion D5/D-flat5, the latter occurring at bar 59. This is one of the reasons for presenting level d in four-part

harmony. An additional reason is that this indicates the harmonic change from V to V7 in the first middleground interruption, since this is the only substantial voice-leading motion that takes place between bars 17 and 32 at this level.

In a comparison of the first part of level d (up to the mixture) with the graph at (b), it can be seen that level d contains exactly the same content as level b, but on a different structural level. The significance of this tonal-structural parallellism lies in the fact that, whereas (b) represents the large background/middleground structure of the entire mazurka, the first part of the graph at (d) reflects this same harmonic/contrapuntal underpinning, but on a smaller scale, representing the background harmonic/voice-leading structure of the large A-section. This situation is exploited even further in the subsequent composing-out, as will be demonstrated in the final two foreground levels (levels e and f).

At this point it would seem appropriate to consider the structural status of each of the levels up to (d). These may be classified as follows: The fundamental structure at (a) represents the deepest level of background, while (b) may be regarded as the first **analytic** or **working** background level. Both levels c and d are middleground. In another way, only the fundamental structure may be regarded as background, while all subsequent levels up to the penultimate one (in this case, level e), belong to the middleground, followed by the final level as foreground (in this case, level f). This would conform more to Schenker's own designation of structural content in a complete analysis.

Level e may be said to represent the first of two foreground levels for this mazurka, since its harmonic/voice-leading content already agrees with the main structural features of the musical surface. Thus, the difference between levels e and f is on the whole only one of detail, except for the fact that level e is not yet an account of each bar of the music, as is the case during almost all of level f.

The two most significant features in level e are the use of a third-line F-sharp/E/D over I-V-I in the bass (yet another replication of the fundamental structure), and the interruption figure. Whereas the third-line and its I-V-I bass support at levels c and d serve as the prolongation of $\hat{3}$ in the middleground and at the same time, represent the background structure of the large A-section, they are seen here to prolong $\hat{3}$ on a level closer to the actual foreground, representing the background structure for the main-theme period (bars 1-8) and its repetition (bars 9-16). Likewise, the interruption figure occurs in conjunction with the controlling third-line of bars 1-8, causing a two-part division of its tonal structure. It thus operates in the same manner as in both the middleground third-lines (level c) and also the fundamental structure. Thus, a most ingenious network of organic structural relationships or parallelisms can finally be traced between the structural content of bars 1-8, 1-48 as well as that of the entire mazurka, and even during the middleground prolongation of $\hat{2}$ over V (bars 17-32), involving the melodic motion $\hat{3}$-$\hat{2}$-$\hat{1}$ over I-V-I in the bass in each case, together with the interruption. With regard to tonal and formal design within the large A-section, a comparison between bars 1-8

and 1-48 reveals that a two-part tonal division is created in both instances by the interruption, but that, similar to the entire mazurka, bars 1-48 reveal a ternary form division due to the prolongation of $\hat{2}$ over V during bars 17-32. Finally, these structural relationships are also substantiated by the fact that each of the individual sixteen-bar periods, constituting the internal parts of the large A-section and its reprise (bars 81-128) is simply the repetition of a single eight-bar theme; the extension of each occurrence of the main-theme period to sixteen bars being the result of the literal repetition of this theme. Most notable, however, is that even the prolongation of $\hat{2}$ over V (bars 17-32, and the parallel place, bars 97-112) is achieved through the same theme.

In the rest of the graph at (e), the following elaborations of the previous middleground content may be noted. Within the first part of the Trio at bar 56, there is a dividing dominant separating it into two parts (bar 49-56 and 57-64), concluding with the cadence on D-flat major. The only other prolongational feature included at this level is a pre-dominant harmony (bar 69) which immediately precedes the dominant and the interruption at bar 72. It therefore acts as a further intermediate harmony between flat-VI and V within the large middleground/background structure, as well as in between D-flat (the enharmonic VII of D major), and V (bars 64-72; V and $\hat{2}$, being extended until bar 80 by the repetition of these bars). The foreground bass motion D-flat(c-sharp)/E/A (bars 64, 69 and 72 respectively) serves as further confirmation of the fact that the middleground/background V and $\hat{2}$ are in control over these bars.

Level f is the second foreground level, the final stage in the present set of analytic graphs. It would be possible to present even more surface detail than is provided here, especially if the tracing of surface configurations of a motivic nature is involved. However, such an effort, within the context and purpose of the current presentation, would run the risk of obscuring the most important structural features of the musical surface. On the whole, level f offers foreground voice-leading detail additional to that in level e.

Regarding motivic parallelism, there is one specific diminutional feature at (f) which needs discussion here: the third-line F-sharp/E/D over the I-V-I bass arpeggiation. Having already appeared as the reflection of the fundamental structure at every level from background to foreground, this structural progression appears now in the first three bars of the main-theme before the foreground interruption at bar 4, and consistently at all corresponding places throughout the mazurka, including the dominant key region (bars 17-32). Another inner third-line E5/D5/C-sharp5 (bars 6-7 and corresponding places) operates within the motion from II to V, where in turn it prolongs the second component of the larger third-line controlling the main-theme period. Two further instances of third-lines in this level are the motion from A5 to F5 within the dominant of B-flat major during the first part of the Trio (bars 54-56), and F5 to D-flat5 within the internal sharp-III of B-flat major at the conclusion of the first part of the Trio (bars 62-64).

It should be observed that at the outset of the Trio, the more immediate structural emphasis is on the inner voice D5 (B-flat:

$\hat{3}$), rather than on the background upper voice F5 (B-flat: $\hat{5}$; D-flat: $\hat{3}$). Subsequently, the point reached at bar 52 resembles the familiar interruption pattern in that D5 descends to C5 over the dominant. The melodic motions immediately preceding and following bar 52, especially the third A5/G5/F5 (bars 54-56), however, still point to the F5 as being active in the voice leading.

Concerning the voice-leading devices employed at this final level and their influence on the main elements of the voice leading at all the places where the interruption figure appears, the actual pitch involved in each case, E5, is never literally present in the music. This absence of E5 is most notable during the internal b-section (bars 17-32), where the foreground melodic motion follows from the inner voice C-sharp5. The E5 is to be understood as the note to which the middleground F-sharp5 in the previous bars must descend. This is also the reason why E5 has been implied in each case where the interruption figure occurred in the previous level, including the large background/middleground interruption (bar 72). Nevertheless, $\hat{2}$ may be traced in all instances within the actual music as situated on E4. From the standpoint of the **obligatory register** principle (see Chapter 3), this displacement of $\hat{2}$ is to be understood as the result of the application of foreground voice-leading techniques--the most notable in this case being that of register transfer. Already within the first four bars, this technique operates in the foreground voice leading, causing the upper voice F-sharp5 in bar 1 to be transferred an octave down to F-sharp4 at bar 3 and followed by E4, the registrally

displaced version of $\hat{2}$ at bar 4. This same principle of register transfer operates over a longer distance from the middleground F-sharp5 last represented at bar 5 in the graph, across to E4 at bar 17, causing the entire voice-leading activity of the following bars (the dominant repetition of the main-theme period) to occur in a lower register. Note that the E4, serving as the local $\hat{2}$ here, plays no role in the main voice-leading motion during this section, but is present merely within the dominant sonority. Yet it moves unobtrusively via D4 to C-sharp4 within the secondary dominant and dominant harmonies of bars 23 and 24. This motion corresponds with the inner third-line E5/D5/C-sharp5 (bars 3-4).

Within the presentation of the main-theme period, the following foreground diminutions may be noted. There is an ascending surface arpeggiation figure A4/D5/F-sharp5, a horizontalisation of the D-major triad (bar 1 and corresponding places) and a surface-level initial ascent to the first $\hat{3}$. Simultaneously with the arpeggiation there is the beginning of unfolding patterns D5/F-sharp5;E5/C-sharp5 (bars 1-2), followed by another pattern D5/B4;A4/C-sharp5 (bars 6 and 7 respectively). These unfoldings serve to demonstrate how some of the underlying vertical intervals within the mazurka's middleground are horizontalised in the foreground voice leading. Notice finally the unfolding G2/E3 in the bass (bar 6), representing the pre-dominant sonority.

Other notable voice-leading devices in the Trio include two voice exchanges (bars 52 and 64-65 respectively). The former is only a surface device, prolonging the dominant of B-flat major,

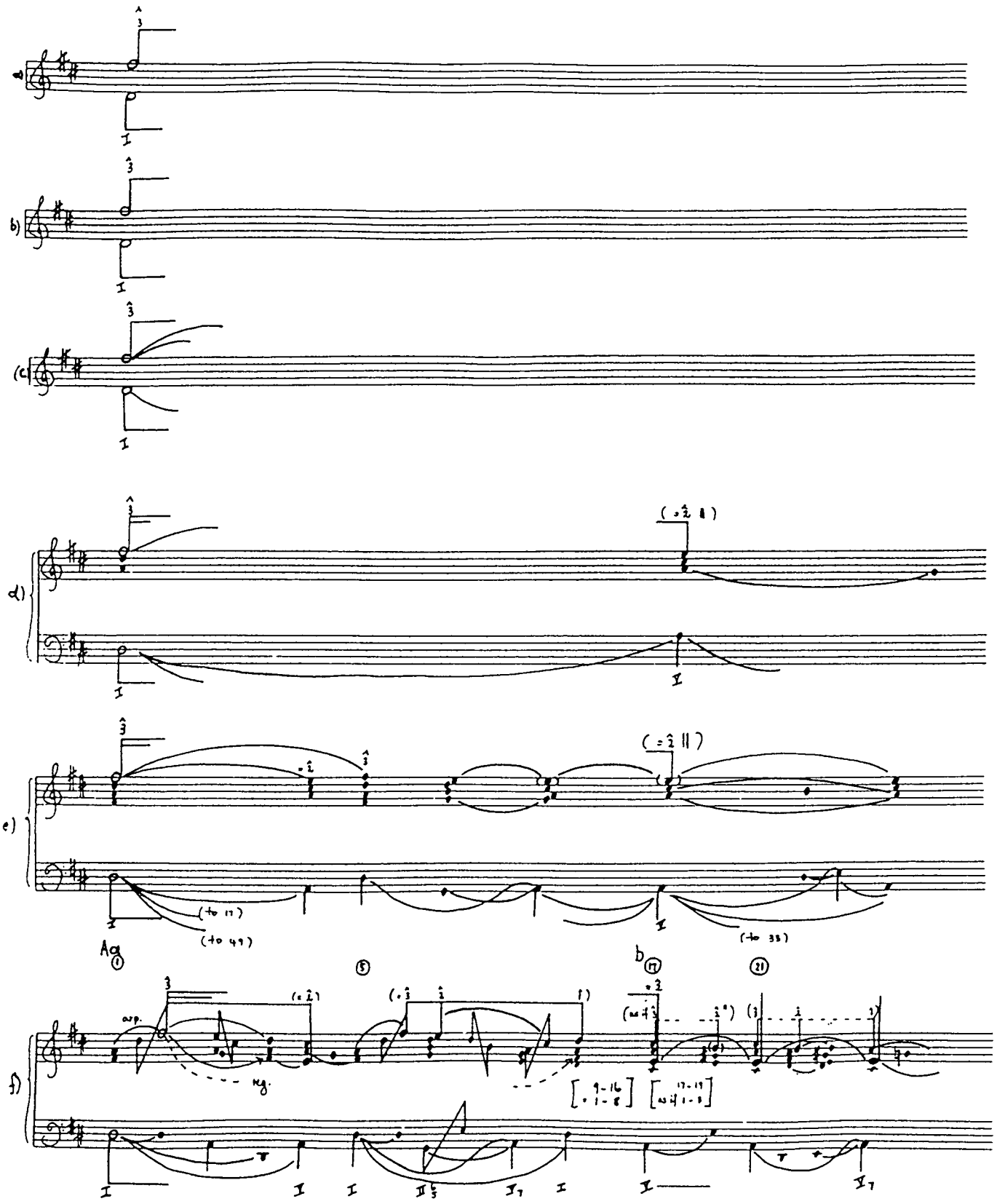
while the latter functions a chromatic exchange figure, linking the D-flat major harmony of bar 64 to the surface chromatic sonority of bar 65, which serves as a prefix to a local D major tonic first inversion, itself a prefix to the pre-dominant of bar 69, moving to the dominant at bar 72. Finally, the third-line A5/G5/F5 (bars 54-56) results from the superposition of an inner voice A4 by means of a reaching-over (bar 53-54). The second third-line F5/E-flat5/D-flat5 (bars 62-64) is also derived from a reaching-over of an inner voice, in this case, the F4 of bar 59.

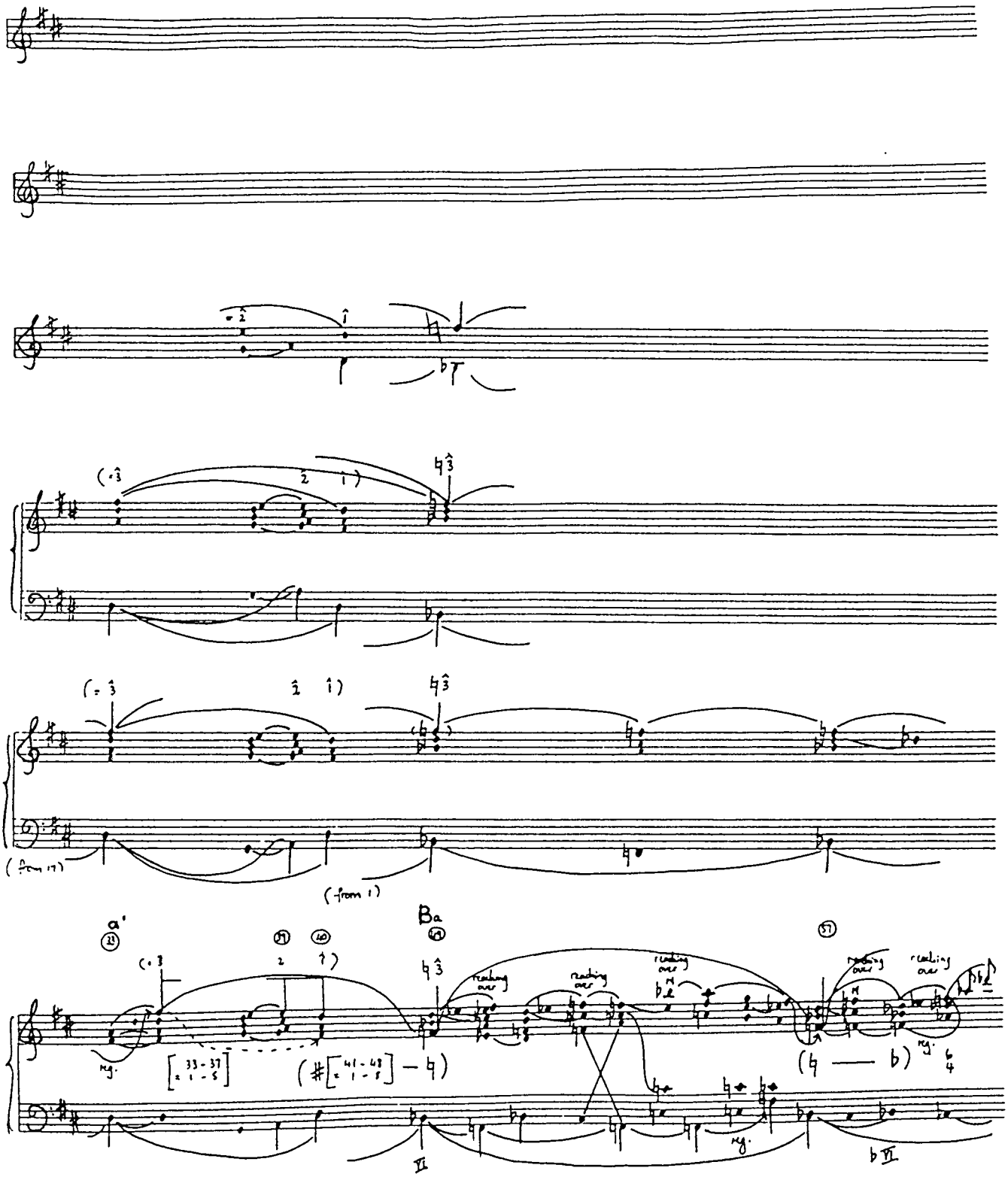
Although codas are more often regarded as part of the middleground (see Chapter 5), the coda of this mazurka is purely foreground in nature, thus shown only in the second foreground level at level f. The coda begins in bar 129 and consists of mainly surface chromatic motions over a tonic pedal point or drone. It does not play any real structural role apart from being a surface composing-out of the final tonic harmony under $\hat{1}$, and its significance lies almost solely within the realm of motivic design, the most important feature being a surface replication of the large-scale background melodic motion $\hat{3}$/flat-$\hat{3}$/$\hat{2}$]] $\hat{3}$-$\hat{2}$-$\hat{1}$, indicated with a bracket in level f.

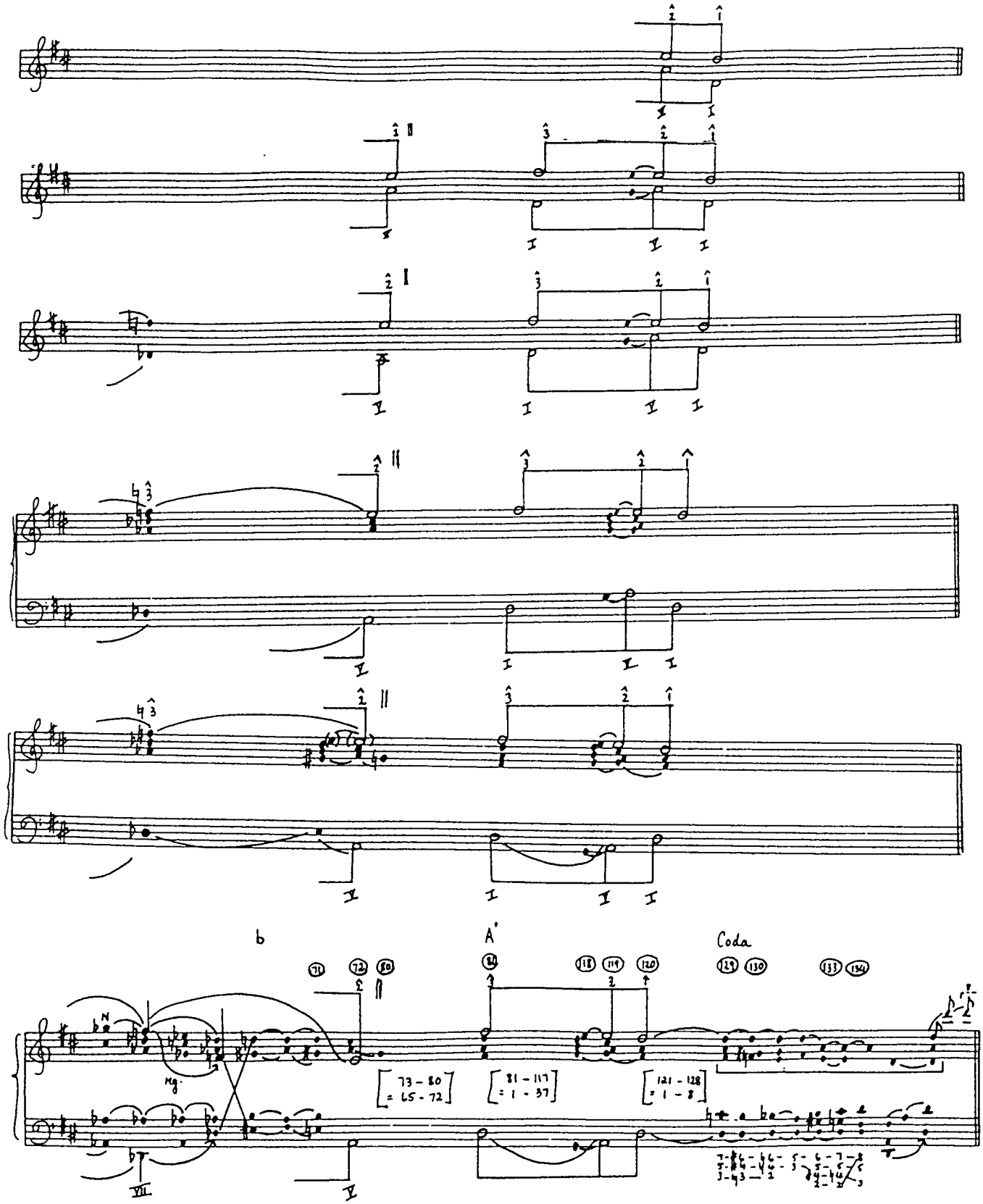
In spite of the comprehensiveness of the graphic presentation in Example 6, there are still many voice-leading features of the mazurka which are not accounted for there, most of them being related to motivic design. In addition, the influence of chromaticism--especially mixture and related chromatic surface motions--on motivic development has also not been fully addressed here. The present analytic presentation, as well as the foregoing introduction to Schenker's theoretical and analytic

concepts, does, however, serve sufficiently as a starting point for the main purpose of this dissertation: an investigation into motivic design and tonal structure, together with related stylistic and folkloric issues, in the mazurkas of Chopin.

Example 6. Chopin, Mazurka Op. 33, No. 2




(from 17)
(from 1)
a'
Ba
reading over
(from 17)


b
A'
Coda
71
72
80
81
118
119
120
129
130
133
134
73 - 80
= 65 - 72
81 - 117
= 1 - 37
121 - 128
= 1 - 8
Mg.
N
VII

PART TWO

MOTIVIC DESIGN AND TONAL STRUCTURE IN CHOPIN'S MAZURKAS

INTRODUCTION

The following chapters will be directed towards the main object of this study: an investigation into motivic design and tonal structure in Chopin's mazurkas. In order to assess the functions and implications of those elements in the musical content of the mazurkas designated either as **motivic** or **structural**, emphasis will be on the following areas of investigation: 1) the role of motivic design as a unifying factor, 2) the influence of motivic design on the content and character of tonal structure, 3) the role of both motivic and tonal-structural elements regarding form, 4) the influence of chromaticism on motivic design and tonal structure, and 5) the implications of features related to the mazurka genre for tonal voice leading in the mazurkas, notably, specific modal elements and the drone bass. Each of these topics will be dealt with in separate chapters.

It is important to realise that, although the seventeen mazurkas to be discussed and analysed below are representative of each of the areas of investigation mentioned above, the motivic and structural content in each mazurka is by no means restricted only to that function. For example, specific motives may not serve only as unifying elements in the structure of a particular mazurka, but also influence its tonal or formal content, or may themselves be influenced by specific stylistic or idiomatic features such as chromaticism or modal inflections. Thus, the reader should be aware that, in dealing with a specific aspect of motivic design or tonal structure within the confines of a

particular representative mazurka, additional properties or influencing factors pertaining to that mazurka's motivic or structural profile will also necessarily be present and may need to be addressed at that point in the investigation. In this regard there is one instance in which the harmonic/voice-leading structure of a particular mazurka will be presented twice, firstly in connection with tonal structure and form generation, and secondly regarding the influence of chromaticism on its tonal and motivic structuring.

Two final points deserve mention here. Firstly, it will be noted that the more detailed foreground graphs of mazurkas presented in the following chapters are supplemented with a motive chart appearing above the foreground graph in question. This is done in order to give a clearer presentation of frequently complex foreground motivic activity. Secondly, all subsequent references to additional mazurkas which contain specific motivic, structural, stylistic or folkloric characteristics similar to those in a particular mazurka under discussion, will be confined to mazurkas with opus numbers, except for the two later composed A minor mazurkas without opus numbers. The reason for this is that the remaining mazurkas (although included in most editions of the Chopin mazurkas), are either first versions of particular mazurkas with opus numbers (see the supplement to the Henle edition of the Chopin mazurkas), or early works not yet in the same category of artistic stylisation of the Mazurka as those included in the various sets of opus numbers.

CHAPTER 7

MOTIVIC DESIGN AS A UNIFYING FACTOR

In dealing with motivic design as a unifying factor in this chapter, the following points of departure will be taken: 1) motivic parallelisms, that is, the principle of subjecting a particular voice-leading figure to repetition on a large or small scale (see Chapter 2); and 2) a continuum of motivic working, that is, motivic networks involving either a single voice-leading figure or derivatives thereof.

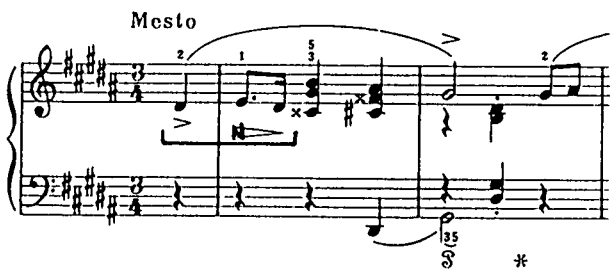
Although the notion of motivic parallelisms will be addressed here primarily in terms of its unifying implications, it will continue to occupy a central place throughout the various areas of investigation into motivic design in the chapters to follow. The idea of a network of motives is also prevalent throughout the mazurkas and will accordingly be recognised as a characteristic feature of their motivic content no matter from which perspective it is viewed.

Mazurka Op. 33, No. 1

In the discussion of this mazurka, attention will be directed mainly to the application of a single motivic voice-leading figure, the neighbour-note motion D-sharp/E/D-sharp), as well as derivative forms as they occur. The D-sharp/E/D-sharp principal form of the neighbour motive--henceforth referred to as the **primary motive**--first appears at the opening of the mazurka,

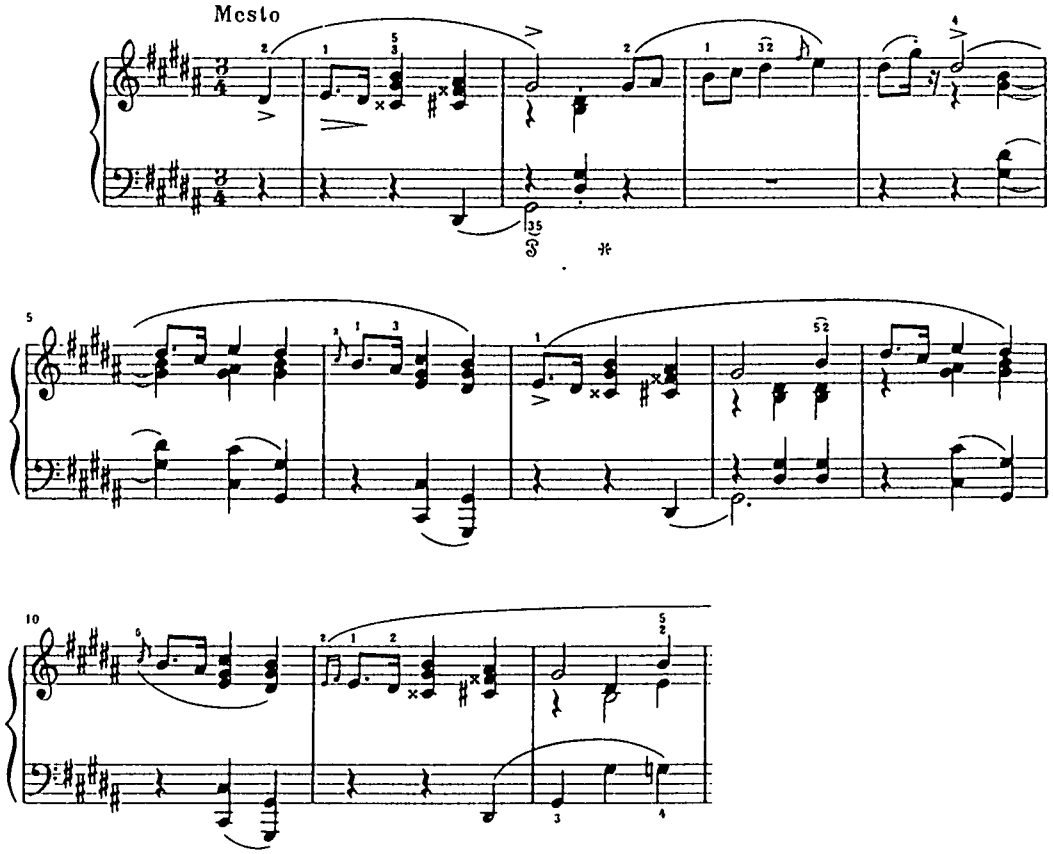
involving the first three notes of the melodic line (see Example 7.1). It is presented as a single melodic figure without harmonic support thus emphasising its character as a written-out ornamental melodic embellishment (diminution) of D-sharp4 (the fifth degree of the tonic). It is this simple embellishing figure that receives the main attention throughout the voice-leading structure of the mazurka.

Example 7.1. Mazurka Op. 33, No. 1, Bars 1-2

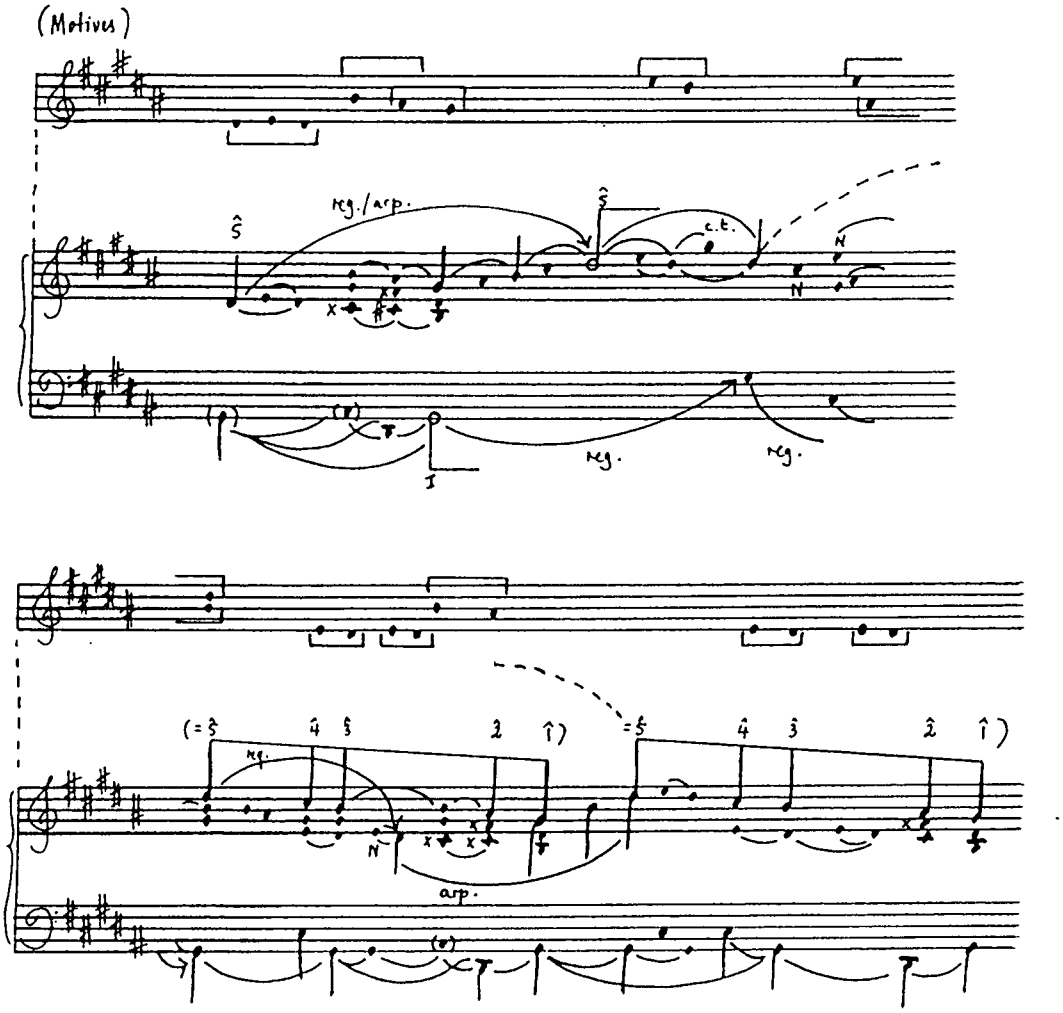


In the following bars of section A, presented in Example 7.2a (a foreground graph of the same bars being given in Example 7.2b), the primary motive occurs in conjunction with a registral coupling of D-sharp4 to D-sharp5 (bars 1-3). This coupling comes about through an ascending arpeggiation in the melodic line, partially filled in by surface passing tones. In bar 3, E5 appears again as upper neighbour to D-sharp5, with embellishment by an appoggiatura F-sharp5. D-sharp5 then returns, completing the first four-bar group. The second appearance of the primary motive an octave higher therefore embellishes the first fundamental-line tone, a significant feature with regard to its further application in the mazurka.

Example 7.2a. Mazurka Op. 33, No. 1, Score, Bars 1-12



Example 7.2b. Mazurka Op. 33, No. 1, Foreground Graph, Bars 1-12



Notice also that the neighbour note E5 takes a full beat of the bar (the third beat of bar 3), while the E4 in the opening neighbour figure occupies only half a beat of the bar. This gives the first indication of the repetition of the primary motive on another level of structure.

One additional voice-leading feature deserves comment: the G-sharp5 cover tone above the main voice leading at bar 4. The way in which this tone appears gives it the impression of an expressive ornamental figure on the $\hat{5}$, thus placing it within the class of an **interesting note** (see Chapter 2). However, this

G-sharp cover tone, derived from the G-sharp4 of bar 2 and therefore also a registral manipulation of that tone, will be seen to have long-range significance with regard to the voice leading of section B, in that there is a relationship between the G-sharp of bar 4 and the same pitch, occurring as part of another neighbour-note figure at different points throughout the melodic line of section B. The significance of this relationship will be commented on later.

Coming to bars 5-12, its main voice-leading motion first involves two linear descending motions from D-sharp5 to G-sharp4 (bars 5-8 and 9-12 respectively). Bars 9-12, although a literal repetition of the content of bars 5-8, are interpreted here as a middleground descent from $\hat{5}$ to $\hat{1}$ (D-sharp5/G-sharp4), acting as the controlling background melodic line of section A--bars 5-8, therefore being regarded as a foreground parallelism of bars 9-12. (The same content is also presented at the end of the mazurka (bars 37-48), where it constitutes the final descent of the fundamental line.) The reason for this particular interpretation of the structural content of bars 5-12 will become apparent later.

Within the voice leading of bars 5-8 three further applications of the primary motive can be traced. The first appears again as an embellishment of $\hat{5}$ in bar 5, E5 receiving its own independent foreground harmonic support (IV of G-sharp minor) with an added sixth A-sharp4. As a result of the additional harmonic support being given to E5, it may be perceived as operating at a higher structural level than in its preceding appearances. The second appearance of the primary motive during

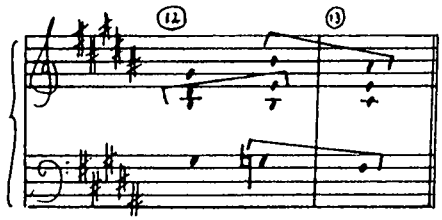
bars 5-8, although a partial one involving only the motion E4/D-sharp4, is in the inner voice (bar 6). It results from a registral transfer an octave down of the E5/D-sharp5 motion in the melodic line of bar 5, and once again involves IV as support for the neighbour note E. The third appearance of the primary motive immediately follows in bar 7. It is a direct repetition of the E4/D-sharp4 motion of bar 6 in the same inner voice, except that it contains an F-sharp as ornamental figure to the E as in bar 3. This prevents monotony which might have resulted from such a direct repetition of the same notes. Together with the concluding D-sharp4 of the figure in bar 6, it also constitutes an exact repetition of the very first D-sharp/E/D-sharp figure at the opening of the mazurka.

Returning for a moment to the neighbour-note figures in bars 3 and 5 respectively, the first may be said to serve as initiation for the second which heralds the next four-bar group. Furthermore, the way in which the primary motive is employed during the first 8 bars is also very significant from the point of view of design. Whereas bars 1-4 are framed at both ends by its appearance, firstly in the lower octave and then its tranference an octave higher, bars 5-8 displays the exact opposite situation; the transferred figure at bar 5 followed by its re-adjustment to the lower octave at bar 7. Finally, note also that the voice leading from the third beat of bar 6 to the downbeat of bar 9 represents a contraction of the essential voice-leading motion of bars 1-4.

In the case of section B (bars 13-36), attention must first be directed towards the transitional chord on the upbeat to bar 13,

serving as the initiating chord for this section, and the dominant seventh on the first beat of bar 13 (see Example 7.3).

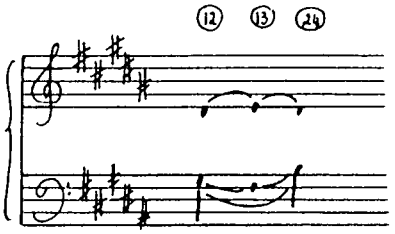
Example 7.3. Mazurka Op. 33, No. 1, Bars 12-13



Three significant features are attached to these chords, all related to one another and all applied throughout the subsequent bars of section B. In the first place, note that the transitional chord harmonises the upper voice B4, which resolves to A-sharp4 over the dominant of B major (the latter being III of G-sharp minor) on the downbeat of bar 13. This causes B4 to act as an upper neighbour to A-sharp4. A second neighbour-note figure G3/F-sharp3 occurs within the bass motion of the transitional and dominant seventh chords. This figure can be related to the opening of the mazurka as a transposed version of the primary motive within the tonicisation of III.

The most important feature here, E4, serves as common tone to both the transitional and dominant seventh chords. This E follows from the inner voice D-sharp4 of the tonic in bar 12, and, acting as the seventh of the dominant of III (bar 13), requires resolution back to D-sharp4 over tonic. However, E4 does not properly resolve to D-sharp4 before bar 24, in which the local B major tonic appears for the first time (see Example 7.4).

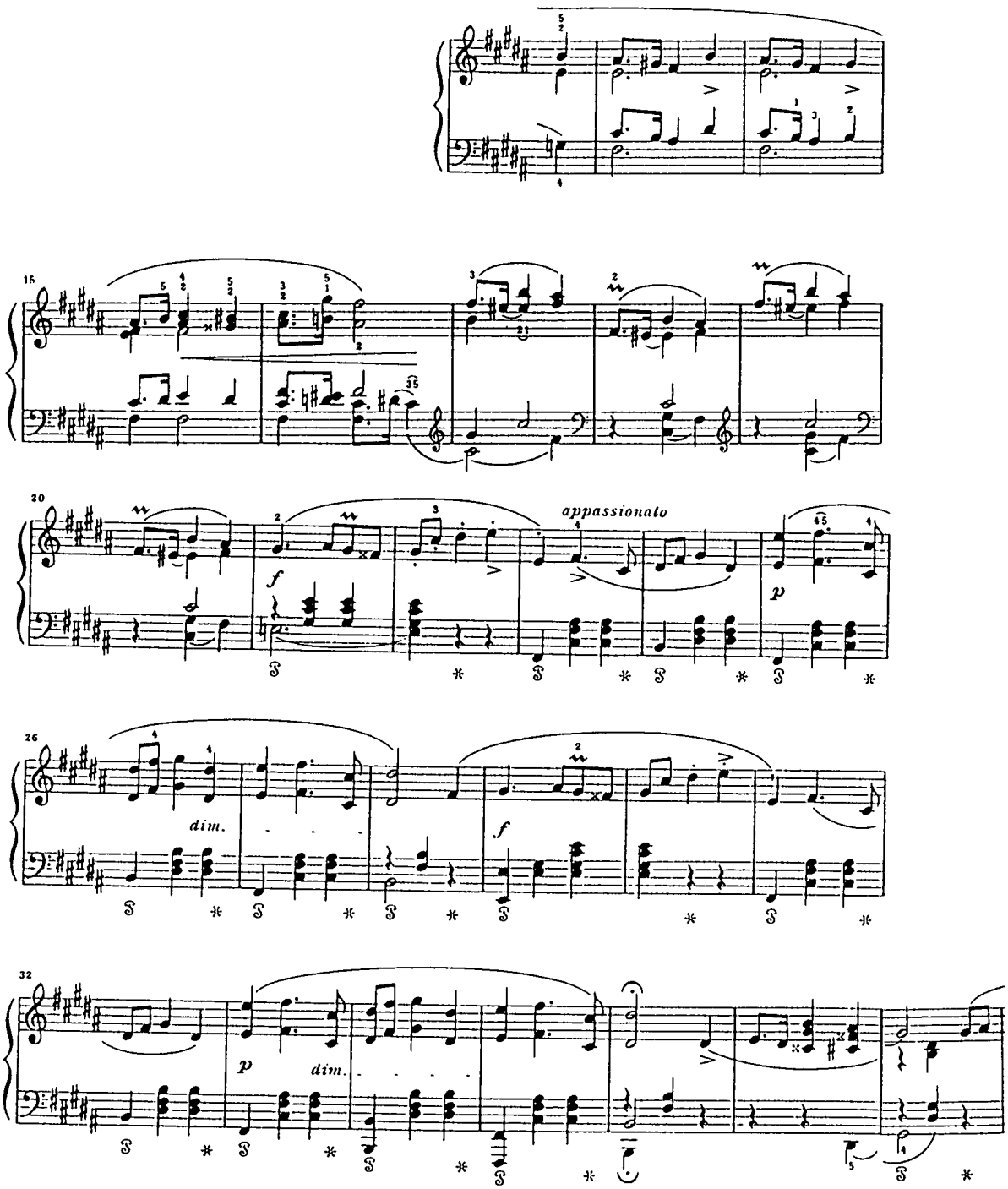
Example 7.4. Mazurka Op. 33, No. 1, Middleground Enlarged Version of the Primary Motive



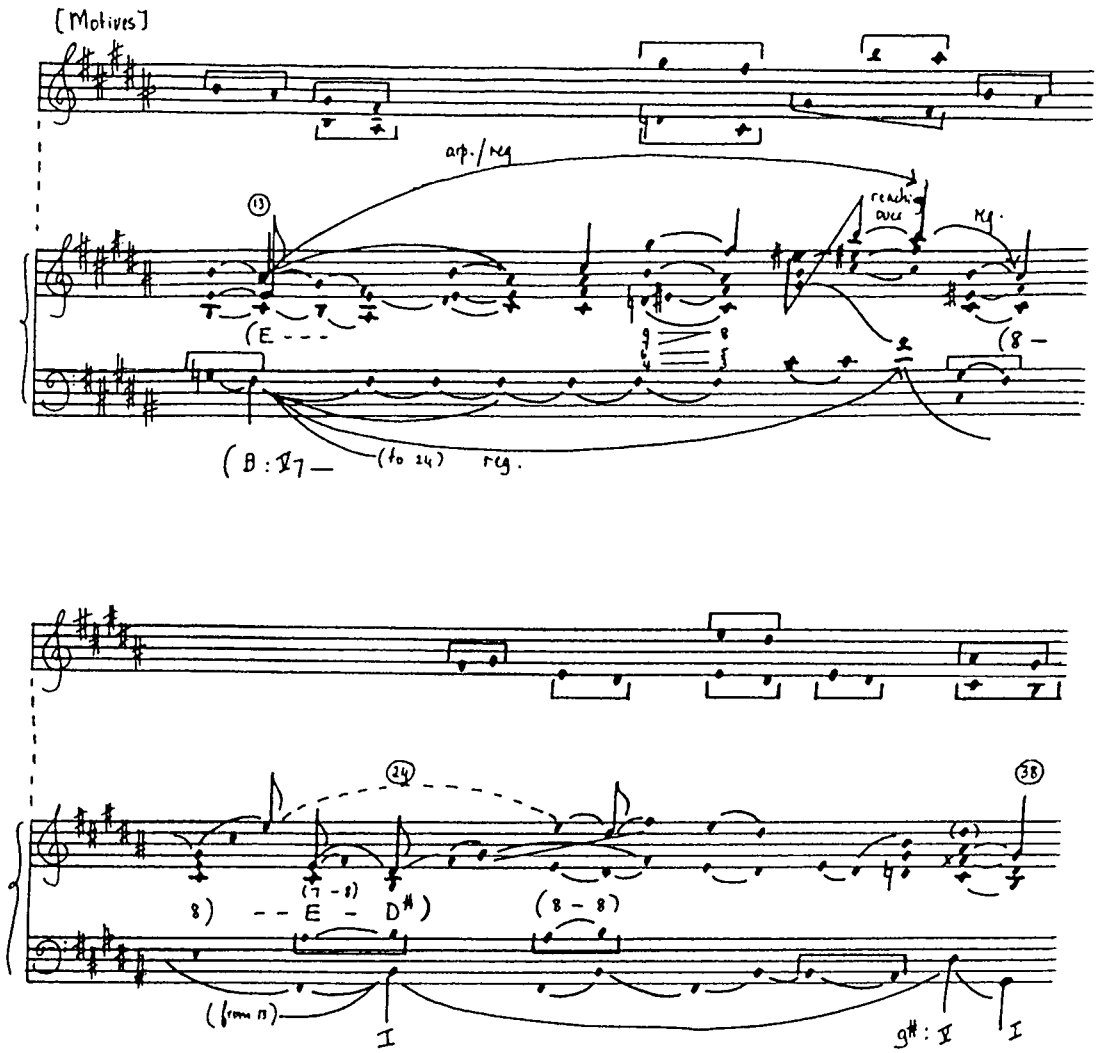
This causes an enlarged version of the primary motive in the middleground structure (bars 1-24). Consequently, the first twelve bars of section B constitute the prolongation of the neighbour-note E within the large middleground primary motive, while the final twelve bars of B prolong its concluding D-sharp. This presents an interesting tonal/formal situation in that the prolongation of each of the notes of the middleground primary motive occupies exactly 12 bars. Thus, the first D-sharp represents A, while the E and D-sharp represent B, making B twice as long as A (24 bars). This could explain the expansion of section A into 12 rather than 8 bars, and why bars 9-12 are not merely a repetition of bars 5-8 but the actual close of the tonal structure of A.

The way in which the E and D-sharp of the large primary motive are prolonged in section B can be observed in Examples 7.5a and b.

Example 7.5a. Mazurka Op. 33, No. 1, Score, Section B



Example 7.5b. Mazurka Op. 33, No. 1, Foreground Graph, Section B



The melodic line, having started on B4 (third beat bar 12) and moved to A-sharp4 on the downbeat of bar 13, then focuses on A-sharp which continues to be prolonged by means of a similar coupling of registers and ascending arpeggiation figure as in section A, resulting in a motion to A-sharp5 in bar 17. Note also the neighbour figures (derivatives of the primary motive) in the accompanying inner voices. Most important, however, are the figures B4/A-sharp4 in bars 12-14 (recurring an octave higher at

the conclusion of the coupling (bar 17)) and G-sharp5/F-sharp5 in bar 16 (an altered version of the G3/F-sharp3 bass motion of bars 12-13). It is the G-sharp neighbour note of bar 16, as well as the subsequent ones in bars 26 and 28, that can be related back to the g-sharp cover tone of bar 4. The B5/A-sharp5 motion of bar 17, together with its accompanying harmonic motion V/V to V/III, is then repeated four times during bars 17-20, each time involving a direct change of register (a surface application of the coupling of the two main registers of the mazurka). These repetitions not only bring about a temporary halt in the voice leading, but also serve to emphasise the main objective of the voice leading during the preceding and following bars, namely, the prolongation of E within the large primary motive, and consequently also the dominant of III, prolonged throughout bars 13 to 24, of which the E forms the seventh degree. Finally, note the appearance of the G-sharp/F-sharp figure in an inner voice during bars 17-20, as well as a surface ornament involving the same notes in bars 18 and 20.

In bars 21 and following, the G-sharp4/F-sharp4 figure can be traced again, but at a slightly higher level than before, spanning bars 21-23. At the same time, G-sharp4 is embellished on the voice-leading surface by A-sharp4 on the second and third beats of bar 21 (the latter A-sharp being part of the mordent). G-sharp4 reappears within the tonic resolution of bar 24, but once again does not continue directly to F-sharp4 until the next bar (bar 25), where the dominant of III is again reached. Bars 23-24 are repeated three times to comprise bars 25-28, thus presenting surface contractions of the overall V-I harmonic

motion of section B. (Incidentally, the V-I repetitions of bars 17-20 within the dominant of III, are parallel to those of bars 23-24 on an even smaller scale.) The resulting E/D-sharp figures in these repetitions anticipate their final use in the reprise of section A. Finally, the B/A-sharp figure during bars 13-14 and 17-20 can be traced in its reverse form as A-sharp3/B3 in the upper voice of the left hand accompaniment during bars 23-28, signifying the need for the A-sharp of bar 13 ultimately to resolve to B. This reversed motion from A-sharp to B, in conjunction with the large middleground motion from E to D-sharp, is subtly foreshadowed by the sixth degree A-sharp appearing in the subdominant chord of bar 5, and resolving to B over tonic in the same bar along with the E/D-sharp of the primary motive.

In bringing the voice leading of section B to a close, the octave doublings of the E/D-sharp motions (bars 25-28) capture both upper-voice registers of the mazurka. Note that bars 29-36 only repeat the voice leading of bars 21-28, except for the strengthening of part of the bass line through octave doublings.

In closing this analysis of Op. 33, no. 1, one final comment concerns the last beat of bar 36 and the following two bars (the start of A'. Although an exact repetition of the opening of the mazurka, these bars now function within the overall middleground motion from III to V, followed by I in bar 38 (compare the end of Example 7.5b to Example 7.1).

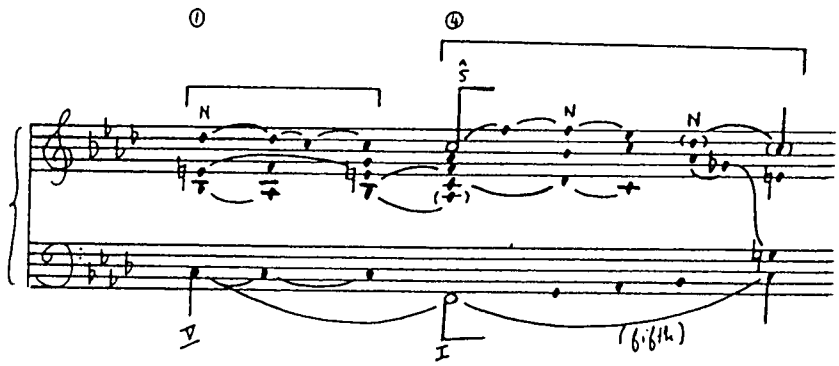
Summary

The neighbour-note figure D-sharp/E/D-sharp is employed as the central unifying motivic element throughout the entire harmonic/voice-leading structure of this mazurka. The neighbour note E has the function of foreground or surface embellishment of the fifth scale degree of the tonic or third scale degree of the relative major or mediant, as well as being an element subjected to prolongation in the middleground. Thus it is involved in the conception of the piece's overall tonal and formal design. The various derivative forms of the E/D-sharp/E figure during section B not only create a network of motivic relationships throughout this section, but, along with the primary motive, serve to unify the piece's voice leading from its broadest structural outlines to its tiniest surface details. Finally, the application of the primary motive and its derivative forms, together with the coupling of registers throughout the mazurka, causes a close correspondence in voice-leading content between the A and B-sections, leading to the entire tonal and formal structure of this composition being derived from, and unified by, these voice-leading features alone.

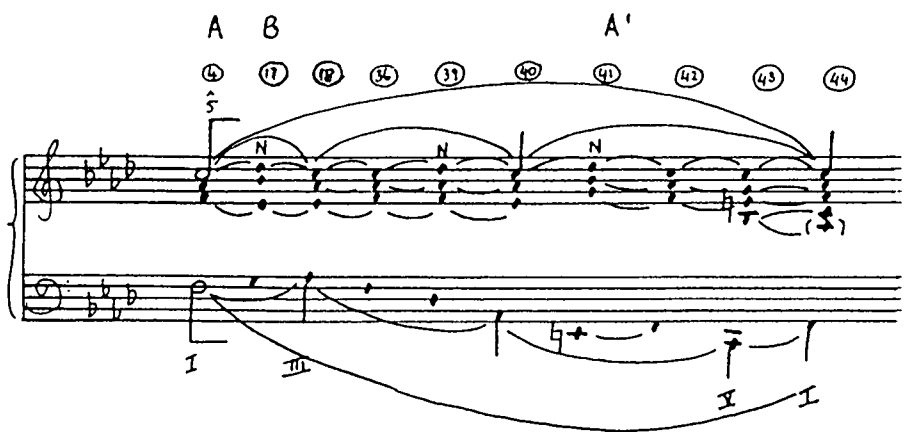
In the course of the several analytic presentations, it will become clear that neighbour-note motions represent the most common type of motivic voice-leading figuration in the mazurkas. Instances of such usage of neighbour notes are to be found everywhere. Two notable examples from Opp. 63, no. 2 and 67, no. 2 may serve here as additional references to the motivic

significance of the neighbour note. In both of these mazurkas a surface neighbour-note figure in the opening melodic line of each initiates its further application at more than one structural level, thus, once again, bringing important tonal and formal unifying implications to the fore (see Examples 7.6a and b and 7.7a-c).

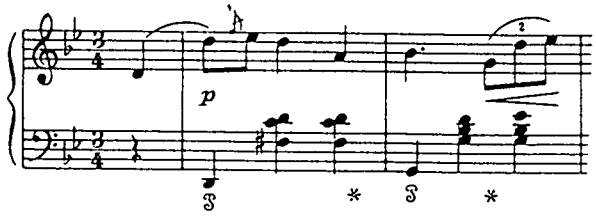
Example 7.6a. Mazurka Op. 63, No. 2, Foreground Graph Bars 1-8



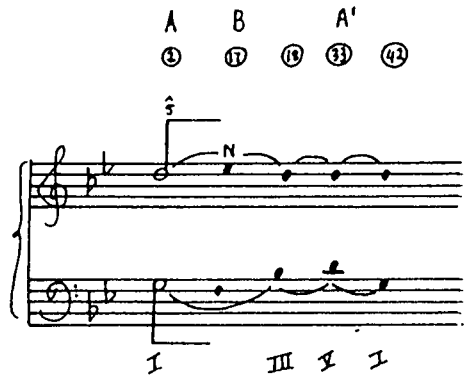
Example 7.6b. Mazurka Op. 63, No. 2, Middleground Graph, Bars 4-44



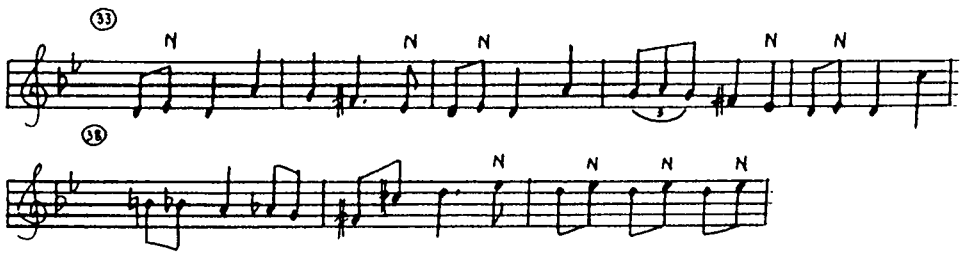
Example 7.7a. Mazurka Op. 67, No. 2, Score, Bars 1-2



Example 7.7b. Mazurka Op. 67, No. 2, Middleground Graph, Bars 2-42



Example 7.7c. Mazurka Op. 67, No. 2, Bars 33-40



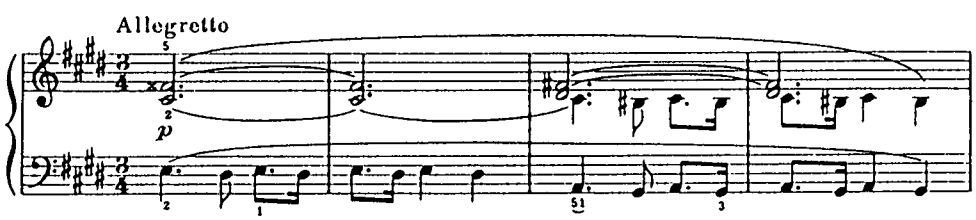
Mazurka Op. 30, No. 4

A far more complex motivic situation than that in Op. 33, no. 1 presents itself in the mazurka Op. 30, no. 4. Here, motives will be seen to play an even greater role in the creation and development of thematic and formal content, and in the unification of the piece's tonal and formal structure.

Three important voice-leading figures are identified, forming a network of unifying motives on various levels of the tonal structure. These are: 1) a neighbour-note figure (complete or incomplete), involving several scale degrees; 2) a pair of unfolded sixth intervals, occurring in conjunction with the neighbour-note figure; and 3) a stepwise descending third-line.

The piece opens with an expressive introduction of four bars, consisting of a simple harmonic succession II-V within C-sharp minor, each harmony being prolonged by a version of the neighbour motive (E3/D-sharp3 and A2/G-sharp2 respectively), which occurs in the left hand (see Example 7.8a).

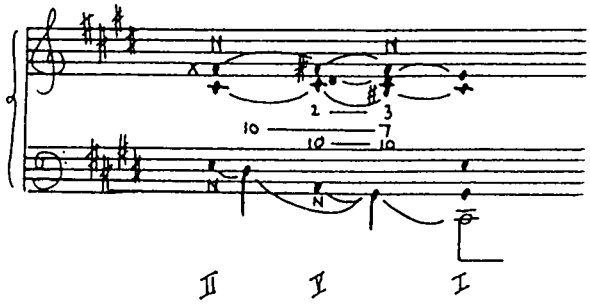
Example 7.8a. Mazurka Op. 30, No. 4, Score Bars 1-4



The resolution of the dominant to tonic in bar 5 causes another important version of the neighbour motive, due to the seventh degree of the dominant (F-sharp), resolving to E (the third

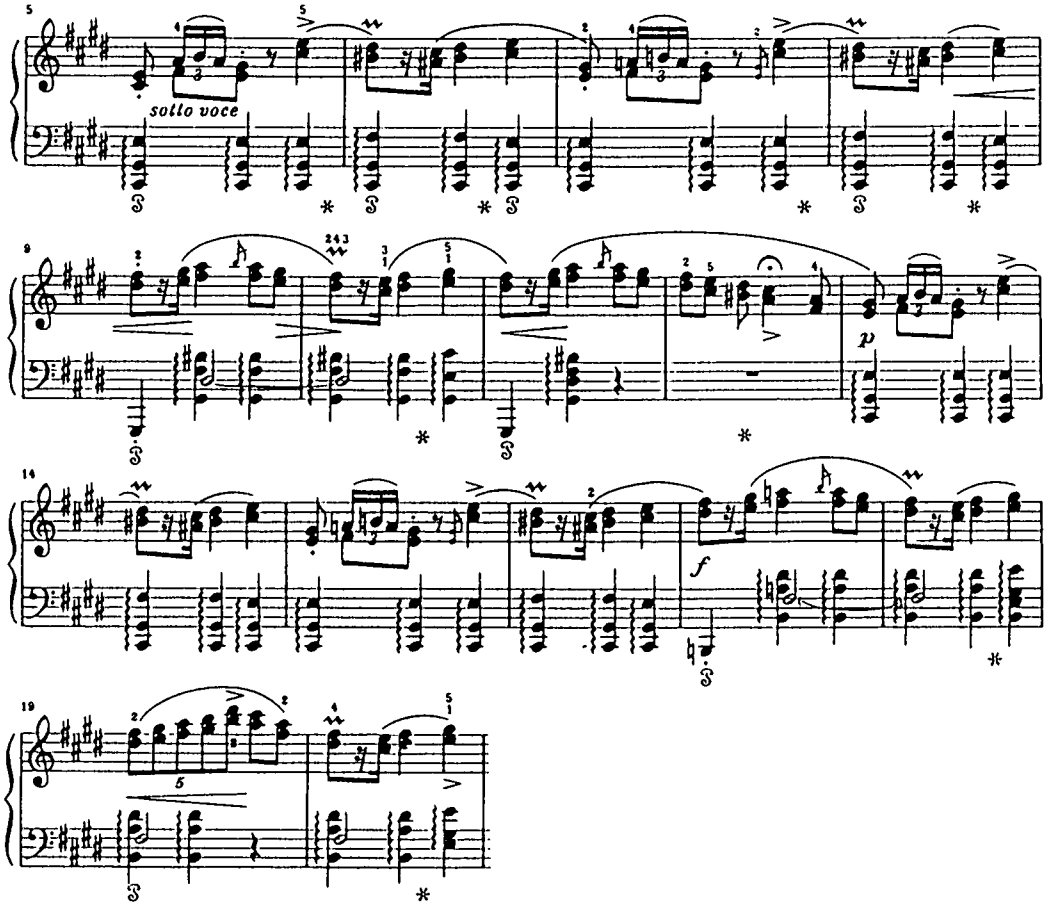
degree of the tonic at bar 5). Example 7.8b is a foreground reduction of bars 1-5.

Example 7.8b. Mazurka Op. 30, No. 4, Foreground Graph Bars 1-5

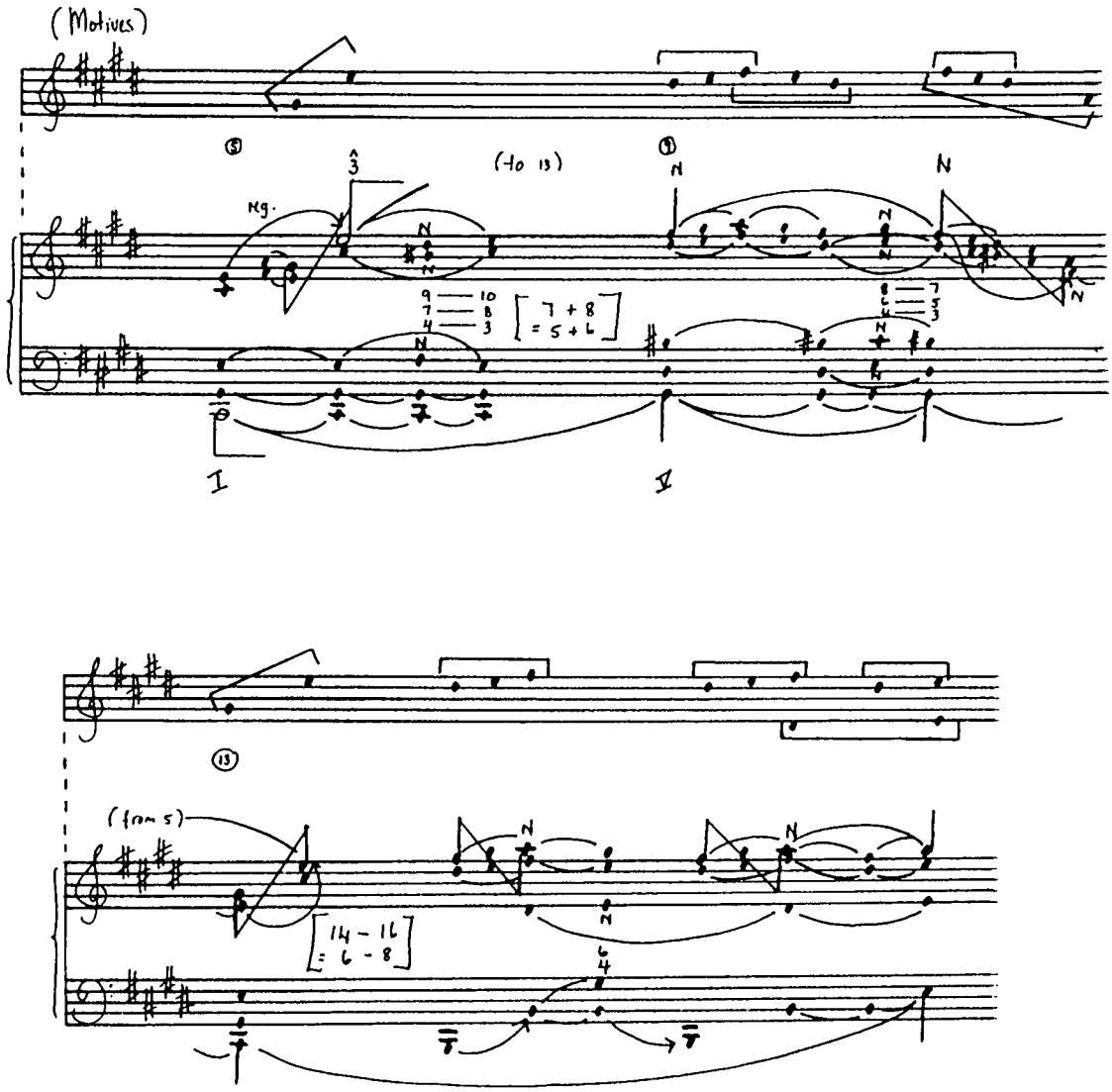


Regarding the first part of section A (bars 5-20 presented in Example 7.9a and graphed in Example 7.9b), all three motives mentioned above can be traced in the melodic line. Firstly, there are the figures G-sharp4/A4/G-sharp4, E5/D-sharp5/E5, and E5/F-sharp5/E5 which are all related directly to those of the opening introductory bars, since they involve the same scale degrees within the tonic. Secondly, there are the two unfolded sixths G-sharp4/E5 and F-sharp5/E4 respectively (the latter appearing just beneath the melodic surface), as well as the surface figures F-sharp5/G-sharp5/A5 and its converse, and F-sharp5/E5/D-sharp5. In fact, it is apparent that the entire thematic content of these bars is nothing other than a network of interaction of these motives.

Example 7.9a. Mazurka Op. 30, No. 4, Score, Bars 5-20



Example 7.9b. Mazurka Op. 30, No. 4, Foreground Graph, Bars 5-20

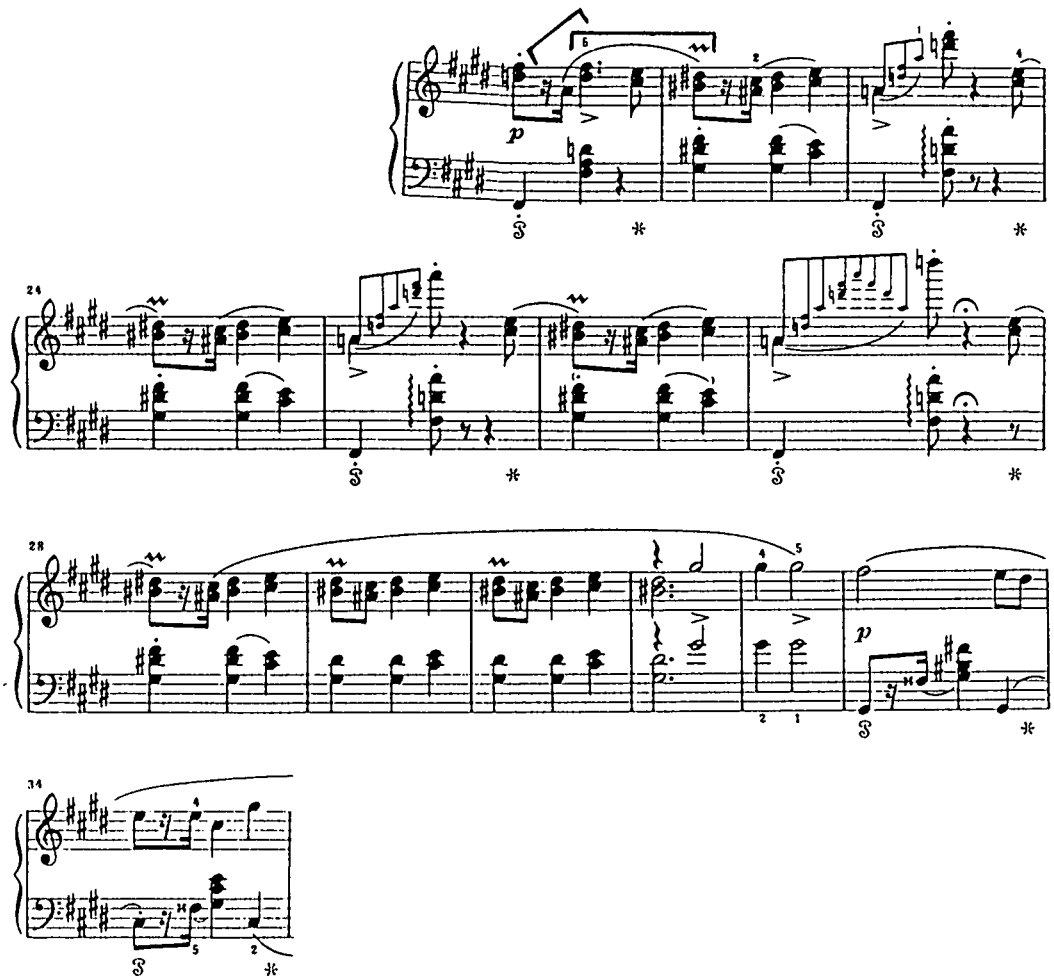


The highest note of the unfolded sixth in bar 5 (E5), appearing on the third beat, is first embellished by its lower neighbour D-sharp5 in bar 6. At the same time, F-sharp3 appears in the left hand as an upper neighbour fourth suspension over a tonic drone bass, foreshadowing the subsequent application of this neighbour note in the melodic line during the following bars. After bars 5-6 have been repeated in bars 7-8, F-sharp5 appears in the upper voice in bar 9 as upper neighbour to E5, and

again over the dominant as was the case with the F-sharp4 in the introduction. This F-sharp is prolonged throughout bars 9-12 by means of ascending and descending thirds, as well as forming part of the unfolding sixth F-sharp5/A4. A4, appearing in bar 12, functions as upper neighbour to G-sharp4, appearing first in bar 5 as part of the first unfolded sixth and again on the downbeat of bar 13. F-sharp5 also resolves to E5 on the third beat of bar 13. Thus, parallelisms of the G-sharp-A-G-sharp figure and its accompanying inner voice E4/F-sharp4/E4 in bar 5 are established over a longer distance from bars 5-13. The unfolding pattern is therefore instrumental in creating both the E/F-sharp/E and G/A/G-sharp figures, while at the same time, the third-line F-sharp/E/D-sharp within it causes another D-sharp5 lower neighbour to E5. (Note also how D-sharp3 is sustained in the left-hand accompaniment during bars 9-10, highlighting the surface motion D-sharp3/E3/D-sharp3.)

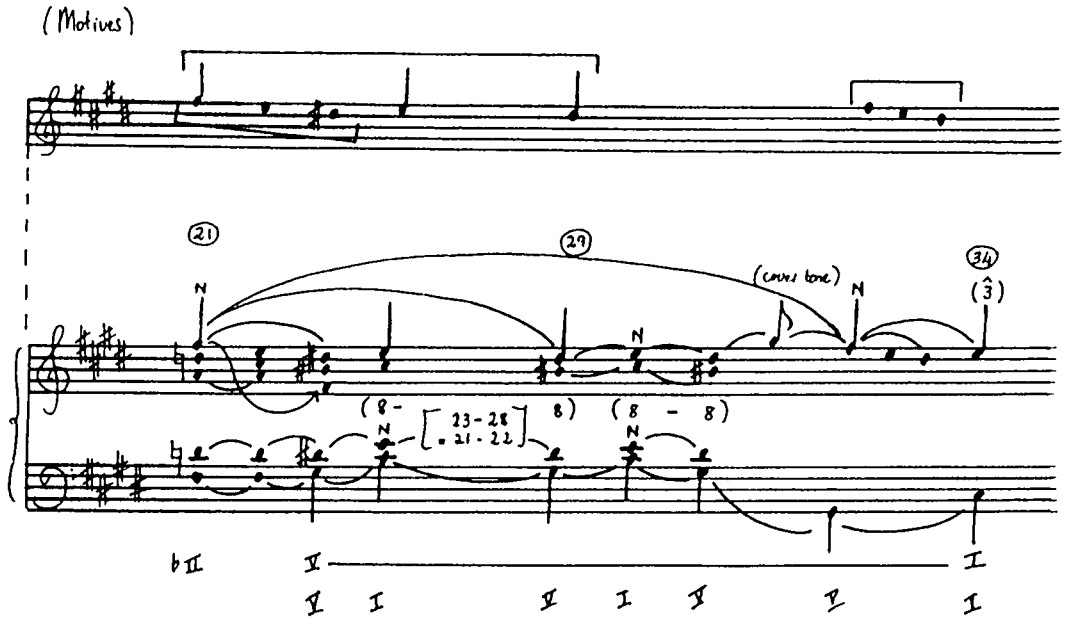
The second part of section A (bars 21-32), presented in Example 7.10a, comprises several repetitions of the progression II-flat-V-I during bars 21-28. The II-flat is prolonged by means of surface broken chord configurations in the right hand which are varied at each subsequent repetition by means of surface registral motions and increasing rhythmic activity. These broken chord patterns have their origin in the second unfolded sixth of bars 9-12. The passage ends with a dominant, repeated during bars 29-32 with surface tonic embellishing chords to it which results in the occurrence of the neighbour-note motive D-sharp5/E5/D-sharp5. This is once again a reference to the E/D-sharp left-hand figure in the opening bars.

Example 7.10a. Mazurka Op. 30, No. 4, Score, Bars 21-34



A more thorough investigation of bars 21-32, however, reveals further interesting motivic activities (see Example 7.10b).

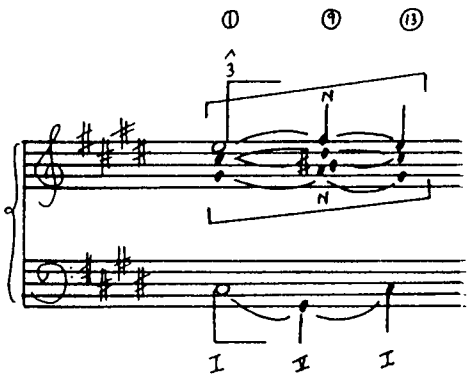
Example 7.10b. Mazurka Op. 30, No. 4, Foreground Graph, Bars 21-34



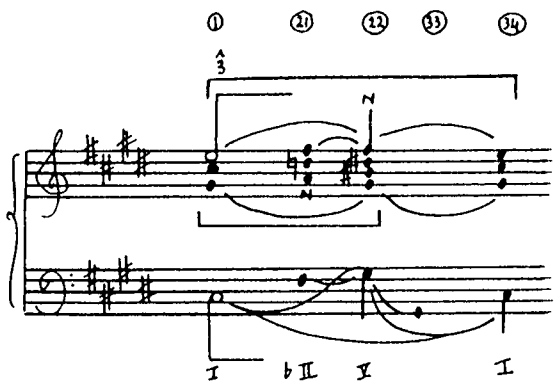
Firstly, a descending third F-sharp5/E5/D-sharp5 appears in the upper voice within the motion from II-flat to V (bars 21-22 and corresponding places), and is followed by E5 over tonic in bar 22 and corresponding places. Although E5 and its tonic support seems to reinstate the tonic tonality, especially through its numerous occurrences during these bars, it nevertheless resolves to D-sharp5 on a higher level of structure in bar 29. The result is the same descending third figure of bars 21-22, embedded within the surface voice-leading motions of bar 21 to 29. At the same time, this causes the dominant of C-sharp minor to be prolonged in the middleground throughout bars 22-29. The descending third F-sharp/E/D-sharp, initially associated with the prolonged F-sharp5 of bars 9-12, is therefore taken up and applied on more than one level of structure as the main

melodic/motivic content of bars 21-29. Furthermore, the prolonged F-sharp5 of the higher-level third ultimately resolve to E5 in bar 34, causing a large-scale parallelism of the neighbour-figure E5/F-sharp5/E5 of bars 5-13 which can be traced across bars 5-34. Examples 7.11a and b present comparative middleground graphs of bars 5-13 and 5-34 respectively, indicating the voice-leading and harmonic parallelisms between these two sets of bars.

Example 7.11a. Mazurka Op. 30, No. 4, Middleground Graph, Bars 5-13

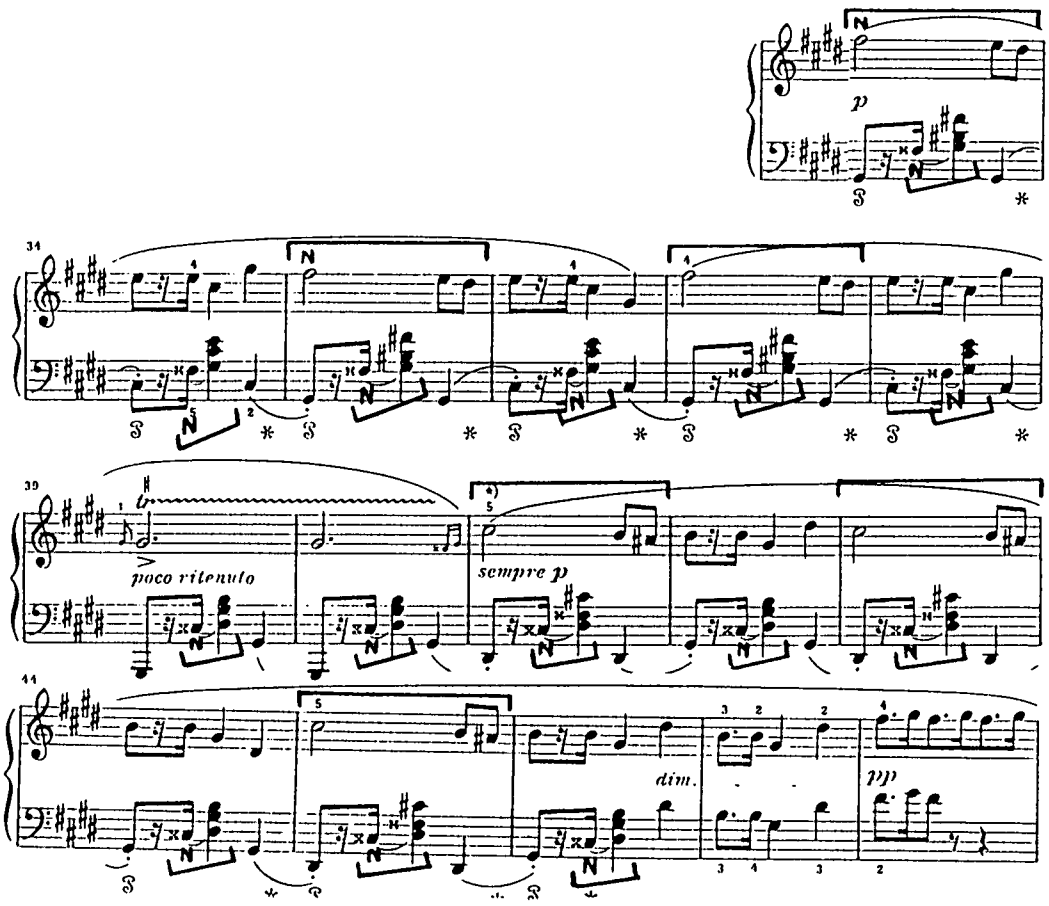


Example 7.11b. Mazurka Op. 30, No. 4, Middleground Graph, Bars 5-34



A particularly striking connection with the second part of section A is revealed in the opening melodic idea of the first part of section B (bars 33-64). It actually comprises, in direct succession, the notes F-sharp5/E5/D-sharp5. This type of procedure (that is, where a new thematic idea is derived from a specific voice-leading configuration applied earlier in the composition), can also be traced in other mazurkas (see, for instance, the discussion of Op. 56, no. 3 in Chapter 9). The F-sharp/E/D-sharp figure not only occurs continuously and in a transposed form during the first 32 bars of this form section, but remains present in another permutation throughout the entire section B, becoming its principal melodic content-creating element. Example 7.12 gives the score of bars 33-48 (bars 49-64 being an almost exact repetition of the previous 16 bars). There are also numerous occurrences of the neighbour-note motive F-sharp5/E5 and a transposed version thereof (C-sharp5/B4) during bars 33-46, all occurring in conjunction with the descending third-lines and the accompanying harmonic motion from V to I. As such, these motions represent surface parallelisms of the V-I motion and its accompanying neighbour-note and third figures in the middleground of bars 22-34. Note also the surface neighbour-note figures in the accompaniment. In addition, a retrograde version of the unfolded sixth of bar 5 and following (E5/G-sharp4) can be traced within the descending surface arpeggiation figure E5/C-sharp5/G-sharp4 in bar 36 and corresponding places.

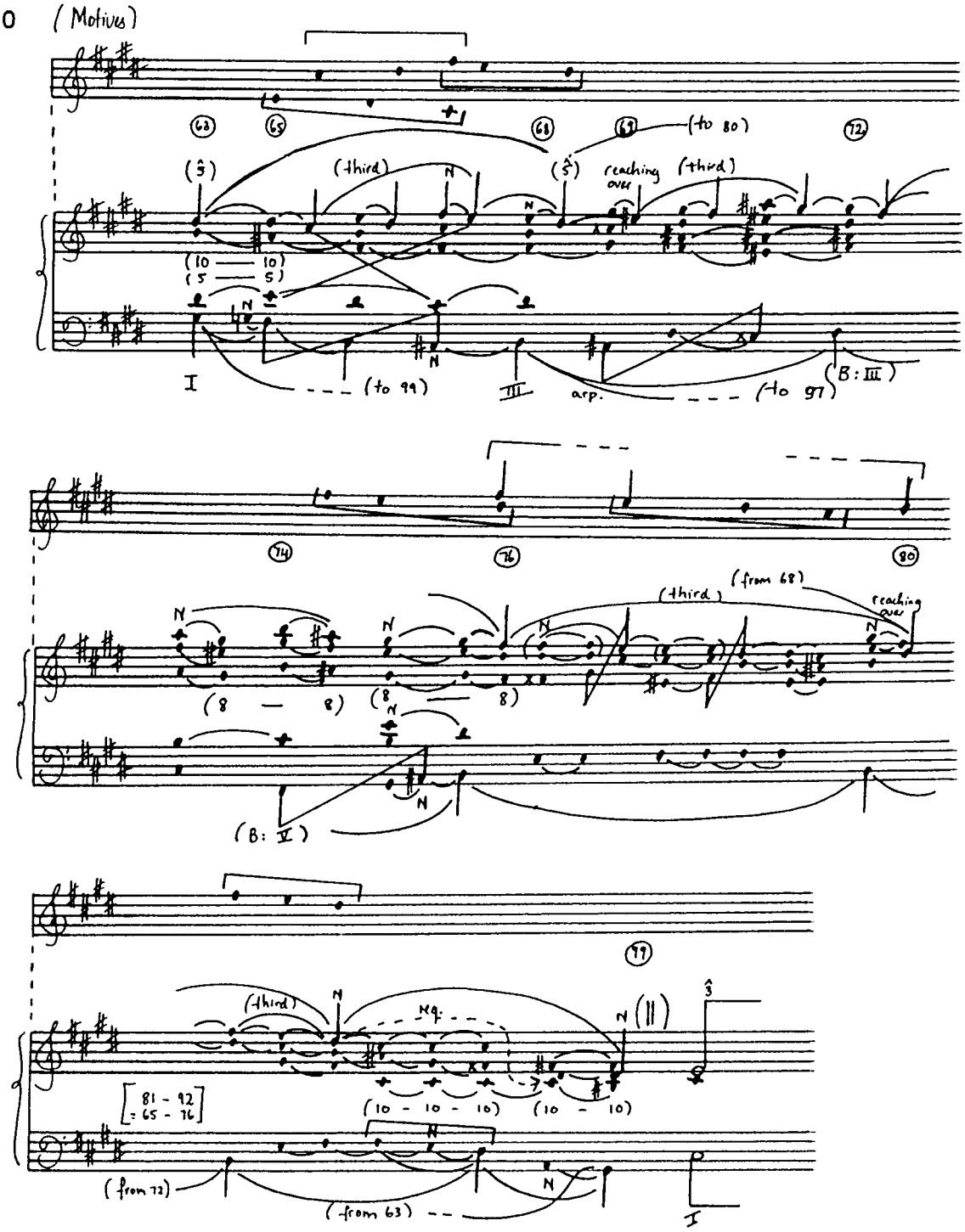
Example 7.12. Mazurka Op. 30, No. 4, Score, Bars 33-48



The second part of section B (bars 65-100) comprises two similar sequence patterns (see Example 7.13a). Here, note once again the presence of the motivic third-line as the main melodic idea within the sequence pattern, but in retrograde form (ascending), and appearing twice within each sequence. Each appearance of the third-line coincides with a motion from V to I, while at the same time, there are surface upper neighbour notes connected to each of the components of the third-lines. Also, the resolution of E5 in bar 67 to D-sharp5 in bar 68 results in the figure E/D-sharp, an exact repetition of the first

neighbour-note motive in the introduction.

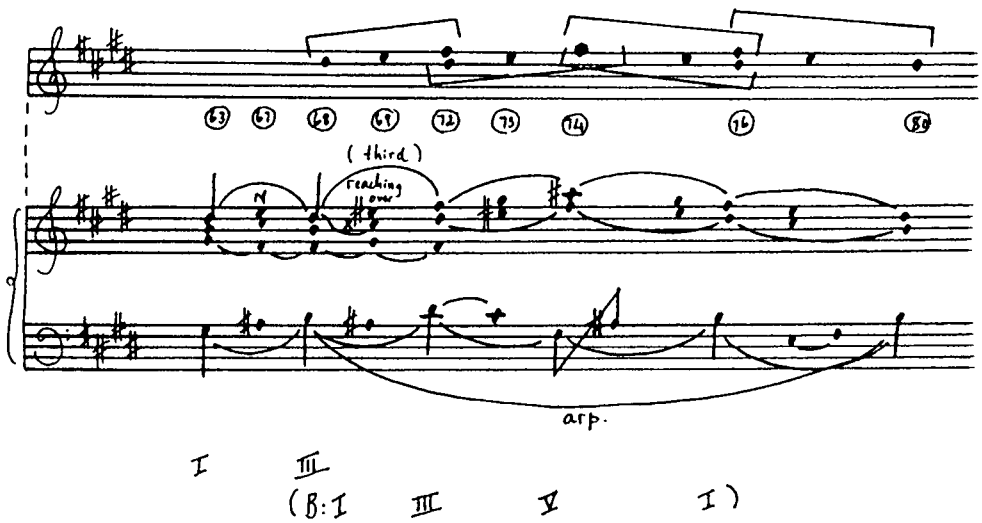
Example 7.13a. Mazurka Op. 30, No. 4, Foreground Graph, Bars 63-100 (Motives)



In addition to the third-lines mentioned above, notice also the hidden third D-sharp5/E-sharp5/F-sharp5, running from bars

68-72, and its retrograde form F-sharp/E/D-sharp, running from bars 76-80 (for a clearer presentation of these hidden figures, see Example 7.13b).

Example 7.13b. Mazurka Op. 30, No. 4, Foreground Graph, Bars 63-80



The significance of the first hidden third is that it can be traced to a similar use of a third-line during section A, namely, the ascending motion from E5 to G-sharp5 in the upper voice during bars 16-18. An ingenious piece of detail concerning the second hidden third F-sharp/E/D-sharp of bars 76-80, is that it is already anticipated by the same motion in the middle voice in the immediately preceding bars (bars 74-76), indicated at this point in Example 7.13b. There is also a connection between the two hidden versions of the motivic third-line and the same notes which appeared in the second highest voice of the right hand on the musical surface as early as bars 9-12.

During bars 76-79 there is a further nesting of the descending

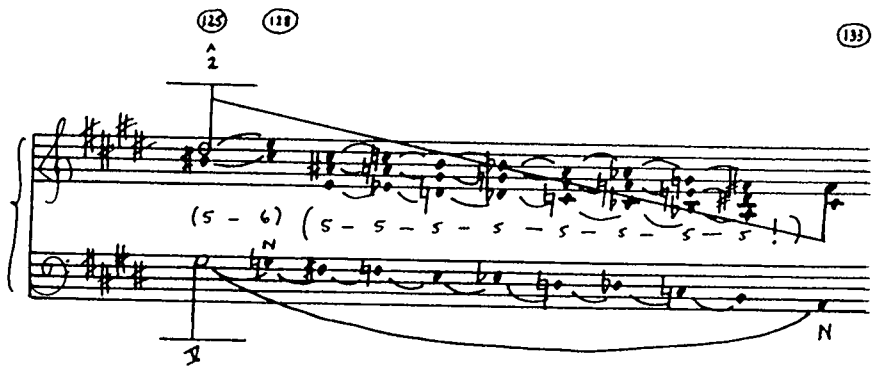
third motive, involving the F-sharp/E/D-sharp hidden figure of bars 76-80, and a second figure E/D-sharp/C-sharp within the first, running from its middle note E, and spanning bars 77-79. Also, in this instance, there are surface neighbour-notes connected to the components of the latter figure. Note further the presence of the motivic unfolded sixths G-sharp4/E5 and F-sharp4/D-sharp5, accompanying the first two notes of the E/D-sharp/C-sharp nested figure.

Section B closes on a half cadence (V of B major) in bars 95-96, after which follows an almost literal repetition of the four bars of the introduction. The repetition of the introductory bars at this point serves not only as a transition between section B and the reprise of section A, but also to bring the voice leading back to the original dominant of C-sharp minor. This is achieved in an imaginative way by the bass motion F-sharp/E/D-sharp during bars 96-97, serving here to connect V of B major to the supertonic of C-sharp minor (the pre-dominant) which then moves to the dominant. Notice also the surface figures E/D-sharp within this motion of the bass. Furthermore, the dominant of bars 95-96 displays a surface neighbour-note pattern D-sharp/C-sharp in the upper voice which already anticipates the character of those in the four bars of the transition to A'.

As bars 101-124 constitute merely a repetition of bars 5-28, they need not be considered again. Bars 125 to the end of the mazurka, however, deserves attention. Firstly, the original unfolded sixth G-sharp4/E5 of bar 5 is now succeeded at the deepest level of structure by its complementary figure

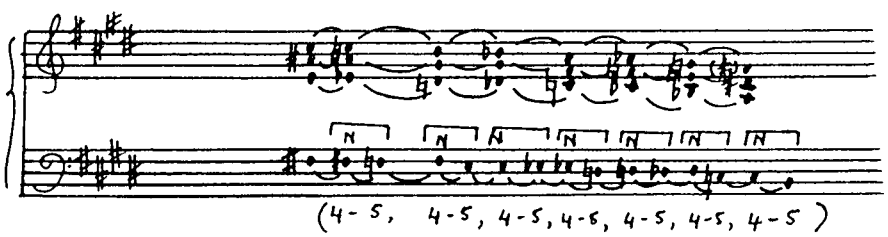
D-sharp5/F-sharp4. This latter unfolded sixth is filled in by means of a chromatic falling motion, and consists of a series of parallel fifths and sevenths (see Example 7.14a).

Example 7.14a. Mazurka Op. 30, No. 4, Foreground Graph, Bars 125-133



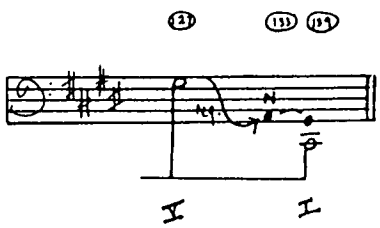
Referring to this passage in the chapter on strict counterpoint in **Free Composition**, Schenker makes the point that the consecutive sevenths which accompany the fifths make it necessary to assume an underlying 5-4-5-4-5 contrapuntal progression for this passage, claiming that "these implied syncopations justify the fifths". (1) There is, however, also a motivic justification for this particular interpretation in that the bass can be seen to display tiny neighbour-note suspension figures within the chromatic falling motion of these bars (see Example 7.14b).

Example 7.14b.



Finally, at bar 132, the opening melodic figure of section B (the descending third F-sharp/E/D-sharp) reappears, functioning in a coda-like manner as it reflects back on the main melodic content of section B. This coincides with an A2/G-sharp2/A motion in the bass, a subtle reminder of the very first A/G-sharp motion in bars 3-4, but functioning in an inverted manner to it, G-sharp being a lower neighbour to A in the local context. In the final bar, however, A does resolve to G-sharp, thus bringing to a close a large neighbour-note configuration G-sharp2/A2/G-sharp2, initiated from the G-sharp2 in bar 127, moving via the A2 in bar 133 to the final G-sharp2 in bar 139 (see Example 7.15).

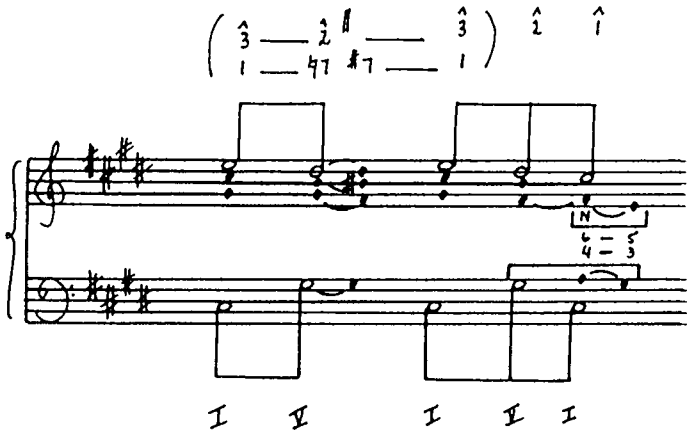
Example 7.15. Mazurka Op. 30, No. 4, Middleground Bass Graph, Bars 127-139



Also, the F-sharp4 of the descending third figure is transferred an octave lower at bar 138, after which it resolves to an E3 in bar 139, causing the final appearance of the F-sharp/E neighbour figure.

A final comment concerns the background structure of this mazurka (see Example 7.16). The large-scale interruption prevents $\hat{2}$ (D-sharp) from being interpreted as a lower neighbour to E (in this regard, see Chapter 3), but there is a connection between the D-sharp of the interruption and the D-sharp lower

Example 7.16. Mazurka Op. 30, No. 4, Background Graph



neighbour note to E in bars 5-6 and corresponding places. (Incidentally, the latter are the only places where a lower neighbour-note configuration appears in the foreground.) There are, however, numerous instances of surface decorating lower neighbour notes throughout the voice leading of section B, as well as the G-sharp lower neighbour of the reversed A/G-sharp/A figure of the coda). In addition, the particular nature of the first $\hat{3}$-$\hat{2}$ and the interruption within the overall tonal structure presented here in the motion from E to D-sharp, is anticipated in an imaginative way in the introduction by the same notes, though functioning in an inverted manner within the local foreground context.

Summary and Conclusions

A concentrated network of motives can thus be identified in this mazurka, resulting in a highly unified

harmonic/voice-leading and formal design. Particularly striking is the creation and development of its entire thematic content from the three principal motivic figures alone. The role of concealed motivic repetitions or parallelisms is specially significant in effecting both motivic connections and relationships between different structural levels, as well as making possible the derivation of surface melodic patterns from underlying similar ones or the identification of large-scale patterns related to surface events. A notable instance here is the relationship of the main thematic idea of section B to a specific melodic pattern identified on two levels of structure during the second part of section A.

Motivic design in Op. 30, no. 4 and Op. 33, no. 1 reflects perhaps more than anything else the high degree of tonal-organic unity in these works. Motivic voice-leading configurations are not only tied directly to principal thematic material, but are also the main elements in the creation of tonal and formal content. Relationships between form sections are established primarily through motivic elements. Finally, the unifying role of motivic elements in the harmonic/voice-leading structures of these mazurkas is caused by the following three factors: 1) their appearance on different structural levels, 2) their interaction with harmony and voice leading and 3) their interaction with one another as part of melodic/motivic networks.

Note

1. Schenker, **Free Composition**, Par. 183.

CHAPTER 8

THE INFLUENCE OF MOTIVIC DESIGN ON TONAL STRUCTURE

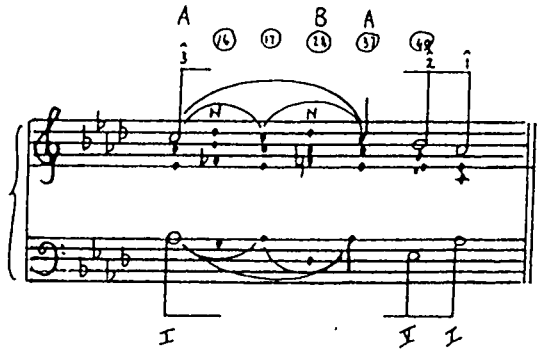
The previous chapter has established that the elements of composing-out in the mazurkas in most instances also constitute the main motivic content. Thus, it is evident that a close relationship exists between motivic design and tonal structure in the mazurkas. It follows that motivic design plays a significant part in tonal-structural development and character, as will be illustrated in the two mazurkas discussed in this chapter. In the first of these (Op. 7, no. 4), the influence of motivic design on its composed-out harmonic/voice-leading structure will be traced, while in the second (Op. 17, no. 4), the focus will be on the extent to which specific voice-leading elements regarded as motivic, can influence its tonal-structural character.

Mazurka Op. 7, No. 4

The central motivic element in Op. 7, no. 4 is the neighbour-note configuration C5/;D-flat5/C5. In its deepest structural position, this neighbour-note figure forms part of the piece's overall background tonal structure, and is also responsible for delineating the composition's ternary form. The individual components of this figure are assigned as follows: C5 represents the large A-section (bars 1-24), D-flat5 represents the large B-section or Trio (bars 25-36), and the final C5 represents A' (bars 37 to the end). Example 8.1 is a background

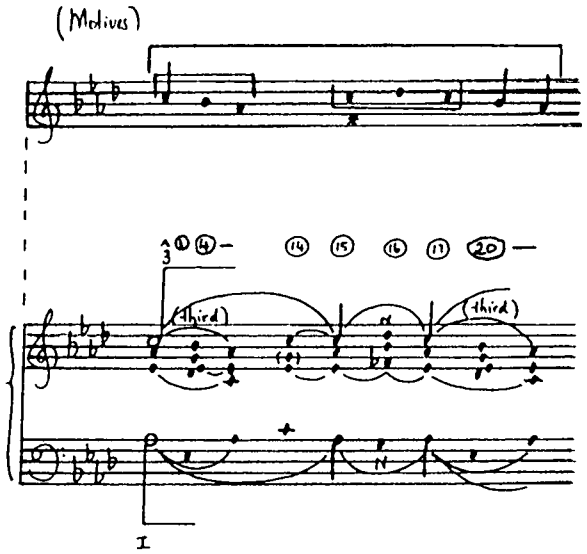
graph, depicting the large tonal and formal divisions of the mazurka.

Example 8.1. Mazurka Op. 7, No. 4, Background Graph



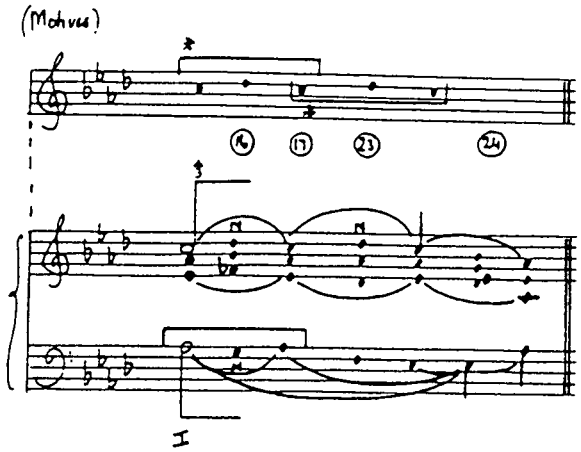
In addition, a further neighbour note D-flat5 can be traced in the first middleground in bar 16, dividing the tonal structure of the large A-section into two parts. However, the ternary form division of the first A-section is not created by the neighbour note D-flat of bar 16 (analogous to the neighbour note D-flat of bar 28 in the large form design), but in the following manner. Firstly, there is a structural close of the first 8 bars (representing the main-theme period) by means of a middleground third-line (replicating the overall fundamental line of the piece). Furthermore, bars 9-16 (the internal b-section) prolong $\hat{3}$ (C5) which is followed by D-flat in bar 16, ending the section but anticipating bars 17-24 which repeat bars 1-8. The third-line which closes section A is of course another replication of the fundamental line on a higher middleground level (see Example 8.2).

Example 8.2. Mazurka Op. 7, No. 4, Middleground Graph, Bars 1-24

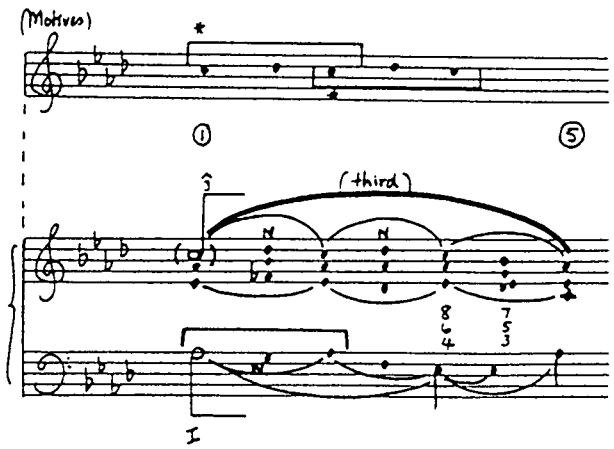


Following the composing-out process from the background to the foreground, paying particular attention to the structural role of the neighbour note D-flat, we may trace two significant **tonal-structural** parallelisms (that is, the repetition of an entire harmonic/voice-leading unit on another structural level). Firstly, as a result of the neighbour note D-flat in bar 16, as well as one in bar 23, both situated in the background of bars 1-24, the background melodic configuration C5/D-flat5/C5/D-flat5/C5/B-flat4/A-flat4 and its accompanying bass motion now operate as the controlling melodic/harmonic structure of bars 1-24 (see Example 8.3). Thus, the tonal structure of bars 1-24 constitutes an exact parallelism of the entire background structure represented in Example 8.1. Secondly, by examining bars 1-4 which has a closed tonal structure due to a middleground/foreground third descent, we see yet another exact parallelism of the background in the foreground (Example 8.4).

Example 8.3. Mazurka Op. 7, No. 4, Background Graph, Bars 1-24



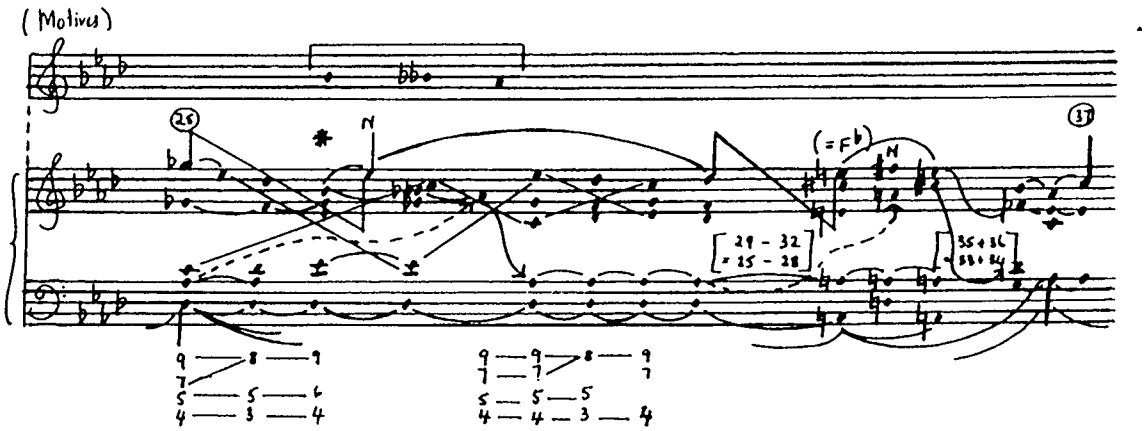
Example 8.4. Mazurka Op. 7, No. 4, Foreground Graph, Bars 1-4



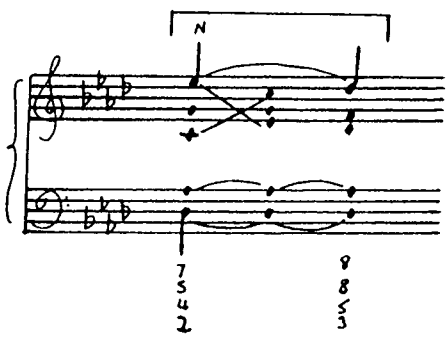
In terms of tonal-structural design, two functions of the neighbour-note motive are apparent from our discussion and illustrations thus far, namely, 1) as an element of prolongation, and 2) as an element of division. The former creates the Trio (bars 25-36), and the latter divides the tonal structure of section A into two parts through the D-flat in bar 16. The background D-flat in the Trio (Example 8.5a), having received its own consonant support through the tonicisation of D-flat, is

embellished by its own upper neighbour E-flat which is prolonged in the foreground by means of a voice-exchange pattern operating in conjunction with a D-flat pedal point or drone bass. The result is a dominant suspension harmony over the local D-flat major tonic of the Trio (see Example 8.5b).

Example 8.5a. Mazurka Op. 7, No. 4, Foreground Graph, Bars 25-37



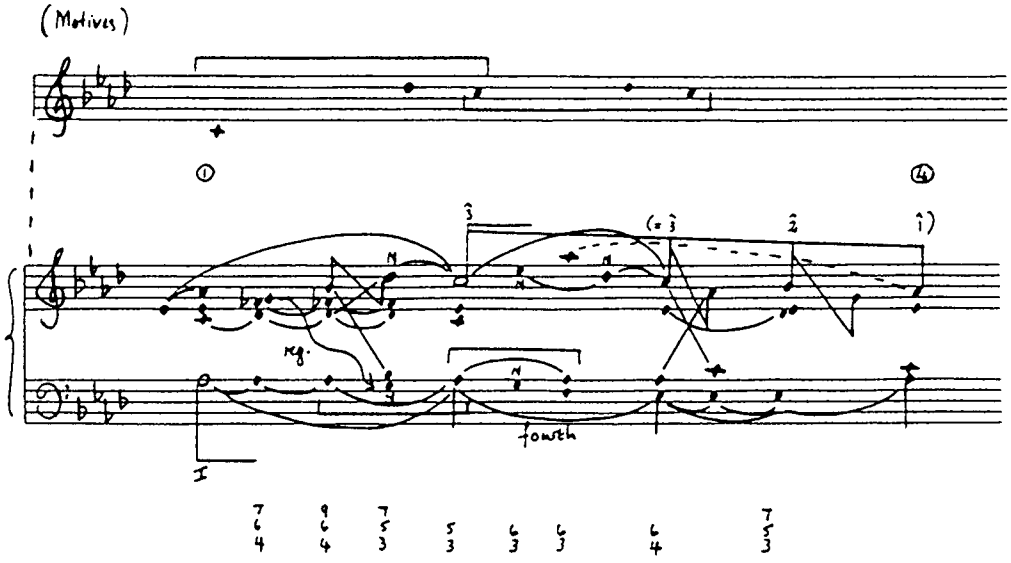
Example 8.5b. Mazurka Op. 7, No. 4, Reduction, Bars 25-28



The prolongation of the E-flat represents the expansion of an idea first presented in the two opening bars of the piece: there, $\hat{3}$ is embellished in the foreground by the neighbour note D-flat5 (bar 2), prolonged in the same fashion as the E-flat in the Trio,

with the exception of a tonic pedal point (see Example 8.6).

Example 8.6. Mazurka Op. 7, No. 4, Foreground Graph, Bars 1-4



Furthermore, the D-flat5 in bar 2 is embellished on the surface by its upper neighbour E-flat5 in the same bar. The foreground neighbour note D-flat5 in bar 3 (which resembles the middleground and background D-flats of bars 16 and 25 respectively, and forms part of the foreground structural parallelism of the background), is itself preceded by an E-flat5 upper neighbour embellishment.

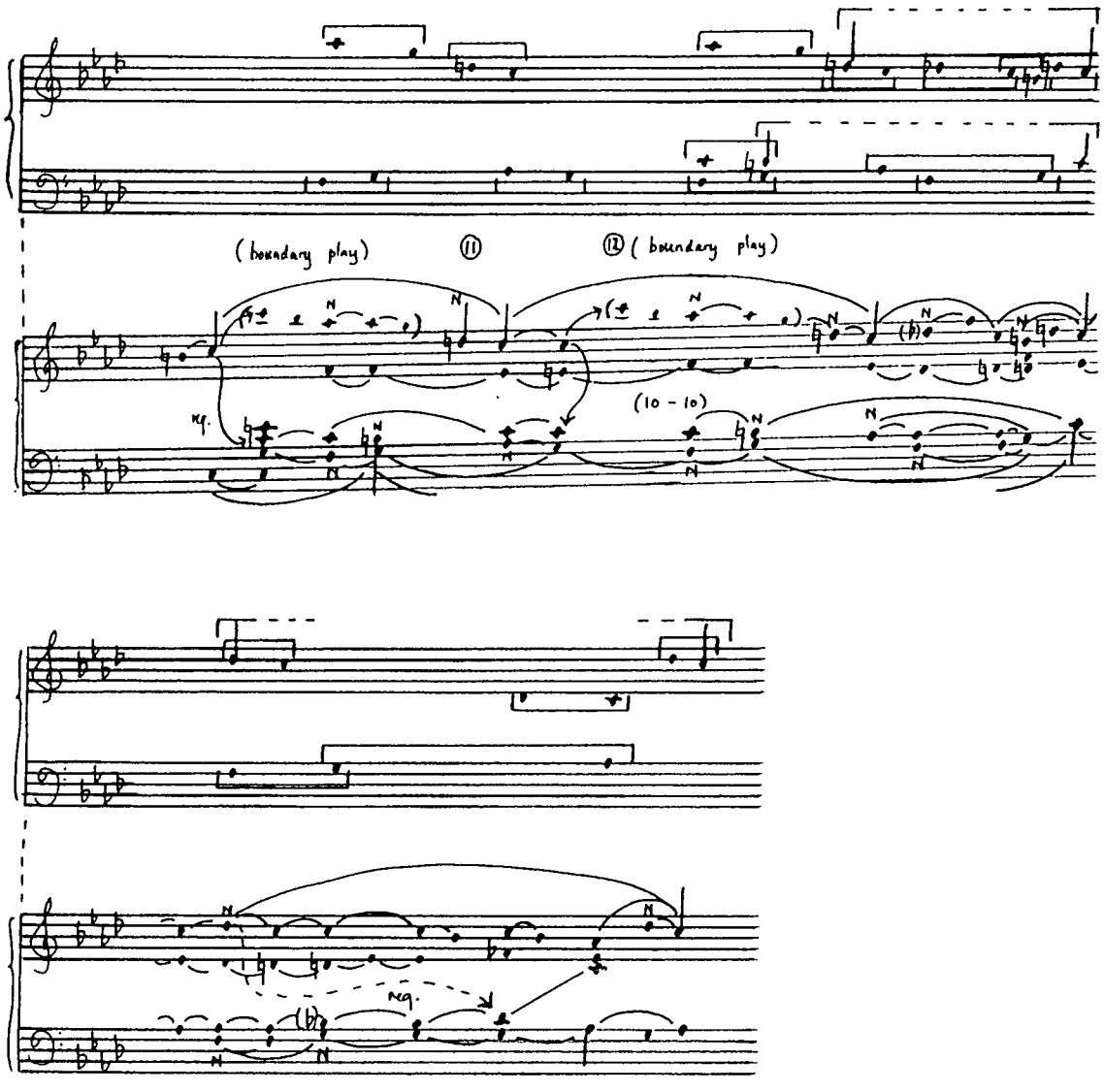
In conjunction with the D-flat5 embellishing $\hat{3}$ (bar 2), a lower neighbour of the tonic A-flat (G3) operates in the bass (see Example 8.6 above). Together with the inner voices, this results in a diminished seventh chord. Apart from the corresponding places during the various repetitions of the main thematic material, this lower neighbour and the resultant diminished seventh chord reappear in the middleground along with the upper neighbour note D-flat at bar 16 (see Examples 8.2 and 3

above), as well as at bar 36, at the end of the prolongation of the large middleground/background D-flat. The combined use of both the lower and upper neighbour notes and the diminished seventh at bar 36, produces an appoggiatura-like upbeat to bar 37, the start of the abridged reprise of section A (see the end of Example 8.5a above).

So far it has become clear how the neighbour-note motive causes not only a tightly unified harmonic/voice-leading structure in this mazurka due to its appearance at the various structural levels, but also how harmonic/voice-leading content is created through the prolongation of its elements in the background and its dividing and embellishing roles in the middleground and foreground respectively. Further unification and content creation are achieved through the influence of chromaticism and the Phrygian $\hat{2}$ on the neighbour-note motive, as well as through another neighbour-note configuration in the middleground, combining both upper and lower neighbour notes. These influences and additional configurations occur mainly during the internal b-section, and comprise the main voice-leading content of this section.

Firstly, there is a double neighbour-note configuration C5/D5/C5/B4/D5/C5 appearing in the upper voice during bars 9-14 (the first C5 initiated by an appoggiatura lower neighbour B4 on the surface), while at the same time, there is a somewhat similar configuration G3/A-flat3/F3/G3 in the bass (see Example 8.7a).

Example 8.7a. Mazurka Op. 7, No. 4, Foreground Graph, Bars 9-17



The former centers around C5 at a deeper level, while the latter centers around G3, the dominant of C minor. Notice, incidentally, that the motions from the first C5 to D5 in the upper voice of bars 9-12 are composed-out in each case through an immediate surface register transfer of C5 to C6, followed by a descending motion which connects with D5. Furthermore, within the upper voice neighbour-note motions described and illustrated

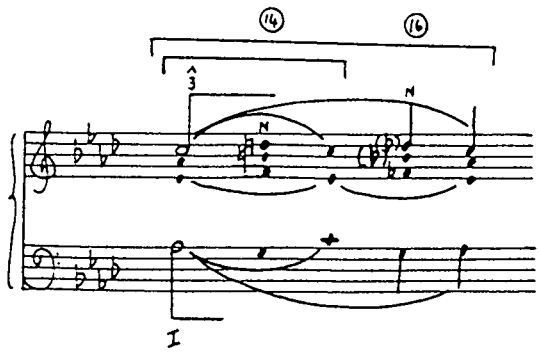
above, there is an additional voice-leading feature, namely, a D-flat5 within the local C minor key region, originating from the main upper neighbour note D-flat, but acting as a chromatic inflection of D-natural5, the upper neighbour to C5 in the local context; therefore a Phrygian $\hat{2}$ in C minor. This D-flat actually becomes diatonic again at a deeper level (bar 16).

The two double neighbour-note figures also serve to clarify the somewhat ambiguous tonal situation during bars 10-14. Firstly, the figure in the upper voice prolongs $\hat{3}$ over the tonicised III (C minor), whereas the bass figure, revolving around G3, prolongs that G which represents the dominant of C minor. However, the impression of tonal ambiguity created by the surface harmonies, particularly during bars 12-13, as well as the fact that C minor is not clearly stated until bar 14, can be explained as the prolongation of the dominant of C minor at this point, is presented in the manner of a deceptive cadential pattern.

The G3 from bar 10 onwards is also the lower neighbour of A-flat3, the tonic bass in the background obligatory register, hence its similar characterisation in conjunction with the upper neighbour D-flat5 both at bars 16 and 36. Therefore, the prolonged dominant within C minor is also motivically related to bars 16 and 36, as well as to the opening two bars and corresponding places. This is the result of the occurrence of D-natural5 (the altered version of the upper neighbour D-flat5 to C5 in the local context of bars 10-14), and G3 as the lower neighbour of A-flat3 in the larger middleground context (see Example 8.7b, a middleground reduction of bars 1-17).

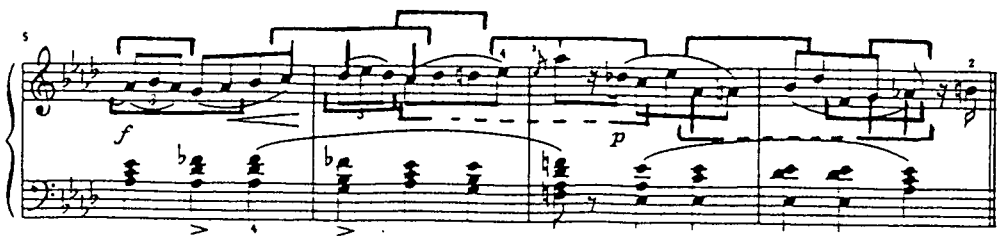
Incidentally, although the original neighbour note D-flat operates as a chromatic inflection of the diatonic D-natural within bars 9-15 as mentioned above, the D-natural in fact becomes a chromatic inflection of D-flat within the large tonal structure.

Example 8.7b. Mazurka Op. 7, No. 4, Middleground Graph, Bars 1-17



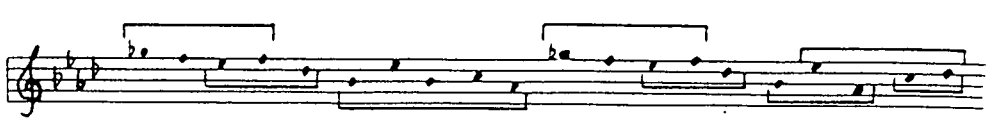
On the actual musical surface of the mazurka, the various neighbour-note configurations identified thus far continue to play a major role regarding the creation, shaping and unification of foreground melodic content. A striking instance of this is to be found in the opening main-theme period (bars 1-8). Here, an imaginative fusion of the different neighbour-note configurations occur. In fact, the entire motivic activity of the piece is centered in the melodic line of the first four bars and its repetitions (see Example 8.8).

Example 8.8. Mazurka Op. 7, No. 4, Bars 5-8



These motivic interactions are also found in the surface melodic motions throughout the rest of the composition, and especially in the melodic line of the Trio. Upon careful examination, it can be seen how the theme of the Trio actually has its origin in the melodic/motivic configurations of the main theme (compare Example 8.8 with Example 8.9, the melodic line of the Trio). Note, for instance, the upper and lower neighbours to D-flat5, resembling those situated above and below A-flat4 in the main theme, as well as the upper neighbour to F5 (G-flat5), resembling the D-flat5/C5 in the main theme.

Example 8.9. Mazurka Op. 7, No. 4, Melodic line, Bars 25-28

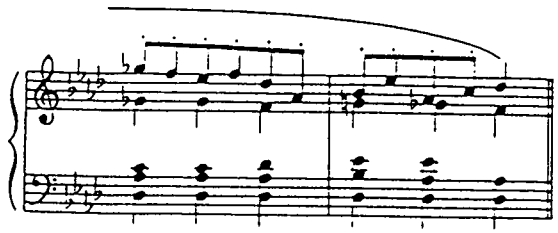


Resulting from the interaction between the neighbour-note motive and chromaticism, yet another motivic configuration can be identified in the foreground and surface voice-leading motions, namely a stepwise chromatic motion either between the first and second, or third and fifth scale-degrees (A-flat/A-natural/B-flat

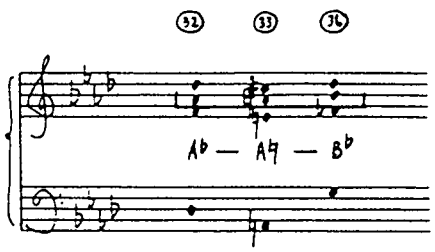
or C/D-flat/D-natural/E-flat) within the main tonality. Although these are essentially chromatic passing motions, the derivation from the chromatic inflection of the neighbour note, especially with regard to the first figure mentioned above, is clear. Both these chromatic passing figures are present in the main theme, occurring as well during the internal b-section and the Trio, and fulfilling an important role also as content-creating and unifying elements. In the main theme, for instance, the A-flat4/B-flat4/A-flat4 surface configuration at bar 1 is paralleled and slightly expanded in the motion A-flat4/A-natural4/B-flat4/A-flat4 during bars 3-4. Likewise, the motion C5/D-flat5/E-flat5 in bar 2 is treated in similar fashion in bar 6, bringing about the slightly varied form of the main theme during its repetition (bars 5-8).

The way in which both these motivic figures operate in the Trio is further evidence of the already established relationship between the content of the Trio and that of section A. Note, for instance, the retrograde form of the A-flat4/A-natural4/B-flat4 figure of bar 3 in bars 26 and 30, {1} as well as a transposed retrograde of the C/D-flat/D-natural/E-flat figure of bar 6 in bars 31-32 (see the asterisk, Example 8.5a, as well as Example 8.10). Specifically notable, however, is the role of the A-flat/A-natural/B-flat figure in the conception of the wonderful four-bar transition between the Trio and A' (bars 33-36 (see Example 8.11, as well as the end of Example 8.5a)). In fact,

Example 8.10. Mazurka Op. 7, No. 4, Bars 31-32



Example 8.11. Mazurka Op. 7, No. 4, Reduction, Bars 32-36



this beautiful chromatic passage is nothing other than an elaboration of the diminished seventh appoggiatura chord of bar 36 by means of the A-flat/A-natural/B-flat chromatic figure. Finally, bars 33-36, as well as all other places where these passing figures can be traced, may be regarded as relating to the internal b-section, unifying it with the rest of the composition.

In closing our discussion of Op. 7, no. 4, one additional feature in the foreground voice leading must be mentioned, namely the A-flat5 cover tone at bar 4 and corresponding places. Although it does not form part of the voice leading of the main-theme period, it can be related to the same pitch occurring during the internal b-section where it forms part of the

foreground composing-out of the motion from C5 to D5 referred to earlier (see Example 8.7a above). Additionally, the approach to the A-flat5 of the internal b-section from above in the melodic motions of bars 9-12 generates a surface reference to the fundamental line, in a higher register. Finally, the A-flat cover tone in the main-theme period can also be related to the same pitch acting as a cover tone in the Trio.

Summary

From the foregoing investigation into the motivic and tonal content in this mazurka, the overriding conclusion resides in the fact that the main motivic elements (the neighbour-note configuration C/D-flat/C and its subsequent derivations) occur on all levels of the tonal structure, thus serving to unify the composition's harmonic and melodic content. A special feature in this regard was found to be the exact tonal-structural parallelisms which resulted from the particular application of the neighbour note D-flat on the various structural levels. More significant, however, is the fact that these motivic configurations form part of the composing-out process by way of the prolongational or embellishing role of the various structural neighbour notes. Consequently, the neighbour-note configurations and foreground chromatic inflections, as well as the additional linear motives that resulted in the process, can be regarded both as tonal-structural determinant and tonal content-creating elements in this mazurka.

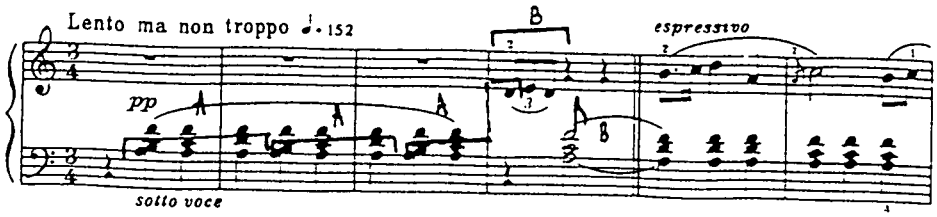
Mazurka Op. 17, No. 4

In contrast to the role of motivic voice-leading elements with regard to tonal-structural development and the creation of content in Op. 7, no. 4, emphasis in the discussion of Op. 17, no. 4 below will be specifically on the influence of motivic elements with regard to tonal-structural characteristics. The enigmatic, ambiguous character of this mazurka's foreground harmonic/voice-leading design results from the elements of suspension and displacement which are recognised as part of this mazurka's motivic content.

Two main motivic elements are identified: 1) the horizontal unfolding of the interval of a third, with or without a passing tone, which gives rise to the main melodic motions of the composition, and 2) a neighbour-note suspension figure which initiates and subsequently forms part of the piece's contrapuntal motions. For convenience, these figures will be referred to, and labeled in the analyses as motives A and B respectively.

The work begins with a tonally enigmatic introduction of four bars (Example 8.12a) in which there is as yet no indication of the main tonality due to the absence of the tonic and the dominant. Rather, the voice leading centers around what seems to be an F major 6/3 harmony. This is also the harmony on which the introduction ends. Even at this stage the motions in the middle voice do not suggest any tonal stability for the 6/3 chord in the sense of its being a tonic harmony; on the contrary, although the motion clearly circles around C4 (the middle tone of the 6/3 harmony), there is even a slight hint at a 6/4 chord on A which

Example 8.12a. Mazurka Op. 17, No. 4, Bars 1-4

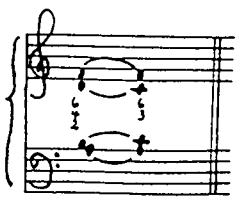


is in fact the first chord in the left hand at bar 5 (the start of section A). From what follows in the first part of section A (bars 5-36), the real function of the F major 6/3 chord is established, namely that it derives its origin from the counterpoint, being nothing other than a potential A minor triad with the suspension of its fifth degree (E) through a neighbour note F which does not immediatly resolve correctly to E.

With all this in mind, we can now concentrate on the various occurrences and functions of motives A and B. To recapitulate the introduction: both motives appear, namely the unfolding of the third B3/D4 in the inner voice and F4 in the top voice (the sixth degree above tonic A in the bass). Together with the subsequent resolution of the B3 and D4 inner voices to C4 at bar 4, this F constitutes the anticipated neighbour-note suspension of E4 (the fifth degree of the potential A minor tonic triad). At the same time, the resolution of B3 and D4 to C4 points to the fact that they also function respectively as lower and upper neighbour-note suspensions of the C. Example 8.12b, a reduction of bars 1-4 into two vertical sonorities, is intended to demonstrate the role of both motives A and B in this regard. The voice leading of the introduction accordingly consists of just

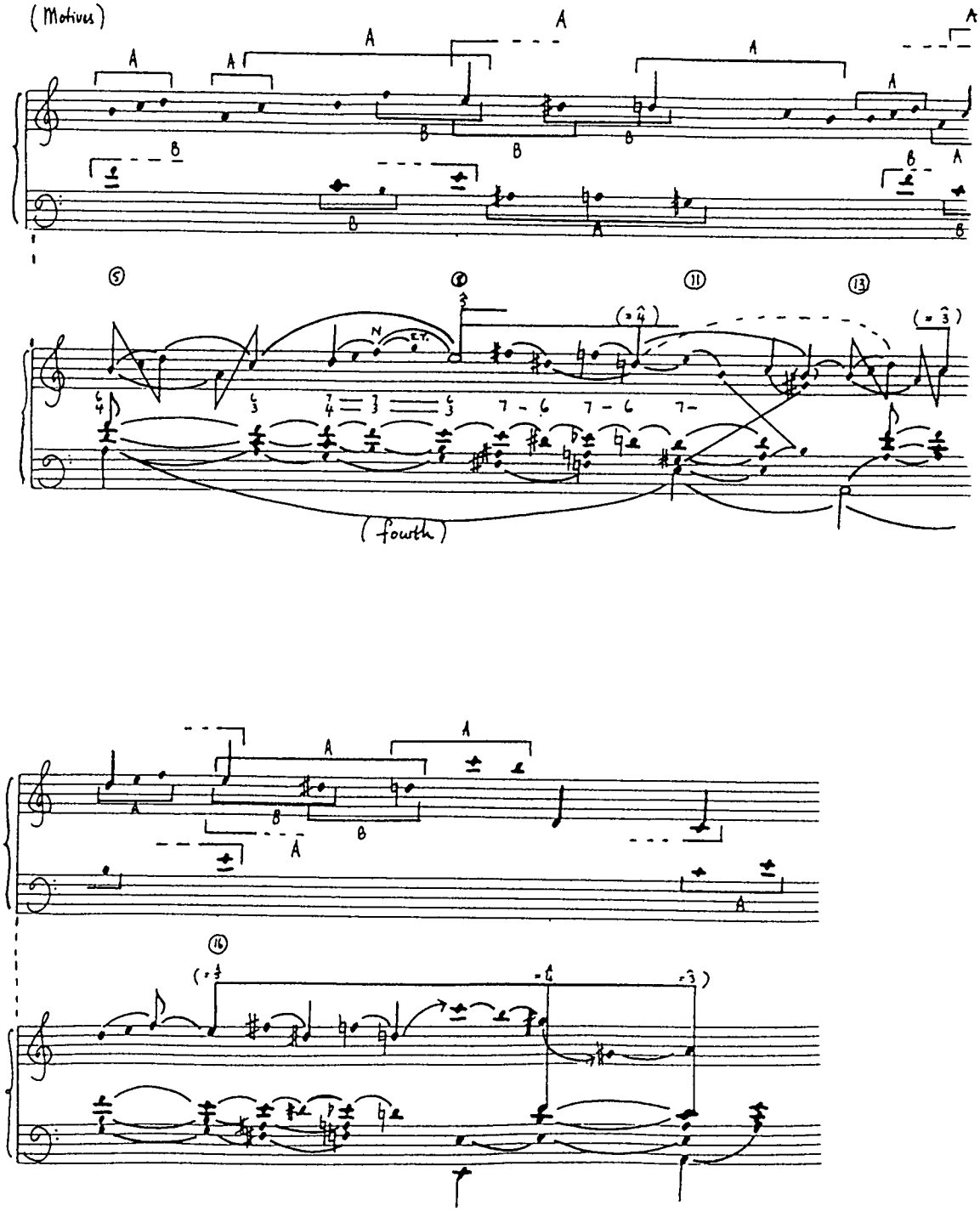
these two motivic figures, and as such provides the core elements developed throughout the rest of this mazurka.

Example 8.12b. Mazurka Op. 17, No. 4, Reduction, Bars 1-4



Example 8.13a represents the first sixteen bars of section A (the second sixteen bars being a literal repetition of the first, except for additional embellishing surface melodic motions). The melodic line of the opening two bars (bars 5-6), consists of two statements of motive A. The first comprises the motion B4/C5/D5, which is directly derived from the same figure repeated during the introduction, while the second consists of another unfolded third, but without a passing tone (A4/C5), complementing the first. Due to the nature of bars 5-6, that is, the occurrence of the same suspension-like version of motive A in relation to the C5 resolution, as well as the F major 6/3 harmony, these bars may be regarded as a contracted version of the essential voice-leading motions of the introduction. Note, however, that the 6/3 chord of bar 6 is preceded by the already mentioned 6/4 chord on the tonic A in bar 5 (the one also hinted at during the introduction). It is this chord that may be regarded as the first indication of the main tonality of the mazurka, since its expected resolution in bar 6 would have been to the A minor tonic triad. The fact that it does not resolve in that way lends

Example 8.13a. Mazurka Op. 17, No. 4, Foreground Graph, Bars 5-20



further emphasis to F4 as a suspension figure, since it is only the latter that prevents the harmony in bar 6 from being the A minor tonic.

With the occurrence of C5 in the upper voice (bar 6), an initial linear ascending third-line unfolds itself across bars 6-8, reaching E5 ($\hat{5}$) on the downbeat of bar 8. Apart from its middleground structural function, that is, leading to the first $\hat{5}$ of the fundamental line, this third-line constitutes a middleground version of motive A. As such it unfolds a background interval of a third (C5/E5), which, in this instance, constitutes an interval of the expected A minor tonic triad.

However, even before $\hat{5}$ is reached in the upper voice, the bass has already moved away from A3 (the assumed tonic) to G3 at bar 7 as part of a linear descent ending on the dominant (E3) at bar 11. At the point where G3 enters, the F4 suspension is still present in the left hand, before resolving to E4 at bar 8 (but still over G3 in the bass), doubling the E5 in the upper voice. Therefore, the supposed synchronisation of the tonic bass with $\hat{5}$ and the accompanied resolution of the F4 suspension (motive B) to E4, which would have resulted in the expected A minor tonic triad, has been prevented. Consequently, the actual tonic harmony is still avoided, even to the extent that the surface harmonies of bars 6-8 first bring about the already referred to F major 6/3 harmony, followed by what seems like a dominant seventh of C major at bar 7 and an E minor 6/3 harmony at bar 8, that seems like the mediant of C major. (2)

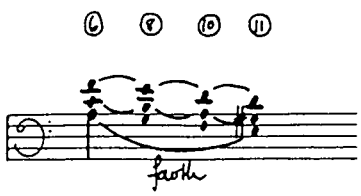
The true meaning of this passage, however, lies in the combined influence of motive B and the element of displacement

brought about by the linear motion of the bass, as well as the nature of the bass motion itself. What results in the process is a series of 7/6 contrapuntal or linear intervallic patterns between bass and upper voice, initiated at the point where the bass started its linear descent. As the F4 is still present at that moment, it, together with the G3 of the bass, causes the apparent dominant seventh chord of bar 7, and with the arrival of E4 still above G3 in the bass, the result is both the E minor 6/3 chord and the resolution of the first 7/6 suspension figure. The chromatic sequence passage that follows (bars 9-10), and the further apparently remote key regions caused by it, {3} are the result of the continued application of the 7/6 pattern in conjunction with the still descending bass, and a surface chromatic element F-sharp3 as part of the linear motion of the bass. The dominant seventh of A minor is subsequently reached at bar 11 with E3, the final note of the descending bass motion.

Essentially, it is the suspension element and the resulting contrapuntal motions that delineate the harmonic/voice-leading profile, not only of the first 12 bars, but of the entire A-section, and consequently also of the entire mazurka, since the overall background tonal structure is represented by the voice-leading content of section A. At the same time, however, the foreground voice leading of bars 5-12 and corresponding places is under the control of the middleground bass motion which takes the form of a descending fourth-line from A3 to E3. Not only does this point to the main tonality of the mazurka, but it also directs the voice-leading from the initial tonic in the background to the various structural dominants. In addition, by

its particular placing within the tonal structure, this fourth-line contributes to the initiation and subsequent continuation of the 7/6 contrapuntal pattern. Stylistically, it is also a reminder of the typical Baroque practice of a descending fourth motion in the bass, effecting a movement from tonic to dominant, and representing the familiar affect of grief. However, what results from the simultaneous presence of the 7/6 contrapuntal patterns with the bass, is a rich chromatic tonal elaboration of an otherwise stereotypical diatonic harmonic/voice-leading model (compare the bars in question of Example 8.13a with Example 8.13b, a reduction of the same passage).

Example 8.13b. Mazurka Op. 17, No. 4, Reduction, Bars 6-12



Returning to the surface melodic motions of bars 5-20, a few additional motivic details deserve comment. Firstly, the D5/E5/F5 motion at bar 7 is a further diminution of the passing tone D5 of the ascending middleground third C5/E5. The F5 octave doubling of the F4 suspension is then embellished by a G5 escape tone before resolving to E5, the final note of the middleground third. In the subsequent chromatic sequence passage, the melodic line consists of two occurrences of motive A, each without a passing tone and inverted, namely, F-sharp5/D-sharp5 and

F-natural5/D-natural5 respectively. These result as the continuation of the escape-tone figure indicated above. Thus, F-sharp5 and F-natural5 follow from E5 and D-sharp5 respectively as surface embellishments of the sevenths in the 7/6 linear intervallic pattern. Secondly, the D5 with which the chromatic sequence passage closes, is subsequently prolonged during the following two bars (bars 11-12) by another appearance of motive A (D5/C5/B4), a retrograde version of the B4/C5/D5 figures which appeared during bars 1-5, but now at a higher structural level. The significance of this motivic figure is that along with E3 in the bass, it serves to prolong the dominant seventh of A minor throughout bars 11-12. Immediately after this (bars 13-14), the original B4/C5/D5 figure again appears in the upper voice and resolves, as before, to C5 (bar 14), along with A4 in the inner voice. This C5 is at the same time the resolution of the D5 which has been prolonged since bar 10 at yet a higher structural level. As a result of this, another third-line is identified, starting with the first $\hat{5}$ (E5) in bar 8, followed by D5 (bar 10) and concluding with C5 (bar 14). This may, in turn, be described as a retrograde version of the C5/D5/E5 linear progression of bars 6-8.

Bars 13-20 are a repetition of the previous 8 bars, but the dominant at the end now resolves to tonic at bar 20: the first actual appearance of the A minor tonic harmony. The effect of this structural cadence, particularly in light of the delaying of the main tonic harmony throughout the preceding bars, suggests another instance of an internally closed tonal structure and resultant linear motion from E5 to A4 for bars 1-20. In the

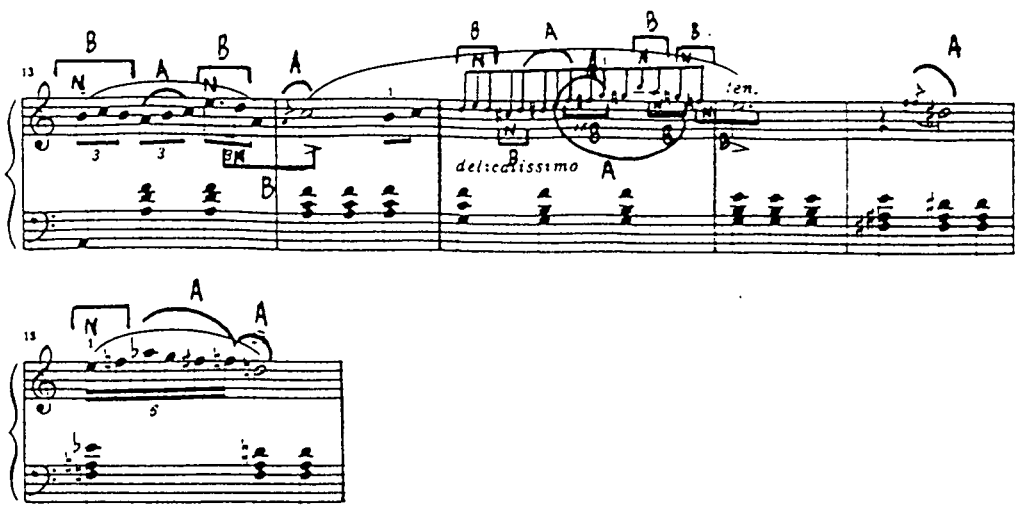
final repetition of the content of section A, the descent from E5 to A4 would constitute the close of the fundamental line. This is the reading of the background and middleground structure generally accepted among Schenkerian scholars (see, for instance, Forte and Gilbert's reading and discussion of Op. 17, no. 4, in the chapter on structural levels in compound and rondo forms in **Introduction to Schenkerian Analysis**, pp. 359-362). However, it is my opinion that there is no descent to $\hat{1}$ at any point during this composition, be it the fundamental line itself, or a middleground replication of it, and for reasons that are essentially motivic. Instead of continuing to C5 and B4 ($\hat{3}$ and $\hat{2}$ respectively), at bar 19, the $\hat{4}$ (D5) of bar 18 is transferred down an octave to become the D4 of the left hand in bar 19, resolving to C4 ($\hat{3}$) in bar 20. This interpretation (presented in Example 8.13a) not only causes a parallelism of the E5/D5/C5 motion of bars 8-14 in bars 16-20, but the latter motion also becomes the controlling background melodic line for these bars, for the various repetitions of section A and ultimately for the entire mazurka.

A second important substantiation for this interpretation is found in the coda and its relation to the rest of the composition (see p. 328 below). Here, two additional supporting arguments may be offered. The first is that the top voice in the left hand of bar 20 displays a motion from C4 to E4 on the second and third beats of the bar respectively. This may be regarded as a surface contraction in retrograde, but without passing tone, of the just completed motion from E5 to C5. The second argument concerns the C6 of bar 19, which, in the currently accepted reading of the

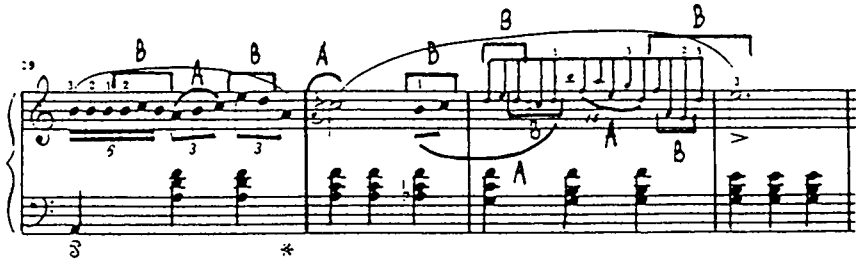
background structure, would represent $\hat{3}$. Although it is prominent in the voice leading due to the emphasis placed upon it by register transfer, it does not have adequate harmonic support, since it lies already within the dominant and therefore gives the impression more of a registrally displaced accented passing tone between D5 and B4 (the supposed $\hat{2}$). This, in turn, results in the motion D5/C6/B5, transferred to B4 (the retrograde of B4 to D5).

No detailed discussion of the variation procedures in section A will be attempted, but it should be pointed out that in each case, the additional surface diminutions may be derived from both neighbour-note configurations and chromatic versions of motive A, the latter arising from the chromatic motion in the main theme during bars 9-10. Two instances may illustrate this dependence of the variation procedure on the main motivic configurations of the piece (see Examples 8.14a and b).

Example 8.14a. Mazurka Op. 17, No. 4, Bars 13-18



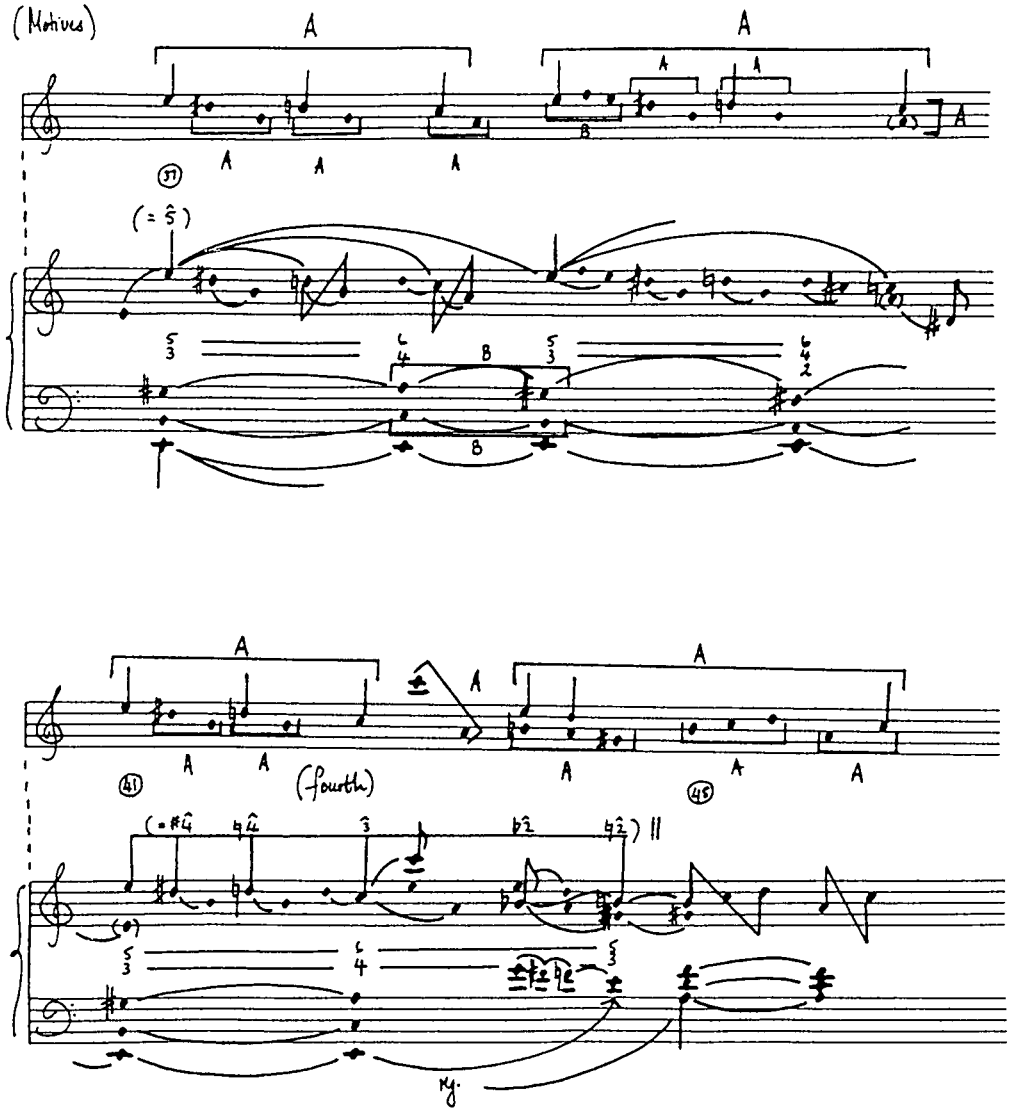
Example 8.14b. Mazurka Op. 17, No. 4, Bars 29-32



The middle part of section A (bars 37-44, graphed in Example 8.15), is situated entirely on the dominant: a drone-like E2 pedal point in the bass supports contrapuntal 6/4-5/3 configurations above it. The melodic line consists of a fusion of the different versions of motive A. Firstly, there are the repeated descending motions E5/D5/C5, also including the chromatic note D-sharp5 previously found in bars 9-14 and 17-20. At the same time, following from the middle notes D-sharp5 and D-natural5, surface unfoldings D-sharp5/B4 and D5/B4 occur, retrograde versions of the original B4/D5 figure. Thereupon C5, the concluding note of the third-line, is followed by A4, causing a retrograde version of the original A4/C5 motion of bars 5-6 and corresponding places. Thus, the original pattern of unfolded thirds (B4/D5;A4/C5) is present in the middle part of section A, but inverted.

Because of the prevailing dominant harmony, the structural function of these unfolded thirds differs from that in the preceding bars of section A. Here, D5/B4 is the more stable element, while C5/A4 which initially constituted the resolution of B4 and D5, becomes a 6/4 double suspension above the stationary dominant in the bass.

Example 8.15. Mazurka Op. 17, No. 4, Foreground Graph, Bars 37-46

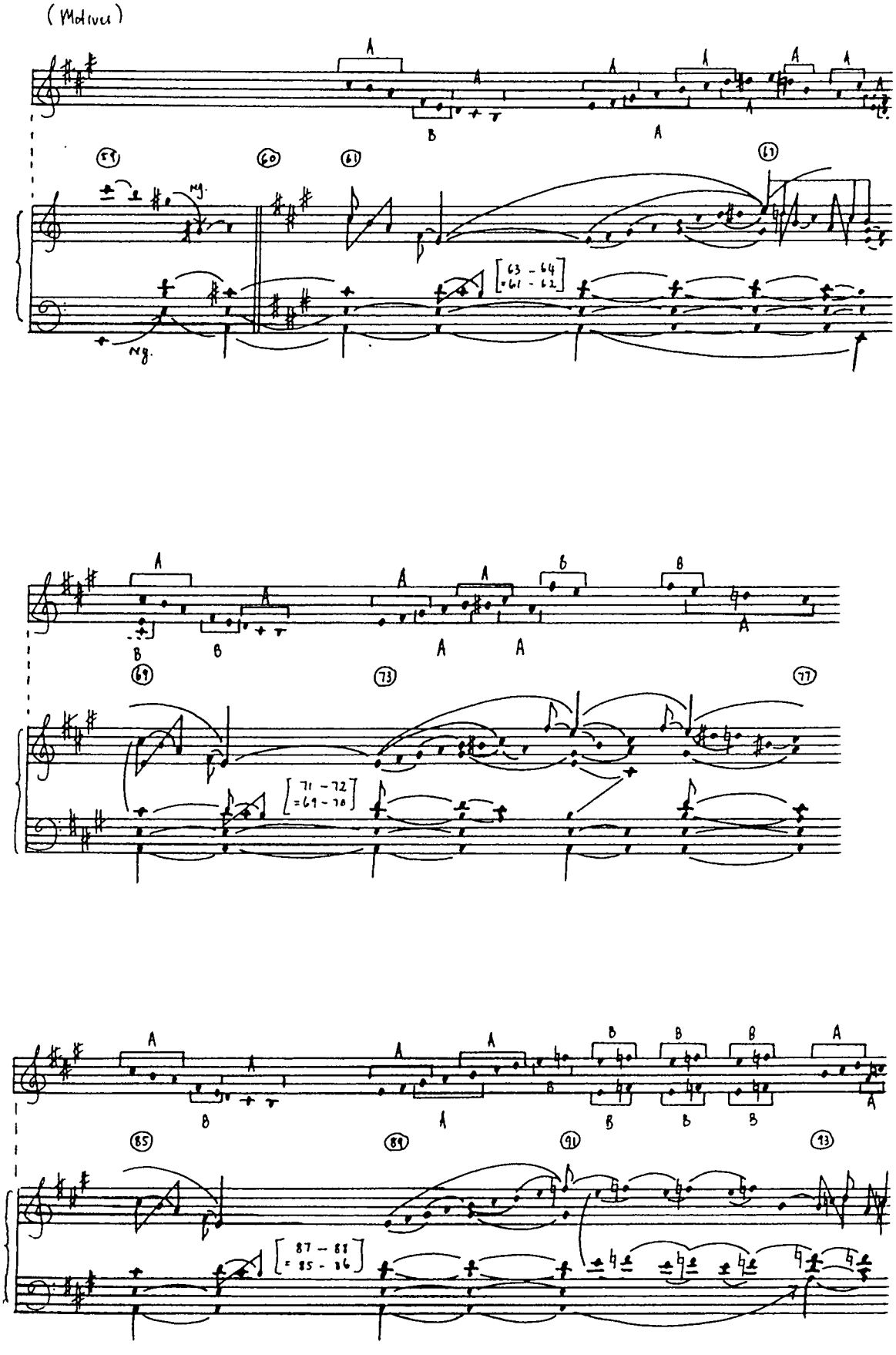


A few additional voice-leading details in this section also warrant comment. Firstly, the prominent appearance of D-sharp4 in the right hand, together with the F-sharp3 of the left hand at bar 40, is related to the same notes occurring in bar 9 and corresponding places. The same also applies to the D-sharp5 chromatic tone within the E5/D5/C5 progressions already noted. Secondly, the appearance of C6 in bar 42 alludes to the same

pitch as the registrally displaced accented passing tone in bar 19. Finally, in bars 43-44 we encounter the figure B-flat4/A4/G-sharp4, a partial contracted version of the inner-voice motion B/A-sharp/A-natural/G-sharp in the left hand of bars 8-11. Therefore, bars 43 and 44 may be regarded as surface contractions of the essential voice-leading motions of bars 8-11 and corresponding places. This is substantiated further by the fact that the bass motion in these bars (the same as the original linear descent of bars 8-11) has been placed an octave higher (G4/F-sharp4/F-natural4/E4) to follow from the A4 inner voice of bar 42.

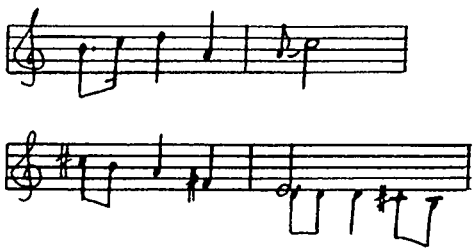
The Trio (bars 61-92) follows immediately at the point where the A minor tonic tonality is established again at the end of section A, and is in the parallel major key (the result of mixture being applied to the inner voice C5, becoming C-sharp5). This form section, along with the opening four bars of A', is graphed in Example 8.16. The most striking difference between the Trio and section A is the fact that the tonic tonality remains firmly established throughout, in contrast to section A where, as was shown, it is not stated properly until the structural cadences, and the middle part of section A, where it is completely absent.

Example 8.16. Mazurka Op. 17, No. 4, Foreground Graph, Bars 59-93

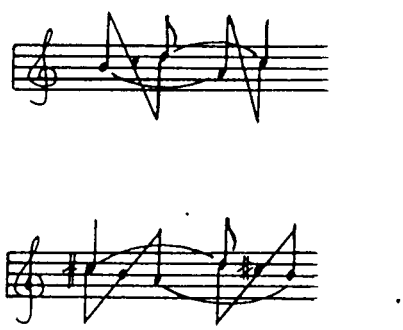


Firstly, the melodic line of bar 61 presents the motion C-sharp5/B4/A4, followed by D4/C-sharp4/B3 in what seems to be an alto voice in bar 62. (4) At the same time, there is a motion from F-sharp4 on the third beat of bar 61 to E4 on the downbeat of bar 62. Comparing these bars to the opening two bars of section A, a most ingenious relationship can be traced. The unfolded thirds in bar 61-62 are retrograde versions of those of bars 5-6. The neighbour-note motion F-sharp4/E4 is the major mode version of the original motion from F4 to E4 in bars 5-8. Examples 8.17a and b show this correspondence.

Example 8.17a.



Example 8.17b.



There is, however, a further important aspect: the opposite situation emerges in terms of harmonic/voice-leading function.

Together with a tonic drone-bass fifth in the left-hand accompaniment, the third C-sharp/B/A immediately establishes the A major tonality of the Trio. This causes the following D/C-sharp/B figure to represent a motion away from the tonic instead of delaying it, as was the case during section A.

Continuing with the rest of the melodic line of the Trio, bars 65-67 present a coupling from E4 to E5 filled in by a stepwise motion which may, in turn, be interpreted as a connected chain of motivic thirds, the last one also including the chromatic tone D-sharp. This is followed in bars 67-68 by two foreground unfolded thirds D5/B4 and A4/C-sharp5, a subtle reference to the opening of the Trio. Furthermore, the content of bars 65-68 can be related to that of the middle part of section A, the latter opening with the same motion from E4 to E5, as well as the D5/B4 and C5/A4 surface unfoldings, and even the condensed chromatic third E5/D-sharp5/D-natural5, but now in the opposite direction in the Trio (compare the relevant sections in Examples 8.15a and 16).

After the repetition of bars 61-64 in bars 69-72, bars 73-74 present a stepwise motion from E4 again, but now concluding on C-sharp5 instead of the coupling to E5. This may be regarded as a development by inversion of the thematic material of bars 61-62 (5) (these bars being repeated constantly throughout the Trio). This idea is then developed further by bringing in E5/C-sharp5 in bar 75 to answer the ascending sixth, and expanding the third E5/C-sharp5 through the passing tone D5 in bars 76-77 (note also the chromatic passing tone D-sharp5 at this point in the score). These thirds are related again to those found during section A.

Finally, the two repetitions of the neighbour figure F-sharp/E (bars 74-76) are of significance, although now appearing in the obligatory register of the background, as well as being connected to the two descending thirds just mentioned. This neighbour figure is a subtle forerunner of what is to come at the end of the Trio. Here not only the tonal climax of the Trio, but also that of the entire mazurka is reached.

After a literal repetition of bars 61-72 in bars 77-88, bar 89 begins with the same stepwise motion from E4 to E5 as in bars 65-67. However, the melodic motion exceeds the previous registral boundary of E5 dramatically, to reach its final goal F5 in bar 91, doubled by F4 in the left hand. This F5 proves to be the same neighbour-note suspension of section A. It also appears significantly at the end of the Trio and on a dominant harmony above the still present tonic drone bass. The resulting sonority at this point causes a tremendous harmonic/voice-leading tension. This is followed by the reprise of section A, once again taking as its starting point the same suspension of the tonic tonality. In fact, closer scrutiny of the similarity between the sonority immediately preceding A' and the ones at the beginning of the introduction and of section A reveals that, except for the fifth element in the tonic drone bass and the leading tone G-sharp4 in the final sonority of the Trio, the rest of the elements of these sonorities are exactly the same.

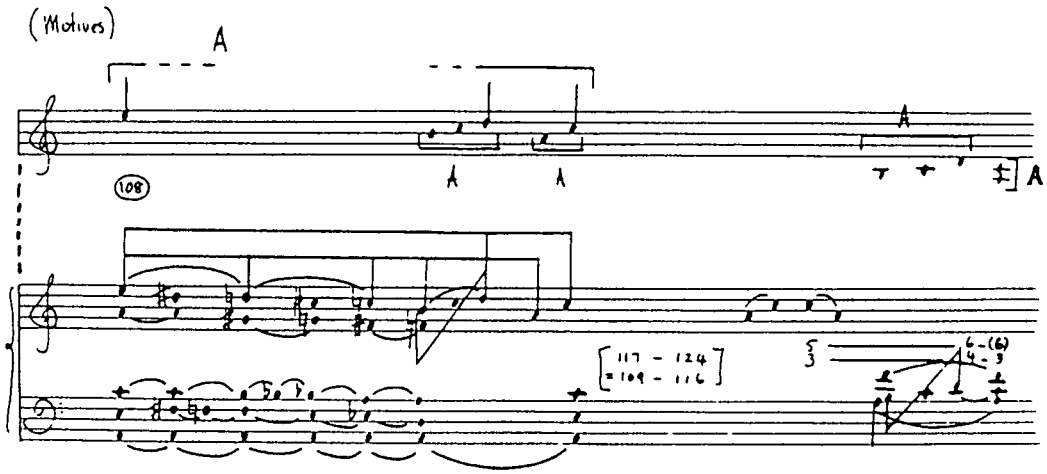
Thus, what results at the end of the Trio is the simultaneous incapsulation of three elements: 1) the reinstatement of the original neighbour-note suspension (motive B); 2) the dominant harmony above which it occurs; and 3) the still present tonic

tonality at a deeper level through the drone, which, in turn, causes the dominant itself to be a suspension harmony. At the same time, the tones of the initial unfolded third B/D of the introduction and section A are of course also part of this chord-constellation, and significantly, part of the dominant suspension harmony. This fact, together with the F5 suspension, enables the reprise of section A to evolve out of this tension-filled sonority.

The tonal-structural significance of the F suspension at the end of the Trio and the start of A' is demonstrated in two ways. Firstly, it is emphasised through the surface E5/F5 motions of bars 91-92, and then retained without repetition as F4 in the left hand until its resolution to E4 and E5 at bar 96. Thereafter, the rest of A' follows the same tonal-structural pattern as did section A, namely, presenting a composed-out delay of the tonic tonality via the motivic contrapuntal suspension figures in conjunction with the bass motions, until the structural cadence at bar 108 which closes A'.

The structure of the coda (bars 109-132) is also influenced by the main motivic elements, in particular, the various versions of motive A (see Example 8.18).

Example 8.18. Mazurka Op. 17, No. 4, Foreground Graph, Bars 108-132



The essential melodic motion of the coda comprises a descending linear progression from E5 to A4 in the upper voice over a tonic pedal point in the bass which is related to the drone bass of the Trio, and accompanied by parallel motions in the inner voices. However, connected to the final two notes of this progression (B4 and A4), are the two original thirds (B4/C5/D5 and A4/C5) of bars 5-6. In fact, bars 115-116 in which these thirds reappear, not only repeat the essential voice-leading motions of bars 5-6, but also constitute exactly that which was originally expected in these bars, namely, a resolution to the tonic harmony, this being created here by the still present tonic pedal point. At the same time, an additional covering progression is created by the upper components of the two unfolded thirds (D5 and C5), which, connected to the E5 upper voice of bar 108, produce the motion E5/D5/C5 (a reminder of both the middleground and background versions of motive A and the

background melodic motion of the entire mazurka).

At the end of the repetition of bars 109-116 in bars 117-124, a four-bar extension of the second group of 8 bars appears, comprising two additional statements of the final third A4/C5, the second being a retrograde version of the first (C5/A4). Not only does the latter relate to the treatment of the same figure in the Trio as well as in the middle part of section A, but it also serves to counteract the influence of the additional covering progression by diverting the attention to the final note of the descending fifth-line. Nevertheless, what follows in the final four bars of the piece can still be related to the feeling of incompleteness created by the covering progression.

The mazurka subsequently closes with the four bars of the introduction, thereby leaving the work in the same tonally enigmatic state in which it began, with the special note F4 still sounding at the very end. (6)

Summary

The effect of the two main motivic elements in the tonal structure of this mazurka may be summarised as follows: through the suspension element (motive B) and the resulting 7/6 contrapuntal motions which arose from its continued application along with the element of displacement caused by the bass throughout the various versions of the main-theme period, there has been a constant delay of the tonic. The latter is only reached literally once the contrapuntal suspension figures came to an end at the structural cadences. However, the fact that the

tonic is already implied during these foreground voice-leading motions is further attested to by the presence of the various versions of motive A, especially those forming part of the A minor tonic triad (A/C and C/E and their respective retrograde versions). In fact, these particular linear motions play a decisive role in establishing the background control of the tonic, since, contrary to the other thirds being purely foreground or surface elements, they are employed in the middleground, and in the case of E5/C5, as far back as the fundamental structure itself. Although the first unfolded third B4/D5 does not form part of the tonic triad, it nevertheless strongly suggests it, since B and D are themselves neighbour-note suspensions of A and C, the root and third of the A minor triad respectively.

The need for a satisfactory tonal balance within the mazurka--that is, where the delaying of the tonic harmony during the A-sections can be effectively counteracted by a substantial portion of the music being firmly rooted in the tonic tonality--is provided in the Trio. This situation is once again clarified by the motivic structuring, in particular, the retrograde application of the original unfolded thirds. Furthermore, while the suspension figure first operated within the continued contrapuntal motions of section A, its major mode version in the Trio has only an ornamental or surface embellishing role. As a result, greater emphasis is placed on motive A in the Trio. It is only at the end of the Trio that the original suspension reappears, providing the tonal climax of the mazurka and preparing the way for the reprise of section A.

Thus, a remarkable feature of this mazurka is the constant interconnectedness of its tonal processes with the treatment of motives. (7)

Conclusions

In the foregoing analytic presentations, two conclusions concerning the influence of motivic design on tonal structure can be drawn: 1) Motivic elements can play a decisive role with regard to the creation and development of harmonic/voice-leading content, and 2) the way in which specific motivic voice-leading figures operate in a mazurka can influence its tonal-structural character and design.

NOTES

1. The authenticity of the simultaneous appearances of B-flat and A-natural in bars 26 and 30 is supported by the original version of Op. 7, no. 4, appearing as the first mazurka (Op. 7, no. 4a) in the supplement to the Henle edition of the Chopin mazurkas.

2. A thorough account of the nature and function of each of the harmonies in the chord-to-chord progressions of bars 5-12 is given by Joel Lester as part of a model analysis of the first 20 bars of this mazurka in the chapter on chromatic practices in Vol. 2 of his **Harmony in Tonal Music** (New York: Alfred A. Knopf,

1982), pp. 181-184. In this regard, he refers to the incomplete resolution of non-harmonic tones which gives rise to chords that seem about to function diatonically, but then function either chromatically or enharmonically. He illustrates these observations by pointing out the initially expected functions and/or resolutions of the different surface harmonies and how these subsequently turn out.

3. Lester also provides an explanation of fleeting references to distantly related keys during bars 5-12 of this mazurka.

4. In fact the D4 of the second unfolded third follows from the C-sharp5 of first in the upper voice. Therefore, the unfolded third of bar 62 must be regarded as a continuation of the upper voice, but placed in the lower octave due to it following from C-sharp4 which is merely a doubling of C-sharp5.

5. Forte and Gilbert, **Introduction to Schenkerian Analysis**, 360.

6. Ibid., 362.

7. I am indebted to my Promotor, Prof. David Neumeyer, for this illuminating observation.

CHAPTER 9

THE INFLUENCE OF MOTIVIC DESIGN AND TONAL STRUCTURE ON FORM

Before determining the influence of motivic design and tonal structure on form in the mazurkas, it is necessary to give a brief overview of Schenker's concept of musical form, since it is intimately associated with harmonic/voice-leading development and, by implication, with the main topics under discussion in this dissertation.

In Chapter 5 of **Free Composition**, Schenker presents a cursory outline of a new form theory (one which was apparently meant to be presented in full in a separate instruction book on form). (1) With this essay, Schenker's object was to demonstrate how form in music is bound up with the notion of organic coherence, achieved through the concept of voice-leading development from background to foreground. Thus, in Par. 306 he refers to form as "the ultimate manifestation of that structural coherence which grows out of background, middleground and foreground". For Schenker, therefore, form is not the result of the large scale articulations and divisions of a work, nor is his theory of form based on considerations of phraseology or thematic or motivic relationships. (2) Rather, it is a result of tonal structure, originating in the background, from where it is developed and articulated through the various prolongations and diminutions within the process of composing-out from the fundamental structure to the foreground. What Schenker describes as "that structural coherence" refers to the process of hidden repetition,

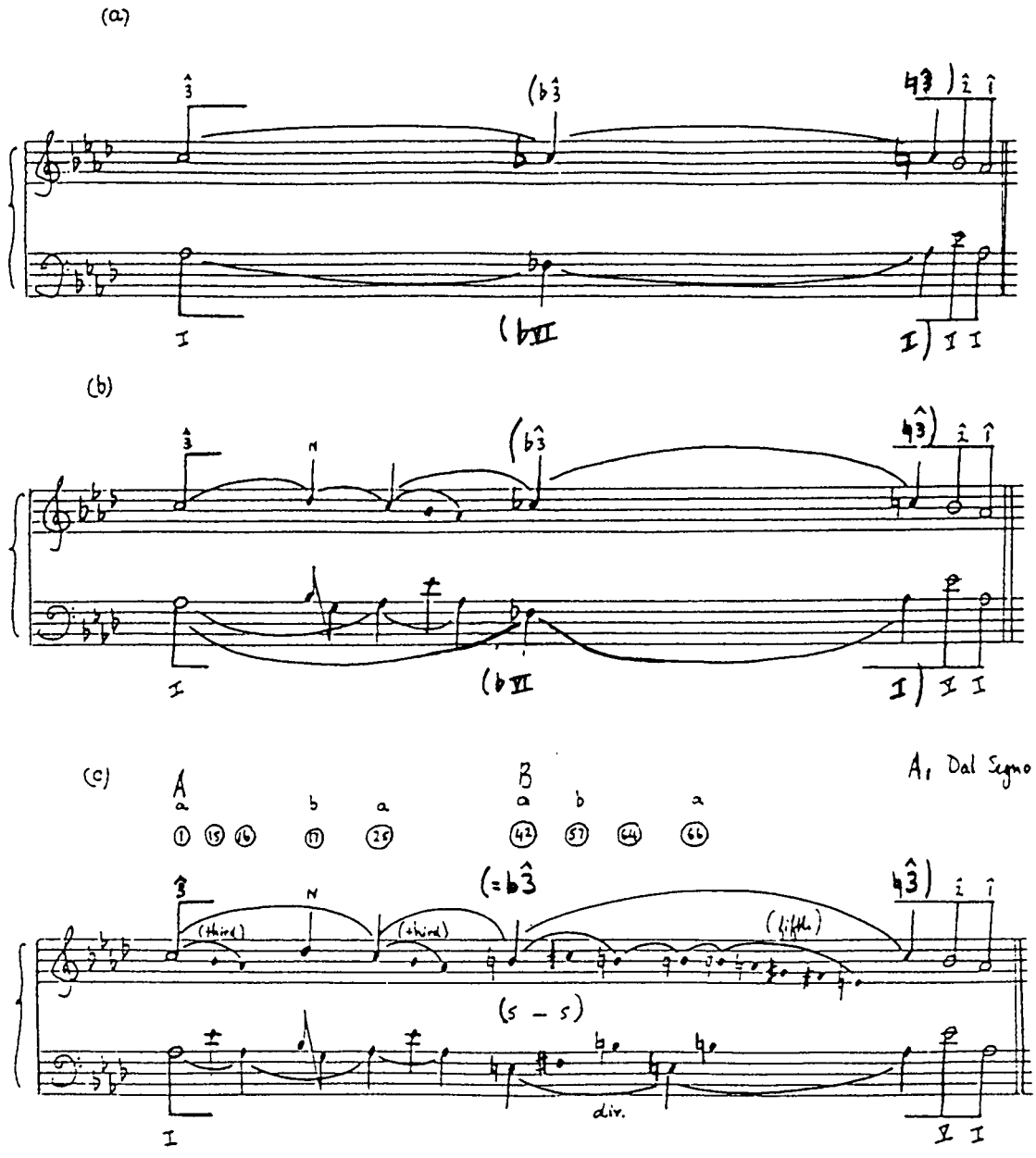
by which a specific background diminution is "reflected" at a subsequent level of structure and generates further diminutions at still later levels. Traditional form categories are accordingly designated as belonging to the foreground or late middleground. Schenker begins Par. 306 by stating that "all forms appear in the ultimate foreground; but all of them have their origin in, and derive from, the background".

A Demonstration of Schenker's Form Theory from the Mazurka Op. 17, No. 3

To demonstrate this concept of musical form, Op. 17, no. 3 may be considered to see how sectional form is generated by specific background and middleground diminutions and their subsequent prolongations. Example 9.1a is a presentation of this mazurka in three stages of voice leading from background to late middleground; Example 9.1b is a middleground/foreground graph of the first sixteen bars.

Level a represents the background, comprising the fundamental structure plus a first-order diminution, the mixture of $\hat{3}$. The result is a large three-part division of both the tonal and formal structure. This comes about through the fact that $\hat{3}$, being prolonged in the fundamental structure, is replaced by flat-$\hat{3}$, which itself is prolonged at the next level, followed by the return of $\hat{3}$ and its prolongation up to the final two bars, whereupon the fundamental line closes. In this instance, therefore, a straightforward correspondence results between the background tonal structure and the overall form design.

Example 9.1a. Mazurka Op. 17, No. 3



Already at this stage, the role of prolongation and diminution with regard to both formal articulations and content is clear: the prolongation of $\hat{3}$ and flat-$\hat{3}$ represents the large A and B-sections respectively, while the close of the fundamental line represents the broad melodic content of A.

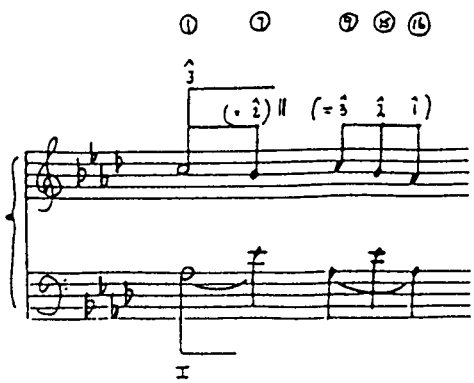
Level b introduces a second diminution, namely, the upper neighbour of $\hat{3}$; its prolongation results in the internal b-section within A. In addition, an internal third-line, replicating the overall third of the fundamental line, is included here, indicating the internally closed tonal structure of A as well as its overall melodic content. At the same time, this middleground replication of the fundamental line represents an instance of hidden repetition, which, in this case, also attests to the organic and motivic relationships between various form sections.

Level c (a middleground $\hat{2}$) already suggests the formal design of this mazurka, namely, compound ternary, consisting of a large ABA structure, with each section containing a simple ternary form structure that is complete in itself. {3} The ternary structure of section A was already indicated at level b; level c now presents a third form-generating diminution operating within the Trio, namely, the prolongation of the dominant in the bass arpeggiation I-V-I, resulting in its internal b-section. {4} Interestingly, yet another neighbour diminution operates in conjunction with the prolongation of V in the bass, resulting in the overall motion from $\hat{5}$ of the Trio to its upper neighbour and back, hence the inclusion of this neighbour note along with the pre-dominant in the bass. The importance of this motion is that

a parallelism is created with the overall melodic motion of the large A-section, suggesting another organic motivic relationship. Finally, the descending fifth-line within the prolongation of flat-$\hat{3}$ indicates again both the closed tonal structure and essential background melodic motion of the Trio.

Completing this brief overview of the form-generating processes in Op. 17, no. 3, Example 9.1b presents a graph of bars 1-16 comprising the first part of section A.

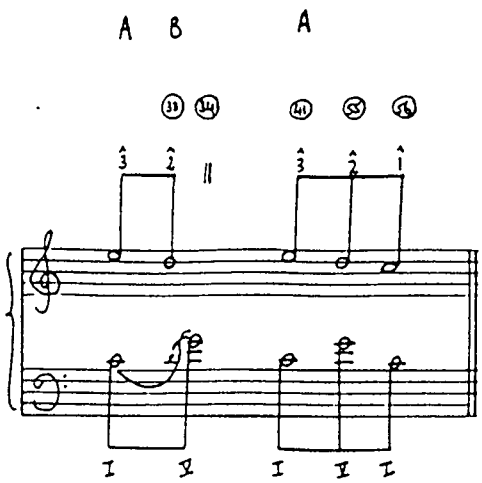
Example 9.1b. Mazurka Op. 17, No. 3, Middleground Graph, Bars 1-16



For the present, these bars will be viewed as if they were a separate composition, which would therefore have been recognised as having a unitary form structure in the traditional manner. However, looking at the score of this section, it is clear immediately that they represent an antecedent/consequent construction, and thus, in a sense, a binary form division. In the graph at Example 9.1b, this division is effected by a middleground/foreground interruption, appearing at bar 8. The interruption is viewed by Schenker as the principal means of

creating a two-part division of the tonal structure, hence its frequent appearance in background structures of typical binary dance forms of the Baroque era (though it also appears in pieces in ternary and sonata form). In the former--and also in the first sixteen bars of Op. 17, no. 3--there is still a correspondence between tonal and formal structure. However, this is not the case in the ternary form, because of the prolongation of $\hat{2}$, resulting in the contrasting B-section, or in the case of sonata form, resulting in the development section. One such an example from the mazurkas in which the prolongation of $\hat{2}$ brings about a ternary form design, is Op. 67, no. 3 (see Example 9.2).

Example 9.2. Mazurka Op. 67, No. 3, Background Graph



Schenker recognises the problem with the form-creating capabilities of interruption when he states (in Par. 310 of **Free Composition**) that division--by which he means not only the interruption, but also the dividing dominant in the bass--plays the most important role in three-part form, even though at the first level it brings binary characteristics to the fore, as a consequence of $\hat{3}$–$\hat{2}$]] $\hat{3}$–$\hat{2}$–$\hat{1}$ or $\hat{5}$–$\hat{2}$]] $\hat{5}$–$\hat{1}$. In her article on form in the finale of Haydn's string quartet Op. 64, no. 5, Susan Tepping points out that, in spite of an interruption in the background structure of this movement, it nevertheless maintains its three-part form design for several other reasons, including structural ones. As part of her conclusions, she makes the following general observation:

> Form is reflected here in the foreground and middleground, but while the form is closely connected with the tonal structure of the movement, it is not identical with it. {5}

Instead of viewing form primarily as part of the tonal structure, form and tonal structure are treated as separate, but interactive elements. This viewpoint, however, will not minimise the importance of the various diminutions as part of the process of form generation, and especially those playing an important role as motivic and organically unifying elements. Form design is separate, but the degree of interaction can be very high and can itself be a stylistic feature of the music. {6}

Mazurka Op. 56, No. 3

The analytic illumination of this mazurka focuses specifically on the role played by motivic design and tonal structure with regard to formal unification, relationships and content. The work has a four-part form design with coda; the third part is subdivided into three sections and the coda into four (see the form scheme below).

A: bars 1-48

B: bars 49-72

C: bars 73-136 with the following subdivisions:

a: bars 73-88

b: bars 89-120

a': bars 121-136

A': bars 137-188

Coda: bars 189 to the end, with the following subdivisions:

Da: bars 189-204

Db: bars 205-212

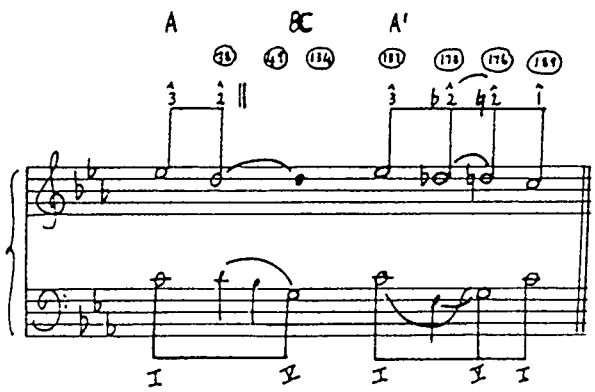
Dc: bars 213-216

Dd: bars 217-220.

The tonal structure includes a fundamental line from $\hat{3}$ with an interruption, creating a large two-part tonal division. Section A is represented by $\hat{3}$ and I while both sections B and C are represented by the interruption, but with B-flat (flat-VII of C minor) in the bass, causing what seems to be a remote key region for these form sections. This B-flat, however, constitutes the

third degree of a descending V-III-I bass arpeggiation within the dominant under $\hat{2}$, V itself being reached only in the bass at the end of section C. Therefore, a unified tonal relationship between the B-flat key region and the main tonality of the piece is established, since the former becomes part of the prolongation of the dominant and $\hat{2}$ in the background. Section A' is represented again by $\hat{3}$ and I, as well as the close of the fundamental structure, whereupon the coda follows, prolonging the final $\hat{1}$ and I (see Example 9.3, a background graph of the entire mazurka, indicating the main form sections).

Example 9.3. Mazurka Op. 56, No. 3, Background Graph

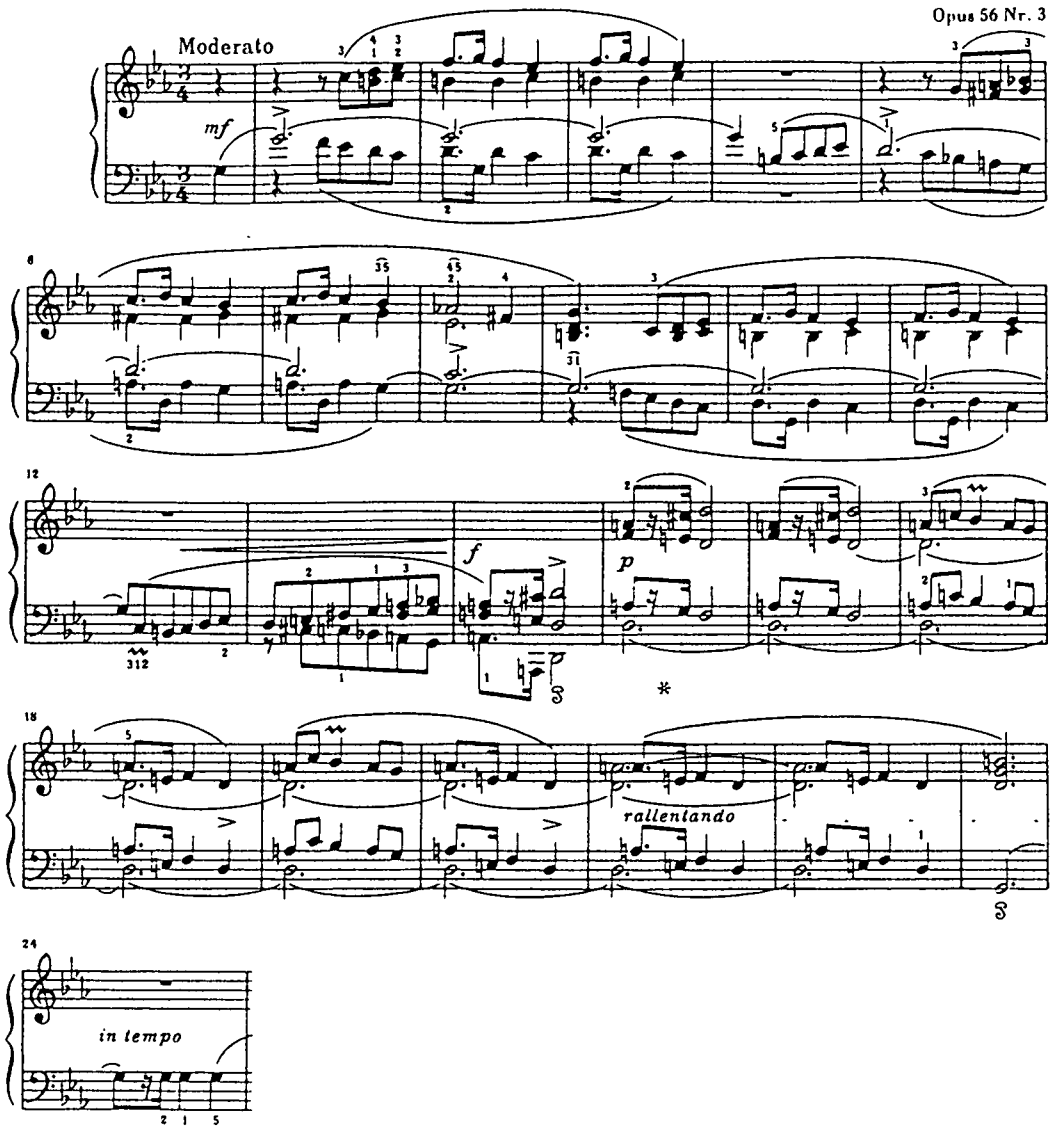


The voice leading of each form section reveals a constant network of specific motivic/melodic configurations, interacting with one another in a variety of ways, and producing an extremely economical and tightly unified overall voice-leading design. Three principal elements can be identified: 1) an upper neighbour configuration, involving the third of the tonic, or of other prolonged harmonies, accompanied by a lower neighbour configuration in an inner voice, involving the root of the tonic

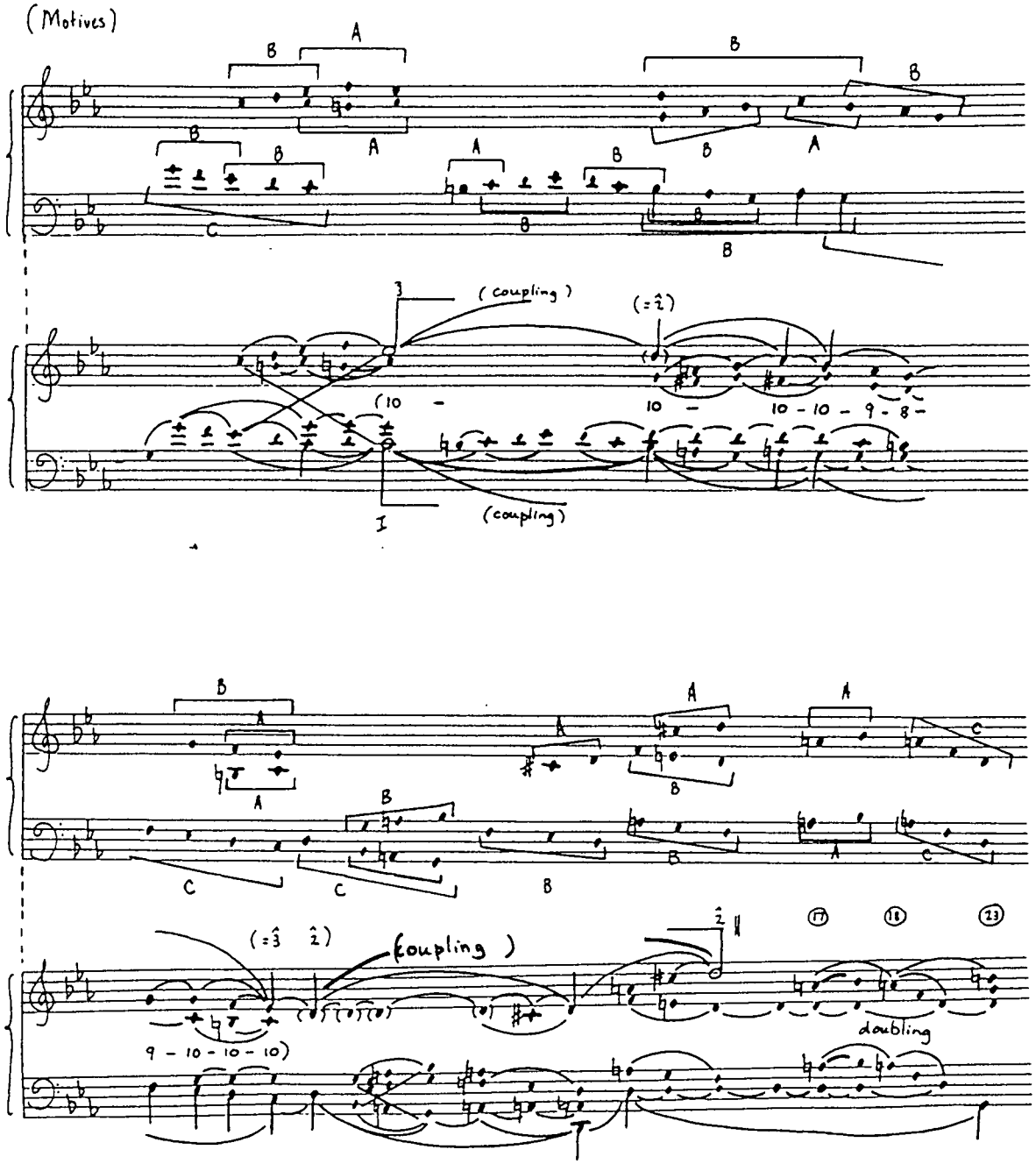
or of other prolonged harmonies; 2) a line of a third (ascending or descending), related to the fundamental line itself, which comprises a third; and 3) ascending and descending arpeggiation figures, appearing either directly or embedded within surface voice-leading activity, which may be related motivically to the large structural bass arpeggiation within the dominant and $\hat{2}$. In the analytic graphs and score examples these configurations will be labeled in the order of their presentation above as: A, B and C. Also, only those motivic configurations mentioned above that do not already appear in the graphs will be indicated in the score examples. A further prominent voice-leading feature encountered throughout the mazurka is the interplay or coupling of registers, effected either through an octave-line or surface linear motions consisting of successions of filled-in thirds connected to each other.

Example 9.4a presents the score of bars 1-24 of section A; this is followed by a graph of the same bars (Example 9.4b). This procedure (the pairing of score and graph) will be adopted here to demonstrate more fully the relation of the many surface details to one another and to the underlying voice-leading, since many surface events are often too complex and detailed to be included in a single foreground graph without destroying the main purpose of such a graph, namely, to show underlying voice-leading patterns in a clear manner.

Example 9.4a. Mazurka Op. 56, No. 3, Score, Bars 1-24



Example 9.4b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 1-24



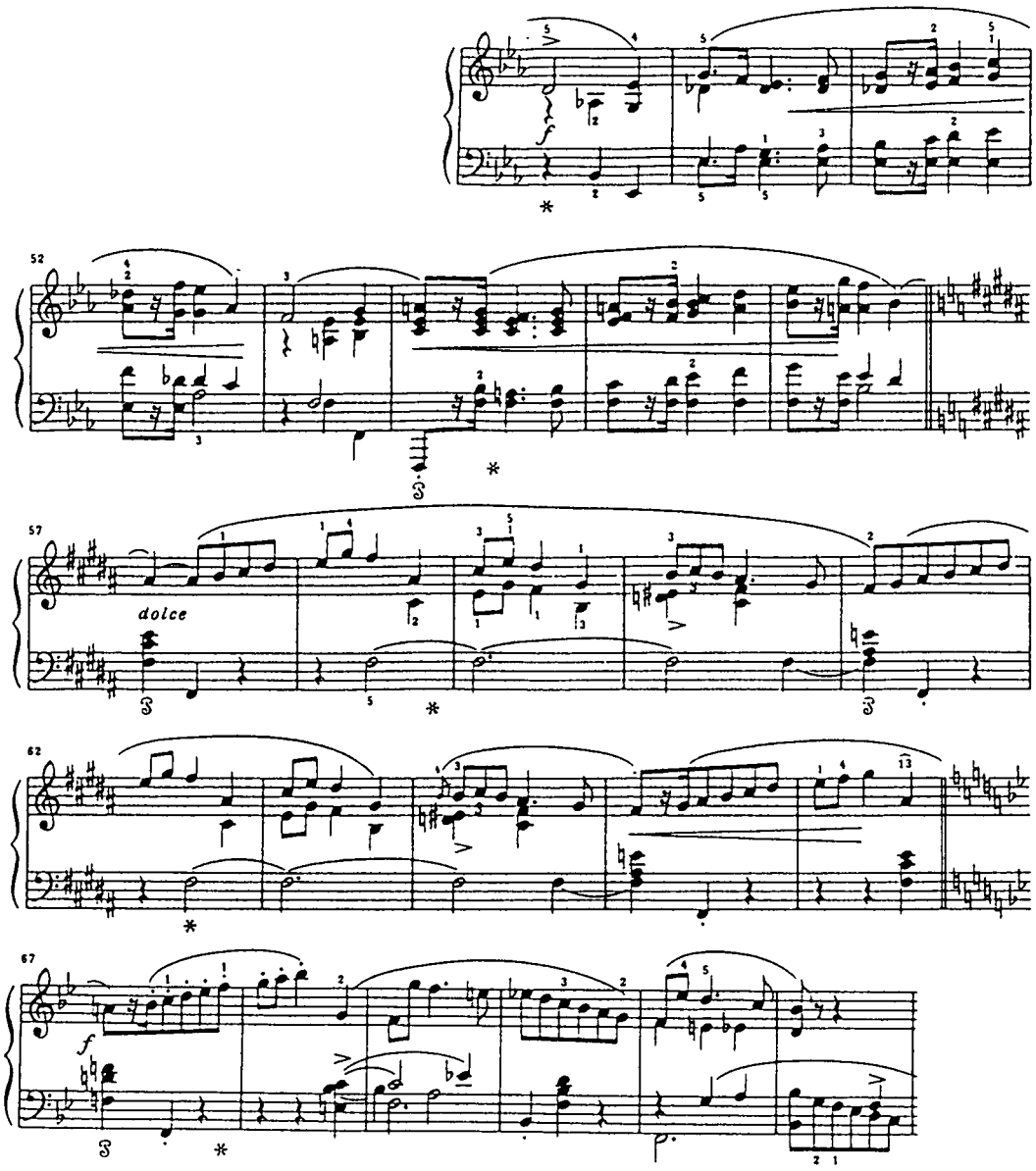
The opening melodic idea of section A comprises an ascending third in the upper voice, accompanied by two descending thirds in the bass, filling in the tonic triad. This is followed by the upper neighbour of $\hat{3}$, accompanied by the lower neighbour of the first degree of the tonic triad in the alto. Note also the slightly higher level third in the bass as a result of the voice-exchange pattern. The way in which the tonic triad is filled in, that is, by two descending thirds instead of a descending fifth, causes its third element to be emphasised along with the fifth and root, bringing about the first hidden appearance of the descending arpeggiation figure. The same situation also occurs within the dominant harmonies (bars 5-8 and 13), the notes involved being the same as those of the large dominant arpeggiation in the background, hence the corresponding minor quality in each case. Apart from the neighbour-note configuration and ascending third-line connecting to, and embellishing $\hat{3}$, the latter is prolonged further by being presented in two distinct registers, coupled to each other through a descending octave-line in the bass along with a motion, mainly in parallel tenths, in the upper voice. The neighbour configuration and third-line also appear as embellishments to some of the tones of the octave-line and its upper-voice accompaniment.

After the first twelve bars in which $\hat{3}$ and I are prolonged in the middleground, there is a motion to $\hat{2}$ and II. Apart from the hidden occurrence of the descending arpeggiation figure at bar 13 already cited above, there is also the motion F4/E4/D4 in an inner voice, repeated three times during bars 13-16. The

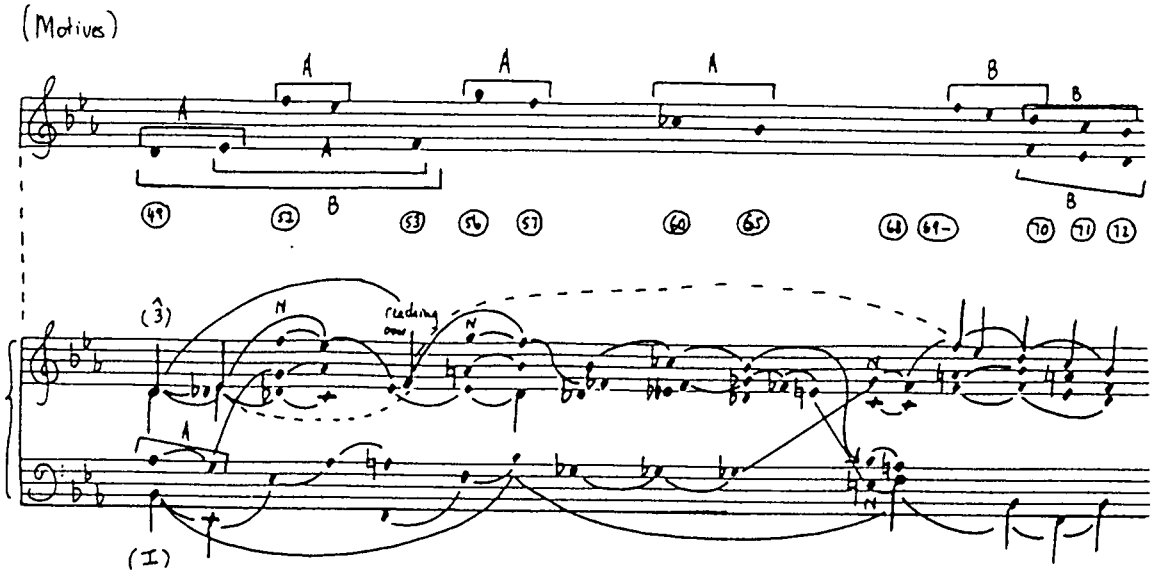
significance of these notes will become clear shortly. The section ends with an eight-bar codetta still within II of C minor, the first six bars of which, consisting of an upper neighbour configuration involving the fifth degree of the D minor triad, and the first direct appearance of the descending arpeggiation figure, which, in view of its resemblance to the large dominant bass arpeggiation to follow, may be regarded as an anticipation of the latter. A further significant point concerning bars 13-24 and its relation to the large prolongation of $\hat{2}$ is that the motion from II to V during bars 13-24 is expanded within the prolongation of $\hat{2}$. Even this is anticipated by the unusually long surface prolongation of the pre-dominant harmony during bars 13-22. Finally, note also the registral shift from the lower octave back to the obligatory register from bars 14-15. The content of the first twenty-four bars is then repeated in bars 25-48, but instead of the dominant resolution at the end, the music remains within the pre-dominant area, thus heralding the large prolongation of $\hat{2}$ and the start of a new form section (see the score of bars 45-48).

Examples 9.5a and b respectively, represent the score and a graph of bars 49-72, comprising section B.

Example 9.5a. Mazurka Op. 56, No. 3, Score, Bars 49-72



Example 9.5b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 49-72



Underlying the voice leading of the first eight bars is the third-line D/E-flat/F, a retrograde version of the one already encountered in the inner voice during bars 14-16, but now in a slightly altered form due to the local B-flat major harmony. Comparing the graph to the score, note how the voice leading is initiated from D4 in bar 49, and then goes on to prolong E-flat and F (bars 49-52 and 52-56 respectively, by means of registral motions effected through chains of filled-in thirds, underneath which an ascending arpeggiated motion can also be traced. The result is a coupling from E-flat4 to E-flat5 and F4 to F5 respectively, both notes in the fifth octave being preceded by an upper neighbour. Note further that D4, which precedes E-flat4, is not only its lower neighbour in the immediate context of bars 49, but is also accompanied by a motion from A-flat3 to G3 in an inner voice--the former, an upper neighbour of the latter. This

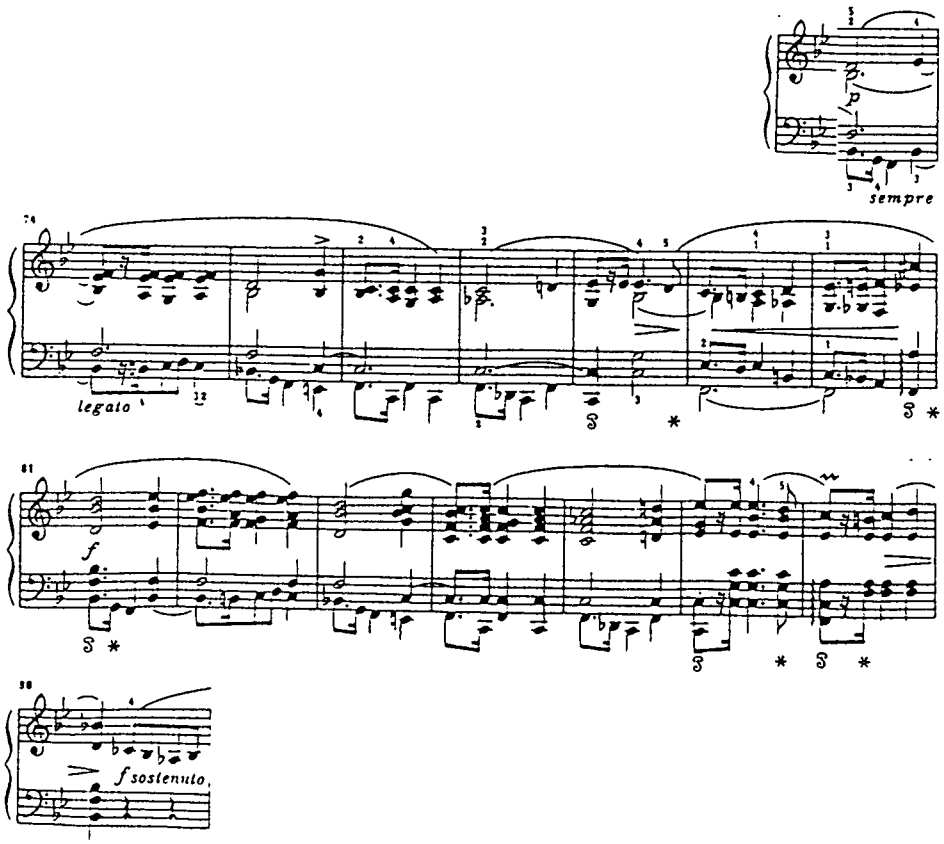
upper/lower neighbour-note configuration constitutes a reversed form of the one in the opening bars of section A. Upper/lower neighbour configurations also occur in the inner parts during bars 49-56 as a result of the local V-I harmonies supporting both E-flat and F in the upper voice--a fact which is substantiated by the expressive surface suspensions in bars 52 and 56.

A complex network of surface voice-leading configurations is presented in the next 12 bars (bars 57-68), consisting of filled-in registral motions, hidden ascending arpeggiation figures and contrapuntal imitations, prolonging an upper neighbour G-flat3 in the bass, together with a lower neighbour E4 in the upper voice and an inner voice B-flat4, placed above E4 in the graph due to the motion from F to E effected by register transfer. (7) Note also the chromatic exchange figure, resulting in the G-flat of the bass becoming G-natural in the upper voice and E4 in the upper voice becoming E3 in the bass. Section B closes with what seems to be a fifth-line from F5 to B-flat4 in the upper voice, but which, in reality, again comprises two successive filled-in thirds: the first F/E-flat/D, the retrograde of D/E-flat/F, and the second D/C/B-flat, the background melodic line of section B. At the same time, this corresponds to the successions of thirds in the left hand during section A, resulting in another hidden descending arpeggiation figure.

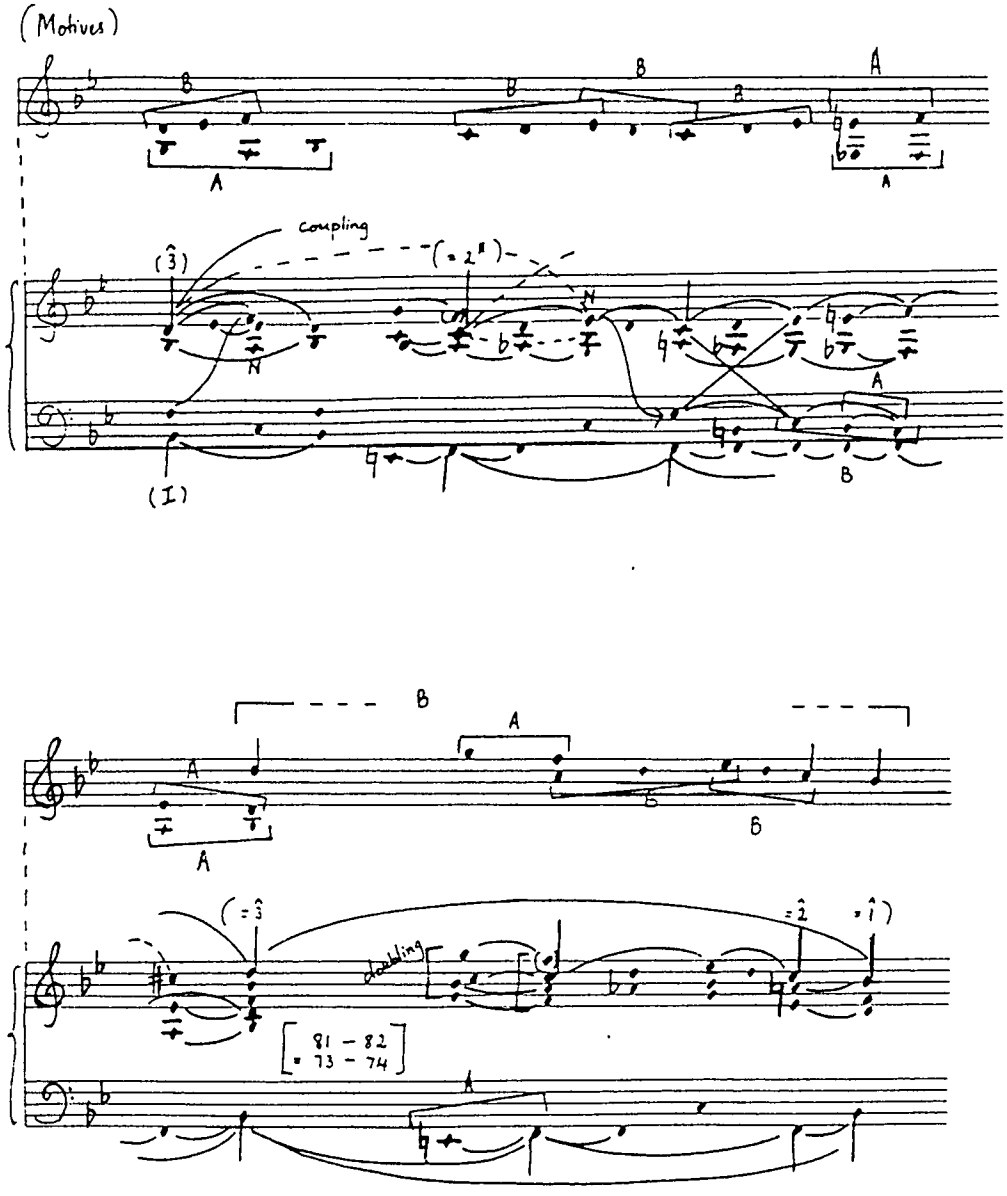
What follows in section C demonstrates not only the high degree of formal and tonal-organic unity achieved in this mazurka, but also Chopin's unique ability in continuing to develop new form sections from the same voice-leading diminutions. Firstly, the D/E-flat/F figure underlying the

surface voice-leading activities of the first eight bars of section B, is stated in direct succession on the surface at the start of section C, becoming its opening melodic idea (see Examples 9.6a and b, the score and a graph respectively, of bars 73-88, the first part of section C).

Example 9.6a. Mazurka Op. 56, No. 3, Score, Bars 73-88



Example 9.6b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 73-88

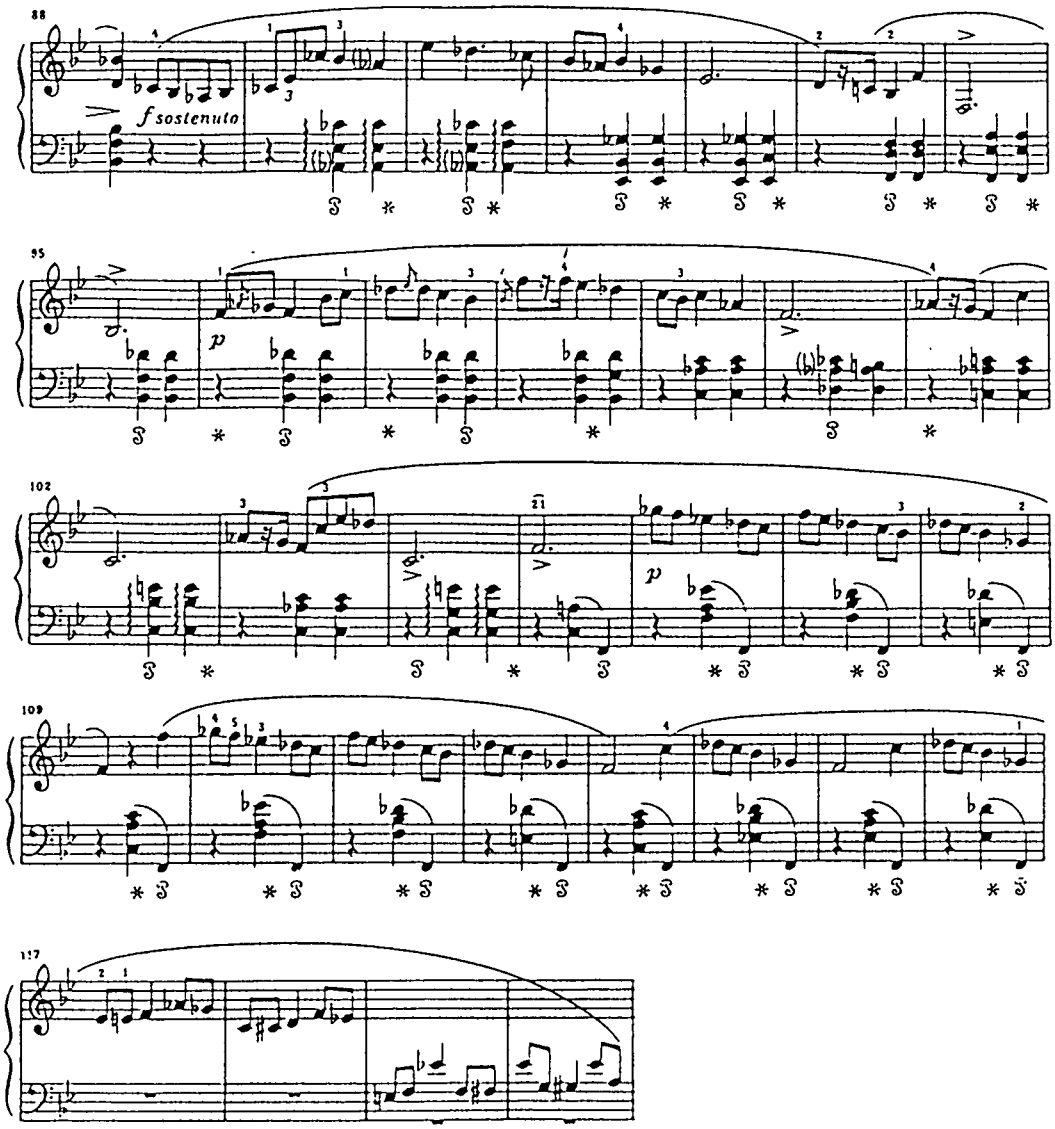


Structurally, however, there is something even more remarkable here. Embedded within the opening melodic idea is a motion from D to E-flat and back, accompanied by an inner-voice motion

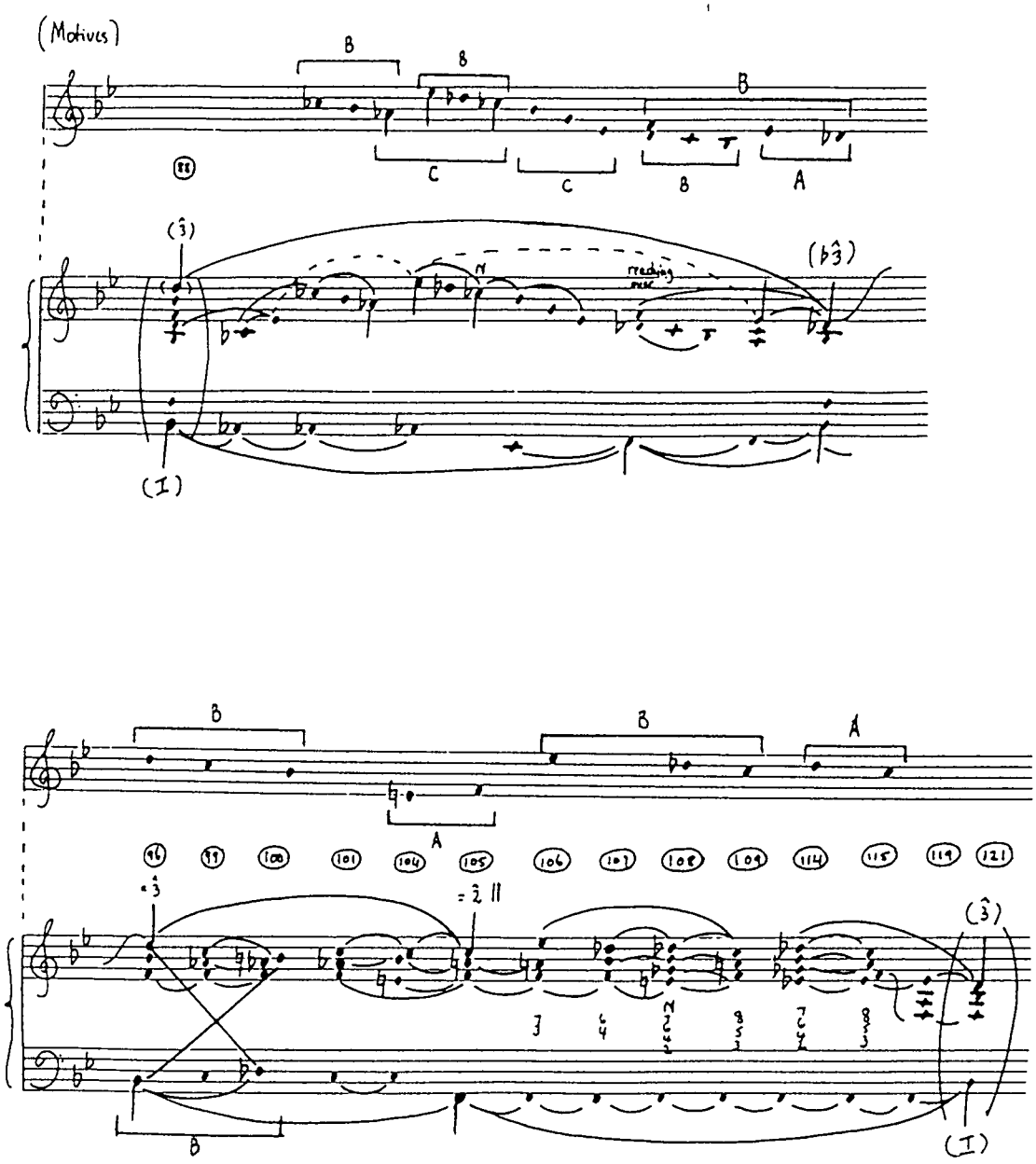
B-flat/A/B-flat. Furthermore, the first eight bars of this section present a motion from $\hat{3}$ to $\hat{2}$ within the local B-flat major tonality, and are then repeated an octave higher with a $\hat{3}$-$\hat{2}$-$\hat{1}$ close in the upper voice. Thus, apart from the local major key quality, the first part of section C also represents a middleground replication of the background upper-voice motion of the entire mazurka. Other features in the voice leading of these bars include further ascending and descending thirds, as well as references to the upper and lower neighbour notes G and E, encountered in section B.

The voice leading of the second part of section C presented in Examples 9.7a and b, follows from the upper neighbour of D5 (E-flat5) at bar 90, and continues on to reach D-flat (the mixture of D), at bar 95. Also involved in this process are again several instances of ascending and descending surface thirds as well as registral shifts. Notice particularly how the surface harmonic motions are connected to each other by ascending thirds in the inner parts. Another important melodic feature is the combination of upper neighbour notes and descending arpeggiated figures; a reminder of the surface melodic motions of bars 17-22 and its corresponding place (bars 41-46). Bars 96-105 then essentially repeat the content of the previous seven bars, except for a slight alteration at the beginning which highlights the motion F/G-flat/F, a two-bar expansion at the end, and the fact that the underlying upper-voice motion is now from D-flat to C. This is followed by a fifteen-bar extension in which E-flat, the upper neighbour of D, is once again presented and prolonged within the two main registers of the mazurka. Associated with

Example 9.7a. Mazurka Op. 56, No. 3, Score, Bars 88-120



Example 9.7b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 88-120

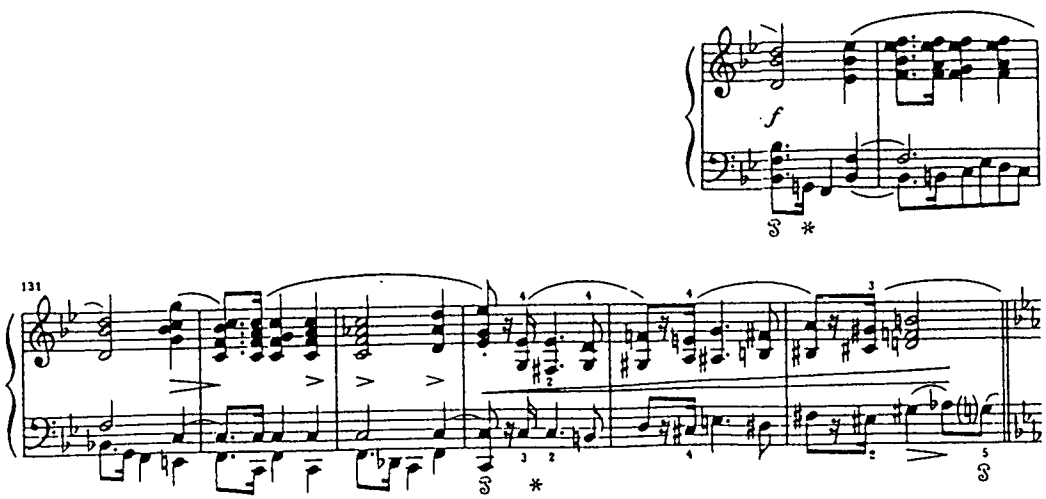


it are several descending surface thirds and arpeggiations, as well as the upper and lower neighbour notes G-flat and E. Note, finally, that other versions of the arpeggiation motive can also be recognised in the surface motions of this part of section C.

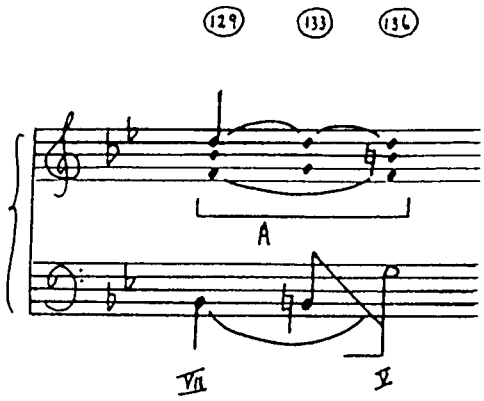
In bar 121, the upper neighbour E-flat resolves to D, thus

producing the motion D/E-flat/D in the middleground during bars 73-121. This constitutes a parallelism of the underlying melodic motion of bars 1-12. Bars 121-136 then repeat the content of bars 73 and further (the return of the first part of section C), but instead of closing in B-flat major, the voice leading suddenly moves back to V, thus completing the large structural arpeggiation within V and the prolongation of $\hat{2}$ (see Examples 9.8a and b).

Example 9.8a. Mazurka Op. 56, No. 3, Score, Bars 129-136



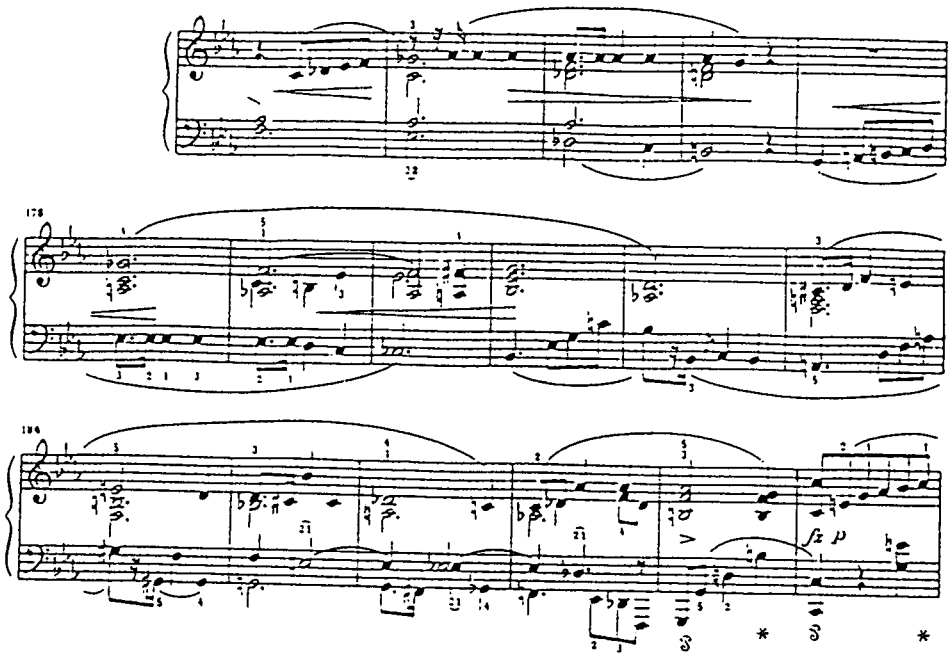
Example 9.8b. Mazurka Op. 56, No. 3, Middleground Graph, Bars 129-136



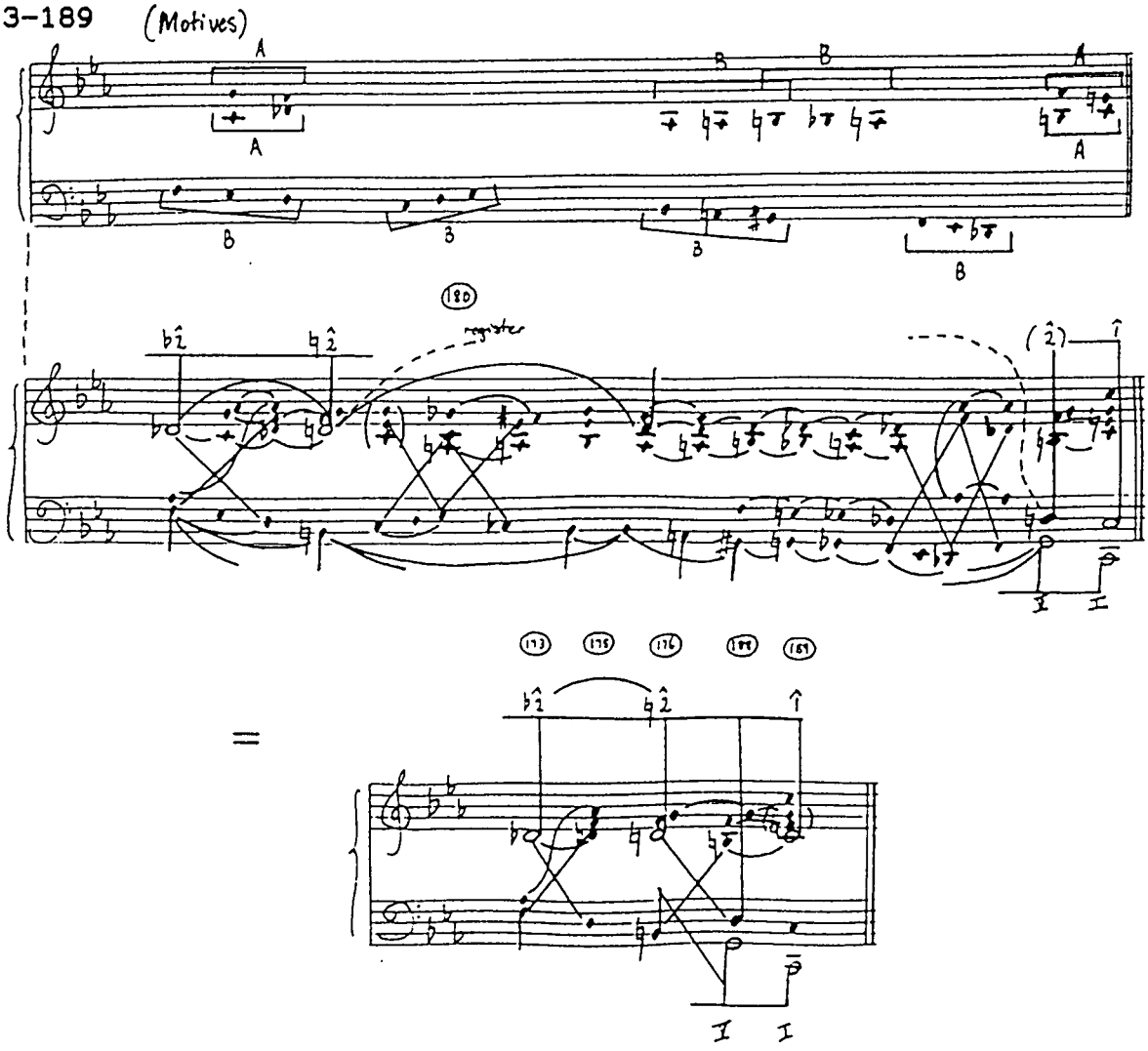
However, V is reached initially with its third (B) in the bass, followed by an ascending chromatic sequence pattern comprising a succession of surface upper/lower neighbour figures composing-out the distance of a sixth between B2 and G3 in the bass (the third and root respectively, of V), hence the unfolding indicated in the graph at b.

The final sixteen bars of the reprise of section A (bars 173-188), comprise a motion from flat-$\hat{2}$ to natural-$\hat{2}$ and the close of the fundamental structure (see Examples 9.9a and b). However, in view of the complexity of the foreground voice leading, a further reduction of these bars supplements the graph at b. Once again all three motivic configurations appear in the voice-leading elaborations--most notably, the subtle reference to the opening bars of the mazurka introduced by the upper/lower neighbour configuration within the momentary prolongation of flat-$\hat{2}$ in bars 173-175.

Example 9.9a. Mazurka Op. 56, No. 3, Score, Bars 173-189

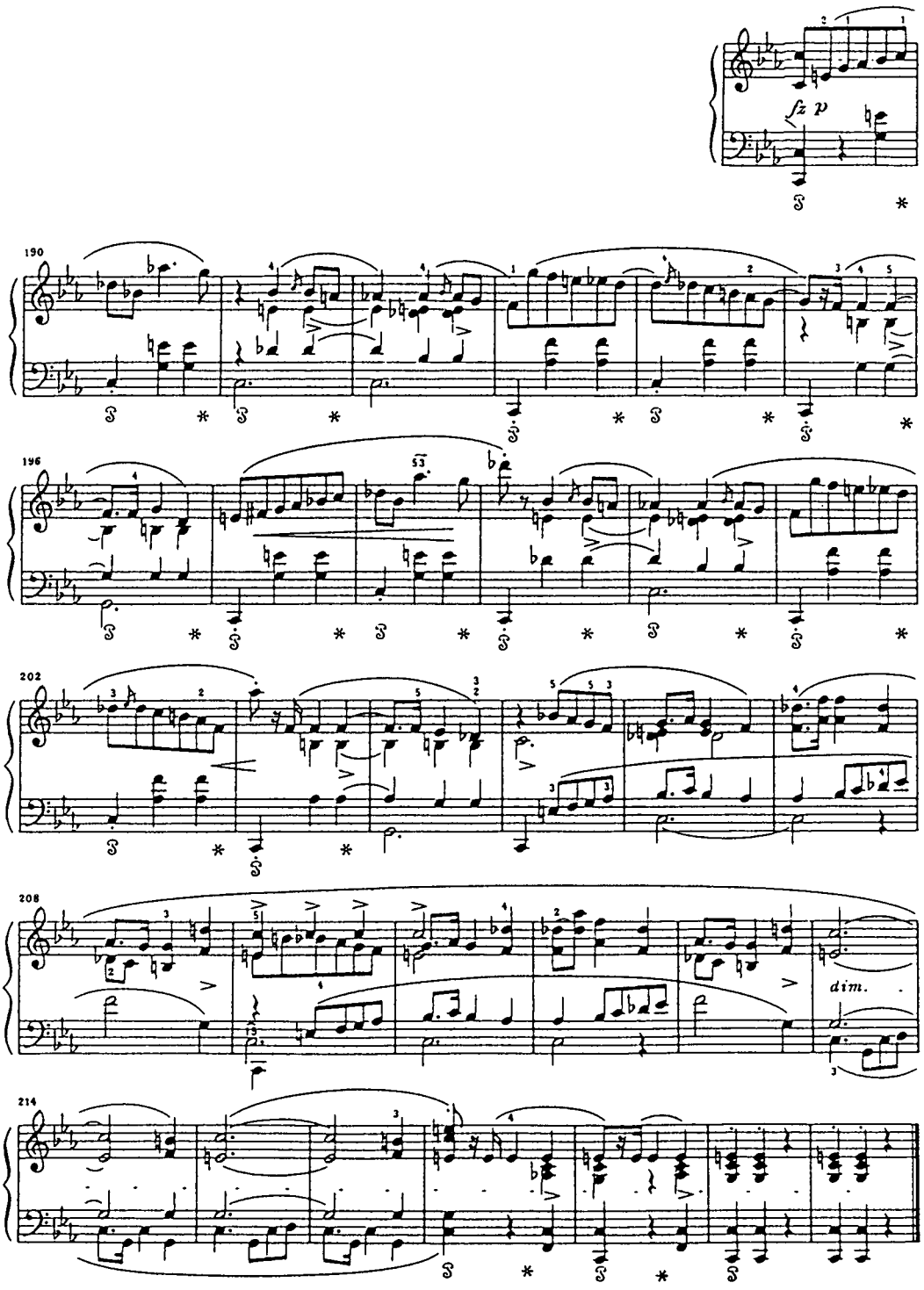


Example 9.9b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 173-189

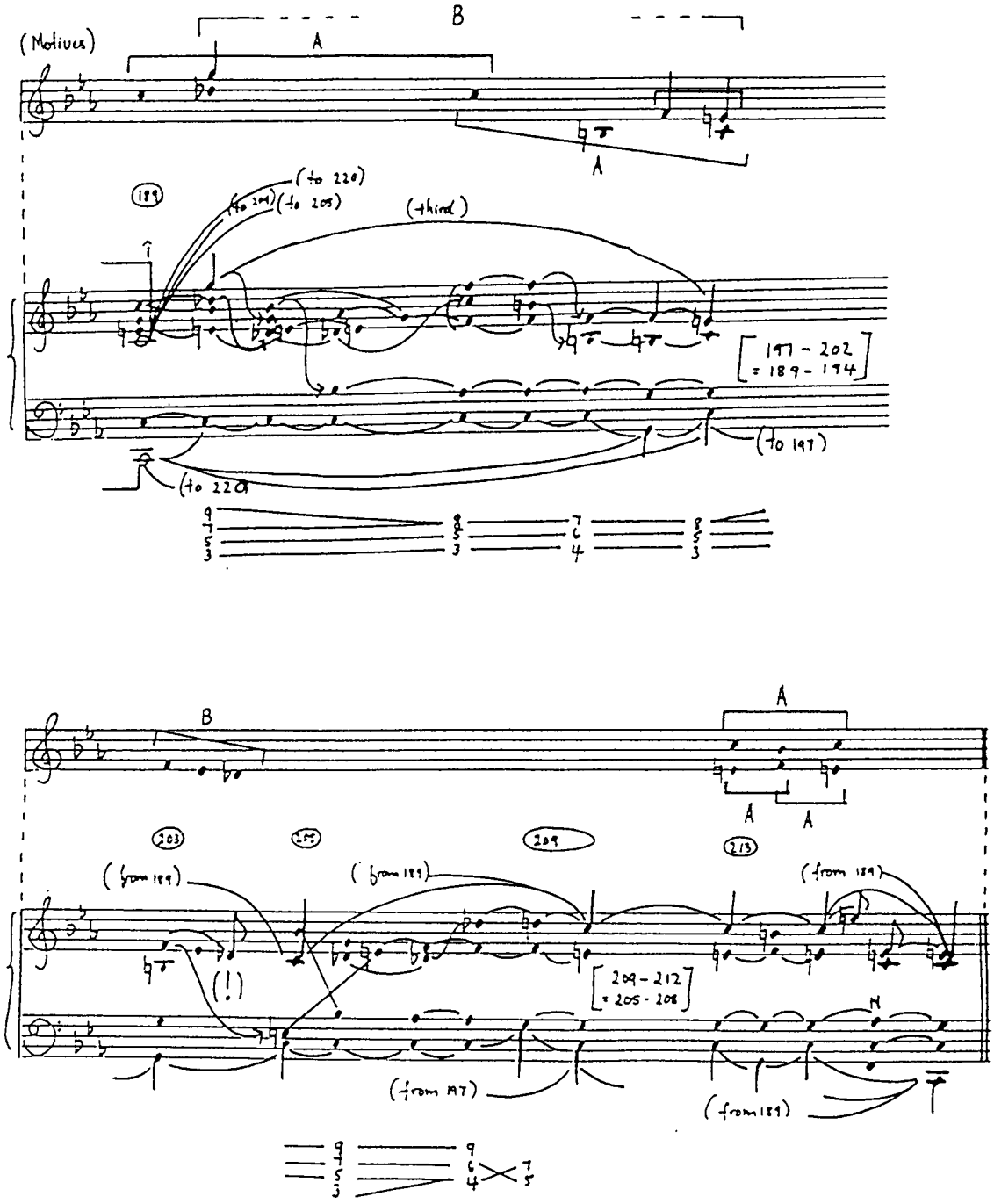


The coda is presented in Examples 9.10a and b.

Example 9.10a. Mazurka Op. 56, No. 3, Score, Bars 189-220



Example 9.10b. Mazurka Op. 56, No. 3, Foreground Graph, Bars 189-220



Looking at its four subsections, we find that, with the exception of the last, each subsequent section is a contraction of its harmonic/voice-leading framework; the essential eight-bar unit with repetition of Da being reduced to a four-bar unit with repetition in Db, and then to a two-bar unit with repetition, but presenting only I-V-I, in Dc.

Embedded within the voice-leading motions of the first two subsections of the coda is the third-line G/F/E, a transposed retrograde version of the third D/E-flat/F of sections B and C. This powerful yet subtle form-creating and unifying device occurs in conjunction with other surface thirds connected to the inner voice G from where it is initiated, as well as a double neighbour configuration C/D-flat/C/B/C, delicately embellishing the final $\hat{1}$. Note also the ascending arpeggiation figure which prefixes the G mentioned above. Together with the ascending thirds and register motion, the melodic content of bars 189-190 and its corresponding place (bars 197-198), points back subtly to those motions during bars 49-66 in section B. Furthermore, the upper/lower neighbour configuration can be recognised in the inner voices within the plagal motions above the tonic pedal point. The third subsection then presents the last occurrence of the upper/lower neighbour configuration, but in reversed form, with the lower neighbour in the upper voice, embellishing $\hat{1}$, and the upper neighbour in an inner voice, embellishing the third degree of C major. This is also a reminder of the same situation at the start of section B. In the closing four bars, there is a final embellishment of the C major harmony by means of an A-flat upper neighbour to the inner voice G, and accompanied by IV in

the bass, before the mazurka ends with a C major chord repeated four times. The tonal quality of the coda (C major), ultimately also reflects back on the major tonality of the two middle form sections.

Summary

Three important conclusions may be arrived at from the foregoing investigation into motivic and tonal-structural content and form design in Op. 56, no. 3. Firstly, because of the continued presence of specific voice-leading configurations and their interaction throughout the mazurka, a particularly high degree of formal and tonal-organic unity has been achieved, since there is no single form section that does not relate to the others in terms of content. In fact, it has been observed how Chopin succeeded in creating and developing the content of the entire mazurka from three principal voice-leading configurations, namely, the simultaneous upper and lower neighbour-note motions, the third-lines and the ascending and descending arpeggiated figures. All three configurations have been seen to play a dominant role in the foreground and middleground, while the latter in its descending form also played a significant role with regard to both structural and formal design, by serving as the basic means of prolonging V in the background, and by making possible both sections B and C as a result of the prolongation of the third of the arpeggiation.

Secondly, by concentrating continuously only on specific voice-leading configurations creating tonal and formal content,

Chopin effects significant relationships between the various form sections. The most important of these are undoubtably 1) between sections A and C through the upper/lower neighbour configuration, and 2) between sections B and C and the coda through the ascending and descending third-lines. Although there are apparent differences in content between the various form sections, they share motivic voice-leading content and some similarity in structural features. Finally, this mazurka demonstrates Chopin's ability to utilise specific voice-leading events as form-creating elements. So, for instance, the upper/lower neighbour configuration and the third-line are underlying structural elements and part of the composed-out voice-leading content for each form section. Most notable is the use of the third-line as the underlying melodic structure for section B and its subsequent development towards becoming the main melodic idea of section C.

Conclusions

It becomes clear that motivic design and tonal structure have a significant influence on the creation of formal unity, relationships, and content in the mazurkas. All these factors are due to the play of specific motivic and structural elements into formal design. Voice-leading diminutions are not only part of structural and motivic content, but through their prolongations and appearances on different structural levels, they generate both formal content and individual form sections, and establish organic relationships between the various form

sections of a composition. Particularly in the case of Op. 56, no. 3, specific motivic voice-leading configurations become part of the form creating and unifying process, an interpretation almost in the manner of the nineteenth century conception of the motive as form creator, except for the fact that it is also part of tonal-structural development through the process of organic composing-out. Therefore, apart from the linkage of motivic and structural elements to formal design, content and unification, form itself is also seen to be closely connected to, and associated with, underlying structural events and specific motivic voice-leading diminutions.

NOTES

1. Allen Forte, "Schenker's Conception of Musical Structure", **Yeston**, 9.

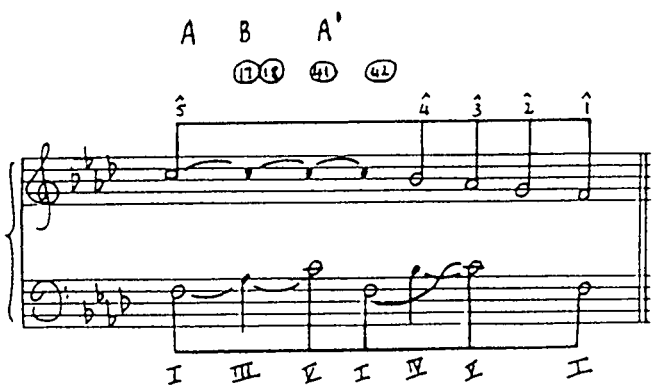
2. Susan Tepping, "Form in the Finale of Haydn's String Quartet Op. 64, no. 5", **Indiana Theory Review** (Winter 1981), 51.

3. Forte and Gilbert, **Introduction to Schenkerian Analysis**, 351.

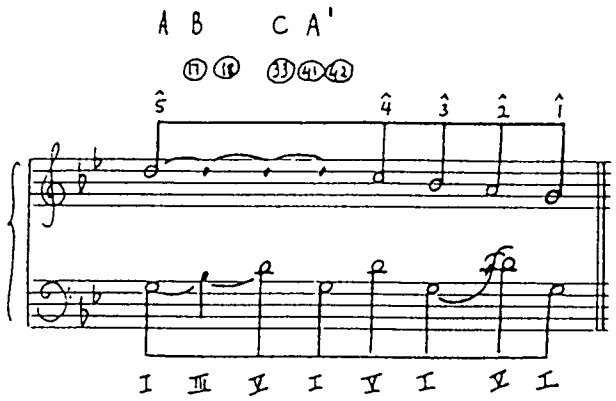
4. Apart from the I-V-I bass arpeggiation, other structural bass arpeggiation patterns can also play a significant role with regard to form design. These include I-III-V-I, I-VI-IV-I and even I-VI-III-I patterns, where the prolongation of some of their components may give rise to three or four-part forms. An instance of a I-III-V-I bass arpeggiation bringing about a

three-part form design is found in the mazurka Op. 63, no. 2, where the prolongation of the third degree of the arpeggiation gives rise to the contrasting B-section, while a four-part form design resulting from the same arpeggiation pattern is found in the mazurka Op. 67, no. 2. Here, sections B and C respectively, are created by the prolongation of the third and fifth degrees (see the background graphs of these mazurkas). Another example from the mazurkas in which the prolongation of VI plays an important form generating role is Op. 30, no. 3 (see Chapter 10), while the principal mazurka example of this chapter (Op. 56, no. 3), presents a remarkable instance of a V-III-I arpeggiation pattern within the prolongation of V and $\hat{2}$, in which the prolongation of the internal third degree gives rise to two form sections.

Mazurka Op. 63, No. 2, Background Graph



Mazurka Op. 67, No. 2, Background Graph



5. Tepping, 68.

6. I am indebted to my promotor, Prof. David Neumeyer, for this observation.

7. Note that in the score, bars 57-68 which involve these prolonged elements, are written in F-sharp major instead of B-flat major which is regarded structurally as the underlying key area for section B, and in which the above mentioned bars represent the prolongation of an augmented sixth harmony built on its sixth degree (G-flat), hence the continued use of the key signature of B-flat major and G-flat throughout these bars in the graph. The reason for writing this particular portion of section B in F-sharp major is therefore not based on any large-scale tonal-structural considerations, but purely one of convenience, since it presents a clearer notational picture of the immediate surface voice-leading events.

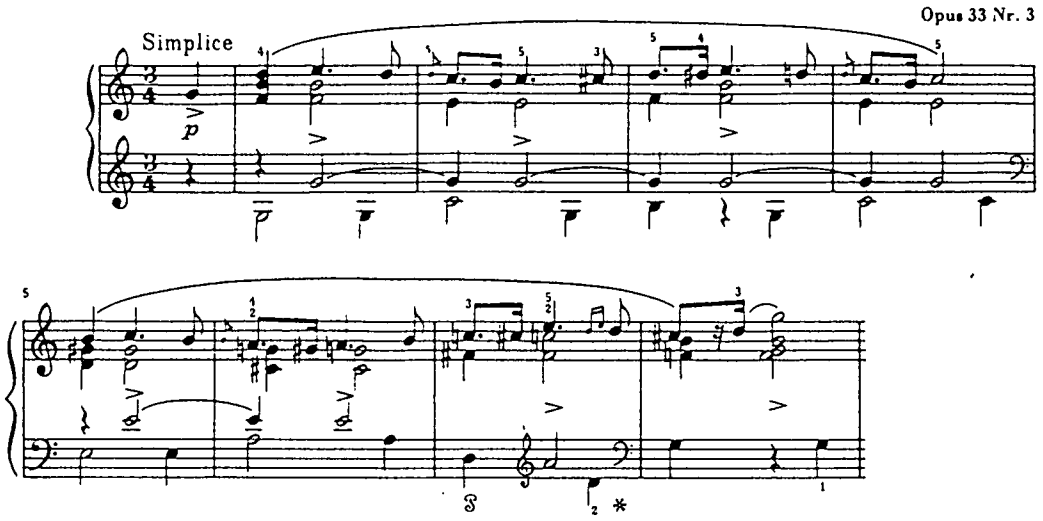
CHAPTER 10

THE INFLUENCE OF CHROMATICISM ON MOTIVIC DESIGN AND TONAL STRUCTURE

No investigation into motivic design and tonal structure in the mazurkas will be complete without a consideration of the role played by chromaticism. In Schenkerian theory, chromaticism is understood exclusively as elaboration of a diatonic model, ,(1) and thus it stands to reason that it constitutes an important element of the prolongational or composing-out process in a composition. This is especially true of the mazurkas, in which chromatic elements are not only a regular and prominent feature, but also play a decisive role in shaping voice-leading, harmonic and overall formal content. The reader will recognise this as evident already in the mazurka analyses of the previous chapters. In fact, there is hardly an instance in the mazurkas where chromaticism is not associated in some way with either motivic or structural design, or both.

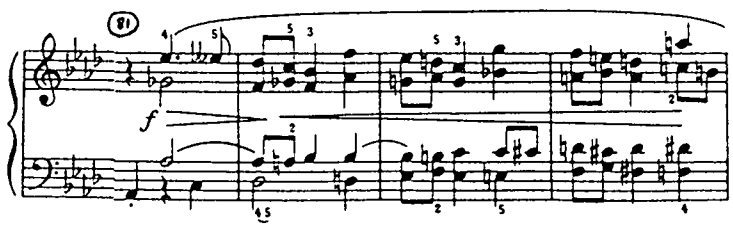
With regard to motivic design, chromatic elements are most frequently recognised as part of foreground or surface melodic/motivic configurations, as in Op. 33, no. 3 (see Example 10.1).

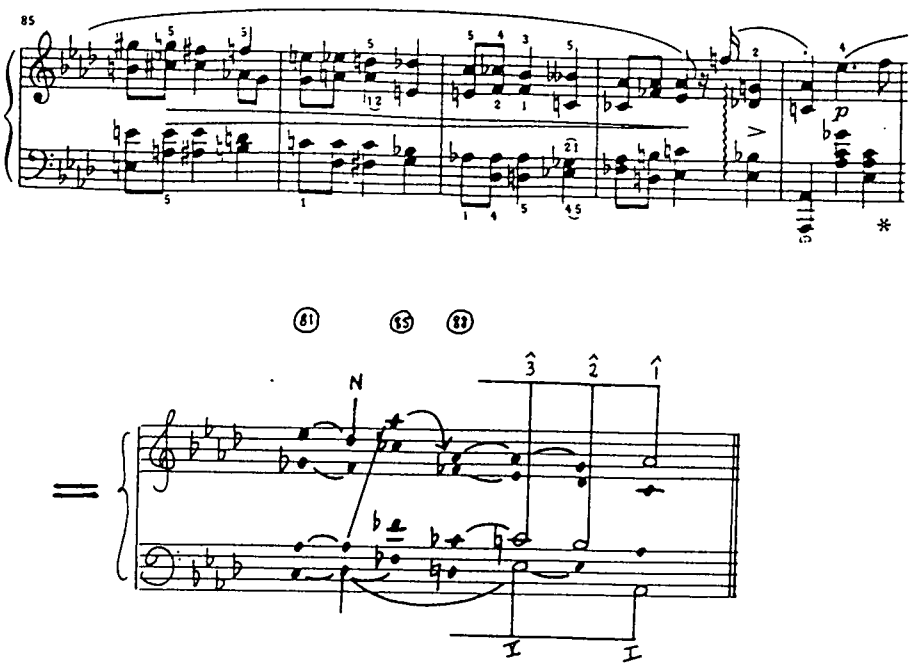
Example 10.1. Mazurka Op. 33, No. 3, Bars 1-8



In such instances, the various chromatic notes involved are motivic because of their consistent appearance throughout the melodic motions of this mazurka. Furthermore, since such melodic/motivic configurations form part of the composing-out process, the chromatic elements involved also feature as important factors. Therefore, surface chromatic features are not employed merely as inflections or substitutions of their diatonic equivalents, (2) but also as melodic content-creating elements, as can be seen in the following excerpt from Op. 59, no. 2 (Example 10.2).

Example 10.2. Mazurka Op. 59, No. 2, Bars 81-89





Regarding tonal structure, the most important feature of chromaticism is its potential occurrence on more than one level of structure. The significance of this fact is twofold: firstly, a particular background or middleground chromatic tone may serve as point of departure for further prolongations in the middleground and foreground. This, in turn, may lead to the creation of either complete and independent form sections, or middleground or foreground interpolations. Secondly, the opportunity is presented for parallelisms of background or foreground chromatic figures at earlier or later levels respectively. The latter motivic and structural implications of chromaticism will be investigated in the present chapter.

We have already encountered some of the basic elements of chromaticism such as mixture, the Phrygian $\hat{2}$, (which, as we have seen, constitutes a further category of mixture) and chromatic passing and neighbouring notes. In addition, secondary dominants (mostly forming part of sequence constructions in the mazurkas,

but also acting as principal elements in the process of tonicisation), as well as augmented sixth chords (although seldom encountered in the mazurkas), or other altered pre-dominant sonorities, are likewise the result of chromaticism. Of these, we shall concentrate only on mixture, the Phrygian $\hat{2}$ and chromatic passing and embellishing events as they relate to motivic and tonal structuring in the mazurkas.

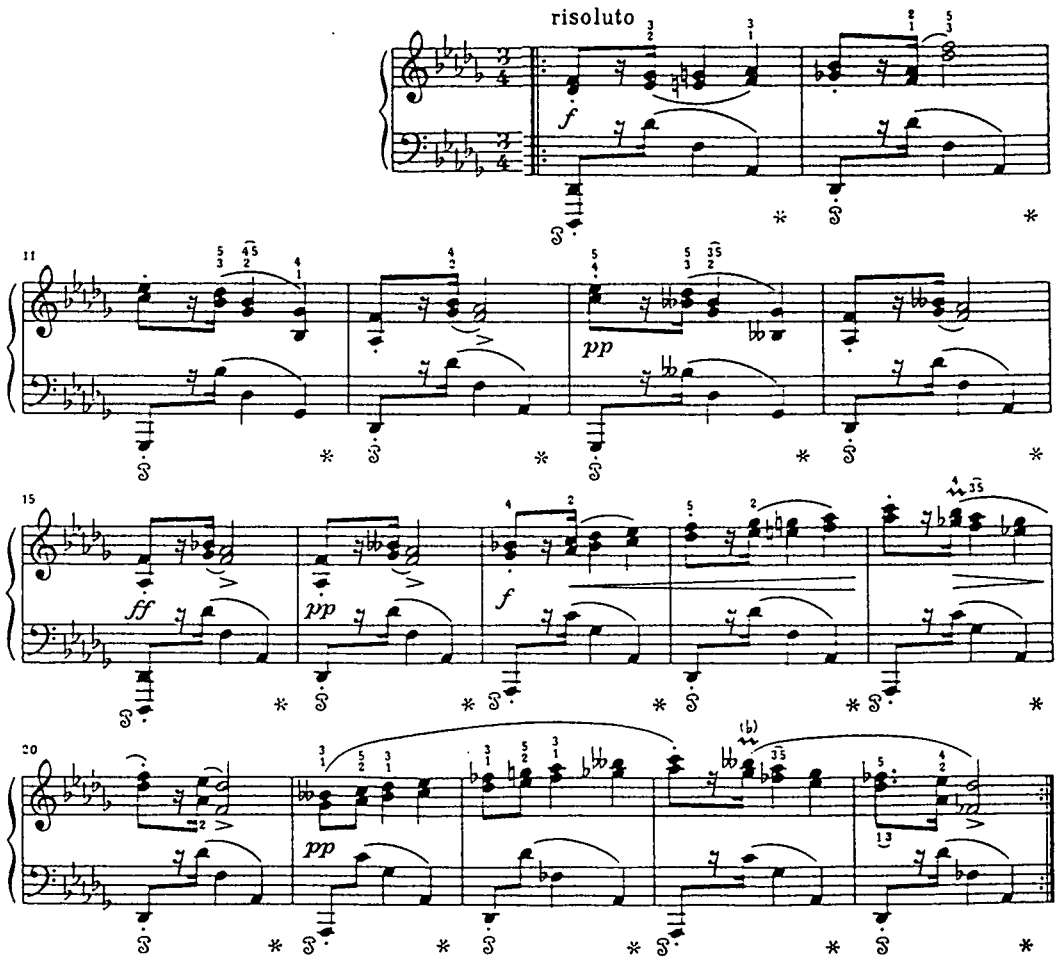
In terms of tonal structure, the principal element of chromaticism is that of mixture--a concept already discussed in Chapter 3. The primary structural significance of mixture is that it generates large-scale tonal and formal design if applied to an element of the fundamental line or an inner voice at the same level. Instances of this application of mixture are found in several mazurkas. These include Op. 7, no. 2, Op. 17, nos. 3 and 4, Op. 33, nos. 2 and 4, Op. 59 nos. 1 and 3, Op. 63, no. 3, Op. 67, no. 4, Op. 68, no. 2 and the two posthumous A minor mazurkas. In each of these mazurkas mixture forms the basis for the development of the large B-section or Trio. In addition, mixture appears in the background/middleground structures of Op. 30, no. 3 (see below), 41, no. 1 and 68, no. 4, but without large-scale formal significance. Instead, the emphasis is more on large-scale chromatic voice-leading patterns which form the basis for further motivic and structural development at later levels.

Mazurka Op. 30, No. 3

The mazurka Op. 30, no. 3 is one of the most striking examples

of mixture, affecting voice-leading content at every level of structure. The most immediately noticeable tonal feature of this composition is the juxtaposition of major and minor elements, as well as tonic major and minor tonalities in the main thematic areas. These occur by way of echoing repetitions of one, two, and four-bar units within the main-theme period. Example 10.3 gives the score of bars 9-24, representing the main-theme period.

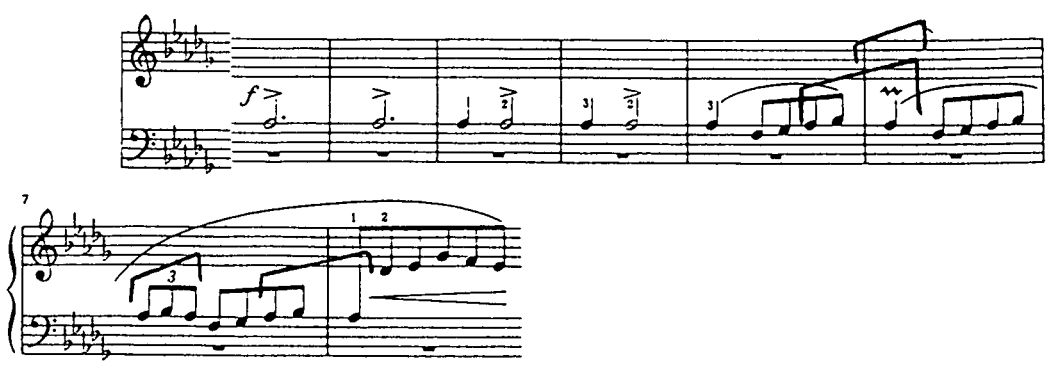
Example 10.3. Mazurka Op. 30, No. 3, Score, Bars 9-24



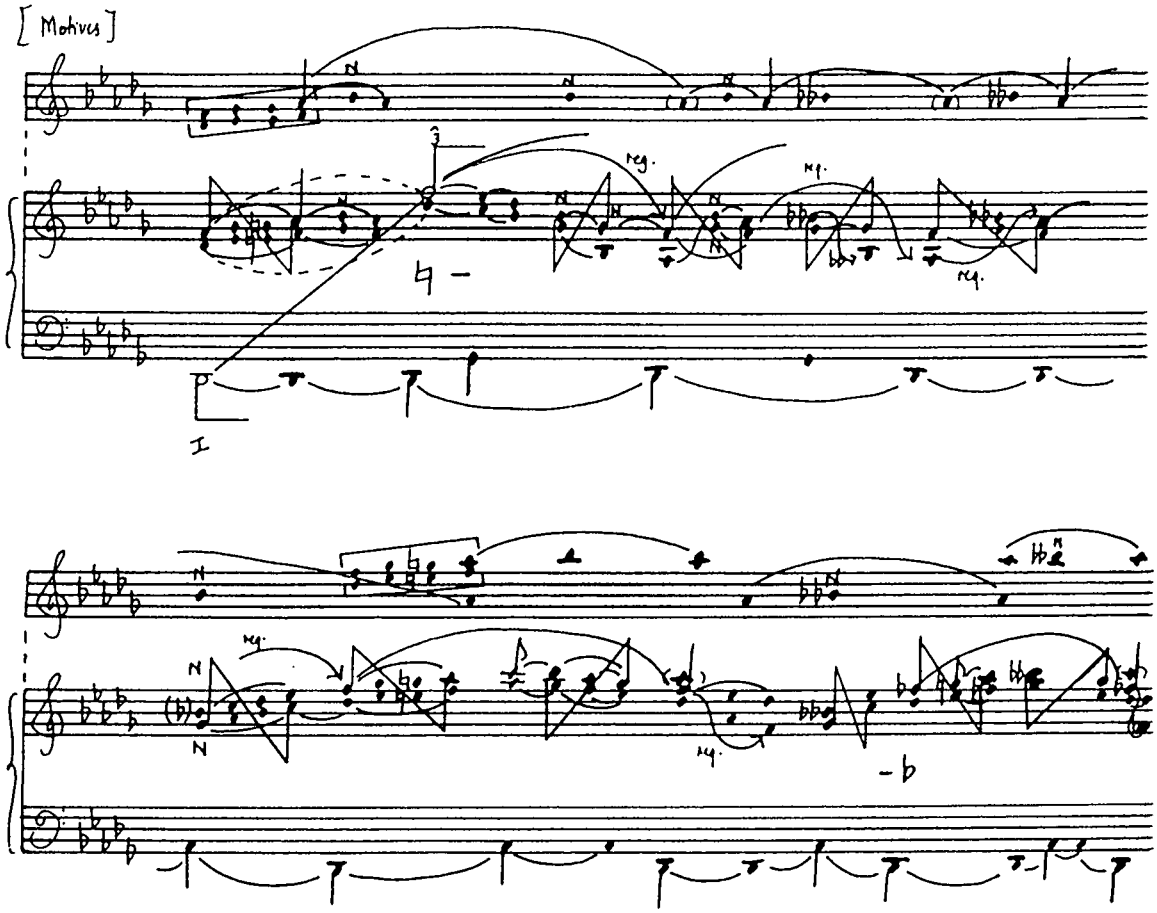
Firstly, the echoed repetition of bars 11-12 appears in bars 13-14, the latter containing elements borrowed from the minor mode. Bar 15 then presents a dynamically forceful restatement of the content of bar 12, followed by its echoed repetition in bar 16, again with elements from the minor mode. The content of bars 17-20 is echoed in its entirety in the parallel minor key in bars 20-24. In each instance cited above, the result is that of mixture being applied to specific diatonic degrees within the tonic key (D-flat major), namely, the sixth degree (B-flat becomes B-double flat) and the third degree or $\hat{3}$ (F becomes F-flat).

Both B-flat and its chromatic alteration form part of the principal melodic motive, the neighbour-note configuration A-flat/B-flat/A-flat. The entire introduction (bars 1-8) is based upon it (Example 10.4), and this motive continues to play a prominent role throughout the main-theme period where it is also presented on more than one level of structure (see Example 10.5).

Example 10.4. Mazurka Op. 30, No. 3, Introduction



Example 10.5. Mazurka Op. 30, No. 3, Foreground Graph, Bars 9-24



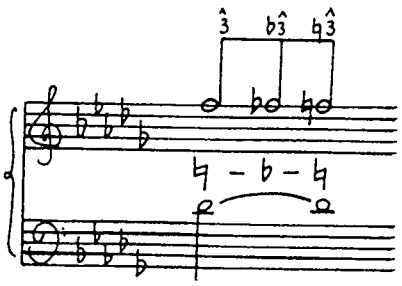
Note, for instance, its appearance on the surface during bars 9-10, and then on a slightly higher level of foreground during bars 10-12 and 12-14. It is the B-flat of the larger neighbour motive that first becomes the product of mixture in bar 13. Note also the surface parallelisms of the A-flat/B-flat/A-flat motive in bars 12, 14, 15 and 16, with mixture applied again to B-flat in bars 14 and 16. In addition to these activities, there is also a chromatic surface diminution in bar 9, comprising the motions F4/G-flat4/G-natural4/A-flat4), and its accompanying motion in parallel thirds below D-flat4/E-flat4/E-natural4/F4). Both these motions--and especially the lower one--subsequently

become important motivic and structural elements.

Till now, the mixture of B-flat has had no larger structural significance apart from having provided tonal contrast in the various echoing phrase-units. However, the mixture of B-flat, together with the neighbour-note figure to which it belongs, becomes closely associated with the motivic and harmonic/voice-leading development of the large middle part of the mazurka comprising the sections to be discussed below.

Coming to the primary structural tone $\hat{3}$ (F5), it is first acted upon by mixture during the final four bars of the main-theme period, in becoming F-flat5, thus establishing the motion F5/F-flat5 in the background structure of the main-theme period and the resulting shift from tonic major to minor. Since the final structural cadence also occurs in conjunction with the final statement of the main-theme period, and since no close of the fundamental line is evident, the mixture of $\hat{3}$ becomes the only background feature of this mazurka. Furthermore, after the last four bars in the final repetition of the main-theme period (bars 91-94) close in the tonic minor, the work concludes with a single chord in D-flat major (bar 95), thus reinstating D-flat major and natural-$\hat{3}$ in the background (see Example 10.6, a background graph of the entire mazurka, showing the motion F5/F-flat5/F5 in the fundamental line). In fact, this is the only example in the mazurkas in which the chromatic element of mixture penetrates into the fundamental structure itself, causing its incomplete form.

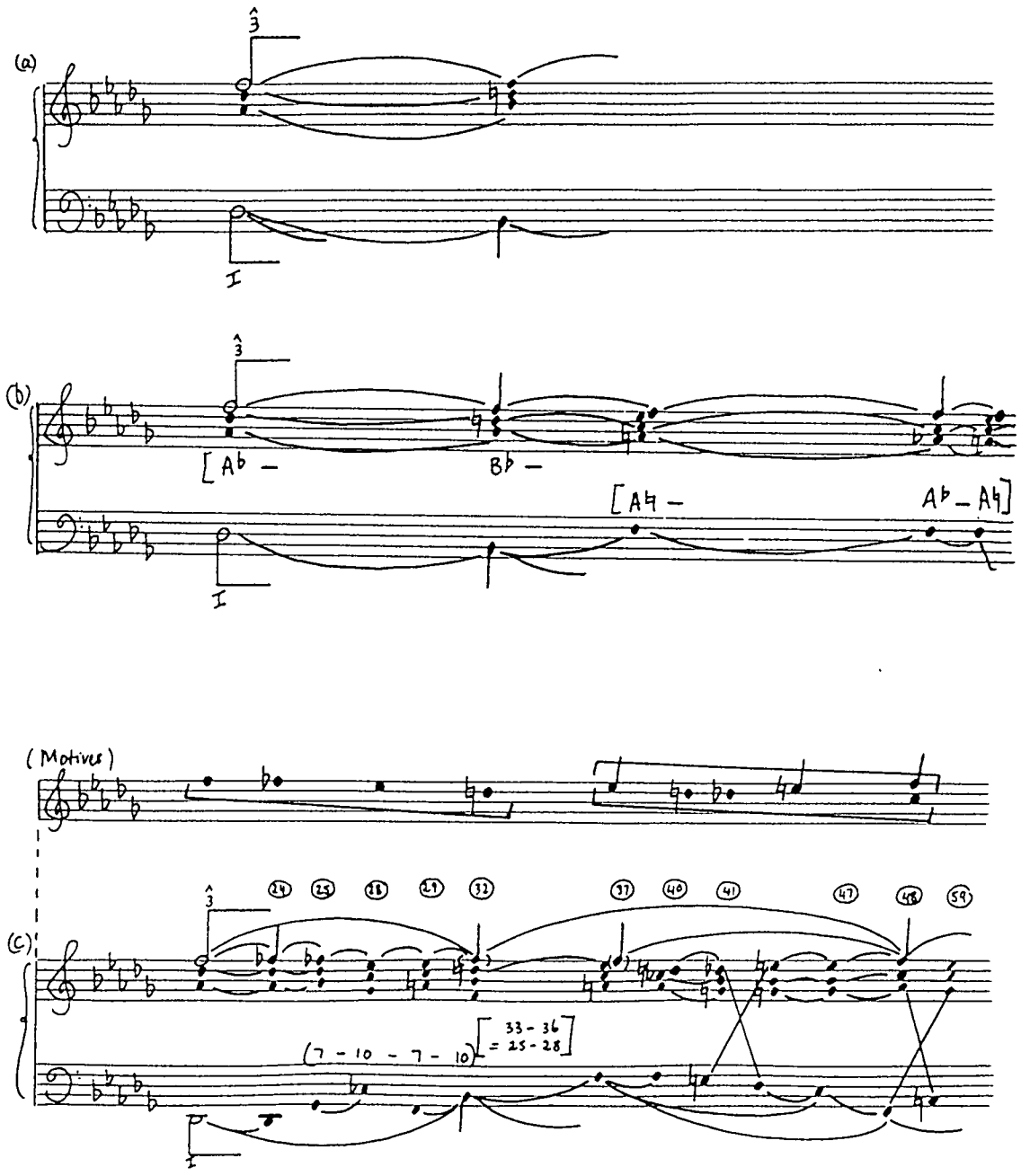
Example 10.6. Mazurka Op. 30, No. 3, Background Graph

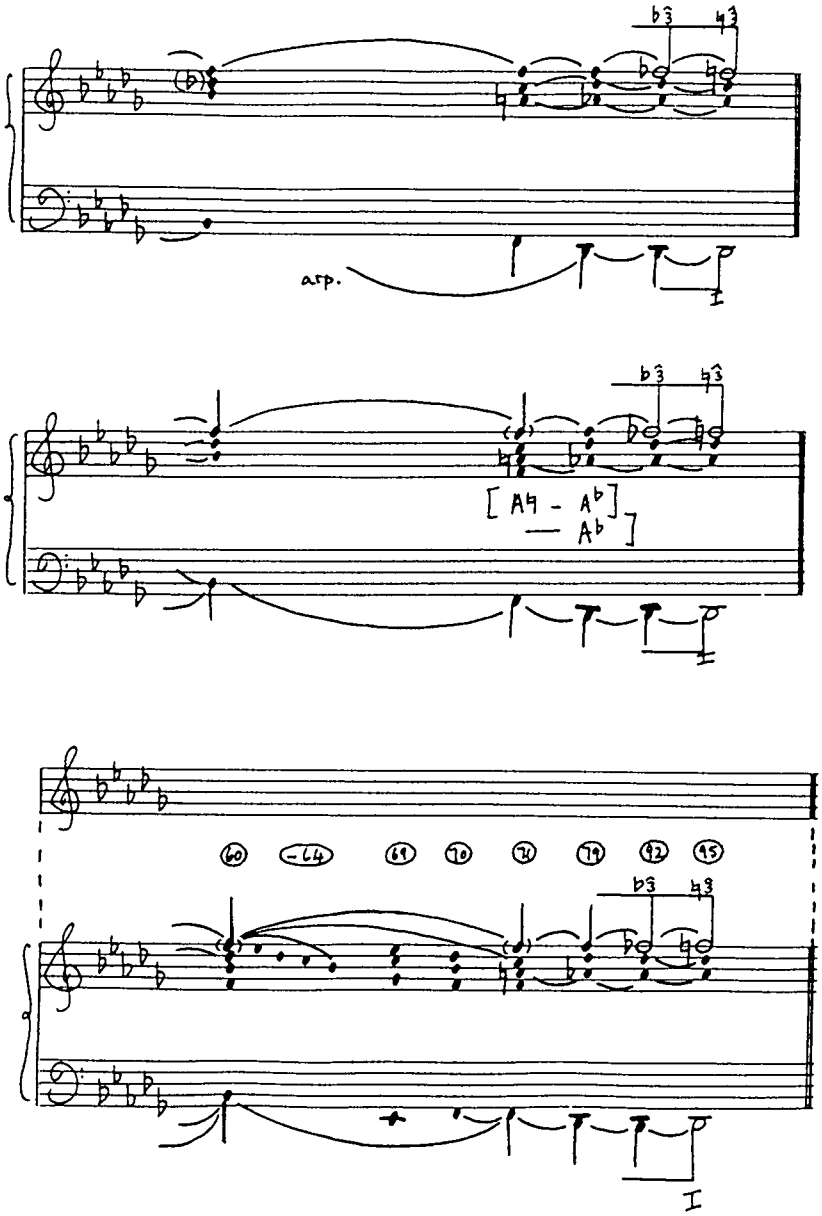


In the overall tonal structure, mixture appears in both first and second middleground levels, where it is involved in establishing the main prolongational key regions of the large middle part (bars 25-78) and the generation of its two form sections (see Example 10.7). As shown in level a, the B-flat major key region reached in bar 32, becomes B-flat minor in bar 60 through mixture of the third degree (D-natural5 to D-flat5). In terms of form generation, B-flat major and minor represent the underlying key regions for sections B and C respectively (bars 25-56 and 57-78 respectively). In level b, the next stage of voice-leading development between B-flat major and B-flat minor is an unusually long prolongation of the dominant of B-flat. Firstly, it appears as the customary major/minor seventh chord at bar 37, followed by its odd conversion into an F minor harmony at bar 48, which is then prolonged until bar 59, where a diminished seventh appears on the leading-tone of B-flat, followed by the tonic B-flat minor at bar 60. Once again, mixture of the third (A-flat) becomes the determining factor in effecting this change from the dominant seventh to the dominant minor and back. Again in terms of form generation, this mixture is significant, since

the change from A-natural to A-flat coincides with the appearance of a second theme within section B, dividing it into two parts (bars 25-40 and 41-56 respectively).

Example 10.7. Mazurka Op. 30, No. 3





However, further investigation of bars 25-78 reveals the additional influences of both the A-flat/B-flat/A-flat figure and the chromatic third D-flat/E-flat/E-natural/F, the latter encountered in the opening bar of the main-theme period (see level c). Firstly, the motion from D-flat major to B-flat major in the previous level is now effected by means of a chromatic

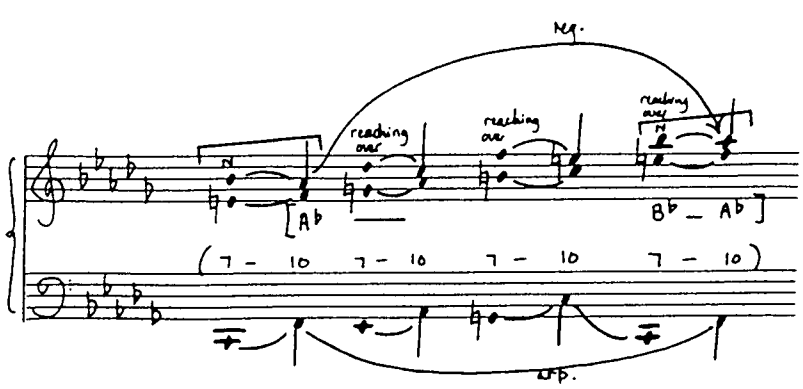
sequence running from bar 25-32. It emerges out of F-flat5 of bar 24 (the mixture of F-natural5), and moves via E-flat5 in bar 28 to conclude on D5 over B-flat major (sharp-VI of D-flat major) at bar 32. What results in the process is the motion F5/F-flat5/E-flat5/D5 in the upper voice, a retrograde version of the original chromatic motion from D-flat4 to F4 in the inner part at bar 9. The chromatic passing tone F-flat5 in this progression therefore originates from the mixture of F5 in the main-theme period, but instead of the latter being restored (as would have been expected judging from the background structure), the F-flat5 continues on to E-flat5, becoming part of the descending chromatic linear progression. In a curious way, the opposite situation regarding F-flat occurs in bar 9. There its enharmonic equivalent E-natural, functioning as a chromatic passing tone in the inner part--also because of its role as accented passing tone on the second beat of the bar--may be regarded as the initiation of the mixture of $\hat{3}$ which is to follow.

Secondly, the motion from the dominant seventh of B-flat (bar 37) to the dominant minor (bar 48) is likewise effected through a chromatic linear motion E-flat/D-natural/D-flat/C. Simultaneous with this is a middleground motion from the E-flat5 of bar 39 to E-natural5 (the enharmonic equivalent of the background F-flat5), resolving to F5 in bar 48.

The influence of the A-flat/B-flat/A-flat melodic motive of the main-theme period--and especially its chromatic version (A-flat/B-doubleflat/A-flat)--is not immediately obvious during the large middle part, since A-flat and any voice leading

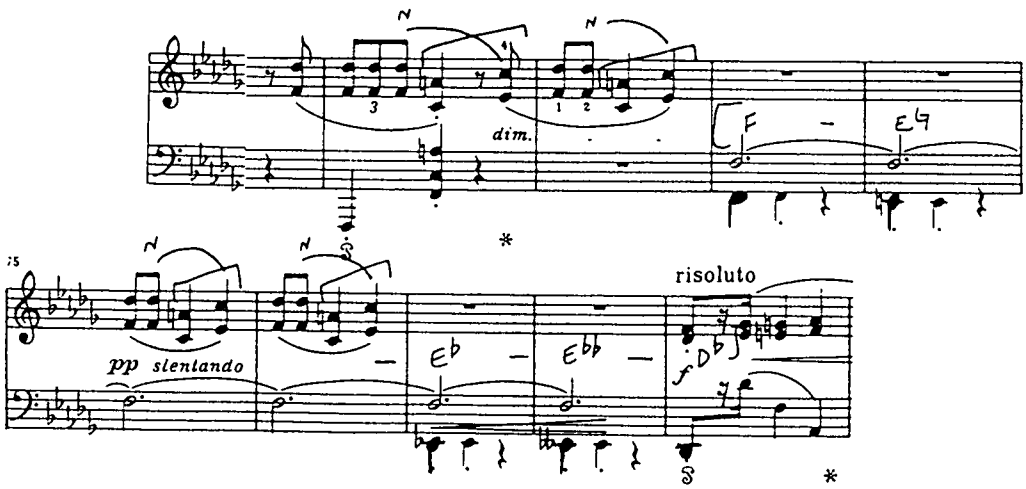
following from it is relegated to the lowest inner voice in the middleground. However, by considering the main key regions of the first middleground (Example 10.7, level a), the inner voice A-flat4 of bar 24 is seen to be followed by B-flat4 at bar 32, then by A-natural4 (the enharmonic equivalent of B-doubleflat) at bar 71 and then again A-flat4 at the start of the reprise of the main-theme period at bar 79. In the second middleground (Example 10.7, level b), the additional presence of V7 of B-flat at bar 39 and its prolongation further results in the motion A-natural4/A-flat4/A-natural4 already pointed out above. However, in the context of the main D-flat major tonality, the A-naturals may once again be viewed as enharmonic equivalents of B-double flat. By further considering the content of the sequential passage through which the F minor dominant sonority continues to be prolonged during bars 49-56 {3} (Example 10.8), the role of the A-flat/B-flat/A-flat motive becomes more obvious. Here, it serves as the main component of the upper voice within the underlying structure of the sequence.

Example 10.8. Mazurka Op. 30, No. 3, Foreground Graph, Bars 49-56



Finally, an imaginative piece of detail concerning the close of section C (Example 10.9):

Example 10.9. Mazurka Op. 30, No. 3, Score, Bars 71-79



After the dominant of B-flat is once again reached in bar 71, there is a surface expansion of it (bar 71-78) in which two significant events occur. Firstly, note the sustained F3 in the left hand, underneath which occurs a descending chromatic surface linear motion in the bass from F2 at bar 73, to the tonic D-flat2 at bar 79. The F3 represents $\hat{3}$ in a lower register at this point, while the chromatic linear motion is directly related to the one traced in the upper voice during bars 25-32, as well as being a retrograde version of the chromatic motion in the inner part of bar 9. Secondly, the upper voices display a repeated melodic configuration, involving A-natural4 and C5 (the third and fifth respectively of the local F major harmony)--which also represents III in the middleground--and D-flat5, a chromatic upper neighbour to C5 within the latter harmony. These motions can be related to the introduction (which, incidentally, is also eight bars long, where the same elements occur in relation to

D-flat major, paving the way for their further development in the main-theme period. Therefore, bars 71-78--a kind of transition, leading to the reprise of the main-theme period--constitute both a formal counterpart of the introduction and a subtle reference to its voice-leading content.

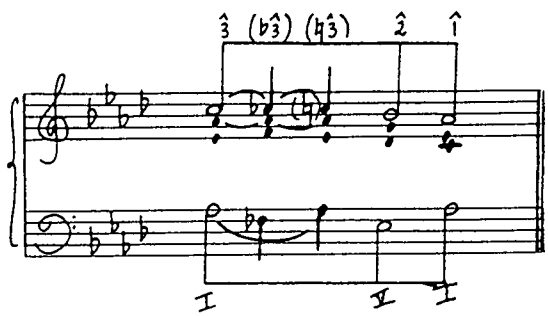
Summary

The two principal elements of chromaticism in this mazurka have been indentified as the mixture of $\hat{3}$ and its inner-voice equivalents in the middleground, as well as the mixture of $\hat{6}$, and the various chromatic linear progressions in the foreground and middleground. Regarding mixture, it was observed how it created the frequent contrasts between major and minor found at different levels throughout the composition, as well as the various prolongational key regions of the middleground. By counterimposition, the chromatic linear progressions served as important devices of composing-out, and especially in connecting the tonic to the main key region of the large middle part. From a motivic point of view, both mixture and the chromatic linear progressions have been recognised as important structural motives, creating a network of motivic relationships on the various levels of structure. In addition to this, both sections B and C, as well as the binary division of section B were also generated through mixture at two levels of middleground; in the former, through the prolongation of the third of B-flat and its mixture, and in the latter, through the prolongation of the third of the dominant of B-flat and its subsequent mixture.

Mazurka Op. 17, No. 3

The mazurka Op. 17, no. 3 offers an instance of mixture in the background, combined with a chromatic neighbour-note figure involving the flat-6 degree of A-flat major (F-flat). This mazurka was already cited in part during Chapter 3 and again during Chapter 9. In both instances it was observed how the large ternary form design is generated through the mixture of the first fundamental-line tone ($\hat{3}$) in the background (the background graph is reproduced in Example 10.10).

Example 10.10. Mazurka Op. 17, No. 3, Background Graph

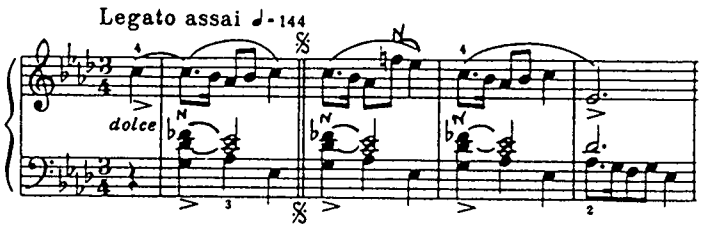


However, unlike Op. 30, no. 3, no further parallelisms of the background mixture are to be found in the middleground levels, although there are references to the mixture of $\hat{3}$ and $\hat{6}$ in the surface melodic motions, especially during section A, as will be observed later. Instead, the principal element of prolongation in both the first and second middleground levels is D-flat, the upper neighbour of both the diatonic and chromatic setting of $\hat{3}$. This neighbour note becomes the point of departure for the development of the internal b-sections within section A and the

Trio respectively (see Example 9.1a, levels b and c).

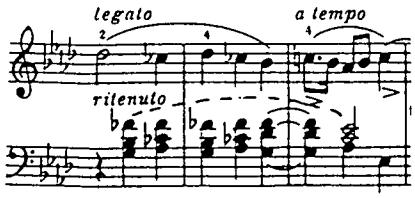
The flat-$\hat{6}$ degree mentioned above is initially associated with the upper neighbour D-flat in its various foreground and middleground settings. Firstly, Example 10.11 shows F-flat4 appearing in the upper voice of the left hand in conjunction with D-flat4.

Example 10.11. Mazurka Op. 17, No. 3, Bars 1-4



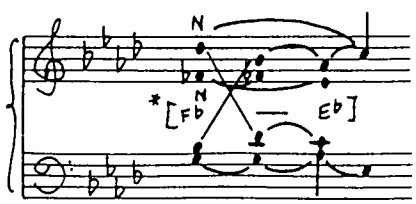
Together with G3, the lower neighbour of the tonic A-flat3, as well as an additional B-flat4, the result is the poignant tonic-embellishing diminished seventh on VII of A-flat major, with which the piece begins. With its tonic resolution, this diminished seventh constitutes the principal harmonic feature of the first part of section A (bars 1-16) and its repetition (bars 25-40). In bars 23-24, F-flat4 reappears, this time as a repeated inner-voice tone, functioning as common tone to each of the surface harmonies during these bars (see Example 10.12a).

Example 10.12a. Mazurka Op. 17, No. 3, Bars 23-25



However, at a deeper structural level (Example 10.12b), it is associated once again with the upper neighbour D-flat, now operating in the middleground.

Example 10.12b. Mazurka Op. 17, No. 3, Foreground Graph, Bars 23-25



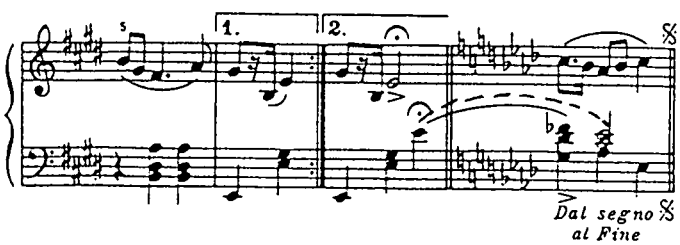
Together, they form part of yet another diminished seventh, now functioning as the main prolongational harmony for the internal b-section (bars 17-24), and, with its tonic resolution in bar 25, being a middleground parallelism of the principal foreground harmonic figure cited in Example 10.11.

Returning to the large background/middleground structure (Example 10.10), there is a most ingenious interconnectedness of both flat-$\hat{6}$ and flat-$\hat{3}$ (C-flat) with one another and with the main E major tonality of the Trio (bars 41-80). Firstly, note

that E major is in fact the enharmonic equivalent of F-flat major, since in the background structure it represents flat-VI of A-flat major. Thus, C-flat5 is adjusted enharmonically to become B4, the principal melodic carrying voice of the Trio. Viewing E4 in the melodic line of the Trio as the enharmonic equivalent of F-flat4, the harmonic progression I-flat-VI-I in the background reveals a large-scale neighbour-note motion E-flat/F-flat/E-flat in an inner voice, operating in conjunction with $\hat{3}$/flat-$\hat{3}$/natural-$\hat{3}$ in the background upper voice.

This functional correspondence of the E of the Trio with the F-flat of section A and its internal b-section is substantiated by two significant events. The first occurs during bars 80-81, the last bar of the Trio and the first bar of the reprise of section A respectively (see Example 10.13).

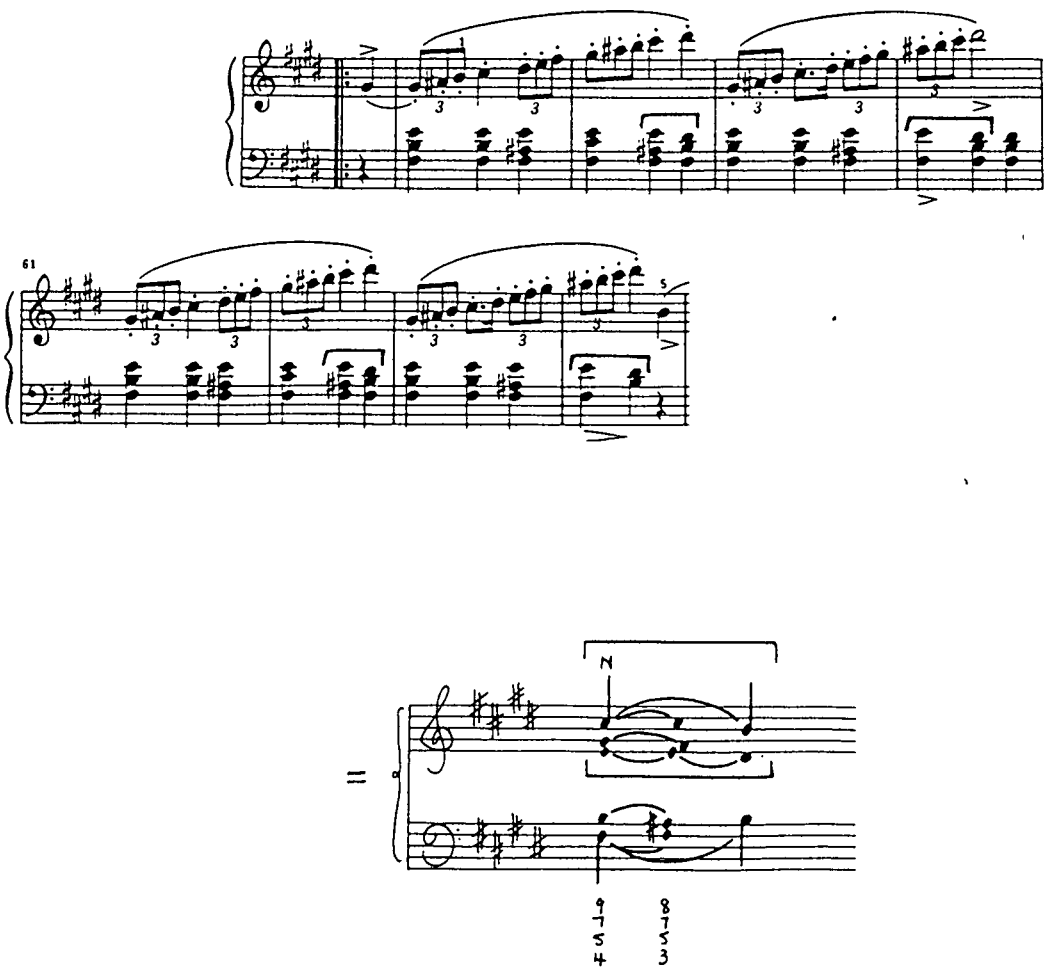
Example 10.13. Mazurka Op. 17, No. 3, Bars 79-81



Here, the local tonic (E4) on which the melodic line of the Trio closes, is repeated in the left hand and then held over into bar 81. At this point, the opening diminished seventh of the piece appears, resulting in a change of function of E4 from being the tonic of the Trio to reverting to flat-$\hat{6}$ of A-flat major, hence its enharmonic change to F-flat4. Thus, Chopin was able to

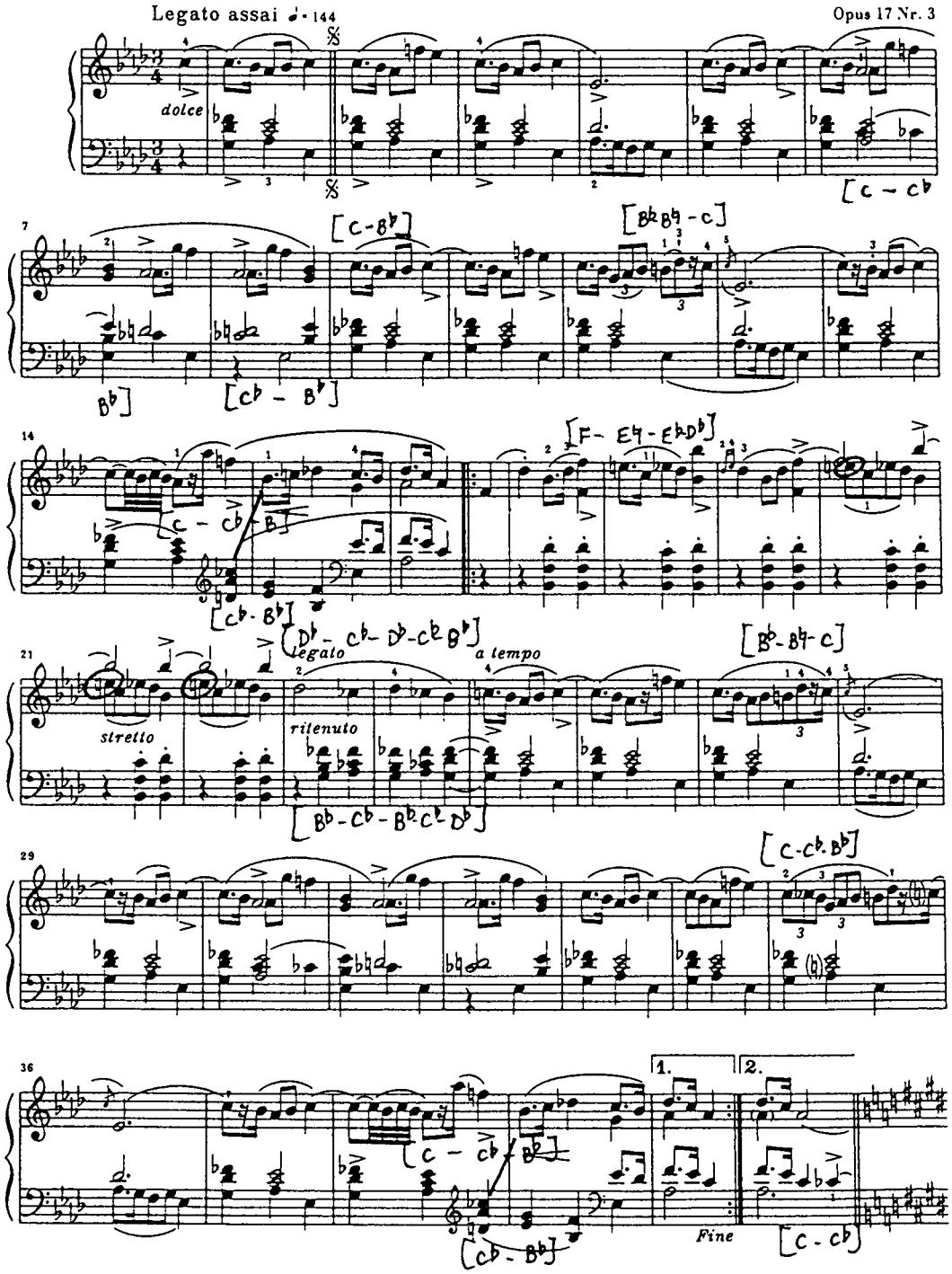
effect the finest and subtlest of tonal connections between the local E major key region of the Trio and A-flat major, by attributing two different structural functions to a single tone. Secondly, during bars 57-64, the internal b-section of the Trio (Example 10.14), several repetitions of the motion E4/D-sharp4 occur in the upper voice of the left hand. These resemble the foreground F-flat4/E-flat4 motions during the outer parts of section A, except for the fact that E4 and D-sharp4 now also constitute a transposed version of the neighbour-note motion D-flat4/C4 of section A.

Example 10.14. Mazurka Op. 17, No. 3, Bars 57-64

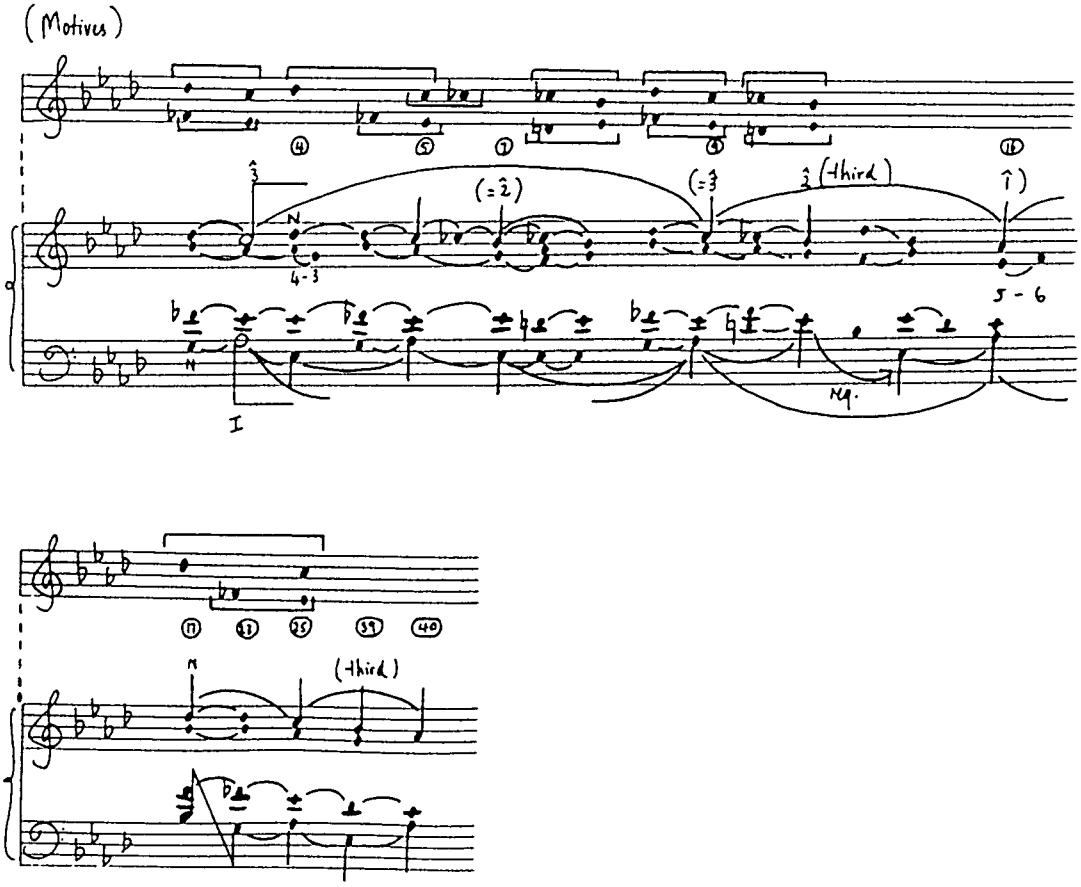


Further evidence of the role and interconnectedness of flat-$\hat{3}$ and flat-$\hat{6}$ can be found in the foreground voice-leading events of section A (see Examples 10.15a and b).

Example 10.15a. Mazurka Op. 17, No. 3, Score, Bars 1-40



Example 10.15b. Mazurka Op. 17, No. 3, Foreground Graph, Bars 1-40



Firstly, note the numerous appearances of C-flat in both the melodic line and left-hand accompaniment, functioning either as chromatic passing tone between C and B-flat, or as chromatic upper neighbour embellishment of B-flat (the fifth degree of the dominant of A-flat major). At bars 18 and 20-22, E5 appears in the melodic line, functioning both as chromatic passing tone between F5 and E-flat5, as well as being a Lydian inflection within the momentary B-flat supertonic harmony. However, it also functions as the enharmonic version of F-flat5, as well as being a forerunner to the occurrence of F-flat4 in the middleground

diminished seventh harmony during bars 23-24. Also during bars 23-24, the simultaneous occurrence of both F-flat and C-flat result in the F-flat major passing surface sonority between the two versions of the middleground diminished seventh. This may be regarded as a tiny surface glimpse of the same sonority which is to become the controlling background harmony of the Trio.

Finally, there is an interesting correspondence of $\hat{3}$ with flat-$\hat{6}$ in the E major key region of the Trio, namely, that in relation to E major, $\hat{3}$ functions as its flat sixth degree, just as the tonic of the Trio again becomes flat-$\hat{6}$ of A-flat major at the start of the reprise of section A. Thus, apart from mixture of $\hat{3}$ alone, being the determining factor in effecting the change from A-flat major to E major (F-flat major) and back, the phenomenon of the flat-$\hat{6}$ degree also comes into play in that both $\hat{3}$ and the tonic of the Trio acquire the role of flat-$\hat{6}$ with regard to the Trio and the reprise of section A respectively.

Summary

In this mazurka the influence of chromaticism manifests itself in three ways: 1), in the background, through the mixture of $\hat{3}$, bringing about its large ternary tonal and formal division; 2), in the middleground and foreground, through the chromatic upper neighbour of the fifth degree of A-flat major in conjunction with the upper neighbour of $\hat{3}$, bringing about the diminished seventh prefix to the tonic and its middleground parallelism; and 3), on the melodic surface, through the numerous surface chromatic neighbour and passing motions, functioning as important

melodic/motivic elements. Most significant, however, is the fact that the flat sixth also operates in the background in conjunction with the mixture of $\hat{3}$, where it becomes the tonic of the Trio. Thus, a cohesive tonal-structural relationship is established between the tonality of the Trio and the chromatic neighbour notes in the foreground and middleground structure.

The so-called Phrygian $\hat{2}$, having originated from the Phrygian mode as the name indicates, has come to be a specific category of mixture with regard to the major/minor diatonic system, as a result of the so-called Neapolitan chord of which it forms the basis. In Schenkerian theory, it is primarily associated with the second degree of the fundamental line or a replication thereof at a later level, and consequently with structural cadences or interruption patterns. In the mazurkas, on the other hand, the Phrygian $\hat{2}$ is occasionally encountered as a purely modal device on the melodic surface (see Chapter 11), except for one extraordinary instance (Op. 41, no. 2) where it penetrates into the background structure. {4} However, for the purposes of the present chapter, we shall concentrate only on the influence of the Phrygian $\hat{2}$ as chromatic device, and in particular, on its role as prolongational element in the background and middleground.

Mazurka Op. 33, No. 4

Of the relatively small number of mazurkas containing the Phrygian $\hat{2}$ in their harmonic/voice-leading structures, {5} the

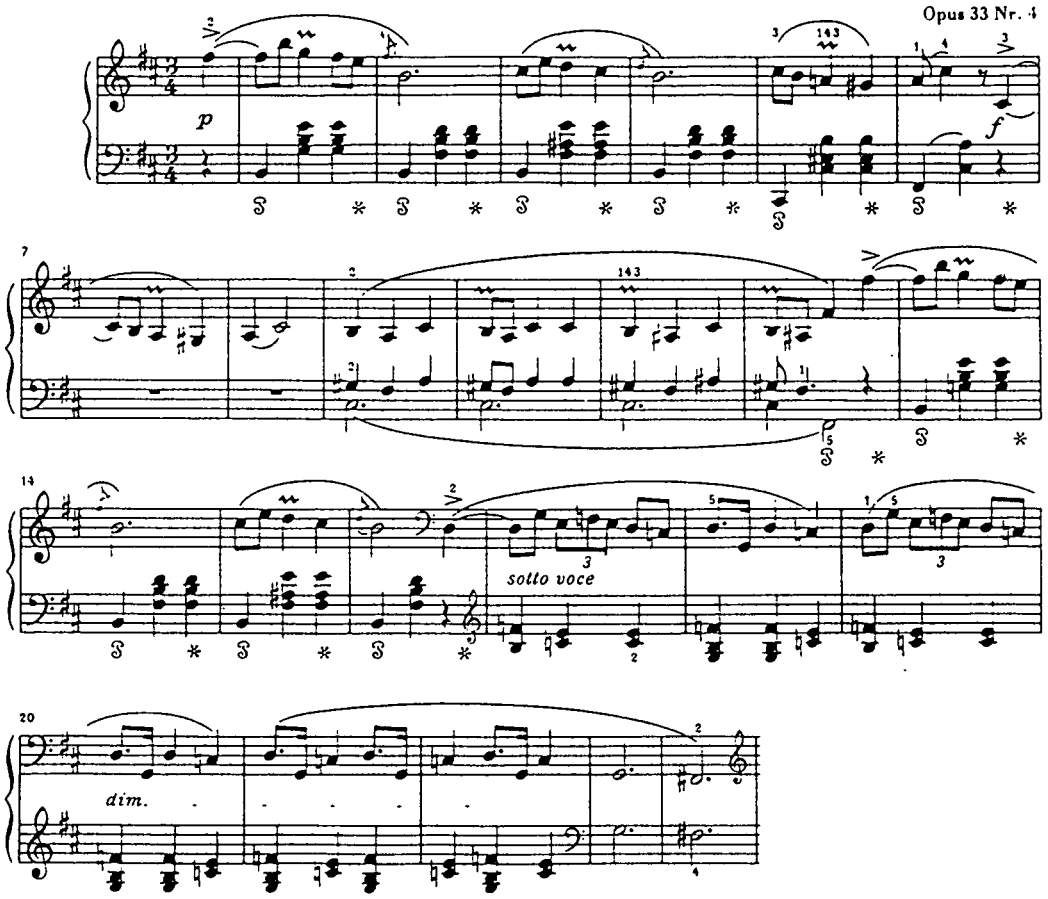
one where it has the most far-reaching tonal-structural implications is the mazurka Op. 33, no. 4. With reference to this mazurka in **Free Composition**, Schenker writes:

> The special effect of this whole mazurka depends upon the following fact: that the tension of flat-$\hat{2}$ persists until the last bar, where the diatonic sharp-$\hat{2}$ finally appears. (6)

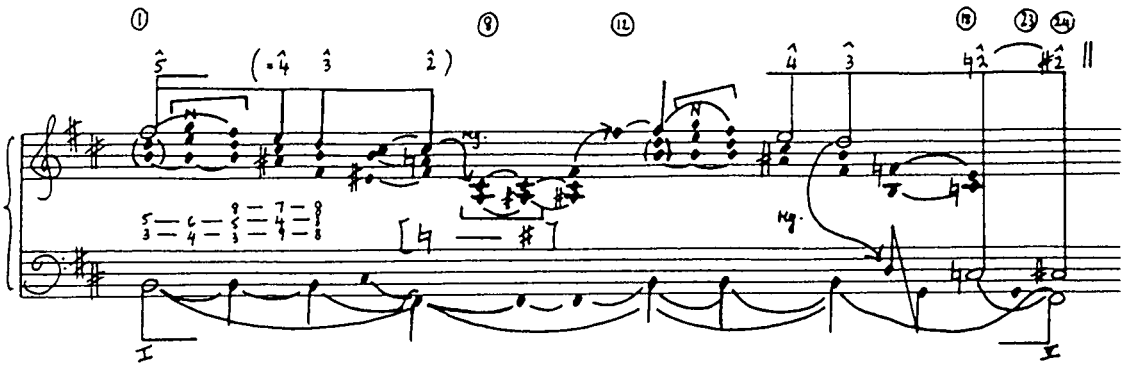
This tension of flat-$\hat{2}$ to which Schenker refers, results first of all from the fact that it appears several times during the mazurka in connection with middleground interruptions. However, together with the role of these interruptions in delaying the final appearance of $\hat{2}$ and its descent to $\hat{1}$ in the background, flat-$\hat{2}$ itself is magnificently exploited with regard to its own structural role as chromatic suspension of $\hat{2}$, by being prolonged prior to each interruption, as well as to the final $\hat{2}$-$\hat{1}$ motion of the fundamental line. Furthermore, each prolongation of flat-$\hat{2}$ and the subsequent composed-out voice leading following from it, is directly associated with an important motivic element appearing throughout the main thematic areas of the piece, namely, the upper neighbour of $\hat{5}$ (G). (7)

The first prolongation of flat-$\hat{2}$ occurs in bars 17-24 and its corresponding place (bars 81-88), representing the last eight bars of the main-theme period. Example 10.16a presents the score of the first 24 bars, while Example 10.16b is a graph of these bars, also indicating the presence of the upper neighbour of $\hat{5}$ in the melodic structure.

Example 10.16a. Mazurka Op. 33, No. 4, Score, Bars 1-24



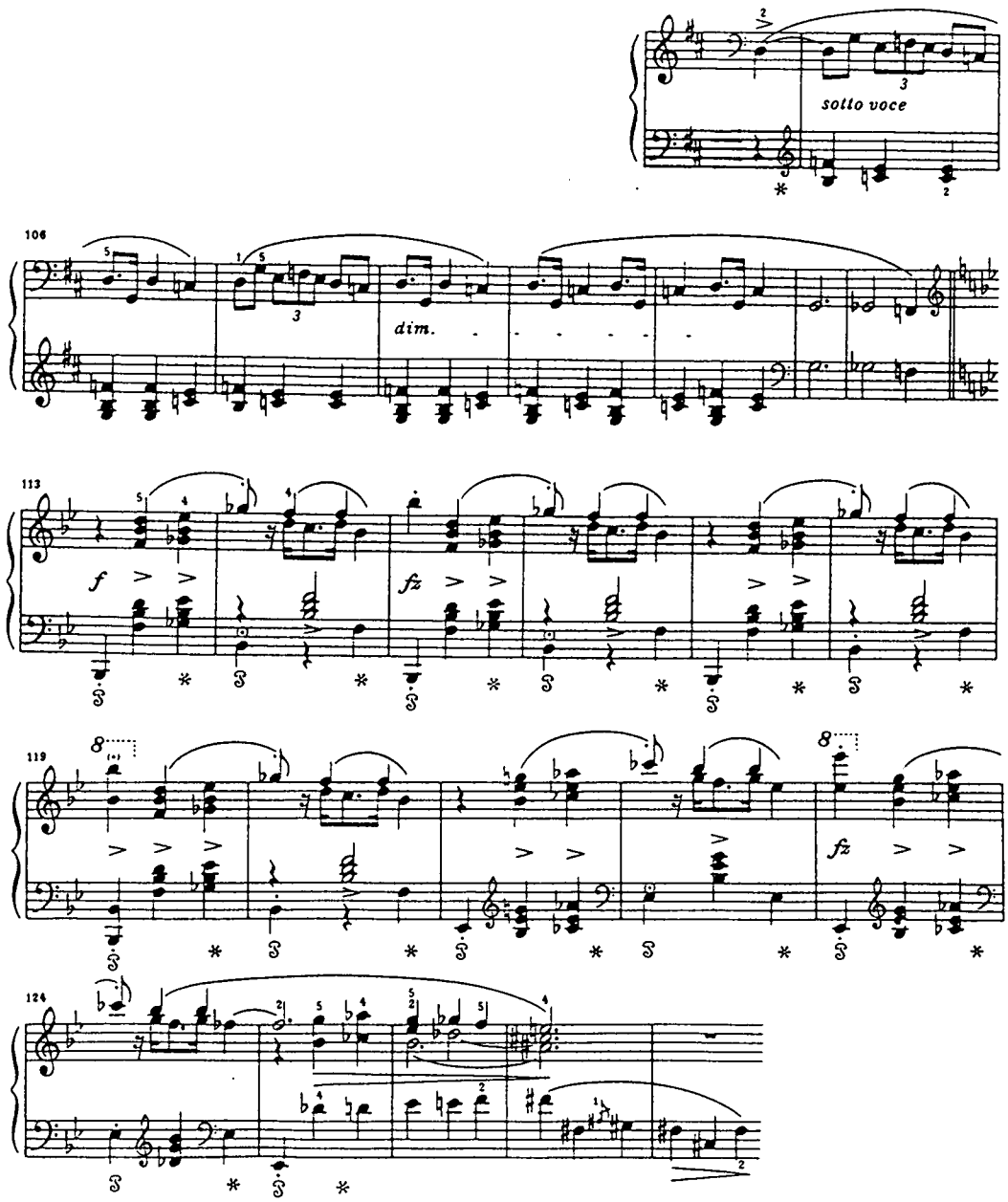
Example 10.16b. Mazurka Op. 33, No. 4, Foreground Graph, Bars 1-24



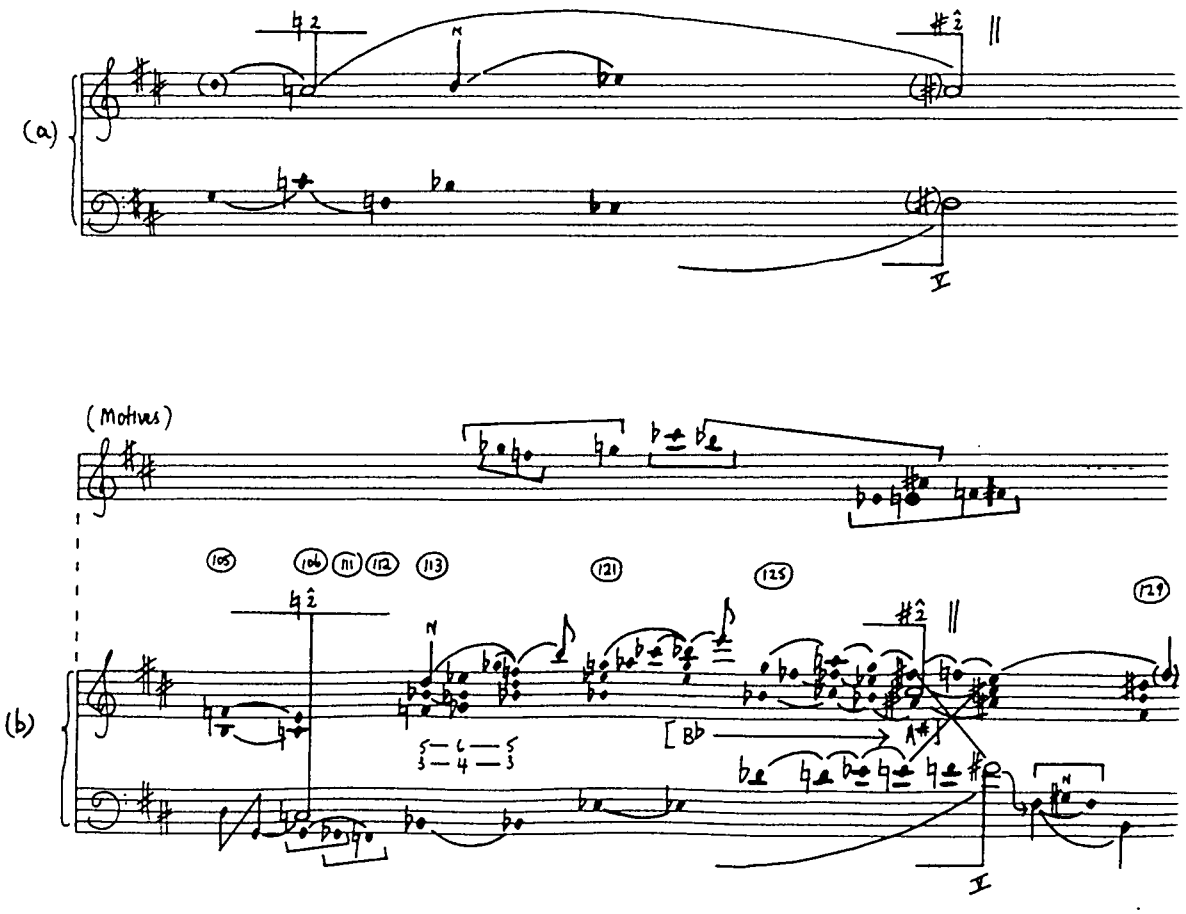
This prolongation is accomplished in a most imaginative way by means of the thematic content of bars 1-2, now following from D or $\hat{3}$, and accordingly presented in repeated fashion within the motion from V of C to C major (flat-II of B minor) in the bass register during bars 17-22. Just before flat-$\hat{2}$ is converted back to natural-$\hat{2}$ (the latter being implied in the graph, since it does not actually appear in the score), a single octave comprising G2 and G3 appears in bar 23, moving to F-sharp2 and F-sharp3 respectively in bar 24. Following from the dominant of C, both G2 and G3 subsequently become the upper neighbour of F-sharp, the dominant of B minor. This relates clearly to the upper neighbour G5 of the main-theme period.

The second prolongation of flat-$\hat{2}$ involves bars 41-64 and its corresponding section (bars 105-128). The latter set of bars will, however, be focused on here in order to make a direct connection to the opening bar of the Trio (bar 129), since bars 65-128 constitute a written out repetition of bars 1-64. Example 10.17a gives the score of bars 105-128 and Example 10.17b their middleground and foreground graphs. The first eight bars correspond almost exactly to bars 17-24. However, instead of the expected middleground interruption at bar 112, the music unexpectedly and suddenly by-passes the dominant of B minor in a dramatic way by moving to the dominant of B-flat major and subsequently to B-flat major itself at bar 113. This surprising motion--apparently away from the main B minor tonality--is effected by the further exploitation of the G/F-sharp motive. Instead of F-sharp becoming the dominant of B minor again, it too becomes an upper neighbour of F-natural, by being enharmonically

Example 10.17a. Mazurka Op. 33, No. 4, Score, Bars 105-128



Example 10.17b. Mazurka Op. 33, No. 4, Middleground and Foreground Graphs, Bars 105-128



changed to G-flat. This causes C or flat-$\hat{2}$ to remain as an implied note in the middleground, instead of moving to C-sharp or natural-$\hat{2}$. In the next eight bars in B-flat major (bars 113-120), the foreground voice leading is derived from D5 in the middleground, the upper neighbour of C5, still present at the deepest middleground level. Then follows the prolongation of E-flat5 during bars 121-124, the upper neighbour of D5, whereupon there is a return to the dominant of B at bar 128.

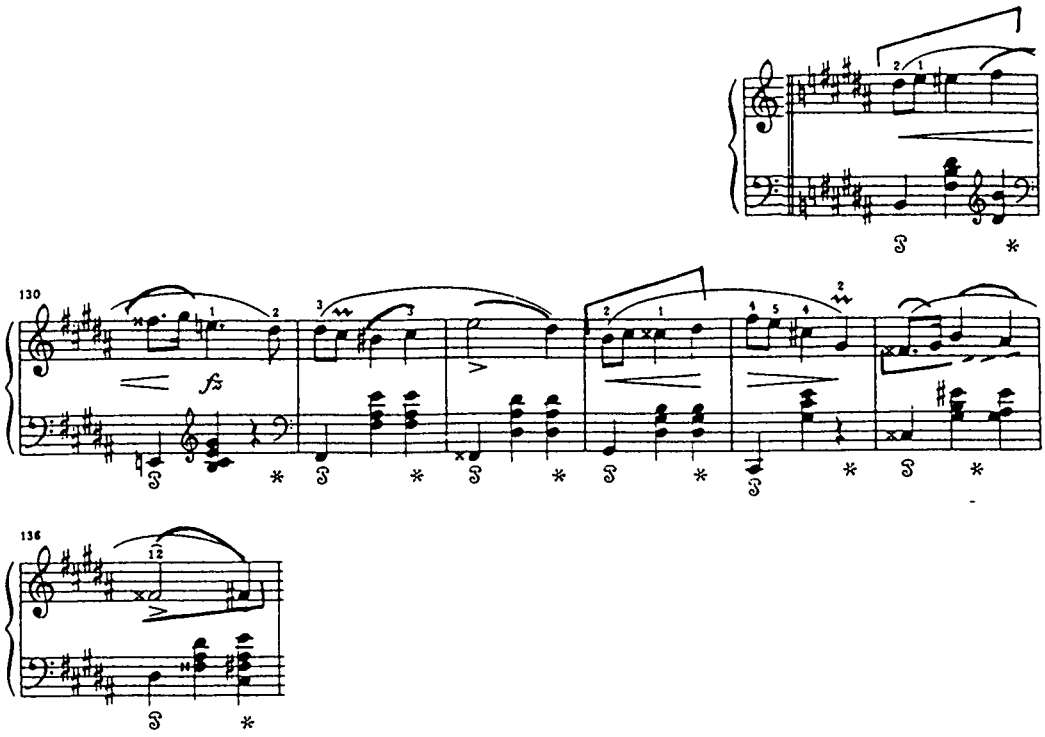
Two more voice-leading details concerning bars 113-128 need commenting. Firstly, looking at Example 10.17a and the

foreground graph of Example 10.7b, note the neighbour motive G-flat5/F5 in the superimposed voices above D5. This is a continuation of the Gg/f-sharp motion of bar 112. Secondly, at bar 121, G5 appears in the upper voice, following from F5 in the previous bars. This is not only the diatonic upper neighbour of F5 in the local context, but, at a deeper level, also represents the original upper neighbour of $\hat{5}$.

In bars 125-128, there is a remarkable piece of chromatic voice-leading detail which is of particular significance, since it relates directly to the principal melodic motive of the Trio. In the bass during bars 126-127, we encounter the motion E-flat4/E-natural4/F4/F-sharp4. This is a subtle forerunner to D-sharp5/E5/E-sharp5/F-sharp5 appearing in the melodic line of the opening bar of the Trio, being exactly the same pitches, except for the fact that E-flat and F are now enharmonically changed to D-sharp and E-sharp respectively in order to fit into the B major tonality of the Trio. At the same time, a retrograde version of this motion F-sharp5/F-natural5/E5/D-sharp5 also appears in the upper voice from the second beat of bar 126 to the downbeat of bar 129. It is important to recall that the content of bars 105-128 were already presented previously during bars 41-64.

The Trio itself is rich in surface chromatic details, the most important of these being the D-sharp/E/E-sharp/F-sharp chromatic motion of bar 129 and corresponding places, and its various transposed repetitions (see Example 10.18). {8}

Example 10.18. Mazurka Op. 33, No. 4, Bars 129-136

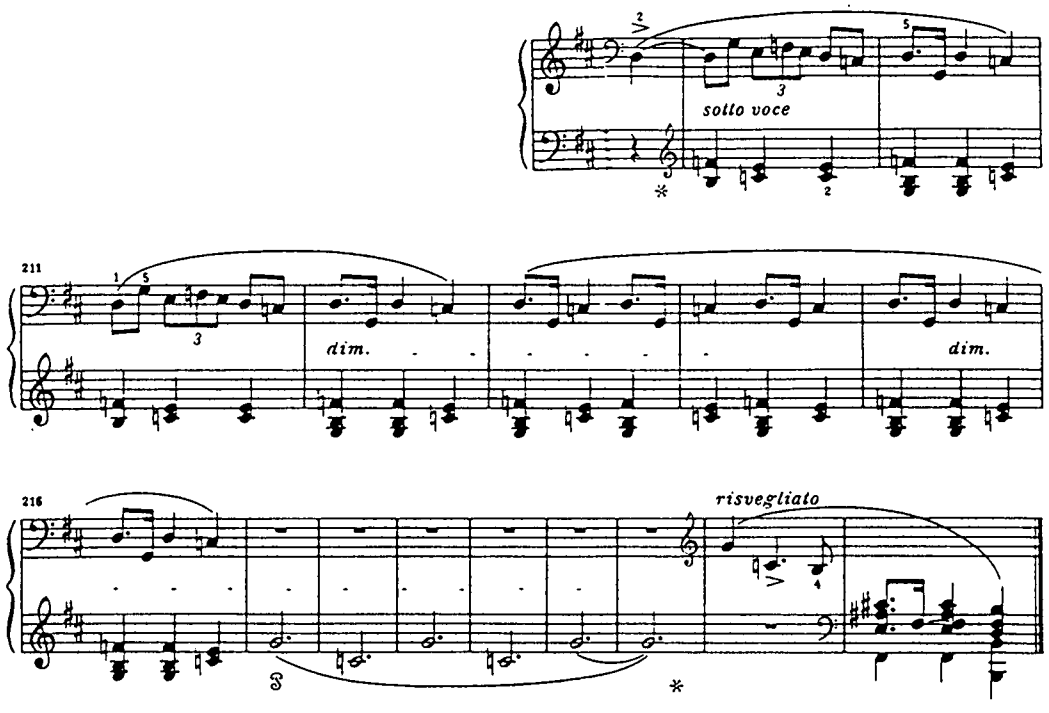


This contrasts with the surface voice leading of the large A-section where the motion is predominantly diatonic and the element of chromaticism confined to the deeper structure, except for bars 5-10 and corresponding places to be commented on soon. In this sense, the surface chromatic elements of the Trio contribute strongly to the creation of tonal and formal contrast between itself and the A-section. However, the most important factor in this regard is the change from the B minor tonality of the A-section to B major in the Trio, effected through mixture of the third of B minor (D) in becoming D-sharp. (9) This idea has its origin in the opening main-theme period, where there is an initial motion to the dominant minor at bar 6, after which the dominant major emerges in bar 11, prior to the

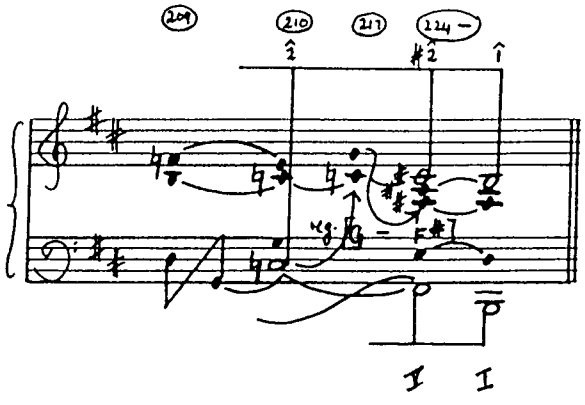
middleground/foreground interruption at bar 12.

Finally, the last prolongation of flat-$\hat{2}$ is from bars 209-224 (see Examples 10.19a and b).

Example 10.19a. Mazurka Op. 33, No. 4, Score, Bars 209-224



Example 10.19b. Mazurka Op. 33, No. 4, Foreground Graph, Bars 209-224



Again, it starts off by being prolonged in the same manner as during bars 17-24 and corresponding places. However, instead of the ensuing interruption, there is an apparent conclusion on flat-II of B minor at bar 216, after which follows a six-bar interpolation (bars 217-222), consisting of an evocatively swaying motion between the two principal structural elements (C4 and G4, or flat-$\hat{2}$ and the upper neighbour of $\hat{5}$ respectively). This unexpected motion in open fifths not only creates a feeling of expectation in that both elements are left hanging in mid-air, so to speak, but is also a final reminder of that tension between flat-$\hat{2}$ and natural-$\hat{2}$ which persisted throughout the entire mazurka. After this, the mazurka closes abruptly with the structural cadence, causing the ultimate resolution of flat-$\hat{2}$ to natural-$\hat{2}$, as well as that of the upper neighbour G to F-sharp. The directness of this final structural cadence is also particularly meaningful, since it symbolises the ultimate surrender to the necessity for final tonal relaxation which was so assiduously prevented by both the interruption and the delaying of $\hat{2}$ through the Phrygian $\hat{2}$ and its prolongation.

Summary

Two principal structure-determining factors have been established in this mazurka: 1) the Phrygian $\hat{2}$, and 2) the upper neighbour of $\hat{5}$. The Phrygian $\hat{2}$ played a decisive role in the background and middleground structures as an element of prolongation from which significant voice-leading and formal development took place. The upper neighbour of $\hat{5}$ not only

assumed importance with regard to the piece's melodic and motivic structuring, but also operated in conjunction with the Phrygian $\hat{2}$ in effecting the motion from flat-$\hat{2}$ to natural-$\hat{2}$. With regard to the surface chromatic motions in the Trio, these were seen to operate in conjunction with the mixture of the third degree of B minor in the middleground in creating the necessary tonal and formal contrast between the Trio and the A-section, the latter consisting of the various repetitions of a single diatonic theme period.

Throughout this chapter specific chromatic devices and their implications for both motivic design and tonal structure were scrutinised. These included the mixture of a specific fundamental-line tone or inner voice associated with it, (10) the Phrygian $\hat{2}$, as it relates to the fundamental line or middleground replication thereof, chromatic upper neighbour embellishments (most notably, the flat-$\hat{6}$ degree), as well as chromatic passing motions. Apart from appearing at different levels of structure, various chromatic elements were also used frequently in combination with one another or with other prominent motivic voice-leading figures not necessarily of a chromatic nature. In addition to these characteristics of chromaticism, many chromatic activities in the mazurkas are the result purely of surface linear motions, serving to compose out underlying harmonies or diatonic progressions. These often take the form of chromatic sequence constructions. (11) However, it is also true that the voice-leading patterns in some of these chromatic linear motions sometimes derive their origin from a specific voice-leading

motive (in this regard, see, for instance, the discussion of the chromatic linear sequence pattern at the end of Op. 30, no. 4 in Chapter 7). Finally, two important by-products of surface chromaticism in the mazurkas are its function in creating thematic variation (in this regard, see the discussion of Op. 17, no. 4 in Chapter 8), as well as tonal and formal contrast.

NOTES

1. Neumeyer, **Exercise Manual for Schenkerian Analysis**, 103.

2. These categories of distinction for chromatically altered tones are given by Felix Salzer and Carl Schachter in **Counterpoint in Composition**, 210.

3. Although bars 49-56 are essentially a repetition of the previous 8 bars (bars 41-48), strictly speaking this repetition is confined to the melodic line of the latter group of bars alone, since the accompanying harmonic/voice-leading situation for the two sets of bars differ markedly from one another. While the content of bars 48-56 are already within the local F minor key region established in the previous 8 bars and are based upon an underlying I-III-V-I bass arpeggiation pattern, that of bars 41-48 is a prefix to the F-minor sonority which does not literally appear until bar 48. Furthermore, bars 41-48 are based on the motion from D-flat3 to C3 in the bass which forms part of the chromatic linear motion from E-flat to C identified earlier in the text.

4. This mazurka will be considered in Chapter 11 with regard to the implications of the Phrygian $\hat{2}$ as a modal device for its tonal structure.

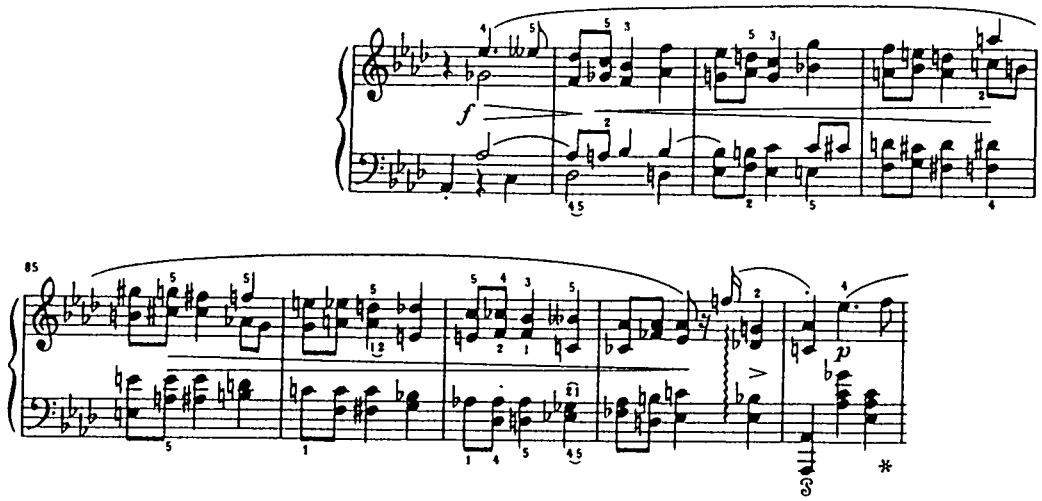
5. Other mazurkas employing the Phrygian $\hat{2}$ as a chromatic structural device include Op. 7, nos. 2 and 4, Op. 30, no. 4, Op. 56, no. 3, Op. 59, no. 3 and Op. 63, no. 2. In the latter, the Phrygian $\hat{2}$ is not associated with a fundamental-line tone or middleground linear progression as is the case in the other mazurkas cited above, but with an inner-voice tone in the middleground.

6. Schenker, **Free Composition**, Par. 194.

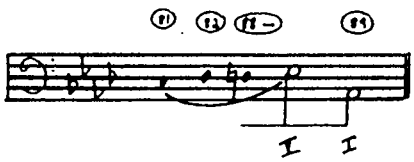
7. Some additional melodic/motivic figures in the principal theme of this mazurka are provided by Schenker in **Free Composition**, Figure 119,12.

8. This particular chromatic motion involving the filling-in of the space between the third and fifth degrees of major or minor triads can be traced as an important surface melodic feature in a number of mazurkas. These include Op. 30, no. 3, already cited in the present chapter; Op. 33, no. 2 (see Chapter 6); Op. 56, no. 2 (see Chapter 12); Op. 59, nos. 2 and 3; and Op. 63, no. 1. In Op. 59, no. 2, it not only comprises the basic shape of the first four bars of its main theme, but in a most ingenious way also constitutes the underlying middleground bass motion of bars 81-88. In addition to this, it can be traced in transposed forms at several places in the surface bass motions of these bars (see the score and a middleground bass sketch of bars 81-89 below).

Mazurka Op. 59, No. 2, Score, Bars 81-89



Mazurka Op. 59, No. 2, Middleground Bass Sketch, Bars 81-89

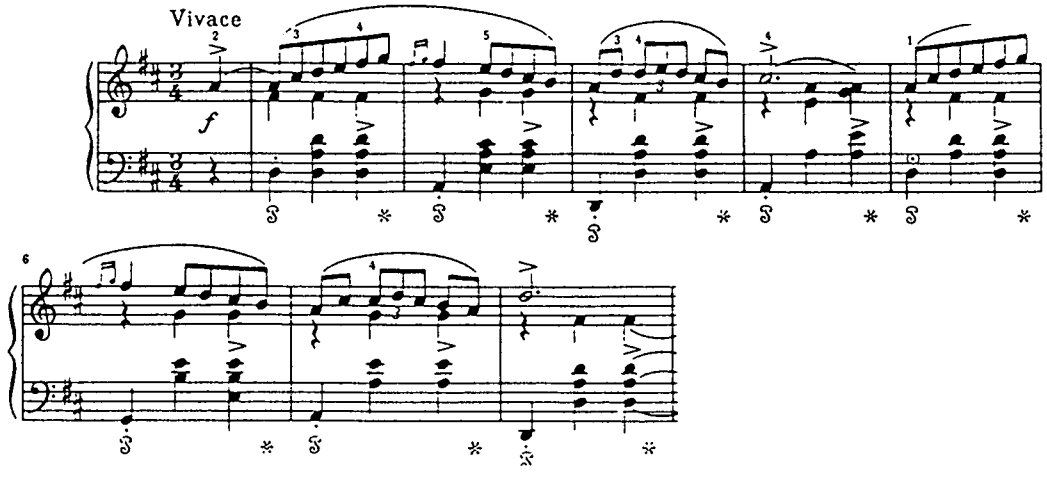


Of further significance with regard to this melodic motion is the presence of the raised fourth degree as chromatic passing tone.

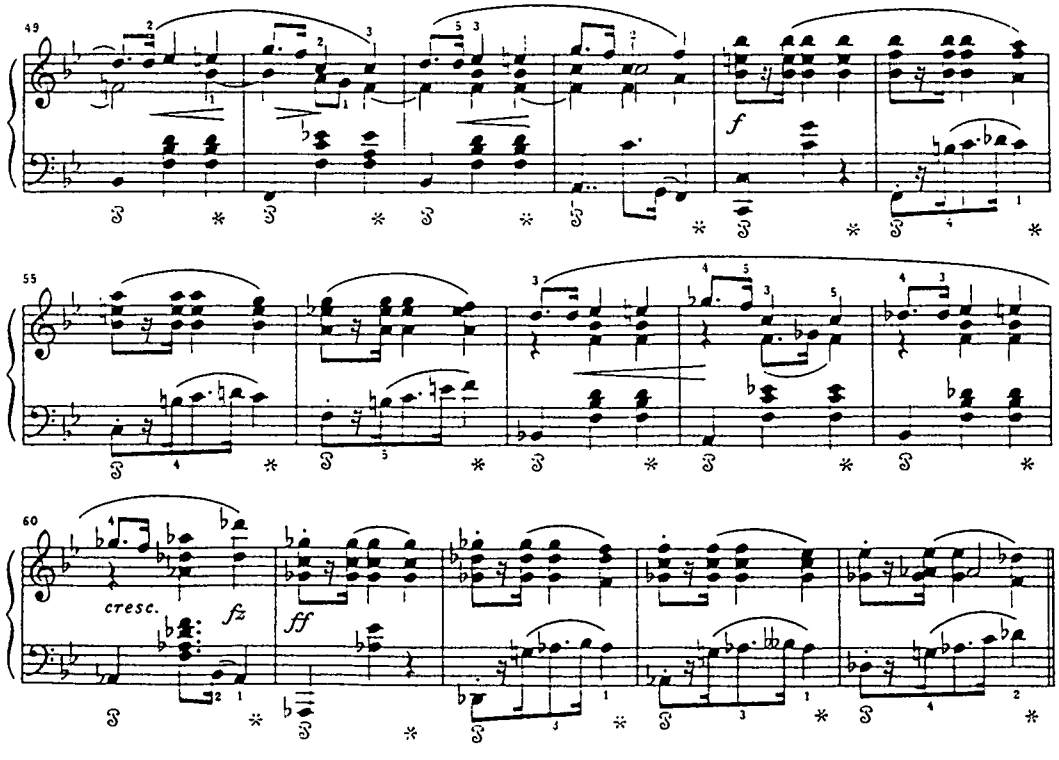
9. The most striking example of this particular role of chromaticism in the mazurkas is the mazurka Op. 33, no. 2 (Examples 6). There, it was observed how the key-change from tonic D major to B-flat major of the Trio, and its internal motions to B-flat minor and D-flat major, coincided with the mixture of $\hat{3}$ in the background and the third degree of B-flat in the middleground respectively (see Example 6, level c). Together with the influences of the above mentioned mixtures in the Trio, the latter itself also represents an abundance of surface chromatic motions. This is in sharp contrast to the large A-section, where the surface voice leading is almost purely

diatonic (see the two score excerpts below). This contrast between the simple diatonic character of the A-section and the rich chromatic character of the Trio is noteworthy in itself, since the chromaticism itself becomes a motive in the Trio.

Mazurka Op. 33, No. 2, Bars 1-8

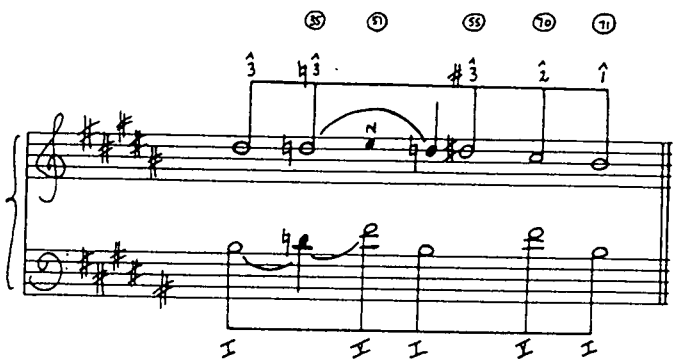


Mazurka Op. 33, No. 2, Bars 49-64



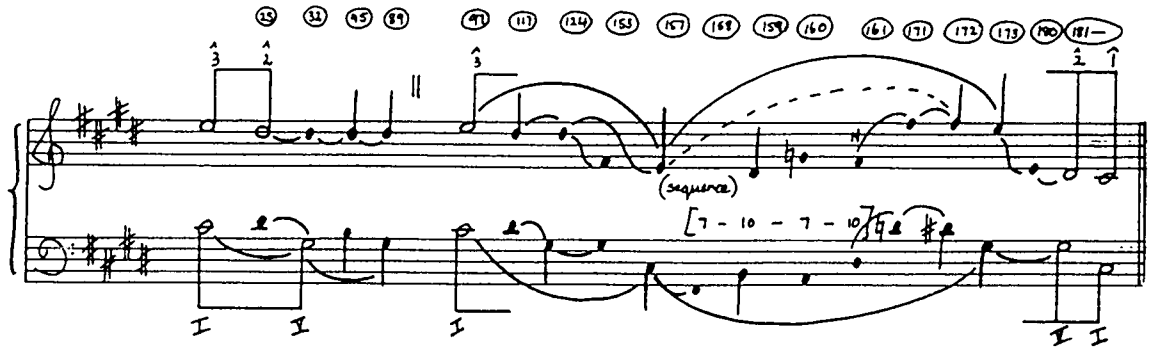
10. Mention must be made of one more mazurka in which mixture is the central element with regard to tonal structure and form design, namely, the extraordinary instance of Op. 41, no. 3. Here, mixture is applied to both $\hat{3}$ and the third degree of the I-III-V-I structural bass arpeggiation appearing simultaneously with one another in the background/middleground structure. Apart from the unexpected change of key from tonic B major to D major, the prolongation of these two elements also result in the middle section of this mazurka (see the graph below).

Mazurka Op. 41, No. 3, Background Graph



11. Of the many examples of chromatic sequence patterns in the mazurkas, the most notable instances occur in Op. 6, no. 1, Op. 7, no. 2, Op. 17, nos. 1 and 4, Op. 50, no. 3, Op. 59, nos. 1, 2 and 3 and Op. 67, no. 2. With regard to Op. 50, no. 3, the sequence in question (comprising bars 157-172), plays a most remarkable role in the tonal structure, in that it serves as a means of counteracting the unusually large emphasis on the prolongation of $\hat{2}$ throughout this mazurka (see the background/middleground graph below).

Mazurka Op. 50, No. 3, Background/Middleground Graph



CHAPTER 11

THE INFLUENCE OF SPECIFIC MODAL DEVICES ON MOTIVIC DESIGN AND TONAL STRUCTURE

In Section I, mention was made of the role played by modality in the melodic structures of the folk mazurka, the most notable being the Lydian, Aeolian and Dorian modes. It was also pointed out in Section III that modality, as well as specific folk chromaticisms (the latter resulting from individual modal inflections), had a direct bearing on the characteristic features of Chopin's national style. In terms of harmonic and voice-leading procedures in Chopin's music, it was also concluded that modality and folk chromaticism serve to enrich these procedures and consequently have an influence on the harmonic/voice-leading character of his music, and in particular, his mazurkas.

In spite of the fact that it is possible to identify a specific authentic mode or even more than one mode in the melodic structure of a given Chopin mazurka, the overall harmonic and voice-leading structure of each mazurka clearly points to the firmly established presence and development of major and minor triadic tonality. Thus, instances of specific types of modes in Chopin's mazurkas must be regarded as purely surface melodic phenomena, confined to certain portions of the melodic line, or, at most, to individual form sections of particular mazurkas. Such modes cannot be assumed to exert any definite influence on the basic major or minor tonal orientation of these compositions.

(1) In fact, even the authenticity of such modes will be debated from the perspective of the role played by specific elements in a particular authentic mode, regarding their function within the harmonic/voice-leading hierarchy of the major or minor system. However, this does not minimise the importance of specific modal elements as significant stylistic or voice-leading features in the mazurkas. In this sense it can also be deduced that such elements are emphasised even more with regard to their function as chromatic or exotic colouring devices, due to their tonally foreign or alterational status within the major/minor system. Consequently, modality in the mazurkas really manifests itself primarily in the form of specific modal devices appearing within the basic major and minor tonal framework of these works, and exercising either a chromatic or nuancing influence.

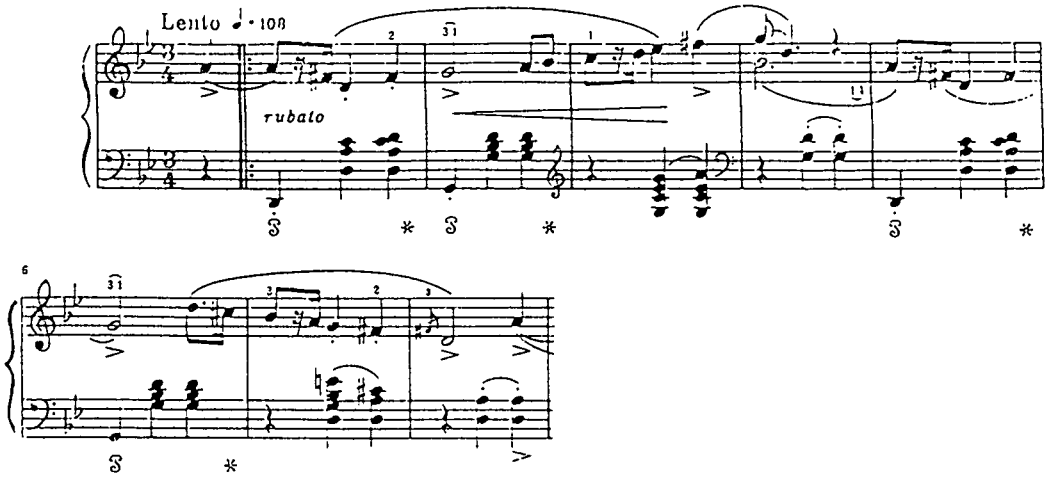
From the perspective of composed-out harmonic/voice-leading structures, however, these modal devices assume three additional and distinctive roles as elements of: 1) voice-leading elaboration, 2) motivic design, and 3) tonal-structural characterisation. It is particularly the influence of modal devices with regard to the latter two areas of investigation that is to be focused on in the present chapter, through a consideration of the two main elements of modality in the mazurkas, namely, the raised fourth degree and the Phrygian $\hat{2}$.

The principal modal element in the original folk mazurkas and in Chopin's artistic stylisations is the raised fourth degree. This derives from the Lydian mode but is also associated with one of the two types of Gypsy scale (the one containing an augmented second interval between the third and fourth scale degrees as

direct melodic successions). Instances of this particular form of Gypsy scale in the mazurkas include Op. 24, no. 1 and Op. 68, no. 2, as well as in fragmentary fashion in Op. 7, no. 1, Op. 17, no. 3, Op. 59, no. 3 and Op. 68, no. 4. The Lydian mode itself is, surprisingly enough, found in only two mazurkas, namely, Op. 24, no. 2 and Op. 68, no. 3, although fragments of it can also be traced in Op. 6, no. 3 and Op. 56, no. 2. A second important modal element was already discussed in Chapter 10 in terms of its use as a chromatic voice-leading device: the lowered second degree or Phrygian $\hat{2}$. This, of course, originates in the Phrygian mode but is also associated with Hungarian influences (see Section I) and the second type of Gypsy scale (with an augmented second interval between the second and third scale degrees (see Section III above)). One instance of the latter occurs in the mazurka Op. 41, no. 1, to be discussed below.

The raised fourth or so-called "Lydian fourth" operates in three principal ways in the mazurkas: 1) as an authentic Lydian or Gypsy element; 2) as leading-tone motions to the fifth degree--playing an important role with regard to tonicisation; and 3) as single inflections--occurring primarily in the form of chromatic passing tones or neighbour embellishments. An instance of the raised fourth operating both as Gypsy element and leading tone is shown in Example 11.1, the opening eight bars of the mazurka Op. 24, no. 1. Here, C-sharp5 appears first as the raised fourth degree of G minor in bar 6, forming part of the descending stepwise melodic motion from D5 and concluding with D4 at bar 8, thus giving to this motion its apparent Gypsy colouring as confirmed by the augmented second interval between C-sharp5

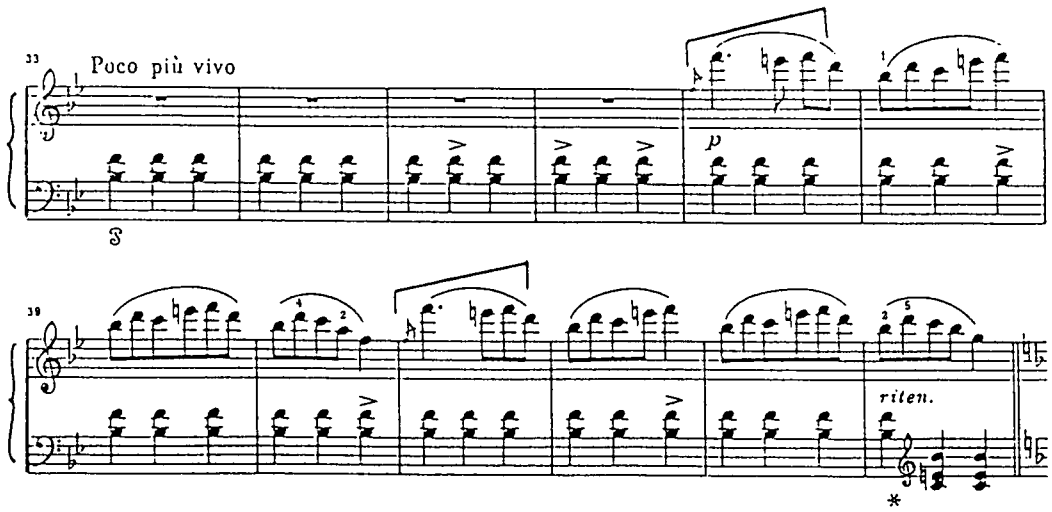
Example 11.1. Mazurka Op. 24, No. 1, Bars 1-8



and B-flat4. However, on the second beat of bar 7, C-sharp returns an octave lower in the accompaniment and functions as a leading tone to the dominant (D4). In view of the harmonic content at this point (that is, a motion from I to V via the secondary dominant of V), C-sharp5 forms part of this harmonic process through its registral connection with C-sharp4, thus functioning within the secondary dominant area. Consequently, C-sharp5 is a subtle anticipation of the C-sharp4 leading tone. (2) This structural interpretation of C-sharp5 also attests to the fact that, in terms of structural voice leading, there is no connection between it and B-flat4, the primary structural tone $\hat{(3)}$, which resolves to A4 in bar 8; (3) the tone C-sharp5 resolves in the same bar via C-sharp4 to the dominant D4.

The next two sets of examples (Examples 11.2a-f and 11.3a-d) show the raised fourth degree both as Lydian fourth and as lower neighbour figure. In the first instance, Example 11.2a shows the Trio (bars 33-44) from the mazurka Op. 68, no. 3. Here, E6 in the melodic line functions as a Lydian inflection within the

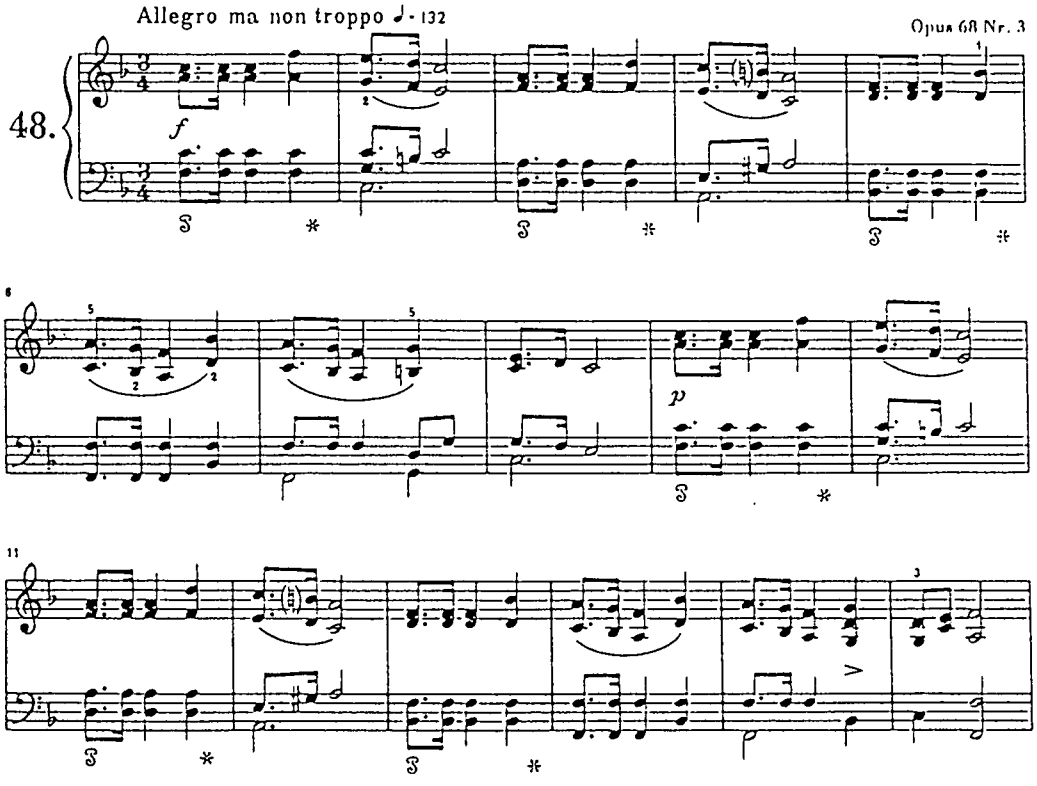
Example 11.2a. Mazurka Op. 68, No. 3, Bars 33-44



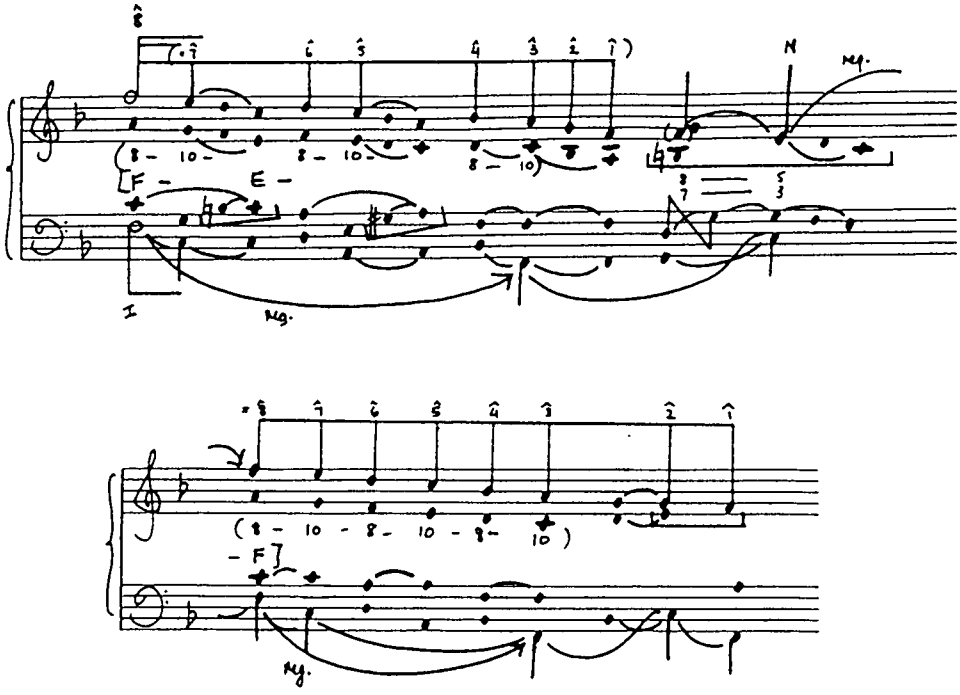
B-flat key region, supported by a drone-bass fifth in the accompaniment. (4) However, the same note also operates as a significant motivic and structural element on several levels of structure of this mazurka, functioning as lower neighbour of F5 (the primary tone, or $\hat{8}$).

Examples 11.2b and c present the main-theme period and a graph, indicating the role of E5 as lower neighbour to F5. On the other hand, Example 11.2d, presenting the internal b-section and the opening bar of the repeat of the first part of section A, shows the opposite situation in that E5 now operates as the fifth degree within the local A major key region (III of F major), while F5 functions as its upper neighbour in the foreground. However, at the start of the repeat of the main-theme period in section A, the situation is rectified in the middleground, where E4 appears in the accompaniment as a lower neighbour, moving to F5, since its expected resolution (F4) is not in the score.

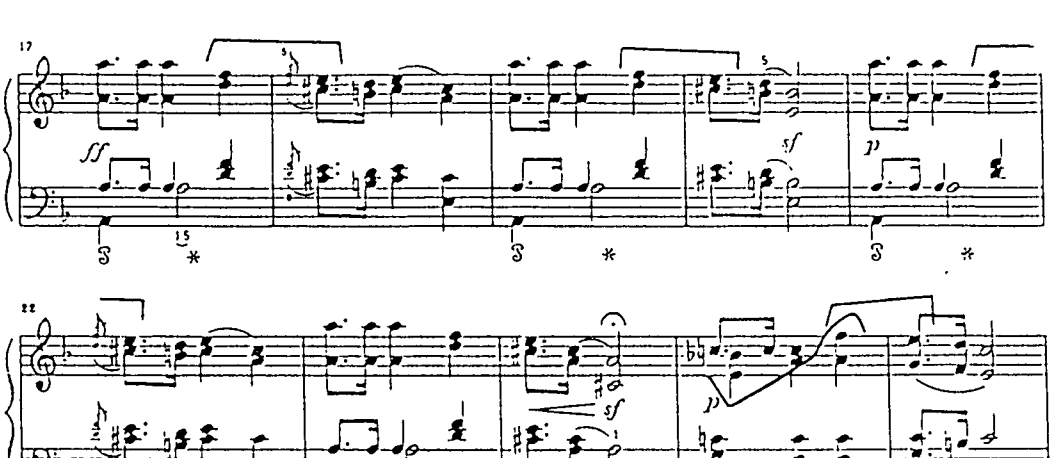
Example 11.2b. Mazurka Op. 68, No. 3, Score, Bars 1-16



Example 11.2c. Mazurka Op. 68, No. 3, Foreground Graph, Bars 1-16

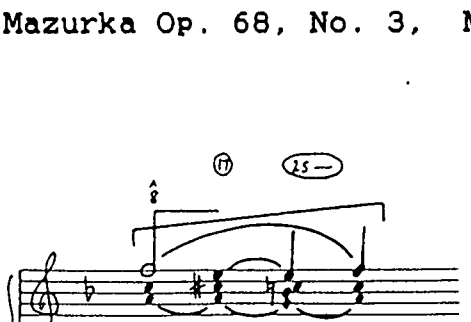


Example 11.2d. Mazurka Op. 68, No. 3, Bars 17-25

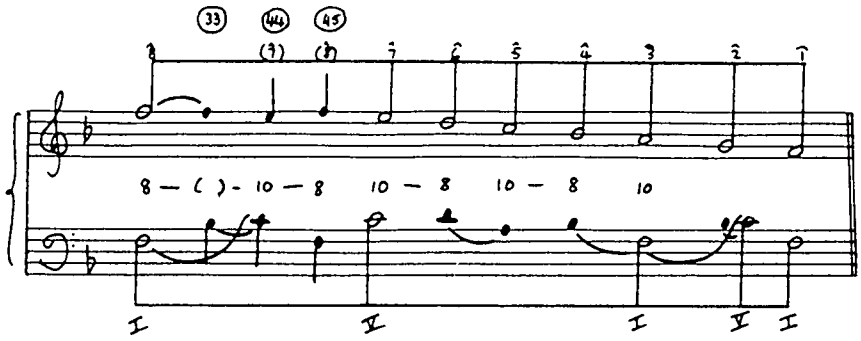


Finally, Examples 11.2e and f present a middleground graph of bars 1-25 and a background graph of the entire mazurka; in the first graph, E4 of bar 24 is the lower neighbour of F5 in the middleground and is placed in the obligatory register of the fundamental line; in the second graph, E4 in the left-hand accompaniment at the end of the Trio is the lower neighbour of $\hat{8}$ in the background, again in its obligatory setting.

Example 11.2e. Mazurka Op. 68, No. 3, Middleground Graph, Bars 1-25



Example 11.2f. Mazurka Op. 68, No. 3, Background Graph



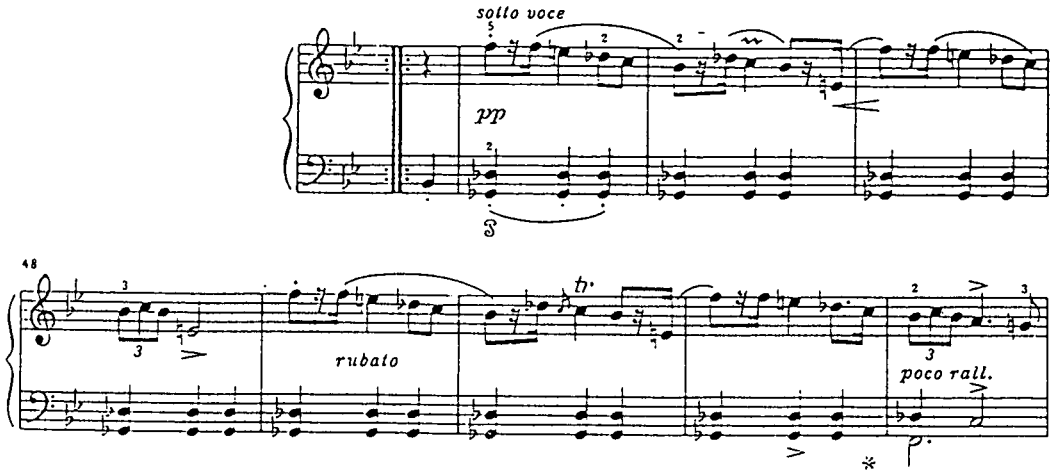
Thus, the foregoing examples illustrate how the motion F5/E5/F5 can be traced at three different levels within the tonal structure of this mazurka. Although E5 is not associated with the Lydian fourth, its employment in the Trio--and direct connection to F6 (an octave equivalent of $\hat{8}$) each time--is more than mere coincidence. In fact, the first E6 directly following F6 is not actually a Lydian inflection, but rather part of yet another F/E/F neighbour-note configuration. It is really only the second appearance of the E6 that can be regarded convincingly as the Lydian fourth.

One final observation concerning this mazurka is warranted here, since it is related to the presence of the Lydian fourth. This involves the appearance of B3 at bars 2 and 7 and corresponding places. Being the raised fourth degree of F major, it functions not as a Lydian inflection, but as the leading tone to the dominant, bringing about the momentary tonicisation of C at bar 8. This structural role of B is emphasised further by the fact that, in spite of what might be a logical use at bar 4 within the sequence pattern, B-flat is used instead. This places

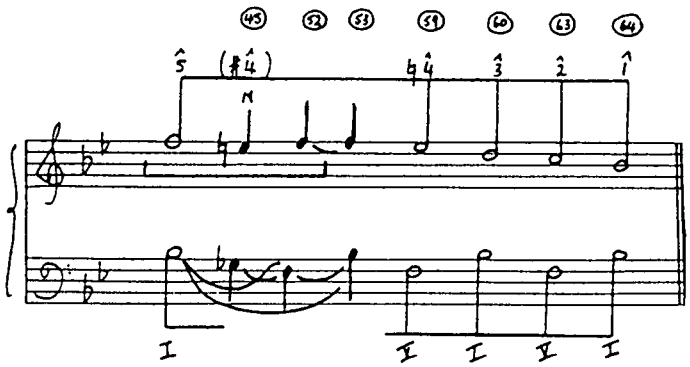
greater emphasis on B at the half cadence. Also, through the use of B3 in bar 2, a parallelism is created between the surface I-V motion of bars 1-2 and the overall motion from I to V during bars 1-8. A further interesting connection exists between the principal F/E/F motive and the B of bar 7, in that the resolution of B3 to C4 also introduces the E4 of the melodic line (the lower neighbour figure). (5) In addition to this, C4 also occurs prior to B3, thus producing the motion C4/B3/C4 in the alto during bars 7-8, a transposed parallelism of the F/E/F motive.

A somewhat similar situation with regard to the use of the raised fourth is found in the mazurka Op. 7, no. 1. Here, E5 is a Lydian element above a drone-bass figure in the Trio (see Example 11.3a). However, in contrast to Op. 68, no. 3 where it functions purely as an authentic Lydian element on the melodic surface, it also plays a prominent structural role here, namely, as the main prolongational tone of the Trio (see Example 11.3b). This additional structural function of the E shown in Example 11.3b is of particular significance, since it represents an instance in the mazurkas where the Lydian fourth becomes a determining structural element and not merely a surface inflection or foreground figure.

Example 11.3a. Mazurka Op. 7, No. 1, Bars 45-52

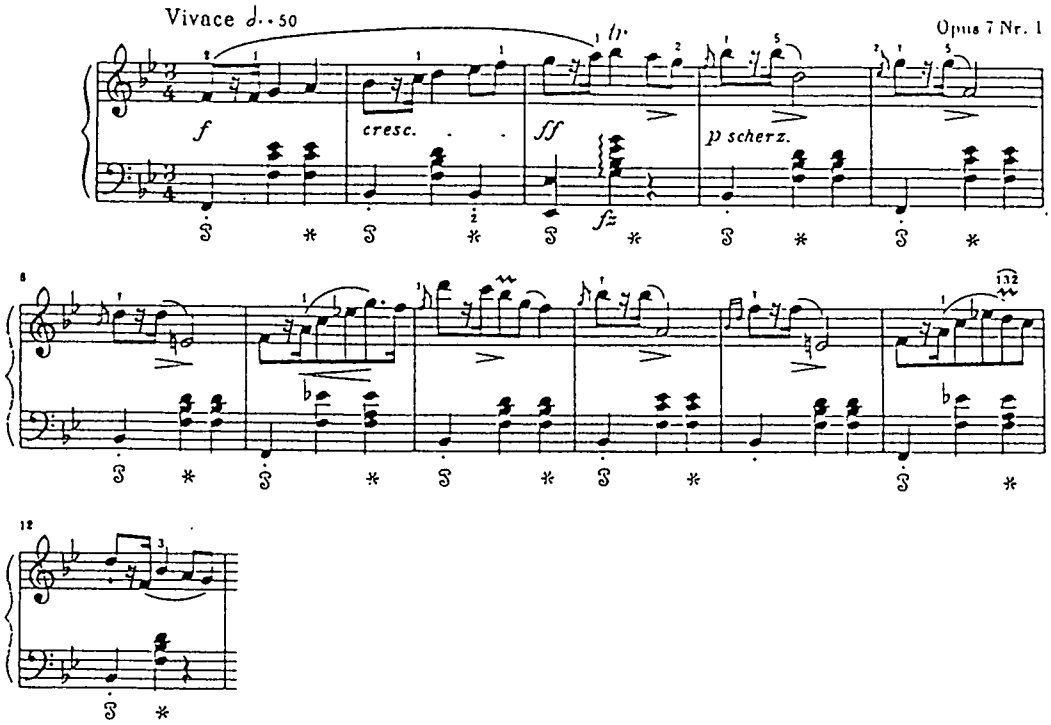


Example 11.3b. Mazurka Op. 7, No. 1, Background Graph



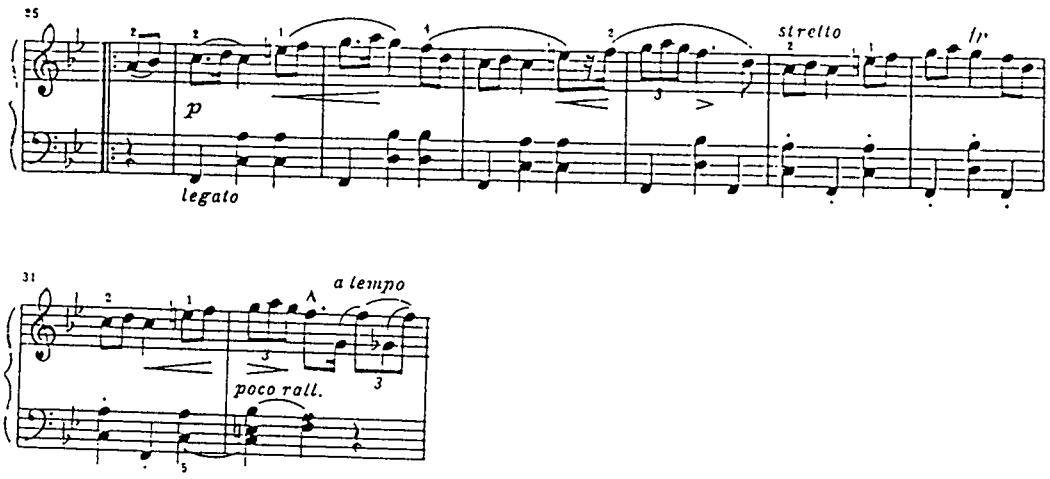
In the main-theme period (bars 1-12; Example 11.3c), E4 (the octave equivalent of E5) appears as a kind of surface lower neighbour to F4 at bars 6 and 10 together with strong B-flat major tonic support, producing a notable surface contrapuntal clash with the fifth degree of the tonic triad (F3) in the left-hand accompaniment.

Example 11.3c. Mazurka Op. 7, No. 1, Bars 1-12



Although E4 cannot be regarded as a directly Lydian element here due to the strong presence of the B-flat major tonality, it does anticipate the ultimate use of E5 as Lydian element and as background structural lower neighbour to F5 $(\hat{5})$. In a more immediate sense, the E4 also paves the way for the use of E5 as lower neighbour of F5 during the internal b-section (see Example 11.3d). The latter use of E5 is therefore also related to the E5 of the Trio in its background neighbour-note setting.

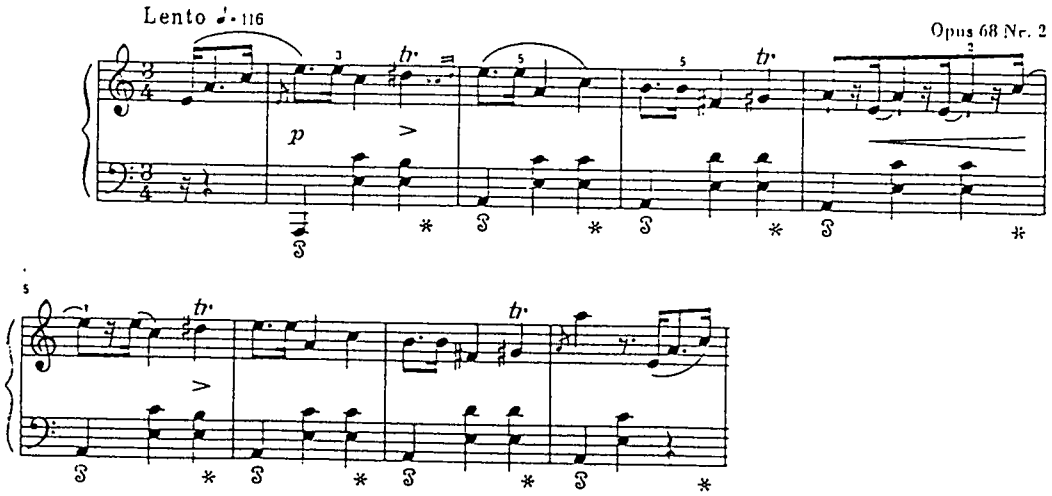
Example 11.3d. Mazurka Op. 7, No. 1, Bars 25-32



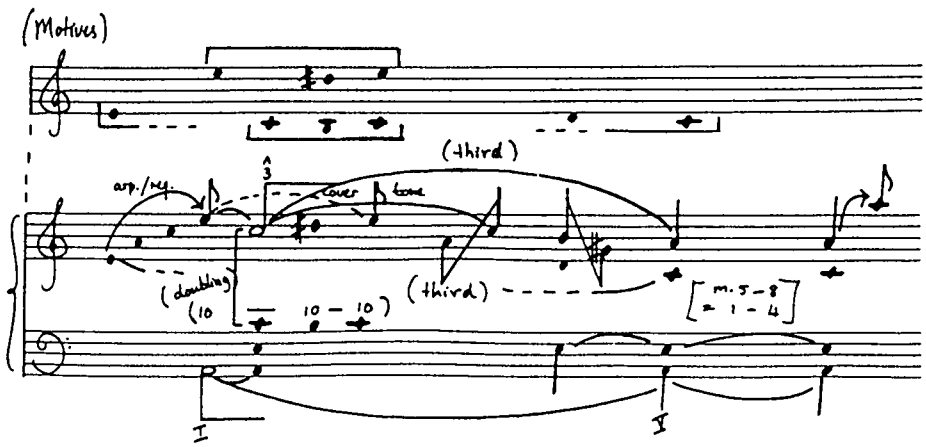
Mazurka Op. 68, No. 2

We now turn our attention to the early A minor mazurka Op. 68, no. 2 for a more comprehensive illustration of the motivic and structural implications of the raised fourth. The main melodic feature of this mazurka is the raised fourth degree D-sharp5, prominent firstly in the main-theme period, lending to it its distinctive Gypsy modal character referred to earlier (see Examples 11.4a and b). Within the voice-leading structure, D-sharp5 is the lower neighbour of E5 to which it is directly connected onto the melodic surface each time it appears. What results in the process is the neighbour-note configuration E5/D-sharp5/E5, the central motivic element of this mazurka. The D-sharp or raised fourth in this mazurka thus attains a significance beyond that of being a purely superficially interesting modal device, and it points to the fact that Chopin

Example 11.4a. Mazurka Op. 68, No. 2, Score, Bars 1-8



Example 11.4b. Mazurka Op. 68, No. 2, Foreground Graph, Bars 1-8



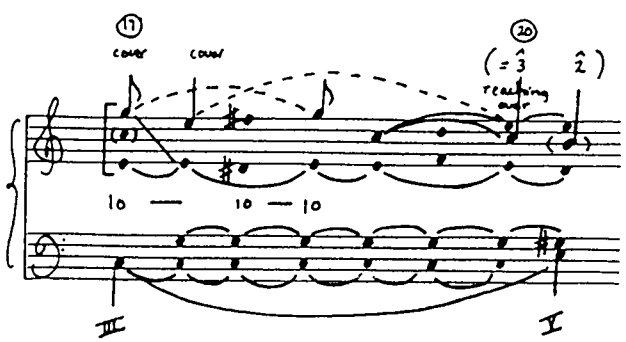
could fuse such modal properties with the art and objectives of voice leading, to create a particular motivic and structural profile.

Example 11.4b shows the melodic line beginning with an ascending arpeggiated motion which carries E4 up to E5 through register transfer, at which point the neighbour-note motive occurs with D-sharp5 delicately furnished with an ornamental

figure on the melodic surface. This neighbour-note figure is situated above $\hat{3}$ (C5), and serves as a foreground embellishment of E5, a cover tone. This is a clear instance of boundary-play, that is, where voice leading is generated from a cover tone (see Chapter 4).

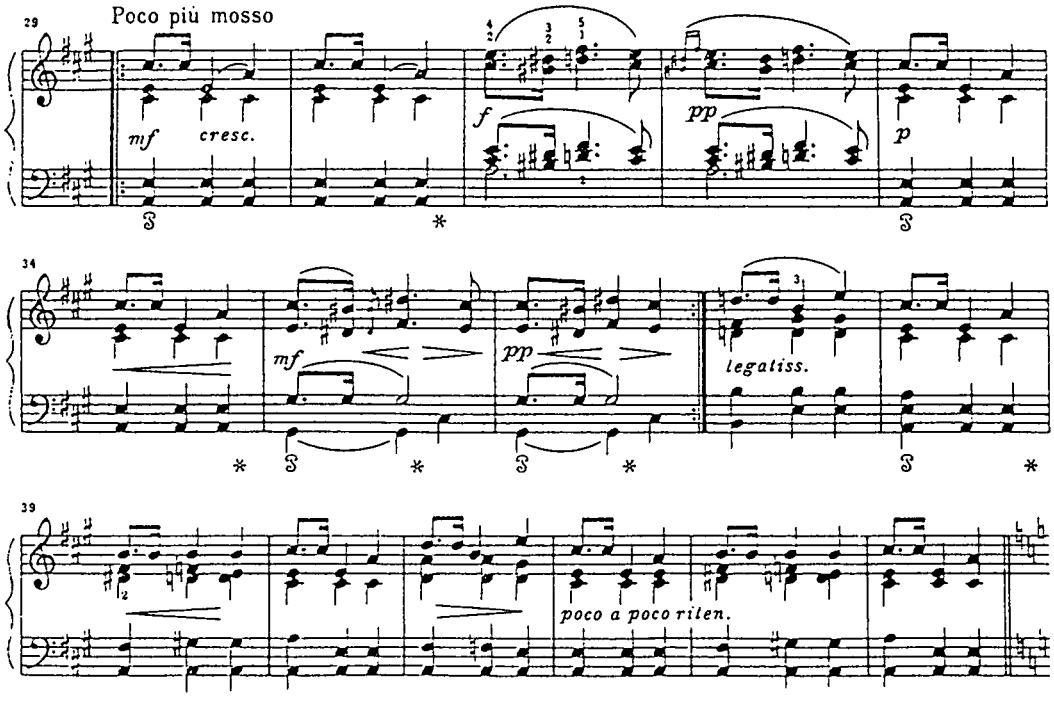
The importance of this neighbour-note motive can be seen in the way in which it is developed during the rest of the composition. First of all, note, however, that A5 is placed above the previous voice-leading activities at the end of the main-theme period at bar 8, as well as its repetition at bar 16. The idea of introducing this note is derived from the register transfer during the opening arpeggiated motion of the main-theme period. This opens up a new register which is utilised further in the internal b-section (bars 17-20)--A5 being connected here to G5, a cover tone placed above the original E5 cover tone; both operate within III of A minor (see Example 11.4c). The raised fourth degree reappears as F-sharp5, generated by the G5 cover tone, and forming, together with it, the motion G5/F-sharp5/G5--a transposed version of the original E/D-sharp/E motive which appears with it in contrapuntal tenths in the left-hand accompaniment.

Example 11.4c. Mazurka Op. 68, No. 2, Foreground Graph, Bars 17-20

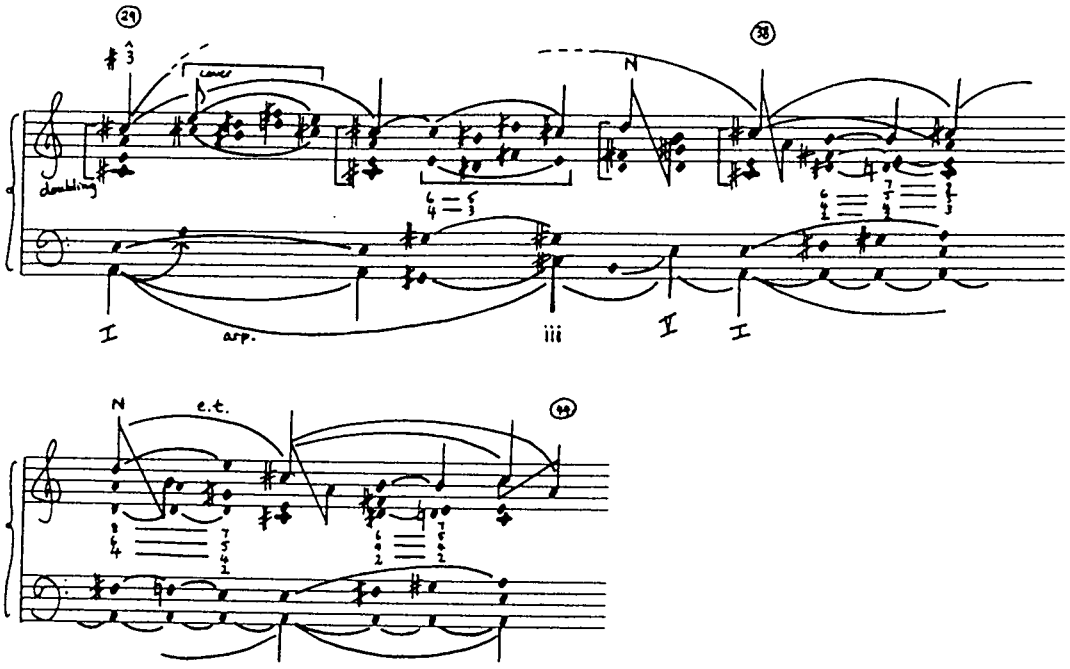


In the Trio (bars 29-44), the E/D-sharp/E motive acquires an added upper neighbour (F-sharp5) to produce a double neighbour-note figure E5/D-sharp5/F-sharp5/E5 (see Examples 11.4d, the score of bars 29-44, and 11.4e, a foreground graph of the same bars). The addition of the upper neighbour F-sharp, together with a change of mode from A minor to A major (resulting from the mixture of $\hat{3}$ in becoming C-sharp5), gives a different complection to the raised fourth degree, in that it is now distinctly less modal in character.

Example 11.4d. Mazurka Op. 68, No. 2, Score, Bars 29-44

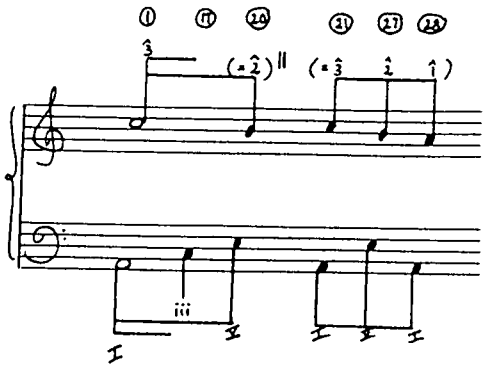


Example 11.4e. Mazurka Op. 68, No. 2, Foreground Graph, Bars 29-44

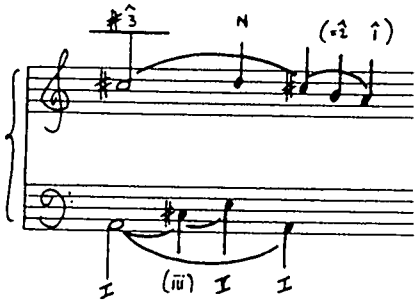


On the melodic surface, this altered version of the original neighbour-note motive is transferred down an octave during bars 35-36, but with a change of harmony (III of A major). In connection with this harmonic shift, an interesting tonal-structural parallelism exists between the Trio (bars 29-44) and the large A-section comprising bars 1-28. In both sections the tonal structure is composed-out by means of a I-III-V-I structural bass arpeggiation (see Examples 11.4f and g, middleground graphs of bars 1-28 and 29-44 respectively).

Example 11.4f. Mazurka Op. 68, No. 2, Middleground Graph, Bars 1-28



Example 11.4g. Mazurka Op. 68, No. 2, Middleground Graph, Bars 29-44



In terms of form design, bars 1-16 (the first part of section A) prolong the first I in this structural bass arpeggiation, followed by bars 17-20 (the internal b-section), prolonging III. V is reached on the third beat of bar 20 whereupon I again enters in bar 21 (the repeat of the first part of section A). In the Trio, the same bass arpeggiation is not so much a form-determining factor as a more immediate expansion of the A major triad. In both instances, however, III is accompanied by the primary neighbour-note motive and its derivation respectively

(compare Examples 11.4c and e). There may also be some sort of connection between the neighbour-note figure and the element of mixture in this mazurka, in that both are related to the idea of chromatic embellishment, but, in different ways. For example, the upper voice of bars 35-36 brings in the double neighbour-note motive, but with C-sharp5 as its central note (the mixture of $\hat{3}$ in the background and primary structural tone of the Trio).

As one might expect, the double neighbour-note motive plays a role in inner-voice activities of sections A-a and A-b. Firstly, the left-hand accompaniment in section A-a presents a continuous circling motion around C4, comprising the notes C4/B3/C4/D4/C4 (see again Examples 11.4a and b). This as yet unobtrusive accompanying figure may be said to be the initiation for the development of the double neighbour-note motive in the Trio. A second clue to the later significance of the double neighbour-note motive is provided in the left-hand accompaniment of bars 17-20, where the E5/D-sharp5/E5 motive appears together with the superimposed G5/F-sharp5/G5 figure (see again Example 11.4c). However, in the former motive, an upper neighbour F4 replaces the D-sharp4 at bar 19. Consequently, an overall motion E4/D-sharp4/E4/F4/E4 is recognised during bars 17-20--a subtle foreshadowing of the E5/D-sharp5/F-sharp5/E5 double neighbour-note figure of the Trio.

Summary

What may be regarded as an idiomatic modal feature in the mazurkas is significantly expanded in Op. 68, no. 2 by being

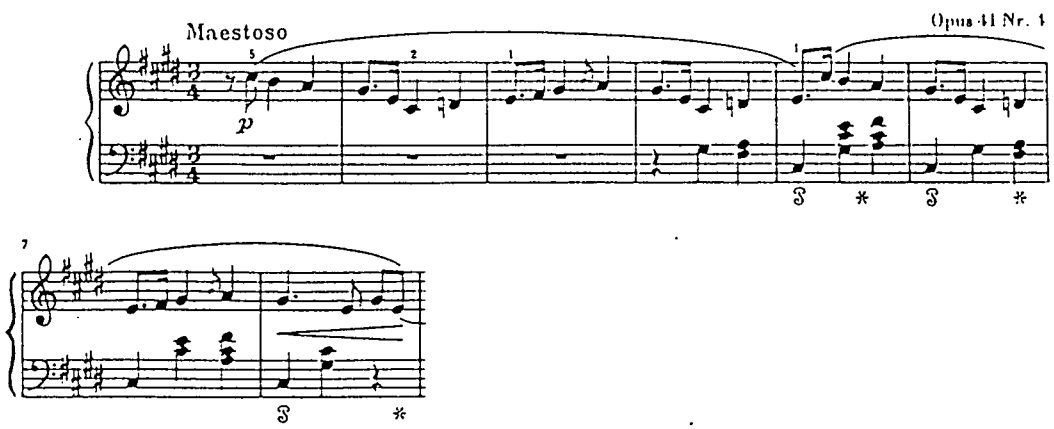
treated as an integral part of voice-leading activity and development. The raised fourth becomes part of, and effects, the main motivic configuration, and acts as a unifying voice-leading element throughout the entire piece. However, the directness with which it is still treated within the melodic motions of this mazurka, and especially during those of the main-theme period, points to the fact that Chopin had succeeded in retaining the raised fourth's original stylistic quality as modal colourant, while at the same time utilising its potential function as a chromatic elaborational device, by making it the principal element in effecting the motivically and chromatically rich surface voice-leading fabric of this mazurka.

In Chapter 10, the Phrygian $\hat{2}$ was considered with regard to its role as an element of chromaticism in the mazurkas. A number of mazurkas were noted there for containing this element in their harmonic/voice-leading structures. However, compared to the role played by the raised fourth as modal element in the mazurkas, that of the Phrygian $\hat{2}$ is limited. In fact, there are only three mazurkas in which it also functions as a modal element. These are Op. 41, nos. 1 and 2, and 56, no. 3. (6) Apart from these examples, there are three other mazurkas (Op. 24, no. 3, Op. 50, no. 2 and Op. 59, no. 2), containing Phrygian cadences, but which are not derived from the Phrygian $\hat{2}$ itself. (7) For the purpose of the present chapter, only Op. 41, nos. 1 and 2 will be considered in terms of the influence of the Phrygian $\hat{2}$ as modal device on their tonal structures, since they offer two extremes in this regard.

Mazurka Op. 41, No. 1

The only mazurka in which a Phrygian mode can be identified, is Op. 41, no. 1. This involves the opening melodic statement of the piece which is first presented in unison during bars 1-4 and then repeated during bars 5-8 with accompaniment in the left hand, the latter already commencing on the second beat of bar 4 (see Example 11.5a).

Example 11.5a. Mazurka Op. 41, No. 1, Bars 1-5

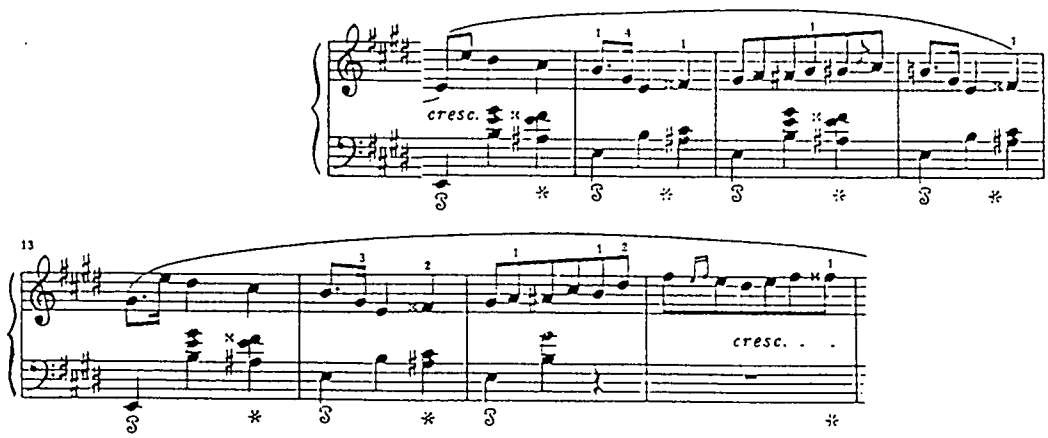


Here, the Phrygian $\hat{2}$ (D4), functions as a surface passing tone within the ascending motion from C-sharp4 to E4 in the melodic line, plainly confirming its status as an authentic Phrygian element. This fact is further substantiated by the entering voices of the left hand, which, together with each subsequent appearance of the D4, occasion a purely contrapuntal surface flat-II sonority (F-sharp3;A3;D4). The character of this sonority is determined by a C-sharp tonic pedal point, repeated in the left hand during bars 1-8, causing a static harmonic

situation in these bars.

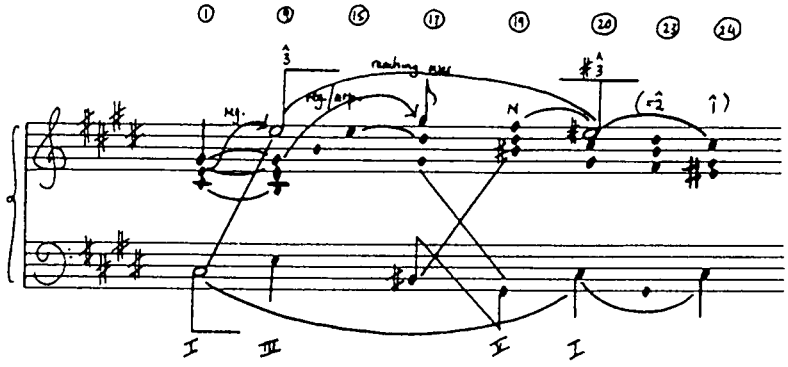
From a tonal-structural viewpoint, however, this apparent Phrygian tonality established during the first eight bars is only a momentary tonal feature, since the following eight bars already bring a further repetition of the opening theme within III of C-sharp. This implies that C-sharp minor should be present as the main tonality in the background (see Example 11.5b).

Example 11.5b. Mazurka Op. 41, No. 1, Bars 9-16



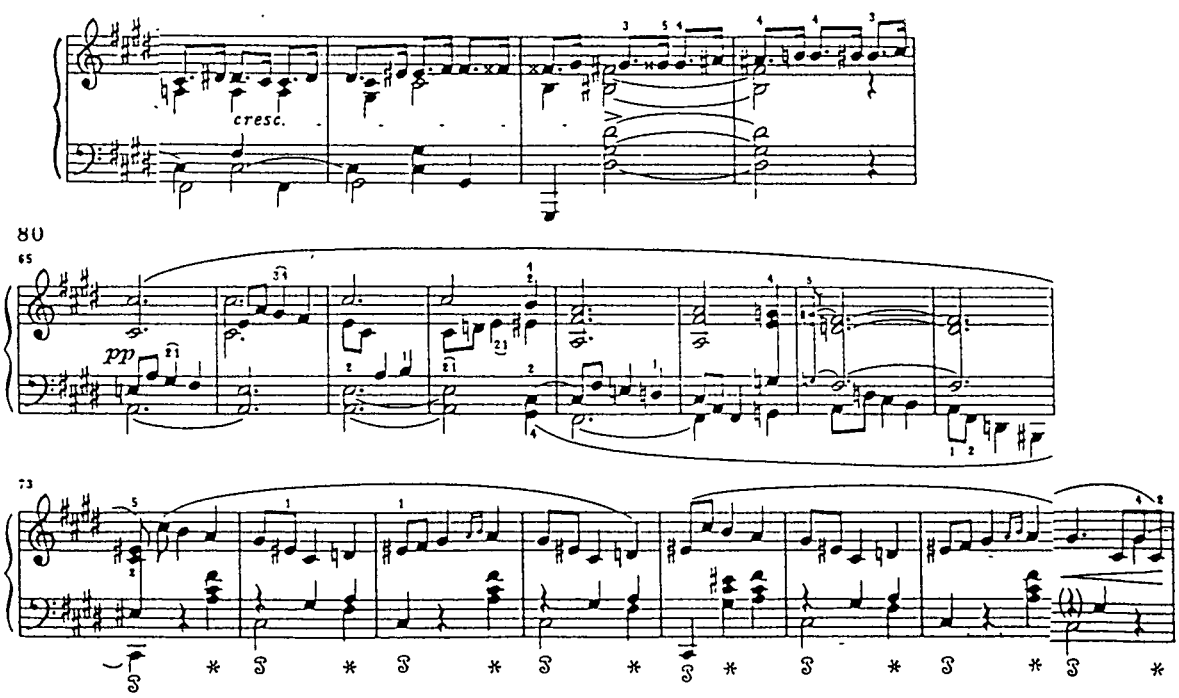
In addition, an interesting event occurs at bar 20 where $\hat{3}$ (E5) is unexpectedly operated on by mixture to become E-sharp5, thus causing a shift to the parallel major tonality (C-sharp major), which continues to be prolonged throughout most of the background structure (see Example 11.5c, a background/middleground graph of the first 24 bars, comprising the large A-section of the mazurka).

Example 11.5c. Mazurka Op. 41, No. 1, Background/Middleground Graph, Bars 1-24

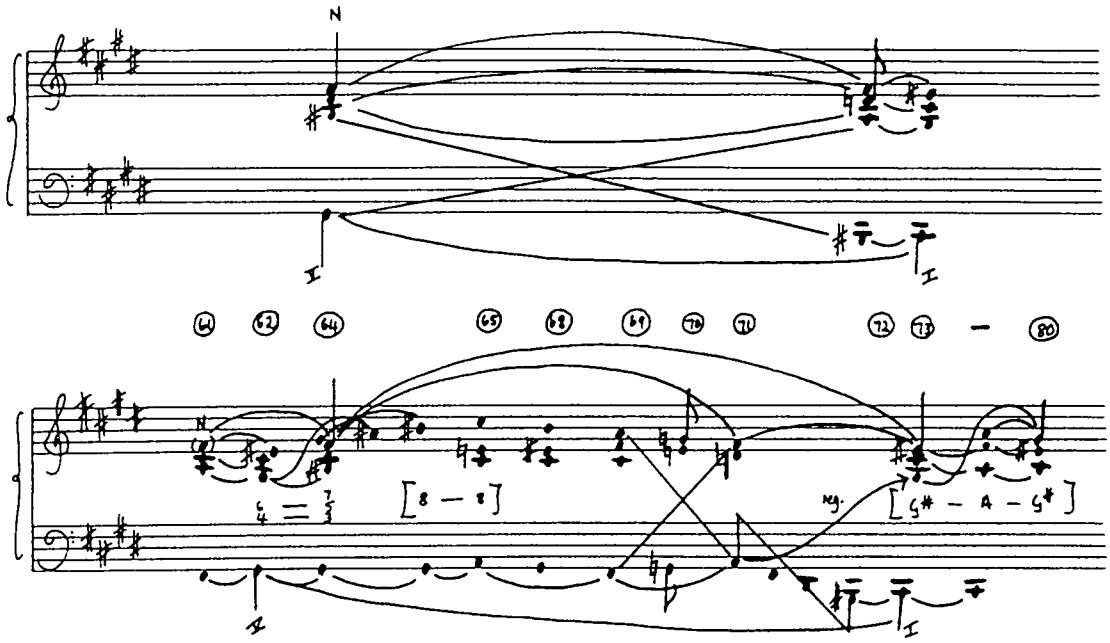


Further instances of the Phrygian $\hat{2}$ occur in bars 69-72, 73-80 and 119-126). Examples 11.5d and e present the score and a middleground graph of bars 61-80 respectively, while Examples 11.5f and g present the score and a middleground graph of bars 119-139 respectively.

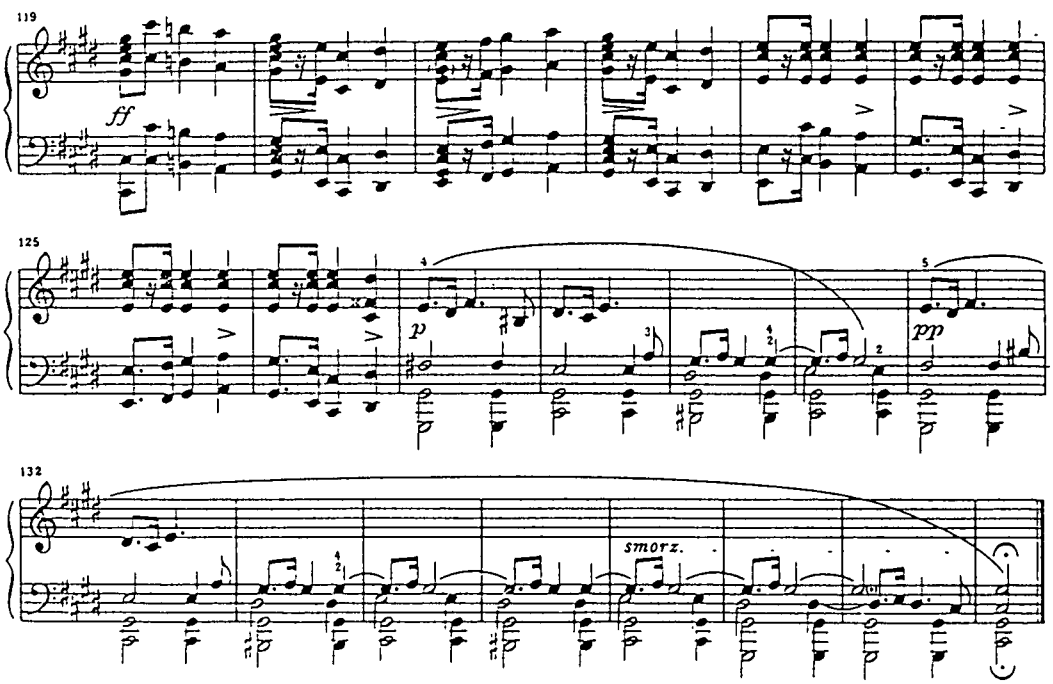
Example 11.5d. Mazurka Op. 41, No. 1, Score, Bars 61-80



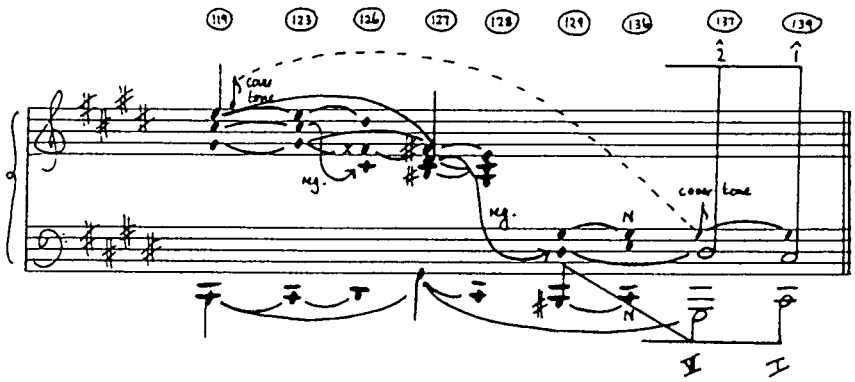
Example 11.5e. Mazurka Op. 41, No. 1, Middleground Graph, Bars 61-80



Example 11.5f. Mazurka Op. 41, No. 1, Score, Bars 119-139



Example 11.5g. Mazurka Op. 41, No. 1, Middleground Graph, Bars 119-139



An interesting structural situation presents itself during bars 64-72. After the V7 of bars 63-64, a deceptive cadence is created at bar 65, at which point the reprise of the opening theme is anticipated in a most ingenious manner by being presented imitatively within the local A major harmony (flat-VI of C-sharp major), during bars 65-68. This is followed by two further statements of its first two bars in the left hand during bars 69-72. By this time, the prolonging foreground harmony has changed to F-sharp and D respectively (IV and flat-II of C-sharp), concluding with VII7 of C-sharp, a dominant substitute, on the third beat of bar 72, before moving to I on the downbeat of bar 73. The first of these statements contains a G2 as Phrygian $\hat{2}$ within the local F-sharp minor harmony, while the second contains the original Phrygian $\hat{2}$ (here, both D3 and D2), within flat-II, and becoming a diminished third within the VII7 harmony. Since IV, flat-II and VII7 function within the prolongation of V and the upper neighbour of $\hat{3}$ in the middleground, the underlying harmonic progression of bars 63-72 constitutes a motion from V to VII7, an interpretation further

substantiated by the chromatic voice-exchange figure between the bass and tenor voices. Thus, we have an interesting piece of voice-leading detail in Example 11.5e, where, contrary to the normal situation concerning the voice-leading role of flat-$\hat{2}$, natural-$\hat{2}$ is first presented within the dominant, followed by flat-$\hat{2}$, moving to $\hat{1}$ in the inner voice at bar 73.

In bars 73-80, the Prygian element operates again within the reprise of the opening theme, but now plays into the prevailing C-sharp major tonality, forming the motion C-sharp4/D4/E-sharp4, resembling the second form of the Gypsy scale mentioned above. However, since, in comparison to the opening 32 bars, roughly the same structural circumstances prevail here (bars 73 and further being the reprise of section A), the role of the Phrygian $\hat{2}$ is again nothing more than that of a pure surface element, except for the fact that, compared to its function in the opening eight bars, it does not represent a surface passing tone here, but rather an odd surface upper neighbour of C-sharp4.

Finally, in bars 119-126, the opening theme with its Phrygian element occurs for the last time in octave doubling in both hands and then in octaves in the left hand only, prolonging E5 in the background (the restored $\hat{3}$). Once again, any deeper structural significance of the Phrygian $\hat{2}$ is ruled out here, since the fact that these bars are followed by the final descent of the fundamental line establishes beyond doubt that C-sharp minor is the ultimate background tonality of this mazurka.

Summary

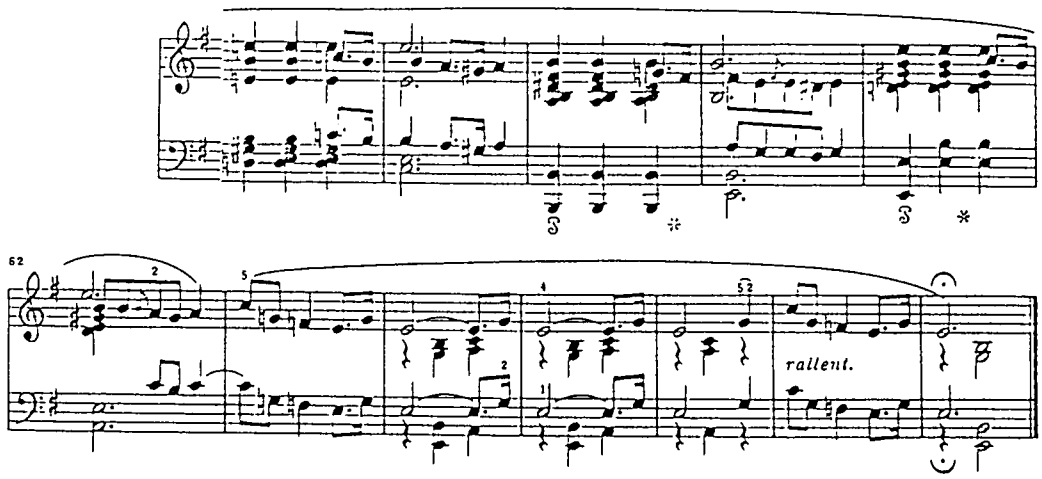
Two important points emerge from this discussion of Op. 41, no. 1 concerning the influence of the Phrygian $\hat{2}$ on its harmonic/voice-leading structure: 1) It acts firstly as a purely modal device within the opening eight bars and its corresponding places (bars 73-80 and 119-126), thus having no deeper structural significance apart from being a momentary surface tonal feature; 2) although its appearance during bars 69-72 results in a foreground harmony similar to the one appearing along with it on the surface of the opening bars, this harmony, being subsumed under the middleground dominant of bars 62-72, once again causes the Phrygian $\hat{2}$ to act purely as a foreground harmonic colouring device.

Mazurka Op. 41, No. 2

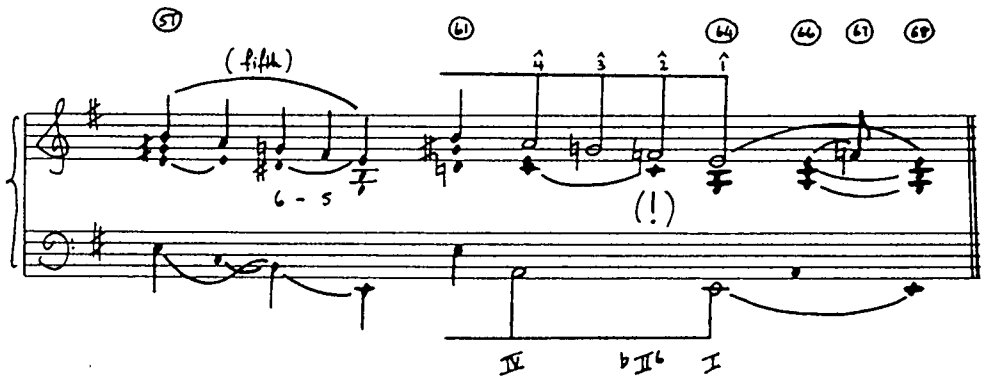
In contrast to Op. 41, no. 1, the Phrygian $\hat{2}$ in Op. 41, no. 2 penetrates into the background, causing a problematic situation with regard to the fundamental structure itself. For the purpose of this discussion, only the last twelve bars of the piece, the final statement of the main-theme period will be considered.

Example 11.6a is the score of bars 57-68, while Example 11.6b is a middleground graph of the same bars. Note that there are two fifth-lines during these bars, the first comprising bars 57-60, and the second, bars 61-64; the final bars present a brief but significant coda in terms of interpreting the background correctly and determining the role of the Phrygian $\hat{2}$ as will be

Example 11.6a. Mazurka Op. 41, No. 2, Score, Bars 57-68



Example 11.6b. Mazurka Op. 41, No. 2, Middleground Graph, Bars 57-68



seen shortly. The second fifth-line differs from the first by means of the appearance of the Phrygian $\hat{2}$ F4, replacing F-sharp4 of the first. Whereas F-sharp4 in the first fifth-line is supported by V at bar 59, causing a closed harmonic progression for bars 57-60, in the second F4 is seemingly presented without surface harmonic support at bar 63, causing a complete absence of V during bars 61-64, as well as the corresponding closed harmonic progression for these bars. The reason for this lies in the way in which F4 is treated in the voice leading. By resolving to E4 ($\hat{1}$) over I at bar 64 instead of the usual way, that is, resolving

upward to F-sharp4 or $\hat{2}$, it functions actually as an authentic Phrygian element, rather than a chromatic inflection of $\hat{2}$.

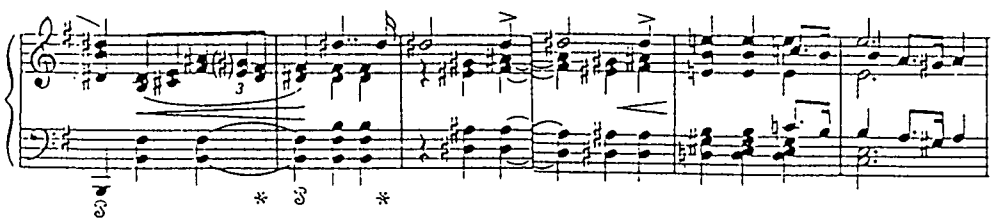
This situation poses a problem with regard to the background structure of this mazurka, in that, if we assume the second fifth-line and its harmonic support to represent the actual fundamental structure, neither $\hat{2}$, nor V are present as vital fundamental-structural components. In addition, F4, unlike F-sharp4, is not part of the E minor tonality, making its role of part of the melodic unfolding of the E minor tonic triad questionable.

In **Free Composition**, Fig. 75, Schenker attempts to solve this problem by indicating that the first fifth-line represents the background proper, while the second functions in a coda-like manner from the perspective of the piece's tonal structure having already been completed at that point. Thus, he relegates the Phrygian element and the problematic harmonic situation caused by it along with the rest of the line to the middleground. (8) This interpretation is questioned here on the grounds of two important perspectives, namely, 1) the structural character of bars 61-64, and 2) the prominence of the Phrygian $\hat{2}$ in the latter.

Firstly, the assertion that bars 61-64 already represent the coda cannot be accepted, since they do not give the impression of a musical or structural afterthought, so to speak, but rather serve as a consequent phrase (bars 57-60 being the antecedent). Even though the latter has a closed tonal structure of its own, its temporal span is simply too short to justify its interpretation as representative of the final close of the fundamental structure. A further important substantiation for

this interpretation is the five-bar extension of the consequent phrase from the second beat of bar 64 to the end, serving as a final foreground prolongation of $\hat{1}$ of the second fifth-line. Apart from representing the real coda, this extention itself contains a final reminder of the Phrygian $\hat{2}$ within its plagal cadential structure. Note further that instead of I being presented in its root position along with $\hat{5}$ at bar 57, thus connecting back to their first actual appearance in the background at bar 1, an applied tonic harmony occurs here, moving to IV6 at bar 58. This is the result of the voice-leading of the previous bar from which it follows (see Example 11.6c, the final bars of the large B-section, leading into A').

Example 11.6c. Mazurka Op. 41, No. 2, Bars 53-58



In the graph at Example 11.6b, this foreground harmony at bar 57 is, however, avoided in favour of its original background setting. In view of these observations, it is clear that the second fifth-line and its harmonic support must be regarded as representing the final close of the fundamental structure.

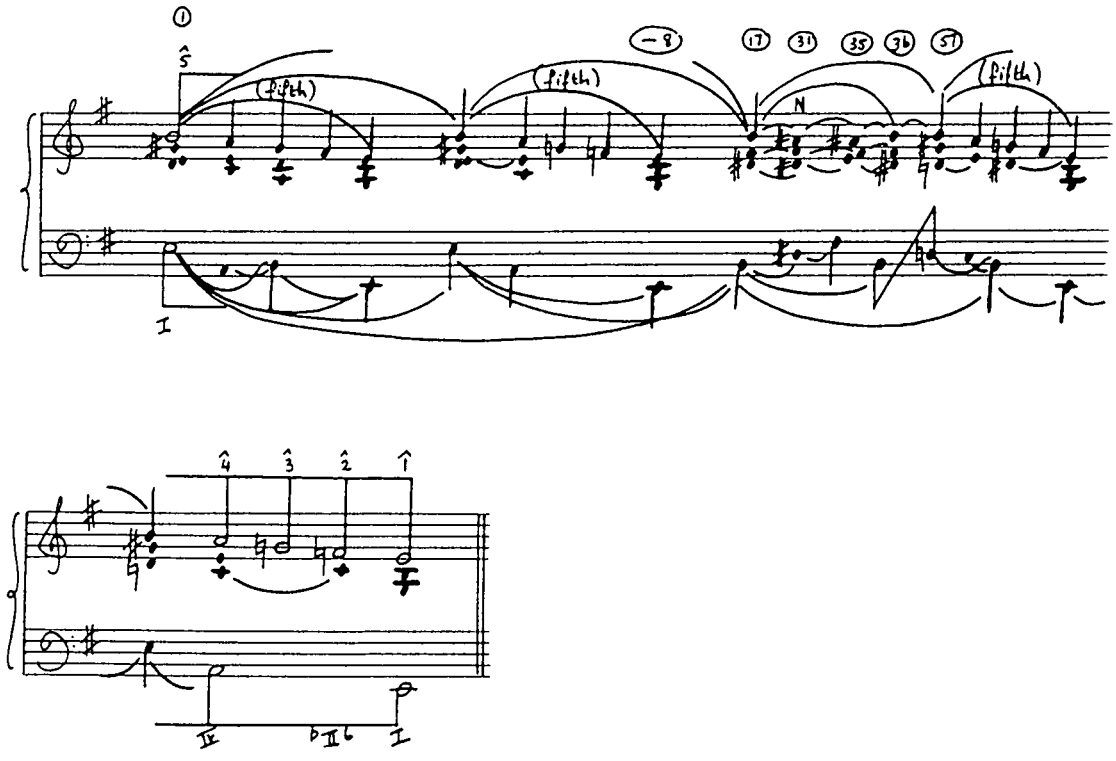
All of this, however, still leaves the problem of how to accept the Phrygian $\hat{2}$ and its particular setting in the voice leading as part of this mazurka's background structure. Looking at the second fifth-line and its harmonic support once again,

note first of all that, although $\hat{2}$ and its essential dominant support are not present, its character as a significant linear progression cannot be ignored. Secondly, in spite of the lack of any definite surface harmony at flat-$\hat{2}$, it does have legitimate background harmonic support as shown in Example 11.6b, namely, flat-II of E minor, being a substitute for IV. Together with the final I, a typical plagal cadence structure is thus produced {9}--a common harmonic feature of the Phrygian mode. Finally, the fact that flat-$\hat{2}$ does have legitimate harmonic support and is recognised as an authentic Phrygian element in the process, prevents it from being interpreted here as a chromatic substitution for $\hat{2}$. Therefore, although in this case the background does not comprise the usual components of the fundamental structure functioning within the context of the unfolding of the E minor tonic triad, it nevertheless still constitutes a closed harmonic/contrapuntal progression, but now functioning within the context of the Phrygian mode, consisting of a descending diatonic linear upper-voice motion along with a I-flat-II6-I harmonic progression in the bass.

In the final analysis, it is the prominence of the Phrygian $\hat{2}$ as a modal element, together with its characteristic harmonic setting, that justifies its interpretation as part of the background structure of this mazurka. Thus Chopin was able to utilise the Phrygian $\hat{2}$ in its modal setting in such a way that it acts both as significant melodic feature and as tonality-determining element, placing Op. 41, no. 2 within the category of authentic Phrygian compositions as far as its background tonal structure is concerned. In fact, it is really

only the voice leading of the last part of section A and its reprise (the latter, of course, representing the final close of the fundamental structure), that definitely confirms its Phrygian tonal status in the background. The rest of the voice leading, and especially that of the large B-section, functions within the context of E minor and the tonicisation of its dominant. Also, apart from section A and its reprise, the Phrygian $\hat{2}$ does not appear at all during section B. This dichotomy in terms of tonal-structural character is, however, the result of the difference between the background and the composed-out voice leading of the middleground and foreground structures (see Example 11.6d, a middleground graph of the entire mazurka).

Example 11.6d. Mazurka Op. 41, No. 2, Middleground Graph



Therefore, although the Phrygian $\hat{2}$ may at first seem to be only an odd deviation within an E minor tonality--purely for the sake of providing an interesting modal flavouring--its final placement in the fundamental structure causes it to influence the tonal structure of this mazurka in such a way that it ultimately replaces the E minor tonality in the background.

Summary and Conclusion

The foregoing investigation into the influence of modal elements on the motivic and tonal structures of the mazurkas first of all revealed that the Lydian or raised fourth degree occurs mainly as part of the foreground or surface voice-leading activity of a given mazurka, except for one instance referred to above, namely, Op. 7, no. 1, where it was seen to operate as a significant prolongational and form-creating element in the large background/middleground structure. (10) Furthermore, it also plays an important role as a motivic element, as well as being a frequent chromatic or modal colouring device. Roughly the same situation prevails with regard to the Phrygian $\hat{2}$, except for the fact that, compared to the raised fourth, it appears less frequently in the mazurkas, particularly as a modal device. As a motivic element it is essentially restricted to those mazurkas in which it operates as a chromatic inflection of 2 in the background and middleground structure (see again Chapter 10, in particular, the discussion of Op. 33, no. 4). Similar to the situation found in Op. 7, no. 1 regarding the deeper structural significance of the raised fourth, Op. 41, no. 2 presented an

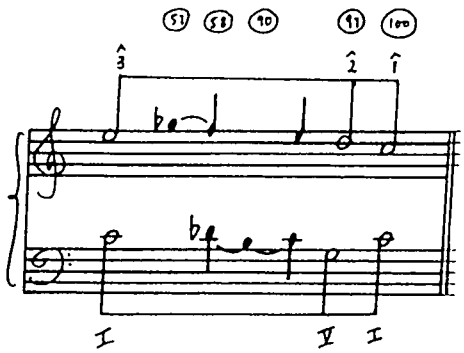
instance in which the Phrygian $\hat{2}$ was actually seen to penetrate into the fundamental structure itself, thereby causing the entire mazurka's harmonic/voice-leading structure to be conceived from a Phrygian oriented fundamental-structural model. {11}

From these observations it is clear that modal elements are not employed merely as superficial stylistic or folkloric colouring devices, but that they can constitute an integral part of motivic and harmonic/voice-leading development in the mazurkas.

NOTES

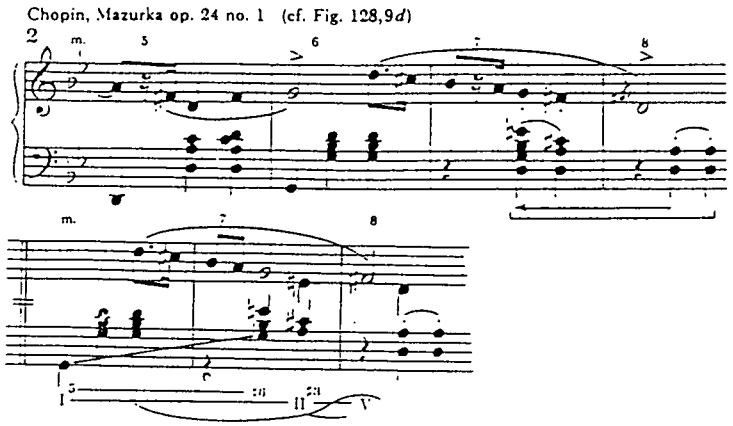
1. In this regard, Schaffer, in her dissertation, **The Chopin Mazurkas**, p. 21, refers to the mazurka Op. 24, no. 2 as containing themes in the Aeolian, Lydian and Dorian modes, alternating with major and minor phrases. However, it is clear that the overall tonality of this mazurka remains that of C major, in spite of the fact that the internal b-section is really in the Lydian mode of F and its Trio-section in the remote key of D-flat major, both key regions being the result of the tonicisation of F and D-flat respectively (see the background graph of this mazurka below, and compare it with the score).

Mazurka Op. 24, No. 2, Background Graph

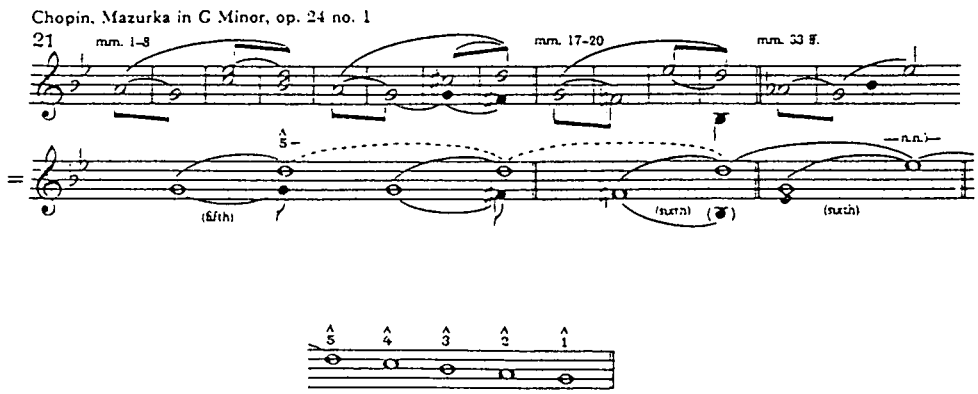


Although the Lydian mode is more of a tonal reality here because of the tonicisation of F during bars 21-36, the other modes to which Schaffer refers are either very fleeting melodic events (for instance, the apparent adherence to the Aeolian mode during bars 7-8 and corresponding places within the momentary motion into VI of C major), or not really existing at all (in the case of the Dorian mode which I cannot find anywhere in the mazurka).

2. With regard to the secondary dominant of V at bar 7, it will be noticed that the dominant of G minor (D) appears in the bass at this point. Instead of being a pedal point figure which would have resulted in the two harmonies of bar 7, including the secondary dominant mentioned above, already becoming subsumed under the dominant of G minor, this D is characterised by Schenker in his chapter on rhythm in **Free Composition** (Par. 294) as an anticipation of the dominant at bar 8 (see the reproduction of Schenker's Fig. 145,2 from **Free Composition** below).



3. In contrast to the present interpretation of the fundamental structure of Op. 24, no. 1, Schenker, in **Free Composition**, Fig. 119,21, reads the background from $\hat{5}$, indicating how it operates in the middleground during the A and B-sections, followed by its upper neighbour during section C (see the reproduction of this figure below).



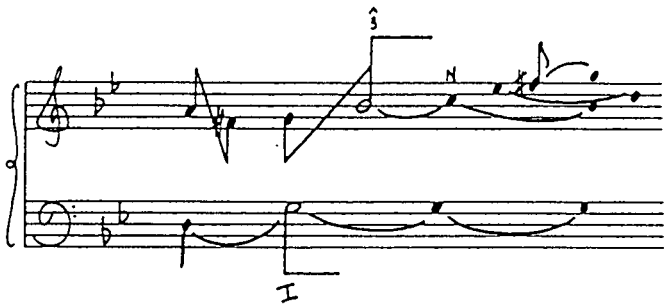
The apparent rationale behind this reading is the prominence of D5 or $\hat{5}$ in the voice leading throughout the composition, and the fact that the upper neighbour E-flat5 in the large structure can be related motivically to its occurrences in the foreground and middleground structures as part of the upper-voice motions of sections A and B respectively. However, there is little evidence

in the music to suggest a satisfactory final descent of the fundamental line from $\hat{5}$. Therefore, in spite of the arguments deduced from Schenker's Fig. 119,21, the interpretation from $\hat{3}$ (B-flat4), is preferred here above that from $\hat{5}$, and for two distinctive reasons, apart from the motion $\hat{3}$-$\hat{2}$-$\hat{1}$ being much more convincing.

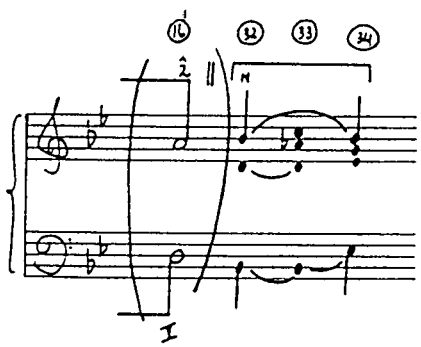
Firstly, looking at the opening four bars, the voice leading plainly suggests an unfolding pattern A4/F-sharp4;G4/B-flat4 within bars 1-2, comprising an initial ascent to B-flat4 or $\hat{3}$, while, at bar 4, there is a return to B-flat4 via C5, acting as its upper neighbour in bar 3. This interpretation of the opening bars is contrary to that of Schenker's, where the essential upper-voice motion of the first two bars is given as a motivic motion from A to G. Although D5 is presented above B-flat4 in the voice leading at bar 4, the latter is presented as a dotted half, occupying the entire bar, whereas D5 occupies only the first two beats of bar 4, thereby leaving only B-flat4 sounding in the right hand by the end of the bar. Not only does this durational situation emphasise the structural priority of B-flat4 over that of D5 in the middleground at this point, but it also confirms the legitimacy of the B-flat4/C5/B-flat4 motion as the real structural upper voice motion during bars 2-4. Secondly, looking at the concluding note of section B and the melodic motions at the beginning of section C, notice that the former closes on B-flat4, while the latter contains several repetitions of B-flat4 in conjunction with its upper neighbour C5 within the tonicisation of E-flat major (flat-VI of G minor), forming a motivic link with the upper-voice motions of the opening four

bars (see the two sketches below). Therefore, the appearances of D5 and E-flat5 in Schenker's figure, and by implication also the raised fourth (C-sharp5), must be regarded as superposed inner voices in a very active situation of boundary-play.

Mazurka Op. 24, No. 1, Foreground Graph, Bars 1-4



Mazurka Op. 24, No. 1, Foreground Graph, Bars 32-34



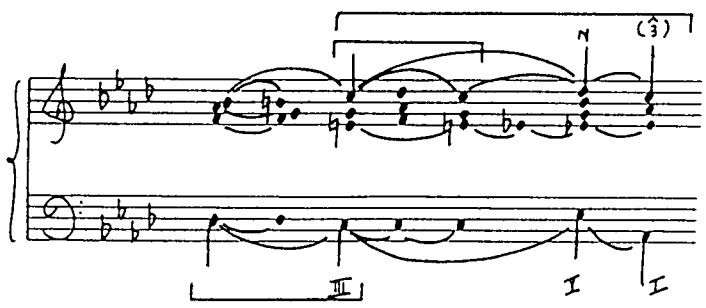
4. The significance of such accompanying drone-bass fifths along with occurrences of the Lydian fourth is that, through the static harmonic situation rendered by it, the original modal setting of the raised fourth is emphasised more fully.

5. For another discussion of this mazurka, see Jeffrey Kresky's presentation of it as one of his **Twelve Analytic Studies in Tonal Music** (Indiana University Press, 1978), 81-91.

6. Apart from the role of the Phrygian $\hat{2}$ as chromatic device in both the background structure and the coda of Op. 56, no. 3, there is one instance during the coda in which it also functions as an authentic Phrygian element, namely, on the third beat of bar 204.

7. In the case of Op. 59, no. 2, for instance, the Phrygian cadence appears during bars 59-60, comprising the end of section B and the opening bar of a nine-bar improvisatory transitional passage, before the reprise of section A commencing in bar 69. The result is a 6/5/3 chord on D-flat in the bass, prolonged since bar 53 (the upper neighbour of C, III of A-flat major), changing into an augmented sixth before resolving to C major (sharp-III), which is subsequently prolonged during the rest of the transitional passage (compare the score of bars 53-69 with the graph below).

Mazurka Op. 59, No. 2, Bars 53-69



However, the conception of both the neighbouring harmony and its resolution--and by implication therefore, of the Phrygian cadence itself--is also closely linked with the fact that D-flat functions as an important neighbour-note motive throughout the

mazurka (in this regard, see, for instance, the opening melodic statement during bars 1-4, as well as the numerous occurrences of D-flat as chromatic surface upper neighbour of C during the transitional passage). In terms of structural significance, the Phrygian cadence belongs to the middleground, while the D-flats during the transitional section--all Phrygian elements within the local C major context--form part of the surface voice-leading configurations, being responsible for the improvisatory character of this section, as referred to above.

8. Schenker uses this mazurka as an example of what he terms in Par. 195 of **Free Composition** as: "the reverse succession sharp-$\hat{2}$/flat-$\hat{2}$", of which he writes:

> Once the diatonic structure of a composition is finally established, the composer can, for the sake of a special effect, place a flat-$\hat{2}$ even at the end, as though the entire piece were in the Phrygian mode.

9. This harmonic support for the Phrygian element comes about through an unsupported stretch identified between $\hat{4}$ and flat-$\hat{2}$, causing IV under $\hat{4}$ to be retained across $\hat{3}$ to flat-$\hat{2}$, with the resulting change to flat-II at the point where flat-$\hat{2}$ enters in the upper voice; hence the implied notes of the flat-$\hat{2}$ harmony in the graph at Example 11.6b.

10. Although in Op. 68, no. 3, the E within the large F/E/F middleground configuration in its upper voice is motivically related to the Lydian fourth (E), appearing as part of a similar neighbour-note motion in its Trio, the former is not primarily associated with the latter, since, in the main F major tonality, E functions as the normal diatonic seventh degree or leading

tone.

11. In its capacity as chromatic inflection of $\hat{2}$, the Phrygian $\hat{2}$ has already been seen to penetrate into the deeper middleground and background structure (in this connection, see the discussion of Op. 33, no. 4 in Chapter 10).

CHAPTER 12

THE IMPLICATIONS OF THE DRONE BASS FOR TONAL STRUCTURE

In Section III, a preliminary account was given of Chopin's treatment of folkloric elements and their implications for harmonic, voice-leading, tonal and formal characteristics of the mazurkas. The point was made there that a more thorough investigation into the role of folkloric elements with regard to tonal structure would have to take into consideration an analytic approach in which harmony and voice leading are treated as equal and interactive elements to arrive at the correct assessment of the implications of such folkloric elements in a given mazurka.

These folkloric elements, however, serve first of all Chopin's artistic idealisations of Polish dance types (especially the Mazurka and the Polonaise). In this capacity they often create problematic tonal structures from a "conservative" Schenkerian viewpoint. This happens when a particular folkloric device penetrates into the background structure, where it influences either the fundamental line or the bass arpeggiation or both, to the extent that the fundamental line may be incomplete or stationary, or may lack harmonic support. Such alternative models are not necessarily inappropriate, however, since the folkloric device itself becomes the determining background structural element of the particular mazurka.

The present chapter focusses on the relationship between Schenker's harmonic/contrapuntal model and a specific folkloric device frequently encountered in mazurkas of each style and

period, namely, the drone bass. This investigation will be carried out in a way that does not lose sight of the historical and stylistic significance of the drone or its influence on the harmonic/contrapuntal model. Two selected mazurkas, one from Chopin's early period (Op. 6, no. 2), and the second from his late period (Op. 56, no. 2), will serve as primary examples to be discussed and analysed below. References will be made to two other mazurkas from the Op. 6 collection (nos. 3 and 4), where, contrary to the principal examples in which the drone bass appears exclusively as a harmonic fifth, it operates also as a single-note or pedal point figure. (1)

Mazurka OP. 6, No. 2

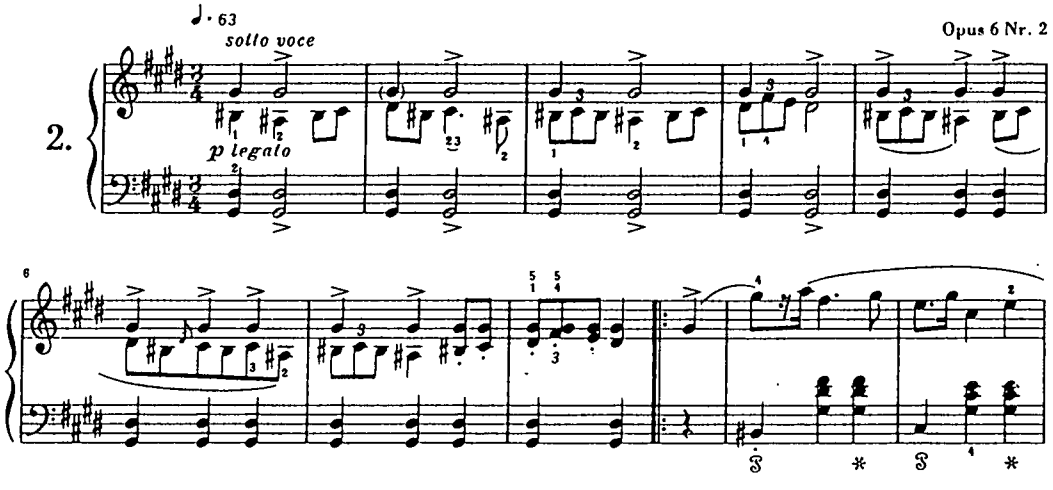
To begin with, the drone bass--and its relation to the harmonic/contrapuntal model--suggests a particularly interesting investigation. Apart from its obvious role as surface prolongational device, the static harmonic character of the drone may, depending on its use, seem to minimize the importance of the harmonic/contrapuntal model. Also, it may be that the position of the drone in a specific composition serves no other purpose than to provide an interesting effect or colouring, or that it may act as a motive central to the tonal structure of a piece.

In the mazurka Op. 6, no. 2, as in the rest of Chopin's early-period mazurkas, one is immediately aware of the artistic idealisation of the dance, in spite of prominent folkloric features such as the drone bass in nos. 2, 3 and 4 of Op. 6, nos. 1, 3 and 4 of Op. 7 and nos. 2 and 3 of Op. 68. With these

idealisations Chopin was able to reveal his artistry at fusing the art of voice leading with the traditions and materials of his own native folk music heritage.

At the start of Op. 6, no. 2, the familiar drone bass fifth is prominent in the left hand and continues until the entry of the main-theme period in bar 9. Together with melodic figurations of a more motivic nature in an inner voice (as will be seen later), this section forms an introduction, prolonging the dominant, before the entry of the main theme (see Example 12.1).

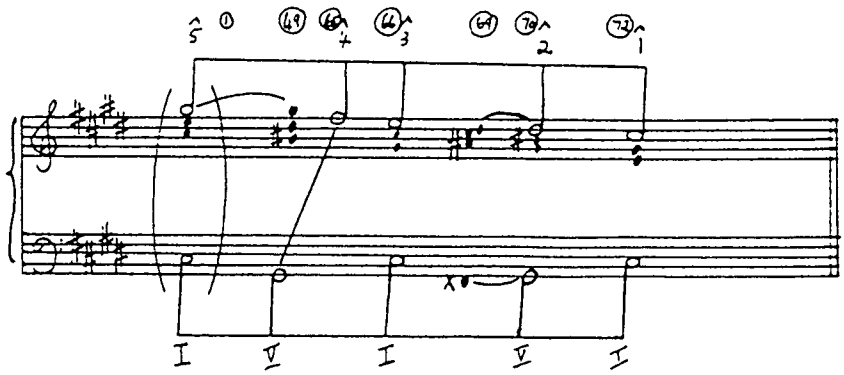
Example 12.1. Mazurka Op. 6, No. 2, Bars 1-10



At bar 9 (the start of the main-theme period), the G-sharp4 in the right hand upper voice of bars 1-8 is transposed an octave higher through register transfer to G-sharp5, and it would seem to indicate the appearance of the first structural soprano tone (5). However, a problem arises immediately within the next two bars. If bars 9-16 were to be viewed as a closed unit with a descent from $\hat{5}$ to $\hat{1}$, otherwise a middleground fifth-line, it will be noted that $\hat{5}$ is followed by $\hat{4}$ in bar 9 and $\hat{3}$ in bar 10,

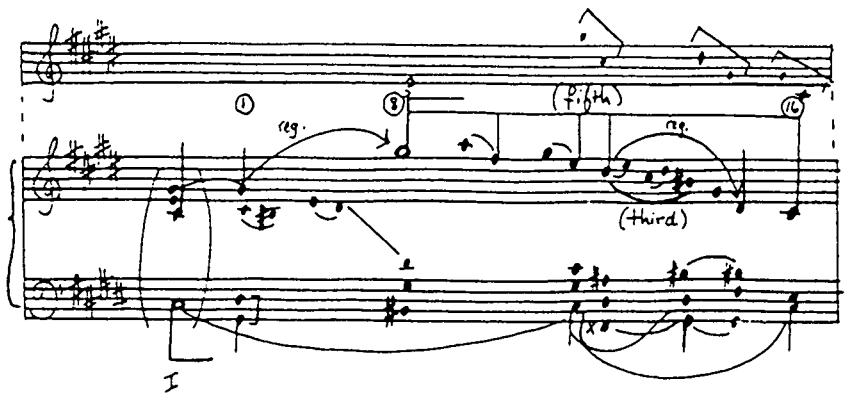
causing an absence of tonic harmony support under $\hat{5}$. To solve this structural problem, the long dominant introduction would have to be preceded by an implied $\hat{5}$ and I in order to achieve a satisfactory background solution (see Example 12.2, a background graph of the entire mazurka).

Example 12.2. Mazurka Op. 6, No. 2, Background Graph



From this example it is clear that the tonal structure is not minimized by the drone and that the dominant prolongation of bars 1-8 conforms more to the static nature inherent in such a device than to prolongation through voice leading. There is thus a prolonging effect, but purely temporary, created by the drone. The drone itself with the melodic activities around it can, at this stage, be regarded only as a surface event of lesser structural significance (see Example 12.3, a foreground graph of the opening 16 bars, showing the position of bars 1-8 in the tonal structure of this part of the mazurka).

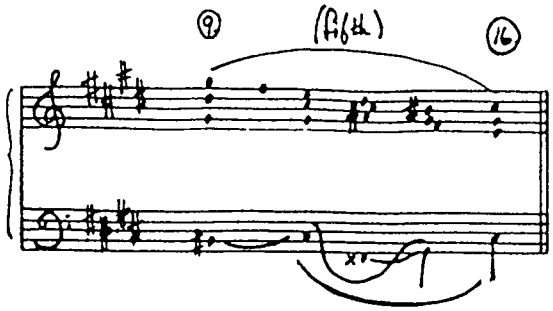
Example 12.3. Mazurka Op. 6, No. 2, Foreground Graph, Bars 1-16



The question at this point is whether more justification could not be found for these opening introductory bars than pure folkloric effect or a sudden surface "prolongational whim". Further investigation delivers cause to believe that more ideas occurring during the piece derive their origin from this opening than may meet the eye--or ear--at first.

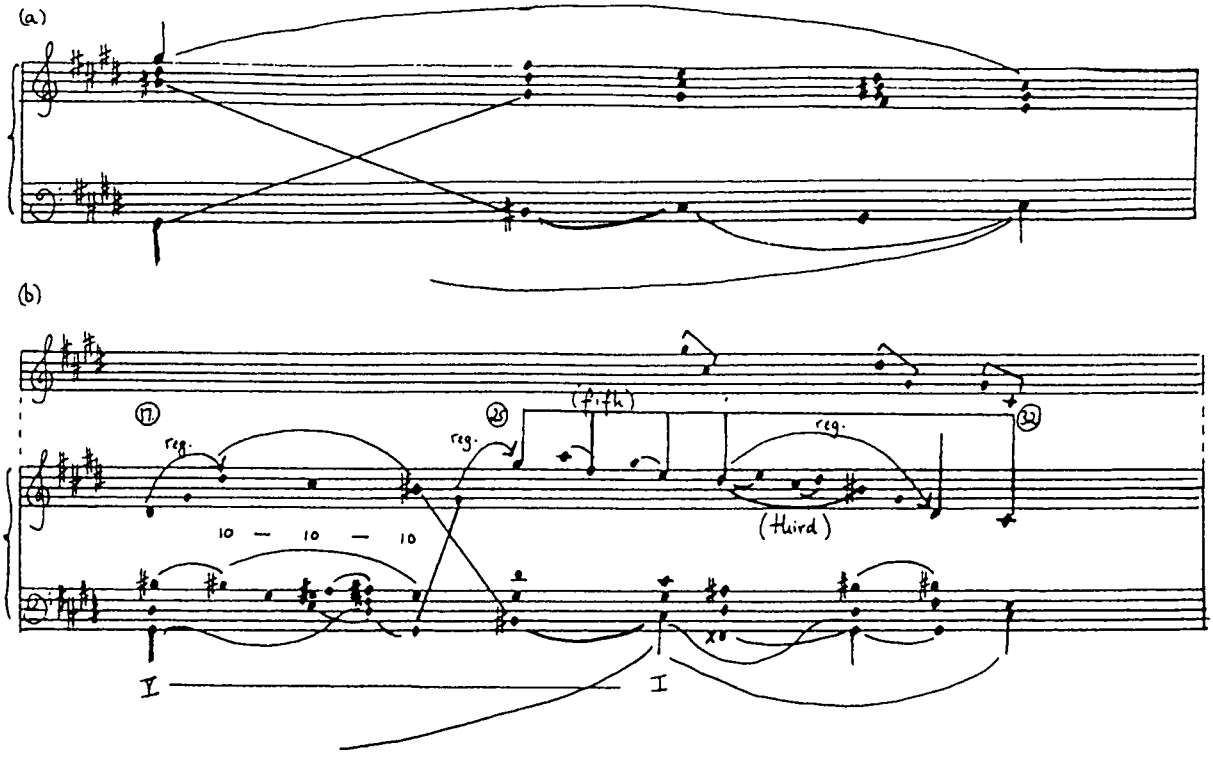
Looking firstly at bars 13-16 (the second four-bar group of the main-theme period), $\hat{2}$--which is reached after a fairly rapid descent from $\hat{5}$--is momentarily prolonged through a tiny third-line D-sharp5/C-sharp5/B-sharp5, together with a register transfer from D-sharp5 to D-sharp4, effected through a descending arpeggiation, before $\hat{1}$ (C-sharp4) occurs in bar 16. As a middleground event, these bars still represent the $\hat{5}$ of the background, but with prolongation of $\hat{2}$ in the middleground descent with the same dominant harmonic support as in bars 1-8 (see Example 12.4, a middleground graph of bars 9-16).

Example 12.4. Mazurka Op. 6, No. 2, Middleground Graph, Bars 9-16



In the internal b-section (bars 17-24), however, a much more extensive dominant prolongation occurs in spite of the fact that it involves the same number of bars as the dominant prolongation in the introduction. This is effected through prolongation of the background structural alto in its dominant harmonic setting (see Example 12.5, middleground and foreground graphs for bars 17-32). Many features related to bars 13-15, as well as bars 1-8, are presented here. Firstly, there is a reverse of the register transfer of bars 13-15, effected through the same arpeggiation, followed by an identical tiny third-line as in bars 13-14, accompanied by a contrapuntal 10-10 movement in the tenor voice. Thus, bars 17-24 can be said to be an expansion and development of the essential voice-leading content of bars 13-15. Also, the third-lines during bars 17-24, as well as the one in bars 13-15, stem from the linear surface motions between B-sharp3 and D-sharp4 in the inner voices of bars 1-8. Furthermore, a middleground register transfer of $\hat{5}$ (G-sharp5) an octave downwards to G-sharp4 is corrected back to its obligatory register in bars 23-24. The repetitive registral motion of the surface forms a striking parallelism to the initial motion from

Example 12.5. Mazurka Op. 6, No. 2, Middleground and Foreground Graphs, Bars 17-32



G-sharp4 to G-sharp5 in bars 8-9. Bars 25-32 present an exact repetition of bars 9-16, bringing about a parallel structural situation between the first and second sixteen bars of the piece in that a similar dominant prolongation (bars 17-24), is followed by a middleground descent from $\hat{5}$ to $\hat{1}$ (bars 25-32).

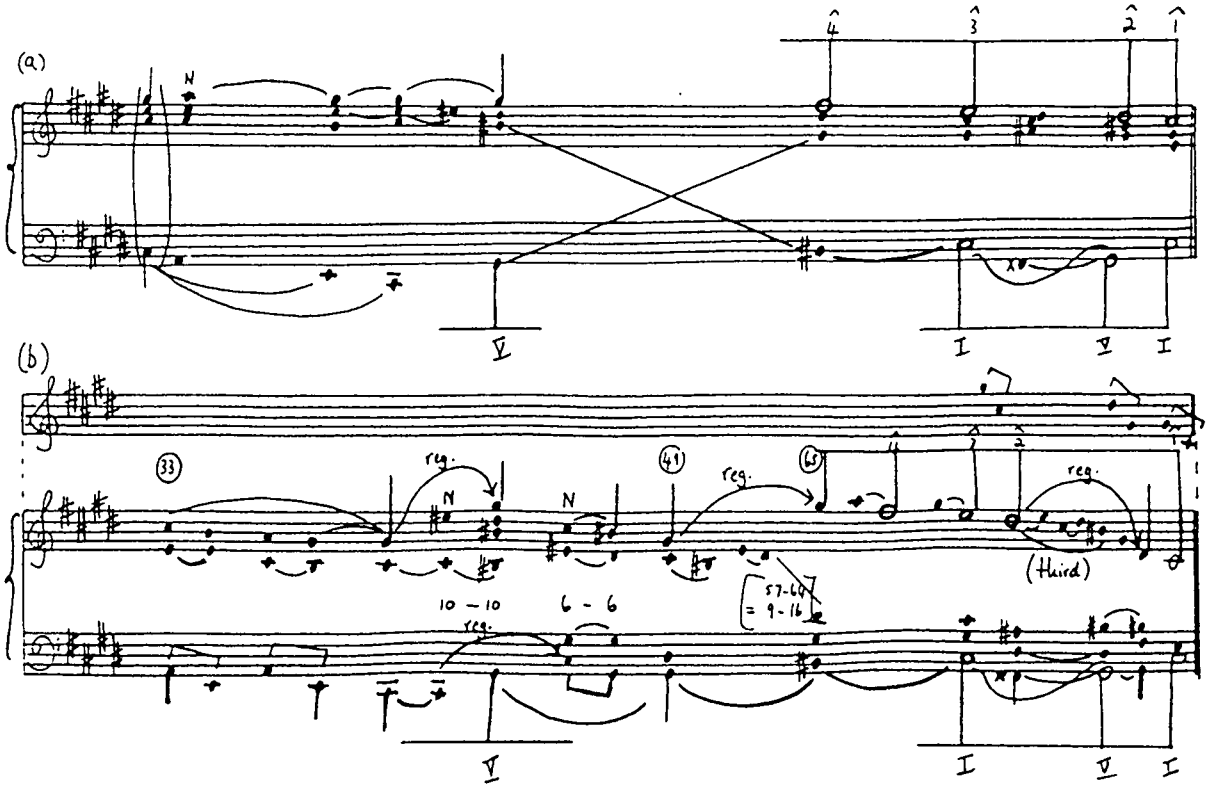
Comparing the second sixteen bars to the first, the only difference from a middleground point of view lies in the manner in which the prolongation of the dominant is achieved--in the first sixteen through the drone and in the second sixteen through voice leading. It is also interesting to note that the dominant prolongation in bar 17-24 is preceded by $\hat{5}$ over I in the middleground. At a deeper structural level bars 1-16, in

relation to bars 17 and further, may be regarded as fulfilling the same structural function as did the implied tonic before the first dominant prolongation in bars 1-8.

One may argue that, although the drone is not in itself part of the voice-leading activity, its effect upon the tonal structure of the first eight bars might have been a suggestion for Chopin to create parallel situations of dominant prolongation for reasons of symmetry. The dominant prolongation of bars 17-24 therefore balances the seemingly heavy emphasis on the dominant in the introduction. However, the dominant prolongation of bars 17-24 contrasts with that of the introduction in it being achieved through voice-leading means rather than through a drone. In addition, the numerous registral changes together with the neighbour-note and escape-tone motives, indicated in the various relevant examples so far, suggest a thematic-motivic relationship between these passages. Finally, further balance with the dominant sections during bars 1-32 is achieved by a tonic prolongation in the background which runs through bars 33-40 (comprising the first half of the Trio), a total of eight bars.

In the second half of the Trio (bars 41-48), there is yet another prolongation of the dominant in the middleground, preparing the way for the introductory material which is once again presented, followed by the final statement of the main-theme period and the background structural descent to $\hat{1}$ (see Example 12.6, middleground and foreground graphs for bars 33 to the end).

Example 12.6. Mazurka Op. 6, No. 2, Middleground and Foreground Graphs, Bars 33-72



Of certain significance, however, is the correspondence between the essential upper-voice motions of bars 33-48 (particularly bars 41-48, because of the harmonic similarity) and those of the introduction--the former constituting a reversed and slightly embellished version of the neighbour-note and linear motions in the latter (compare Example 12.6 level b with Example 12.3). Apart from the repetitions of motives found in previous sections, an interesting parallelism on a higher structural level is shown in Example 12.6a where the neighbour-note figure in the middleground resembles the many tiny neighbour-note motives found in the foreground of the entire work. And lastly, a small motive outlining a perfect fifth and occurring more as an ornament on

the surface may be interpreted as a melodic derivation of the drone.

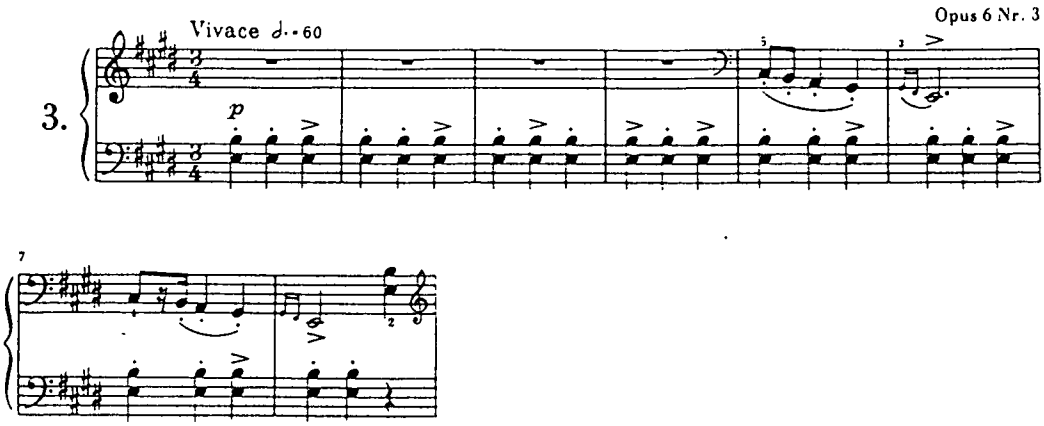
Summary

The static harmonic situation and subsequent surface voice-leading events created by the drone do not have a marked influence on the harmonic/contrapuntal model apart from delaying the structural events somewhat. In this instance, we have an introductory passage where the drone functions as an interesting folkloric characterisation and where various melodic motions used later as unifying motivic elements are displayed. The drone, however, necessitates further dominant prolongational situations, but this time within the harmonic/voice-leading structure of the work, effected through voice leading. In turn this creates parallel compositional events making repetitions of various motivic surface events possible, so as to knit the musical fabric in the composition together more closely.

Mazurka Op. 6, No. 3

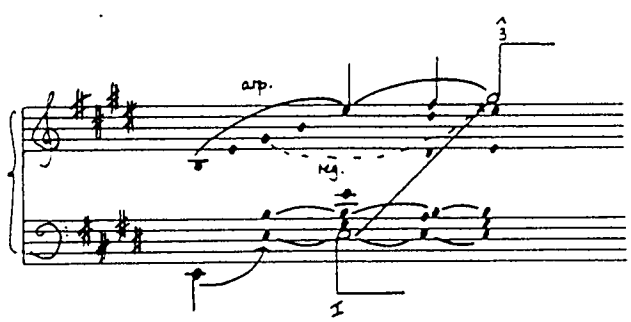
An additional example from the Op. 6 set, namely, no. 3, offers a similar instance of the influence of the drone bass on voice-leading prolongation. Like no. 2, this mazurka starts with an eight-bar introduction in which the drone features prominently, this time, however, prolonging the tonic (see Example 12.7).

Example 12.7. Mazurka Op. 6, No. 3, Bars 1-8



In bars 9-14 (the first six bars of the main-theme period), there is a continuation of the drone in the left-hand accompaniment, turning eventually into a single-note pedal point figure against a surface I-V7-I harmonic motion. Coupled with this is an arpeggiated initial ascent, followed by a tiny third-line leading to $\hat{3}$ (G-sharp5) in bar 12 (see Example 12.8, a foreground graph of bars 9-12).

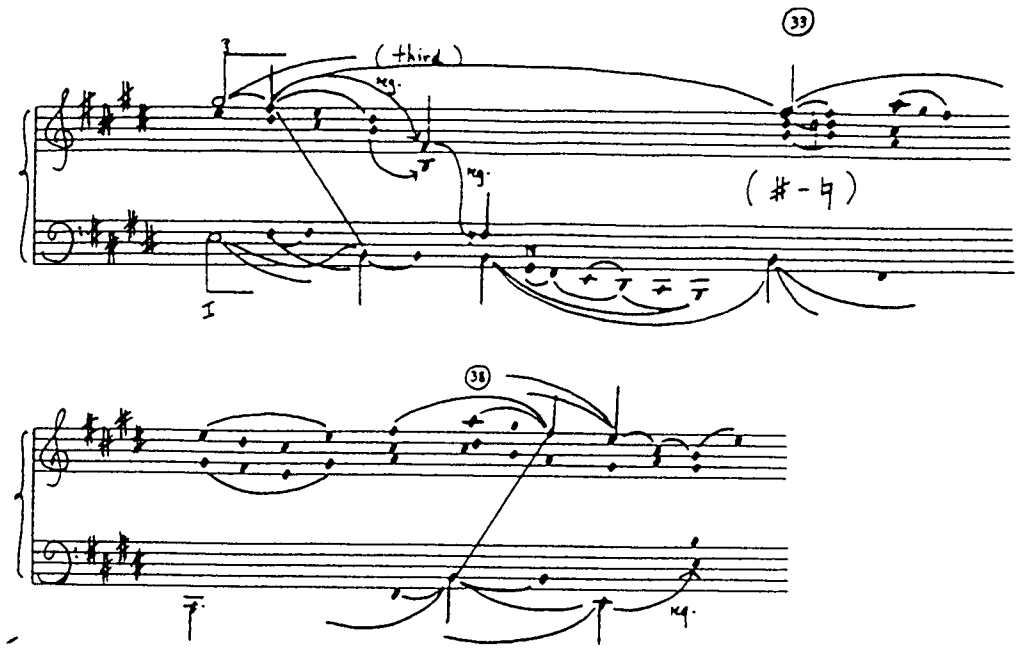
Example 12.8. Mazurka Op. 6, No. 3, Foreground Graph, Bars 9-12



After a sudden motion to the dominant and $\hat{2}$ in bar 16, a four bar interpolation, consisting of bars 5-8 of the introduction

within the dominant key region, suggests the likelihood of an interruption. However, in spite of the further prolongation of the dominant during bars 33-38 (bars 21-32 being a repetition of bars 9-20), the middleground voice leading continues on to $\hat{1}$ and I in bar 39 (see Example 12.9, a foreground graph of bars 24-40).

Example 12.9. Mazurka Op. 6, No. 3, Foreground Graph, Bars 24-40

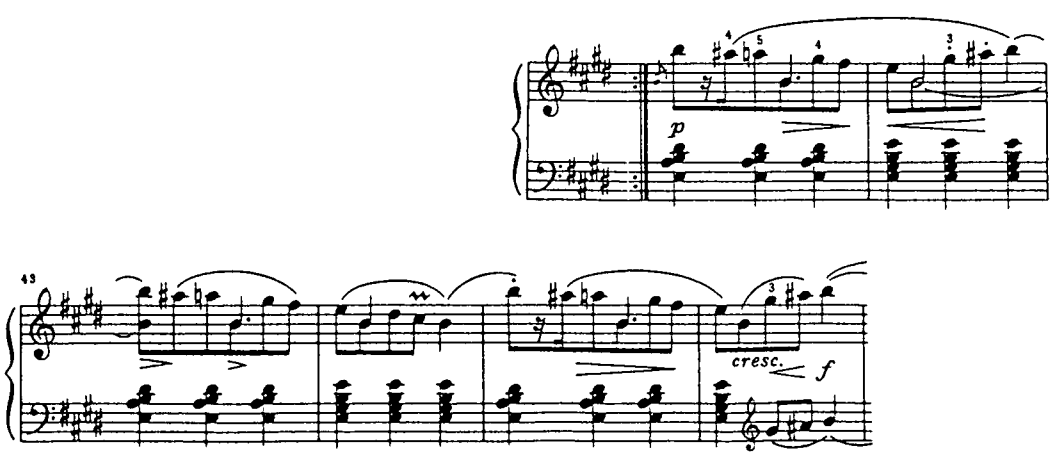


Once again this points to the provocative influence of the drone in necessitating a balance of those phrases under its static harmonic influence, with complementary phrases in the same harmonic region. A parallel tonal-structural situation exists in bars 29-38 and 1-14: in both instances, a surface prolongational phrase created through the drone is followed by a prolongational phrase influenced by it. It is also interesting to note in passing how the unusually strong emphasis on $\hat{2}$ in the

middleground $\hat{3}$–$\hat{2}$–$\hat{1}$ descent in section A is contrasted at the end of the mazurka by the unexpected rapidity of the final $\hat{2}$–$\hat{1}$ motion of the fundamental line (see the score of the final 10 bars).

Two final observations can be drawn concerning the drone bass in this mazurka: Firstly, during bars 49–56 (a transitional passage leading to the Trio), the voice leading is again pinned to the tonic by way of the single-note figure in the bass and results in the same surface harmonies as in bars 11–14 (see Example 12.10). Secondly, a reverse situation is encountered in the Trio (bars 57–76) with regard to the drone-bass introduction and the following first six bars of section A. Situated entirely on the subdominant as a result of the prolongation of an upper neighbour to G-sharp5 (A5) in the background, the Trio is not followed immediately by the reprise of section A, but by another four-bar interpolation consisting of the last four bars of the introduction, now also in the subdominant and functioning as a prefix to A', as well as a suffix to the Trio (see the score of bars 57–76).

Example 12.10. Mazurka Op. 6, No. 3, Bars 41–46

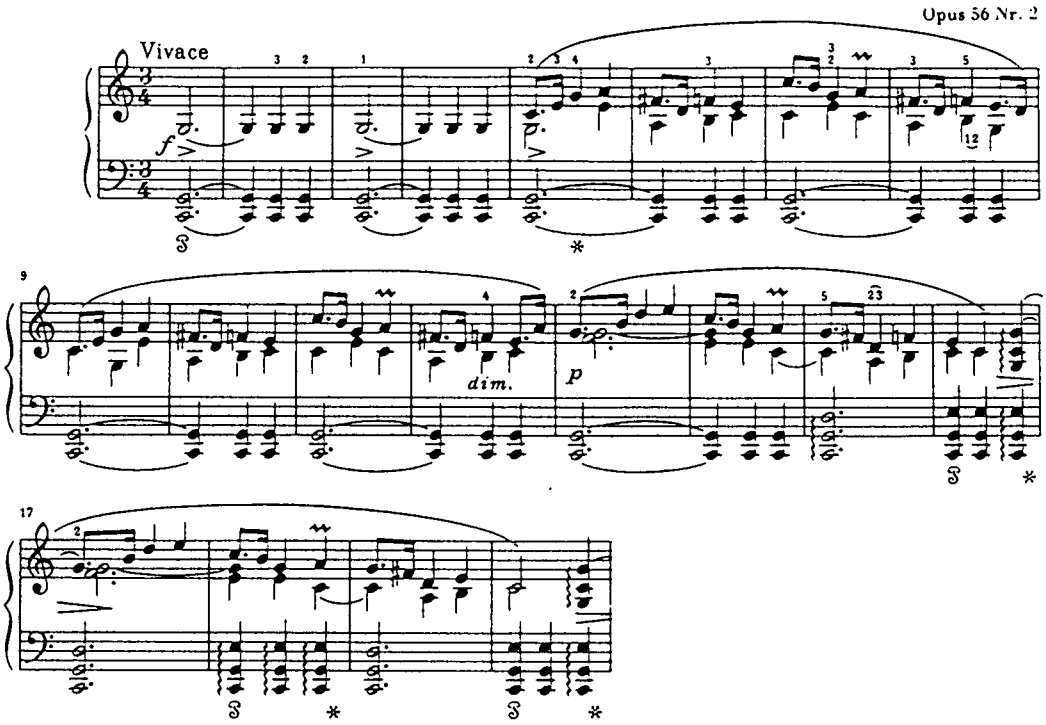


Mazurka Op. 56, No. 2

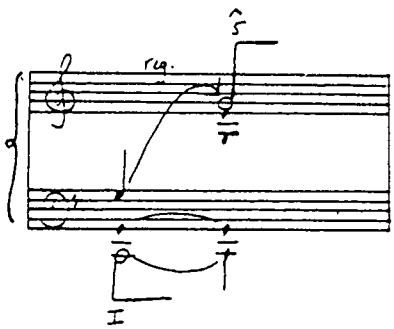
A strikingly different and extreme application of the drone bass is found in the mazurka Op. 56, no. 2. Although Chopin's later creations in this genre are characterised by stylistic refinements, freer stylisation of the dance, larger dimensions, a deepening of poetic content and greater voice-leading complexities (see Section III above), Op. 56, no. 2 offers an unexpectedly prominent--and so seemingly less sophisticated--drone bass. Nevertheless, it belongs more to the later category of mazurkas than might be expected from a work with such explicitly rustic character; its stylistic maturity is evident in the subtle variety of content, sophisticated melodic/contrapuntal techniques and variation and developmental processes in its material.

Like Op. 6, nos. 2 and 3, this mazurka also starts with an introduction--four bars based on the now familiar drone. This is followed by a similar registral shift as in Op. 6, no. 2, an octave higher in the upper voice from G3 to G4 during bars 4-5 (G4 being the first $\hat{5}$). Example 12.11 gives the score of bars 1-20, while Example 12.12 is a middleground graph of bars 1-6.

Example 12.11. Mazurka Op. 56, No. 2, Score, Bars 1-20



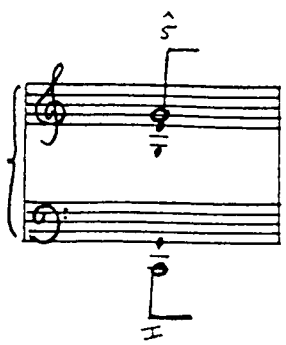
Example 12.12. Mazurka Op. 56, No. 2, Middleground Graph, Bars 1-6



The first four bars consist only of a drone, repeated in a rhythmic pattern without any voice-leading motions. Furthermore, it prolongs the tonic again--however, strictly within the realm of rhythm--its explicit use contributing to the true "duda" bagpipe sound (see Section I above). Except for a slight

adjustment in the rhythmic pattern from bars 14 onwards and the addition of another voice in the left hand (mainly doubling some of the voices in the right hand in the corresponding passage), the drone is continued right through section A (bars 1-28), causing the entire section to remain harmonically static. This results in a controlling harmonic entity in which the voices move practically nowhere (see Example 12.13, a middleground graph of bars 1-28, consisting of the static sonority with the controlling $\hat{5}$ and inner voices from which voice leading presumably follows.

Example 12.13. Mazurka Op. 56, No. 2, Middleground Graph, Bars 1-28



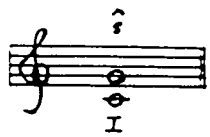
What seem to be partial middleground descents from $\hat{5}$ to $\hat{3}$, embellished by the striking raised fourth degree (F-sharp4), have in no instance any harmonic support. This suggests that there is no structural descent from $\hat{5}$. Thus, the drone generates a static harmonic/voice-leading structure again with voice-leading activities strictly confined to the foreground and serving as motions to and from stationary inner voices. In another sense, this static character is also middleground because of fairly little content in the foreground. This is suggested because

there is really no motion even in the middleground in that the material is mostly repetitive. Therefore, in terms of structural levels, neither the background nor the middleground has any motion (or real voice-leading content), which means that all voice-leading activities occur in the foreground. This situation is reflected further in the melodic surface events of the opening A-section in that it seems to be an accumulation of small embellishments around the drone. For example, an escape-tone figure embellishing $\hat{5}$ in bar 5 is followed by a cover tone C5 with an odd escape tone B4 to the $\hat{5}$ in bar 7. An appoggiatura D5 follows with its own escape tone E5 to the cover tone C5 in bar 13, after which a descent from C5 to E4 in bar 15 may be possible--again without harmonic support.

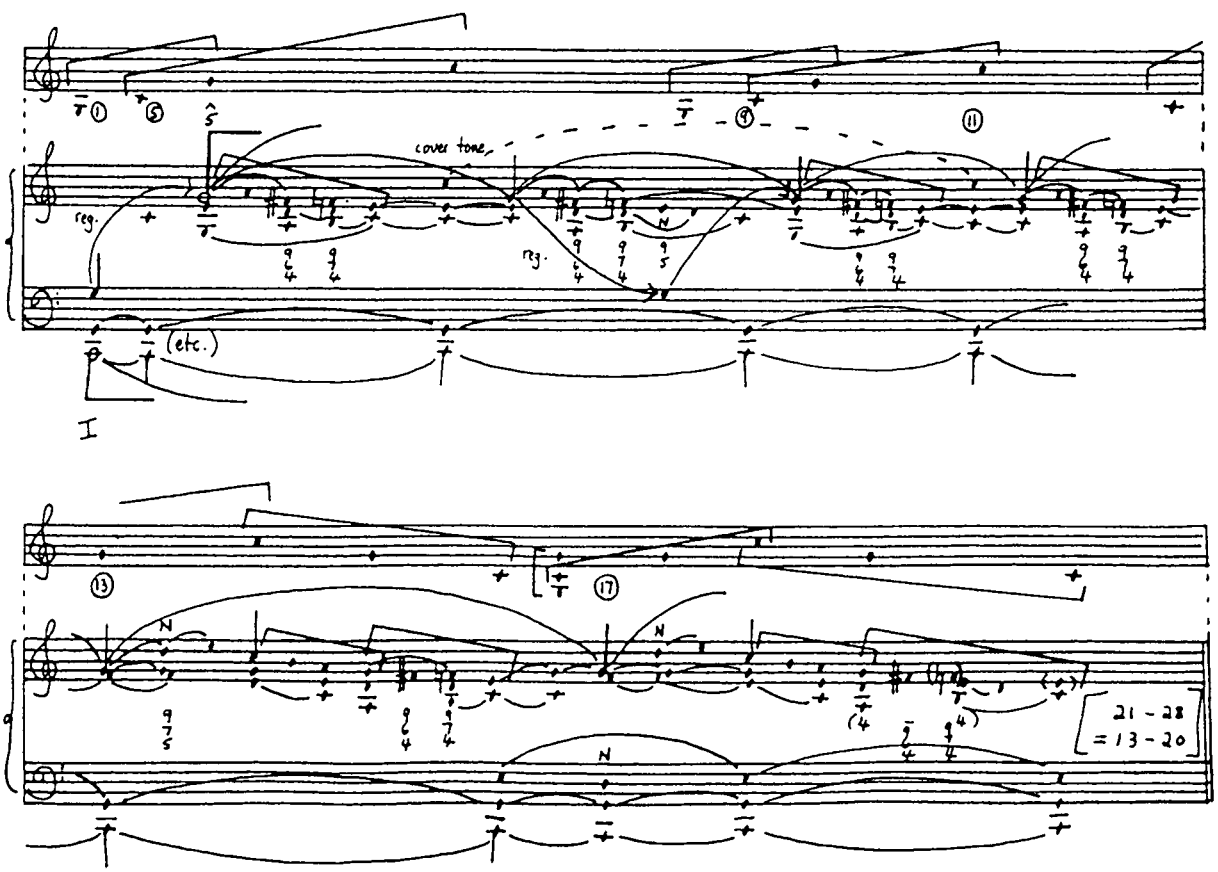
In a curious larger-scale way, what is presented here as a tonal structure echoes the bagpipe drone because it encompasses all the content of the piece. Taking Schenker's cue further in presenting the background as a two-part species counterpoint model (see Chapters 1 and 3 above), the result in this case is only two notes outlining a perfect fifth--thus, the drone! In Example 12.14a the background of the entire mazurka is given in two parts which can also serve as a middleground for section A, whereas Example 12.14b is a foreground graph of the first twenty-eight bars. It is, therefore, perfectly conceivable that the drone bass is acting here as a **structural** motive in the design of the whole piece and that the entire voice-leading activity reflects the drone as the background structural component. In Example 12.14b, the already mentioned partial descents from $\hat{5}$ are also bracketed in the graph as motives

because of their regular recurrence and prominent role in the melodic contour of the piece. Also utilised in the process is the raised fourth degree (be it more as a chromatic feature) in giving the piece its distinctive Lydian colouring.

Example 12.14a. Mazurka Op. 56, No. 2, Background Graph

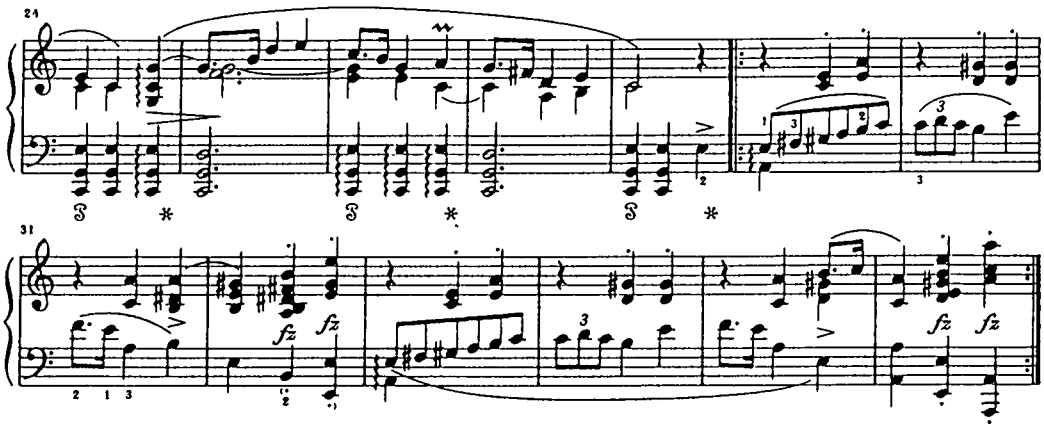


Example 12.14b. Mazurka Op. 56, No. 2, Foreground Graph, Bars 1-28



In the Trio (bars 29-52), material is presented which contrasts strongly with the voice-leading threads of section A, moving in peculiar directions (see Example 12.15, the score of bars 24-36, which represents the end of the section A and the first eight bars of the Trio).

Example 12.15. Mazurka Op. 56, No. 2, Bars 24-36

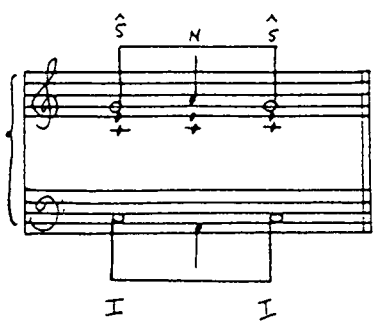


Notice first of all that the drone is absent, allowing the music to break away from the static harmonic situation in section A to real voice-leading motion with harmonic support and realised on different levels of structure. This structural change in itself perhaps manifests the greatest contrast to section A. An upper neighbour A4 to the background G4 acts as the principal element of prolongation, and thus also presumably the main melody carrying voice of the Trio in the middleground. Taking the Trio by itself, however, A4 appears only in the right-hand accompaniment to the main melodic material in the left hand in bars 29-36. Therefore, apart from register changes connected to it in bars 36, 44 and 52, no voice leading follows from this voice through the entire section. An interesting situation

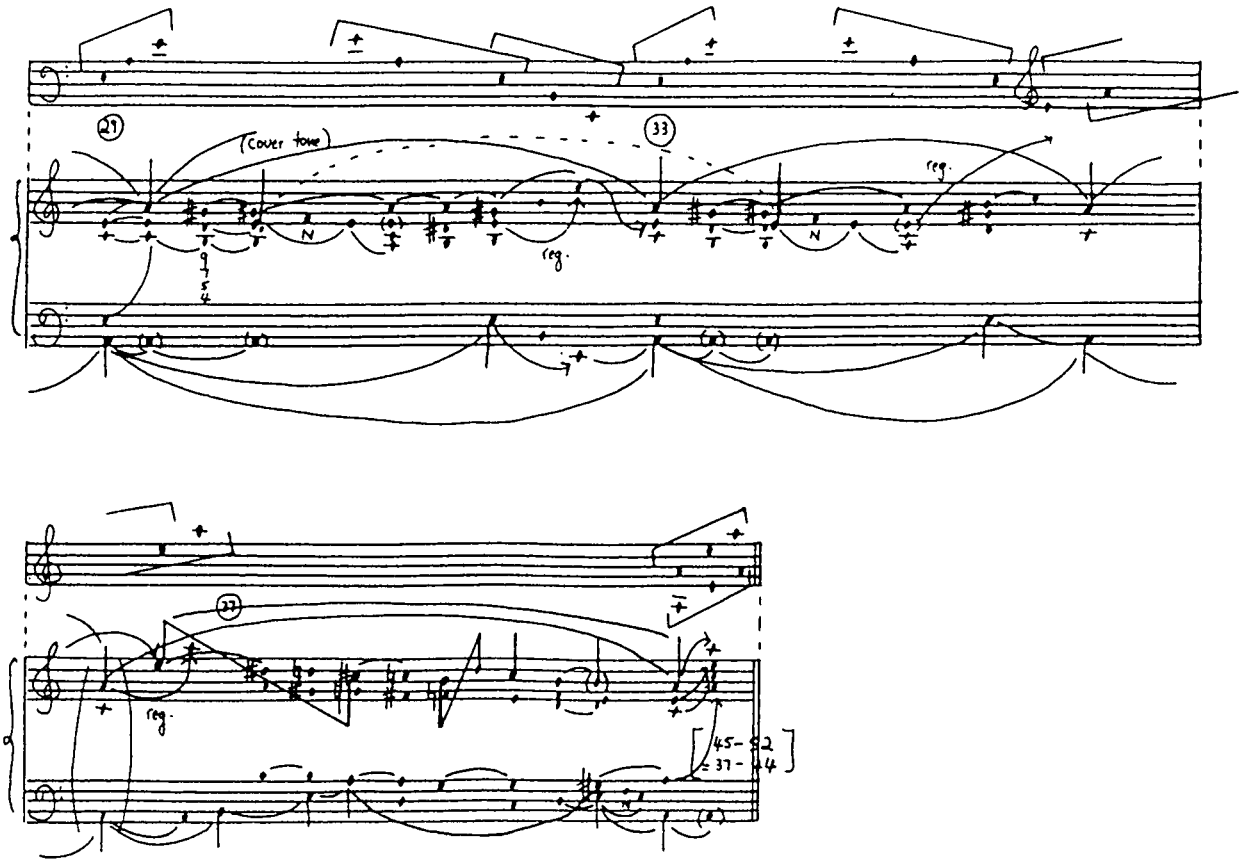
presents itself here in terms of voice-leading activities: in tracing voices from section A, C4, which has not been accounted for in that earlier section, is now the main melody carrying voice, while the structural alto E4 in section A acts as a cover tone and $\hat{5}$ moves by step upward to become the middleground neighbour note A4 in the accompaniment. However, this situation prevails only during the first eight bars of the Trio and its repetition.

In the next eight bars (bars 37–44), a sequential passage is presented with no repetition of previous material. Here, the cover tone E4 becomes the principal melodic carrying voice through register transfer to E5 in bar 36, after which the structure of the Trio is closed through a middleground fifth-line E5 to A4, which descends by bar 44 (see Example 12.16a, a middleground graph of the entire mazurka, and Example 12.16b, a foreground graph of the Trio).

Example 12.16a. Mazurka Op. 56, No. 2, Middleground Graph



Example 12.16b. Mazurka Op. 56, No. 2, Foreground Graph, Bars 29-52

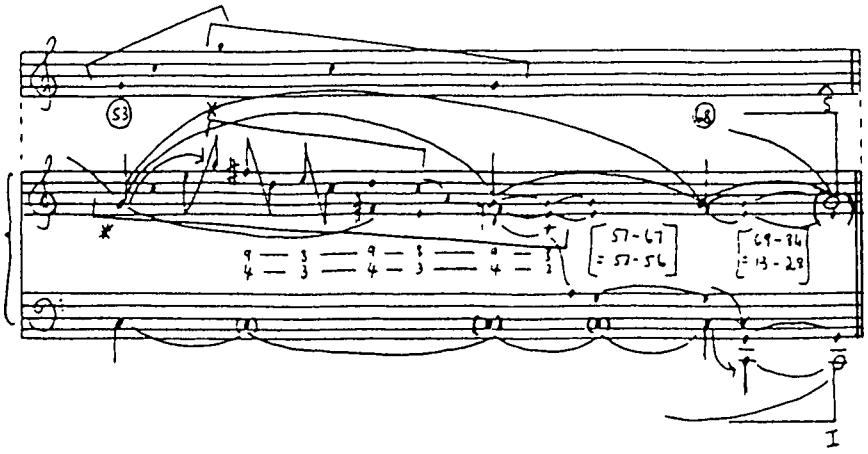


Three further important voice-leading features of the Trio warrant brief comment before continuing to the reprise of section A. Firstly, together with the descending fifth from E5 to A4 in the middleground, there is a contrary motion from A2 to E3, as well as a surface reverse motion back to A2 in the bass. The merit for this interpretation of the bass has already been given in Chapter 5. Not only are these motions in the bass motivically related to the descending middleground line, but in view of the central structural motive of this mazurka, the origin of both

these lines (representing filled-in fifth intervals), can be traced back to the fifth of the drone which is now composed-out in accordance with the contrasting emphasis on voice leading in the Trio. Secondly, as in the thematic material of the first twenty-eight bars (Example 12.14b), there is also evidence of broken fifth and fourth motions, coupled with octave transfers. These again (as in Op. 6, no. 2), can be motivically related to the influence of the drone. Finally, the descending sixth motions on the surface during bars 18-20 and corresponding places in section A are ingeniously worked into the opening melodic line of the Trio in the bass. The latter in fact comprises a surface retrograde motion of the descending sixth in section A, the only differences being that of register, the absense of the Lydian inflection and the necessary adjustments made to the elements of the line in order for it to fit into the local A minor tonality.

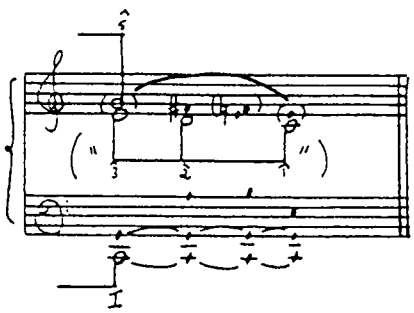
The first part of the reprise of section A (bars 53-68) constitutes an expanded and embellished version of the corresponding part of the first A-section (bars 5-12) (see Example 12.17). The more elaborate foreground motions may accordingly be traced to the voice leading of A. For example, the registral changes involving $\hat{5}$, together with the melodic/contrapuntal technique of imitation, represent a variation of the opening material. From a design point of view, this variational process is particularly interesting in that it avoids what could in fact have been a monotonous effect, had A' been an exact repetition of A. This clearly shows Chopin's command of stylistic resources and his feeling for proportion and contrast, confirming the suggestion that this mazurka adheres to

Example 12.17. Mazurka Op.56, No. 2, Foreground Graph, Bars 53-68



the subtleties and refinements characterising Chopin's later artistic creations. The remainder of section A' (bars 69-84) is a repetition of bars 13-28 with one or two surface changes. At the end there is an inner-voice third-line which, together with the A-section motive, effects some sort of closure (see Example 12.18).

Example 12.18. Mazurka Op. 56, No. 2, Alternate Conclusion



A final voice-leading feature of section A' to be discussed here is the repetition of a descending surface fifth-line from G

to C during the variated statement of the opening material of section A. These fifth-lines are related to, and fulfil the same motivic function as the middleground fifth-line of the Trio, as well as its accompanying fifth-line in the bass. Except for being in the tonic (C major), the only further difference between the fifth-lines of section A' and those of the Trio is the utilisation of the raised fourth degree within the former, however, this time, not as a chromatic surface passing tone as in section A, but adhering to the actual Lydian character associated with this scale degree.

Summary

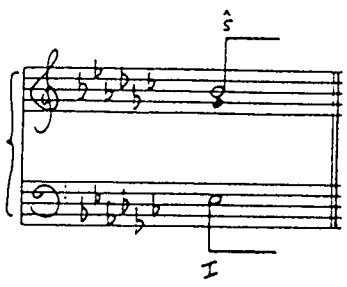
In contrast to Op. 6, nos. 2 and 3, where the presence of the drone bass was seen to create temporally static foreground harmonic situations and to generate further voice-leading prolongations, the entire harmonic/voice-leading structure of Op. 56, no. 2 is dominated by the drone, acting as the only voice-leading component in the background upon which all subsequent voice-leading content rests. Therefore, all voice-leading activities in the mazurka become surface embellishments to, or ornamentations of the drone, a fact further attested to by the various filled-in fifth-lines, as well as broken fifths and fourths in the surface melodic configurations--these motions being also of motivic importance due to their relatedness to the drone. In a remarkable way, this structural situation can be said to confirm and reinforce the stylistic importance of the drone in this mazurka, since, by

virtue of the fact that it acts as the single structural determining and controlling element of the piece, its folkloric character is therefore also emphasised through the harmonic/voice-leading structure. Thus, the drone bass establishes itself both as central tonal-structural and stylistic motive of this mazurka.

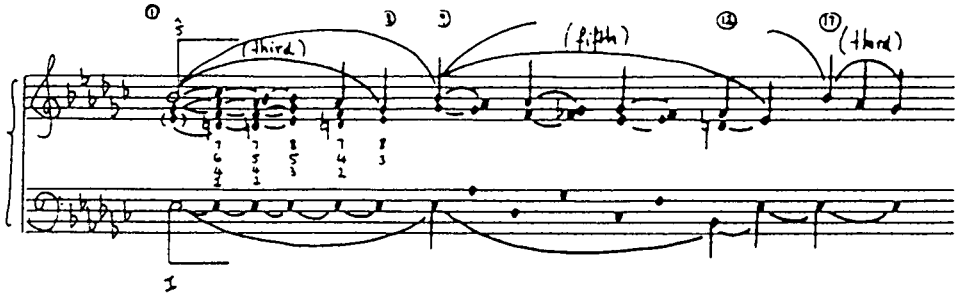
Mazurka Op. 6, No. 4

The tiny mazurka Op. 6, no. 4, (background and middleground in Examples 12.19a and b) presents a similar instance of the application of the drone bass as its controlling background structural element. Here, an almost stationary single-note drone E-flat3 operates in the structure of the main-theme period (bars 1-8) and its repetition (bars 17-24), causing a static harmonic situation for these bars. In the same manner as Op. 56, no. 2, there are partial structural linear descents in the upper voice from $\hat{5}$ to $\hat{3}$ (B-flat4 to G-flat4). As the voice leading of the main-theme period also represents the background structure of the entire mazurka, the drone is elevated again to the role of principal structural determinant.

Example 12.19a. Mazurka Op. 6, No. 4, Background Graph



Example 12. 19b. Mazurka Op. 6, No. 4, Middleground Graph, Bars 1-24



In the contrasting sequential B-section (bars 9-16), the influence of the drone (although not literally present) can be seen in the fact that the tonic is also prolonged throughout. The relatedness of these two prolongations of the tonic is confirmed by the fact that, like the A-section, the B-section ends with a cadence in the tonic. On the other hand, the B-section does have an internal structural close. Even the way in which the sequence prolongs the tonic, namely, through a circle of fifths, together with the fact that a series of parallel fifths in the outer voices would have resulted were the contrapuntal patterns of the sequence reduced further, somehow suggests a far-off relatedness to the drone in this particular instance.

Conclusions

The main result of this assessment of the implications of the drone bass for the tonal structures in some selected mazurkas by Chopin would seem to be that the drone creates a static

harmonic/voice-leading structure. Viewed negatively, this might endanger the significance of the harmonic/contrapuntal model and its role in creating tonal-organic unity and coherence. On the other hand, it has been observed here that, depending on its degree of application to the tonal structure of a mazurka, the drone has evoked influences of both a structural and a motivic nature, as well as being an incentive for additional voice-leading prolongations for tonal balancing purposes. In the two main mazurkas discussed and analysed above, extreme applications of the drone have been demonstrated. Apart from the additional mazurkas cited, many other mazurkas using the drone at various places (notably as musette-like Trios and in coda constructions) also fall within these general categories, with similar implications for the tonal structure. (2) In addition, there are a few instances in the mazurkas where the single-note drone bass does not seem to play a particularly important role in the tonal structure, but nevertheless causes an incomplete structural close, being the background controlling element of that particular mazurka (see, for instance, the ends of the mazurkas Opp. 7, no. 3, 17, no. 2, and to a lesser extent, the end of Op. 68, no. 2). The drone may thus be said to act on various levels of sophistication and importance in relation to the harmonic/voice-leading model of each mazurka in question.

NOTES

1. An objection might perhaps be raised to the interpretation of pedal point figures in the mazurkas as being a variety of the drone bass phenomenon, since it may be argued that pedal points are not only a regular idiomatic feature throughout Chopin's oeuvre (which include many "abstract" compositions with no direct connection to folk genres), but also occur in many other compositions of different composers, styles and idioms, and are therefore not necessarily associated with the drone bass. The historical justification for this interpretation of the function of the pedal point in the mazurkas is, however, clear, namely, that it has as its derivation the use of the "Duda" which could produce either a single drone or a fifth (see Section I above). In addition, a significant point to realise is that, like drone-bass fifths in the mazurkas, pedal points are seen to be intimately associated with prominent mazurka patterns, lending further credence to their acquired drone-bass character and status in these works. Furthermore, pedal points might even be regarded as derivations of the drone-bass phenomenon throughout Chopin's oeuvre: as Kolodin observes in his programme notes to the Rubinstein recordings of the mazurkas, it is Polish dance music--in which the influence of the drone may naturally be included--that represents the quintessence of the composer's style.

2. Mazurkas containing Trio sections based on the drone include Opp. 7, Nos. 1 and 4, 17, nos. 1 and 4 and 68, no. 3. Mazurkas with single-note drones or pedal points within their

codas include Opp. 17, no. 4, 24, nos. 3 and 4, 33, no. 2, 50, no. 3, 56, no. 3 and 59, no. 2.

PART THREE

SUMMARY AND CONCLUSIONS

CHAPTER 13

SUMMARY OF MOTIVIC DESIGN AND TONAL STRUCTURE IN THE MAZURKAS

The following summary of findings and results concerning motivic design and tonal structure in Chopin's mazurkas is arranged according to the various areas of investigation in Chapters 7-12 above. First, however, a brief summary of basic motivic configurations and structural features found throughout the mazurkas is presented.

Typical Motivic Configurations

1. Neighbour note. This is by far the most common motive in the mazurkas. The scale degrees involved are predominantly $\hat{3}$ and $\hat{5}$, with one notable exception (Op. 68, no. 3), where $\hat{8}$ is involved, but with a lower neighbour $\hat{7}$. The patterns are thus, $\hat{3}$-$\hat{4}$-$\hat{3}$, $\hat{5}$-$\hat{6}$-$\hat{5}$ or, in the case of Op. 68, no. 3, $\hat{8}$-$\hat{7}$-$\hat{8}$. There are also a few instances of lower neighbour motives--predominantly surface configurations--as well as incomplete versions of the upper neighbour configurations indicated above ($\hat{4}$-$\hat{3}$ and $\hat{6}$-$\hat{5}$).

2. Linear motions (diatonic and chromatic)--mostly involving ascending and descending third-lines--connected to various structural notes (in the case of third-lines, $\hat{3}$-$\hat{4}$-$\hat{5}$ or $\hat{5}$-$\hat{4}$-$\hat{3}$, $\hat{1}$-$\hat{2}$-$\hat{3}$ or $\hat{3}$-$\hat{2}$-$\hat{1}$--including chromatic versions in the case of motion between $\hat{3}$ and $\hat{5}$). Descending and ascending fifth-lines are also encountered as melodic motives, the former being related to underlying fundamental-line motions from $\hat{5}$. Ascending

fifth-lines occur mostly in the bass. Surface replications of fifth-lines are seldom encountered in the mazurkas. Fourth- and sixth-lines are occasionally motivic (for instance, the descending fourth E-flat to B-flat in Op. 6, no. 4, and the ascending sixth e to c in Op. 56, no. 2).

3. Ascending and descending arpeggiated motions. Surface arpeggiation figures in the mazurkas are frequently derived from underlying arpeggiated motions--the most common being the typical background/middleground I-III-V motion of the bass. Unfoldings or horizontal motions between two structural voices also function as motivic elements and include intervals of a third, fourth, fifth and sixth. Broken octaves--derived from register transfer or coupling--are also motivic (see, for instance, the parallelisms of the ascending octave motion G-sharp4/G-sharp5 in Op. 6, no. 2).

Three specific categories of motivic configurations can be derived from modal and folkloric influences. These include 1) a lower neighbour-note motion as influenced by the Lydian fourth ($\hat{5}$/sharp-$\hat{4}$/$\hat{5}$); 2) a neighbour-note or linear motion involving the Phrygian $\hat{2}$, the former occurring within a local tonal context and appearing mostly in the bass (flat-$\hat{2}$/$\hat{1}$), and the latter bringing about such linear motions as $\hat{3}$/flat-$\hat{2}$/$\hat{1}$ or the reverse in minor; and 3) the vertical fifth or drone bass which is also horizontalised in many melodic lines, becoming either ascending or descending broken or filled-in fifths or fourths. These horizontalised fifths and fourths, apart from being derived from the drone-bass fifth, function as part of the composing-out process or as embellishment of a particular structural note. As

to the two possibilities of melodic/motivic motion involving the Phrygian $\hat{2}$, they are seldom encountered in the mazurkas and in the case of the linear motions, not really regarded as motivic, but rather as folkloric-melodic coloration.

Typical structural features

1. Fundamental lines from $\hat{3}$, $\hat{5}$ and $\hat{8}$ (the latter found in only one mazurka (Op. 68, no. 3)), as well as internally closed tonal structures with controlling middleground lines mostly replicating the fundamental line itself. The latter feature is usually associated with independent form sections.

2. Fundamental structures and middleground harmonic/voice-leading progressions influenced by a drone bass or drone-bass related pedal point constructions (see Chapter 12; also, below). In this process, there can be either an incomplete descent or no descent of the fundamental line.

3. Background and middleground interruptions (see Chapter 3)--although not a regular feature of the mazurkas mainly because of the many independent form sections with individually closed tonal structures. Apart from causing two-part divisions of the tonal structure, these interruptions also create either binary or ternary form divisions, the latter resulting from the prolongation of $\hat{2}$ and its supporting dominant in the bass, by means of which a middle form section is generated. Middleground/foreground interruptions are also encountered in the mazurkas, the most notable examples being in Op. 33, no. 2 (see Chapter 6).

4. Apart from the basic I-V-I arpeggiation of the bass in the fundamental structure, various middleground and middleground/foreground bass arpeggiation figures, I-III-V-I, I-V-III-I, I-VI-IV-I, I-VI-III-I, I-IV-I and even I-VI-I (the latter found only in Op. 56, nos. 1 and 2). These appear in conjunction with independent form sections generated from particular components of an arpeggiation figure (mostly the third in a I-III-V-I pattern), middleground or foreground harmonic progressions, or foreground sequence patterns. In the case of I-IV-I, this is a middleground phenomenon and is predominantly associated with authentic form stereotypes in the mazurka genre which still appear in a number of Chopin's mazurkas, namely, trios in the subdominant. The I-IV-I bass division always appears in conjunction with a $\hat{3}$-$\hat{4}$-$\hat{3}$ or $\hat{5}$-$\hat{6}$-$\hat{5}$ neighbour motion in the upper voice, except for Op. 68, no. 3, where, because of its fundamental line from $\hat{8}$, the upper voice remains stationary on $\hat{8}$ with IV in the bass. The only exception with regard to the structural position of the I-IV-I bass arpeggiation is Op. 56, no. 3, where this figure appears in the foreground, comprising the plagal cadence structure in the coda. Finally, background/middleground parallelisms of middleground/foreground I-III-V-I bass arpeggiation figures, as well as nested arpegiation figures within larger ones--involving the prolongation of the third degree of the latter--are found in a small number of mazurkas. These respectively include Op. 17, no. 2, Opp. 63 and 67, no. 2, and Opp. 24 and 30, no. 4, and again Op. 63, no. 2. There are also three instances in three A minor mazurkas (Op. 68, no. 2 and the two posthumously published ones),

in which the underlying I-III-V-I bass arpeggiations of their large A-sections are paralleled in their trio-sections which are under the control of mixture in the background.

5. Chromatic inflections or mixture (see Chapter 3) of background and middleground structural elements, resulting in mode change (parallel major or minor) and the generation of form sections (particularly large middle sections or trios) from the chromatically inflected structural element. This is a very frequent occurrence in the mazurkas. Either a note of the fundamental line or a prominent inner voice associated with the first note of the fundamental line is acted upon by mixture. There is one instance in the mazurkas (Op. 30, no. 3) where mixture penetrates into the fundamental structure itself. Other notable applications of mixture in the mazurkas include the Phrygian $\hat{2}$ both as part of the Neapolitan chord and as modal device, and foreground and surface chromatic passing and neighbouring motions. Parallelisms of specific mixtures also occur (in this connection, see the presentation of Op. 30, no. 3 in Chapter 10).

6. Ascending and descending sequence patterns--a prominent feature in many mazurkas--involving several linear intervallic patterns; the most frequent ones being 5-8-5-8, 10-8-10-8, 7-10-7-10, 5-10-5-10 and chromatic parallel tenths.

7. Ascending and descending register transfers or couplings, mostly in conjunction with arpeggiated motions and appearing in the foreground or middleground. Two notable instances of coupling occurring as far back as the first middleground are Opp. 56, no. 3 and 63, no. 1. Apart from these mazurkas, several

other mazurkas also display two distinct registers in which their voice-leading activity takes place.

8. Cover tones or boundary-play above middleground or background structural elements--a prominent voice-leading characteristic of many mazurkas and one which frequently causes difficulties in identifying or interpreting the correct fundamental line for a given mazurka (see Chapter 4, endnote 54).

Motives and Unification

Either a single voice-leading figure or several voice-leading figures operate as unifying motive or motives in a given mazurka. What results in the process is usually a continuous motivic network creating tonal and formal unification, and involving a single motive or the combination of several motives. In addition, various derivative forms of a single motive can occur in conjunction with that motive and form part of a motivic network. In the case of more than one principal motive, the additional motives can sometimes also be derived from a central figure. Most significant, perhaps, is the fact that each motive can usually also be traced at different structural levels.

Tonal Structure as Influenced by Motivic Design

In determining the influence of motivic design on tonal structure, it was first established that voice-leading diminutions in the mazurkas constitute their main melodic/motivic

content in most instances. This points to a close relationship between motivic design and tonal structure, since motivic configurations form part of the composing-out and prolongational process. Consequently, motivic design plays a significant role in tonal-structural development. Additionally the prolongation of the elements of a particular motivic configuration can result in the generation of tonal and formal content, thus incorporating such a motive in the conception of the tonal structure.

With regard to tonal-structural characteristics, the way in which specific motivic voice-leading configurations operate in the tonal structure can be indicated. In this regard the influence of specific voice-leading factors such as suspension and displacement--particularly in foreground and middleground structures--as well as chromaticism, modality and the drone-bass phenomenon become evident. All these factors can, by implication, be recognised as part of the motivic and structural profile of a mazurka. However, it must be pointed out that in this regard the influence of suspension and displacement is by no means a general one in the mazurkas. In fact, Op. 17, no. 4 is the only example from the mazurkas in which suspension and displacement play a role with regard to motivic and tonal structuring.

Form

An investigation into the influence of motivic design and tonal structure on form in the mazurkas revealed first of all that the frequency of occurrences of specific motivic

configurations and their derivatives at different structural levels results in an unusually high degree of tonal and formal unification. No form section in the mazurkas studied fails to relate to the others in terms of voice-leading content. Chopin succeeded many times in creating and developing the voice-leading content of an entire mazurka from a small set of motivic configurations. Secondly, through the continuous concentration on specific voice-leading configurations, significant relationships were established between the various form sections. Thirdly, specific voice-leading figures--notably linear progressions--were used as form-generating elements. Finally, apart from the various motivic and structural relationships established between form sections, form itself has a close connection and association with underlying structural events and motivic voice-leading configurations.

Chromaticism

In summarising the influence of chromaticism on motivic design and tonal structure, it is important to restate that in Schenkerian analysis, chromaticism is part of the composing-out or prolongational process, and as such can also be a part of motivic and tonal-structural development. There is hardly an instance in the mazurkas where chromaticism fails to be associated in some way with motivic or structural content and design.

Chromatic elements are most frequently part of foreground or surface melodic/motivic configurations. Such configurations are

often part of the composing-out process, resulting in surface chromatic elements being recognised as inflections or substitutions of their diatonic equivalents, and also as melodic content-creating elements.

With regard to tonal structure, chromatic elements are recognised on various levels of structure in the mazurkas. In many instances a particular background or middleground chromatic tone serves as point of departure for further prolongation, resulting in either complete form sections with their own closed tonal structures, differently tonicised key regions, or middleground or foreground interpolations. In addition, there are mazurkas in which parallelisms of background or foreground chromatic figures are found at earlier or later levels respectively, of their tonal structures. Many chromatic activities in the mazurkas are the result of surface linear motions and often appear in the form of chromatic sequence patterns.

The following chromatic elements are found in the mazurkas: 1) mixture; 2) the Phrygian $\hat{2}$ (a further category of mixture); 3) chromatic passing and neighbouring notes (the former resulting in chromatic linear progressions--a regular feature in many mazurkas--); 4) secondary dominants (mostly forming part of sequence patterns, but also occurring in connection with tonicisation (see Chapter 1)); 5) augmented sixth and other chromatically altered chords--mostly pre-dominant harmonies. Augmented sixth chords are, however, seldom encountered in the mazurkas.

Concerning mixture, its principal effect, mode change, is a

particularly regular and important feature of tonal design in the mazurkas. Chromatic linear progressions are often important devices of composing-out. A special case concerning the influence of the Phrygian $\hat{2}$ on tonal design is Op. 33, no. 4, where the constant tension between flat-$\hat{2}$ and natural-$\hat{2}$ throughout results from large-scale prolongations of flat-$\hat{2}$ and its appearance in conjunction with several middleground interruptions.

Finally, surface chromaticism is often employed in the mazurkas to create thematic variation, as well as tonal and formal contrast.

Modal Elements

Regarding modality or specific modal elements in the mazurkas, it was established that, in spite of their presence and influence on the melodic and harmonic/voice-leading structures of these works, major/minor tonality still prevails in all the mazurkas except one (Op. 41, no. 2). Although specific modes can be traced in the mazurkas, they generally occur as surface melodic phenomena. These are confined to portions of the melodic line or to individual form sections. In some instances, the authenticity of such modes could even be debated on the basis of the function of specific elements in a particular authentic mode with regard to the major/minor system (see, for instance, Chapter 11, endnote 2, on modes found in the melodic structure of Op. 24, no. 2). However, there is no doubt that specific modal elements do play an important role as stylistic or folkloric voice-leading

devices, and that they have a definite influence on both motivic design and tonal structure in the mazurkas.

In terms of composed-out harmonic/voice-leading structures, modal devices are functional as elements of motivic design and voice-leading elaboration. The latter often results in chromatic activity which has historic links with folk chromaticism.

Two main modal elements identified in the mazurkas are 1) the raised fourth or Lydian fourth degree, and 2) the Phrygian $\hat{2}$. The Lydian fourth is more common and operates in three principal ways: 1) as authentic Lydian or Gypsy element, 2) as leading-tone motion to the fifth degree, and 3) as a single inflection in the form of a chromatic passing tone or neighbour embellishment--the former resulting in chromatic third-lines, the latter in lower neighbour configurations. Although the Lydian fourth is, in most instances, part of foreground melodic motions, it also appears in the middleground, and in one notable instance (Op. 7, no. 1) becomes part of the background or first middleground, as it embellishes the first fundamental-line tone ($\hat{5}$) and makes possible the generation of the Trio section.

Compared to the Lydian fourth, the role and influence of the Phrygian $\hat{2}$ in the mazurkas is limited. It occurs in incomplete upper neighbour figures and third-lines (the latter only in minor key mazurkas). It functions either as a purely modal device or as a chromatic inflection of natural-$\hat{2}$, in which case it is associated with the Neapolitan chord and is thus rather a chromatic than a modal feature. As a chromatic inflection it usually involves the $\hat{2}$ of the fundamental line or a middleground replication of the latter, while as a modal device it is, with

the exception of Op. 41, no. 2, purely a foreground melodic phenomenon with no deeper structural implications. However, in Op. 41, no. 2, the Phrygian $\hat{2}$ penetrates into the fundamental structure itself, replacing $\hat{2}$ and being supported by flat-II6, thereby causing the fundamental structure to be conditioned by authentic Phrygian modality instead of being a horizontal composing-out of the E-minor tonic triad; the result is an entire mazurka's harmonic/voice-leading structure conceived from a Phrygian oriented fundamental structure.

Finally, apart from purely chromatic or modal colouring devices, the Lydian fourth and Phrygian $\hat{2}$ are involved in a number of motivic configurations in the mazurkas. Of the two, the former is most often used as a motivic element, while the motivic role of the latter is associated almost exclusively with its chromatic function.

The Drone Bass

The drone bass (interpreted either as a vertical fifth or pedal point in the mazurkas for reasons cited in Chapter 12, endnote 1), has been seen, in its most extreme structural application, to penetrate into the fundamental structure of a number of mazurkas, causing either a different interpretation of their background tonal structures or problematic tonal structures. However, since it was also established that the basic role of folkloric elements was to serve Chopin's artistic idealisation of Polish dance types, the motivic and structural implications of the drone were also interpreted in this light and

not strictly within the limits set by Schenker's theory (more of this and the role of Schenkerian analysis in this regard in Chapter 14). Therefore, the following observations were made concerning the role of the drone bass in the mazurkas.

Firstly, the drone bass occurs on all three broad structural levels. In the background and middleground a static harmonic/voice-leading situation--mostly in the form of a pedal point--is created at the conclusion of the fundamental structure or a middleground replication. In the foreground it is observed mostly as part of introductions and/or codas, but also occurs in B-sections or Trios, acting as a surface prolongational, as well as folkloric colouring device. However, in some instances the drone bass was seen to provoke the necessity for further balancing prolongational situations which were in turn effected by harmonic/voice-leading means alone, but which may be said to be derived from the use and influence of the drone.

From the point of view of melodic/motivic design, it has already been observed that broken fifth and even fourth motions can be derived from the influence of the drone-bass fifth. Such motions are found in the melodic lines of several mazurkas and usually take the form of either a single broken fifth or fourth (ascending or descending), or pairs of broken fifths and fourths (either a fifth followed by a fourth in ascending motion or a fourth followed by a fifth in descending motion). In addition, it can be said that filled-in fifths and fourths found in the melodic structures of some mazurkas are also related to the drone-bass fifth.

The most far-reaching motivic and structural application of

the drone bass in the mazurkas was observed in Op. 56, no. 2. Here the fundamental structure itself comprises a single drone-bass fifth. In a remarkable way, this structural situation confirms and emphasises the stylistic, motivic and structural importance of the drone, becoming central to both the stylistic and the structural motive of this mazurka through its particular structural application.

Finally, the drone is also associated with form in the mazurkas as witnessed by its appearances as part of introductions, musette-like trios and codas.

CHAPTER 14

CONCLUSIONS

Frederic Chopin's mazurkas represent the finest examples of artistic stylisation of this genre in the literature of art music. Each mazurka presents a fusion of authentic Polish folk melodies and mazurka types with nineteenth-century harmonic/voice-leading and tonal language. Apart from the influence of the former on the latter--particularly concerning melodic, harmonic and formal characteristics--there is also a clearly identifiable process of evolution with regard to the presence and development of Polish folklore. This ranges from direct statements of folkloric elements and obvious correspondences to authentic mazurka models, to ever increasing transformations and developments of these elements and models.

In terms of harmonic/voice-leading structure, the analyses of the seventeen mazurkas in Part Two revealed close relationships between, and concentrated interactions of, harmonic and voice-leading elements, resulting in tightly unified tonal structures for these compositions. Apart from being extremely rich in motivic content, the mazurkas also offer many instances of motivic parallelisms and networks, as well as interactions of specific motives.

The analytic method chosen here, namely, that of Heinrich Schenker, provided the necessary conditions and analytic tools for new perspectives concerning harmonic, voice-leading and motivic activities in the mazurkas, and to interpret them more

effectively than would have been possible through conventional analytic methods. Schenker's principal concept, hierarchically ordered structural levels, allows harmonic and voice-leading elements to be identified and interpreted on more than one level of the tonal hierarchy, and their function and meaning to be assessed in terms of their position within the overall structure of a composition, not purely within an immediate or local context. Furthermore, the concept of structural levels makes possible the identification of specific voice-leading configurations or **motives** at more than one level of structure. The result is not only concealed or hidden motivic repetitions on a large or small scale, but the means of identifying many more motives and organic motivic connections than before.

The two principles associated with levels of structure, composing-out and prolongation, in turn provide an opportunity to distinguish between, on the one hand, large controlling harmonies or harmonic progressions and, on the other hand, chords resulting purely from voice-leading motions. The latter therefore forms part of the composing-out or prolongation of, and connections between, the larger harmonies. Also, composing-out and prolongation point to the equal importance and interaction of harmony and voice leading. Both these perspectives are indispensible for the proper interpretation of both motivic and structural elements.

Finally, the Schenkerian method provides the analyst with a mechanism for an effective linkage of tonal design and motivic patterns which would not have been possible in any other way.

With respect to motivic design, the work presented here

reflects the high degree of tonal and formal unity in the mazurkas. Motivic voice-leading figures are tied directly to principal thematic material and constitute the main elements in the creation of tonal and formal content. Consequently, there is a close relationship between motivic and tonal-structural elements throughout the mazurkas, and motives play a significant role with regard to tonal-structural development, and in some instances even tonal-structural characteristics. Relationships between form sections are established primarily through motivic elements. Furthermore, motivic design and tonal structure are influenced in many cases by stylistic or idiomatic features associated with the nineteenth century or the mazurka genre, notably, chromaticism, modal elements and the drone bass.

Through their identification on different levels of structure, chromatic and modal elements also become important motivic, structural and form-generating devices. Modality as such, although present in the mazurkas, usually does not supplant the basic major/minor orientation of these works. The drone bass evokes influences of both a structural and a motivic nature, that is, the drone itself can be recognised as the determining background element of a mazurka, and as such, may even be regarded as its principal structural motive. Therefore, modal elements and the drone bass are not employed as merely superficial stylistic or folkloric colouring devices, but constitute an integral part of motivic and structural development in the mazurkas. Although the penetration of folkloric devices into the background can create problematic tonal structures from a conservative Schenkerian standpoint, the resulting alternative

background models proposed for some mazurkas suggest rather a fusion of the art of voice leading with the traditions and materials of the Polish folk music heritage.

The results obtained with regard to motivic design and tonal structure within a single repertoire in this dissertation suggest promising avenues for further research on the same issues--particularly the linkage of motivic design and tonal structure--in other compositions.

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ABSTRACT

This dissertation presents a study of motivic design and tonal structure in selected mazurkas by Frederic Chopin. The principal objective is to demonstrate the coordinated interaction of harmony, counterpoint and motivic design in the mazurkas. The analytic method used is that of the Austrian pianist and music theorist Heinrich Schenker (1868-1935), a method based on the conception of a tonal composition as an organic hierarchy of structural levels ("Schichten"). Analyses of mazurkas are presented through sets of carefully worked out voice-leading graphs depicting the various levels of structure and their content.

The merit of Schenkerian analysis for interpreting motivic and structural elements is given in the preface, the principal point being the identification and interpretation of harmonic, voice-leading and motivic events on different structural levels.

A general introduction to Chopin and the mazurka follows, comprising a historical overview of the mazurka as genre, a chronological listing of all the mazurkas of Chopin, and an assessment of his contribution to the mazurka.

Part One presents a justification and explanation of Schenker's method, using excerpts from various mazurkas as analytic illustrations. A set of analytic voice-leading graphs for a complete mazurka, serving as comprehensive model analysis, and intended to demonstrate the whole apparatus of Schenkerian analysis, is provided with commentary in a separate chapter.

Various areas of investigation concerning motivic design and

tonal structure in the mazurkas are followed through in Part Two. These include motivic design as a unifying factor, its influence on tonal structure, the influences of motivic design and tonal structure on form, and of chromaticism and specific folkloric devices on motivic and tonal structure.

The seventeen mazurkas analysed in Part Two reveal concentrated interactions of harmonic, voice-leading and motivic elements, many instances of hidden motivic repetitions or **parallelisms**, and motivic networks. Motives also play a decisive role in tonal and formal unification. Chromaticism and folkloric elements are no longer pure stylistic or idiomatic features, but part of the motivic and tonal-structural content.

Through the application of Schenkerian analysis, new insights are gained into the nature of motivic and tonal-structural elements in the mazurkas which cannot be arrived at through conventional methods of analysis.