A SURVEY OF THE INFLUENCE OF HEINRICH SCHENKER ON AMERICAN MUSIC THEORY AND ITS PEDAGOGY SINCE 1940

THESIS

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This study investigates the influence of the Austrian music theorist Heinrich Schenker on American music theory since 1940, including a survey of writings related to Schenker and theory textbooks displaying his influence.

The Schenker influence on American music theory includes many journal articles on Schenker and his principal students. His methods are employed often in analytical discussions of various issues. In addition to numerous dissertations and theses written about Schenker, a number of textbooks are now based wholly or in part on his approach to musical understanding. The current trend towards accepting Schenker's theories is likely to continue as more people are exposed to his teachings.
PREFACE

This study was undertaken to try to evaluate the impact of the theories of Heinrich Schenker on American music theory and its pedagogy in the years since his death. It was decided that a survey of music periodicals, research papers, and textbooks would provide the best general indication of Schenkerian influence. Although Schenker died in 1935, this survey begins with the year 1940 so as to allow a few years to pass for distribution and assimilation of Der Freie Satz, Schenker's final work, published in the year of his death.

Chapter I provides a section of biographical information on Schenker and his principal students. Chapter II offers an overview of Schenker's mature theories as they appeared in his later works. The next section (Chapters III - VI) discusses what has been written about Schenker in American music periodicals since 1940. Chapter VII describes some research papers written on Schenker-related topics. Chapters VIII and IX discuss elements of Schenkerian influence on American music textbooks published since his death. The final chapter attempts to draw some useful conclusions on Schenker's contributions to the study of music theory in this country.
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CHAPTER I

BIOGRAPHICAL INFORMATION

Heinrich Schenker was an Austrian musicologist and theorist of considerable importance to students currently interested in the history of musical analysis and theory. Although born in Poland (Wisniowczyk) on June 19, 1867, he spent most of his life in Austria, where he died in Vienna on January 14, 1935 (1, pp. 3-4). Not a great deal has been recorded about Schenker's childhood, but it is known that he displayed musical talents as a boy and was encouraged to further his education by a grant of financial aid from the Austrian emperor to study in Vienna (2, p. 478). This he did from 1884 to 1888, studying both music under Bruckner at the Vienna Conservatory and law at the University of Vienna. By 1888, he had earned his doctorate in law (3, p. 1670).

Schenker toured for a while as the piano accompanist for the baritone Meschaert, during the former's first years at Vienna (3, p. 1670). He became acquainted with and performed some of his piano pieces for Brahms. Brahms was sufficiently impressed to recommend Schenker to his publisher, Simrock, who eventually published Schenker's piano and vocal pieces (2, p. 478). Schenker's piano compositions
include Etudes, Op. 1; Fantasia, Op. 2; Fünf Kleine Stücke, Op. 4; Two Voice Inventions, Op. 5; Laendler, Op. 10; Syrische Tänze, and an arrangement for two pianos of Handel's Concerto for Organ and Orchestra in F. The vocal compositions are found in the Lieder of Op. 3 (1, p. 8).

Vienna seems to have been Schenker's home from the middle 1880's on, through the remainder of his life into the present century. During these years he married an Austrian woman (1919), and devoted himself to intense research into the music and harmonic practices of the great masters (4; 5, p. 1443). His income evidently came from his writings and the private lessons he gave in piano and music theory (2, p. 478).

Schenker's research and study led to a considerable literary output. His principal theoretical/analytical works are as follows:


Der Tonwille, Flugblätter zum Zeugnis unwandelbarer Gesetze der Tonkunst einer neuen Jugend dargebracht von Heinrich Schenker, Vienna, Breitkopf und Härtel, 1921.


Das Meisterwerke in der Musik: Jahrbuch I, Jahnbuch II, Jahrbuch III, Munich, Drei Masken Verlag, 1925, 1926, 1930.


In 1927, Schenker, Anthony Van Hoboken (one of Schenker's students), and Robert Hass founded a Meisterarchiv at the Viennese National Library. It is a large collection of photographs of the manuscripts of great composers; Schenker served for a while as its curator (2, p. 478; 6, p. 192).

Schenker personally trained a number of students during his lifetime. The principal names include John Petrie Dunn, Anthony Van Hoboken, Oswald Jonas, Hermann Roth, Felix Salzer, Otto Vrieslander, and Hans Weisse (5, p. 1443). Brief biographical sketches of these men will be presented at this time.

John Petrie Dunn (1878-1931) was a Scottish pianist and scholar. He studied in London with Matthay, and
toured Europe as the accompanist of Jan Kubelik in 1904. Later Dunn was an instructor at the Kiel and Stuttgart Conservatories (5, p. 410).

He returned to England in 1914 and became a professor of music at Edinburgh University from 1920 to 1931. Dunn's literary contributions include *Ornamentation in the Works of Chopin* (London, 1921), *A Student's Guide for Orchestration* (London, 1928), and *The Basis of Pianoforte Playing* (London, 1933). It has been written that Dunn provided the English translation of Schenker's *Kontrapunkt I*, but for some reason this volume is unavailable (5, p. 410).

Anthony Van Hoboken was born in 1887 in Rotterdam. He is best known as a music bibliographer. In addition to his studies under and collaboration with Schenker on the *Meisterarchiv* at the Vienna National Library, he also collected first and other early editions of classical works, including an excellent Haydn representation. In 1957, he published a thematic catalog of Haydn's works entitled *Joseph Haydn Thematish-bibliographisches, volume I* (Mainz: B. Schott's Söhne). (5, p. 721).

Oswald Jonas is an American musicologist, born in Vienna in 1897. He studied piano and theory with Schenker, and earned a Doctor of Law degree at the University of Vienna in 1921; he did further study at the Berlin Conservatory (1930-1934) and at the Vienna Conservatory (1935-1938).
Jonas came to the U.S. in 1938 and began a lecture series which took him to the University of California, Indiana University, the University of Chicago, Longy School at Cambridge, Massachusetts, Grosvenor Library at Buffalo, and the American Musicological Society. Since 1940, he has been on the faculty at Roosevelt College in Chicago.

Jonas has authored many articles on Schenker; in addition to revising the latter's Harmonielehre and Der Freie Satz, Jonas has also written Das Wesen de Musikalischen Kunstwerks (Vienna, 1934) (7, p. 655).

Hermann Roth (1882-1938) was a German musicologist who studied for a time with Hugo Riemann in Leipzig (1905) and later with Schenker. Roth worked as a music critic in Leipzig from 1907 to 1910, and in Munich from 1910 to 1921 (5, p. 1377). In 1921, he was teaching at the Baden Conservatory. Subsequently he held positions on the faculties of the Stuttgart Conservatory and the Berlin State Academy of Music. He is the author of Heinrich Kaspar Schmid (Munich, 1921) and Elemente der Stimmführung (Stuttgart, 1926).

Roth is known for his translations of opera librettos by Rossini, Mozart, and Handel; many of these translations are in current use in the opera houses in Germany (8, p. 1584). Roth also published editions of Bach's Magnificat and Johannispassion, twenty five songs from a Schemelli Hymn Book, Capriccio sopra la lontananza, songs from A.M. and C.P.E. Bach, and Handel's Oboe Concerto in B Flat (9, p. 930).
Felix Salzer is a theorist and musicologist, born in Vienna in 1904. He studied with Hans Weisse (1922-1930) and with Schenker (1930-1935). During the years with Weisse, Salzer earned a Ph.D. in musicology from the University of Vienna (1926) (10, p. 391).

From 1935 to 1938, Salzer taught at the Vienna Conservatory. He subsequently emigrated to the U.S. and was on the faculty at the Mannes College of Music in New York, serving as Director from 1948 to 1956. From 1956 to 1958, he was on the faculty at Queens College in New York. In addition to various articles published in the music journals, Salzer is also the author Sinn und Wesen der abendländischen Mehrstimmigkeit (Vienna, 1935), Structural Hearing, two volumes (New York, 1952), and a later edition of the latter in German in 1958 (5, p. 1407).

Otto Vrieslander, 1880-1950, was a German composer and scholar. He attended the Cologne Conservatory, studied with Schenker in Vienna (1911-1912), and settled in Switzerland in 1929. Vrieslander wrote several song cycles, edited works by C.P.E. Bach, and arranged six C.P.E. Bach symphonies for piano (four hands).

As C.P.E. Bach was his special interest (probably due to Schenker's influence), Vrieslander authored the following studies: Ph. E. Bachs Klavierstücke für Anfänger mit kompositionstechnischer Analyse (1914), Lieder und Gesänge von Ph. E. Bach nebst Einleitung (1922), Ph. E. Bach als
Klavierkomponist in Ganymed Jahrbuch (1922), Ph. E. Bach (1923), and Ph. E. Bach als Theoretiker in Von neuer Musik (1925) (5, p. 1726). After Schenker's death, Vrieslander administered a new edition of the former's first theory text, Harmonielehre (11, p. 78).

The last of Schenker's students to be discussed here was another Austrian music theorist and composer. As an exponent of the Schenkerian approach, Hans Weisse came to the U.S. in 1931 and taught at the Mannes School of Music. His compositions include three string quartets, a string sextet, a quintet for clarinet and strings, an octet for strings and winds, a concerto for flute, oboe, and harpsichord, and his Choral Partita for strings and winds (5, p. 1776).
CHAPTER BIBLIOGRAPHY


CHAPTER II

AN OVERVIEW OF SCHENKER'S THEORIES

Before attempting to discover Schenkerian influence on American music theory, it is necessary to understand the more salient elements of the theorist's concepts. In later chapters, articles, research papers, and texts will be examined for traces of these elements.

As Schenker's analytical efforts were aimed at the masterpieces of great composers from the seventeenth through the nineteenth centuries, his philosophy of artistic creation eventually held that only genius can produce a musical masterpiece. Further, he believed that, consciously or unconsciously, the great composers had conceived their music as organic entities, unified in structure by an important principle of nature: the innate potential of the triad for manipulation and exploitation. Schenker found

The capacity to have such a perception of the primary harmony is a prerogative of genius, derived from nature. Genius transforms the triad into the melodic progressions of the fundamental line and at the same time, into a few basic chords which are subdivided again and again (1, p. 166).

Referring to Haydn's treatment of the sonata form, Schenker observes

Haydn knew no treatises on form as we know them today. It was the life of his spirit
which generated the new life of his music. The fundamental line and bass-arpeggiation governed him with the power of a natural force, and he received from them the strength to master the whole as a unity (1, p. 168).

In a further discussion of musical genius and the primary triad, Schenker writes

This spirit of genius, creating mysteriously out of the background of a fundamental structure, masters all the arpeggiations of the many individual harmonies and all their diminutions of the linear progressions in the composing-out process (1, p. 178).

This cardinal principle of triadic organization was suggested to Schenker by the observation that, of the limited range of frequencies perceivable by the human ear, the sonority which is most strongly reinforced by these frequencies (overtones) is the triad, generated by a fundamental and its closest five partials (2, pp. 51-52).

Levels of Perception

As Schenker saw it, the primary triad is manipulated by the artist on three levels of perception, in both vertical and linear fashion, as a means of offering unity and variety for a composition (2, pp. 51-52). The "foreground" level is nothing more than the composition as it stands. However, to better understand the composition, Schenker developed a technique of graphically reducing the music to reveal the more elementary "middleground" and "background" levels. The following figure shows Schenker's foreground, middleground, and background reduction sketches.
of C.P.E. Bach's Sonata II from *Six Sonatas*, "Versuch über die wahre Art das Klavier zu spielen," Adagio:

Fig. 1 - (top to bottom) Schenker's foreground, middle-ground, and background sketches of a segment from the Adagio of C.P.E. Bach's Sonata II, *Six Sonatas* (3, p. 31).
The sketches in the above illustration demonstrate the relationship of background to middleground and middleground to foreground levels of perception. Before examining the specifics of such sketches, however, it will be necessary to further discuss Schenker's concepts of the primary triad.

Since Schenker found musical masterpieces to be organically unified in conception, it follows that his approach to musical analysis rests strongly on contextual rather than isolated meanings of sonorities. Whereas he accepted Rameau's explanation of the invertibility of the triad, he rejected the latter's concept of purely vertical analysis as the essence of musical understanding. Schenker, rather, believed that vertical sonorities are not the source, but the consequence of linear (voice leading) activities, and in the largest sense, these linear activities stem from a prolongation or extension of the basic triad from which the composition unfolds.

In Schenker's earlier writings, the term Stufe was used to designate this basic triad, but the word also applies to related scale steps which are used to help establish the tonal center; occasionally, Stufe refers to other harmonic entities given temporary distinction. These Stufen are, depending on context, both vertical and linear phenomena. (2, p. 77). The broader usage of Stufen in an entire section or movement to establish the principal
tonal center and elucidate the formal meaning is termed by Schenker as *Stufengang* (2, p. 78). The word implies "broad, sweeping relationships of one harmonic complex to another such complex" (2, p. 84).

From his aural and visual studies of music, Schenker concluded that mixtures of major, minor, and modal properties provide much of the melodic and harmonic color within the tonal system, and also serve to elaborate musical ideas. Another source of coloration is chromaticism. At this point, Schenker drew a line between simulated modulation (which results from chromatically emphasized tones and harmonies within the entire musical organism) and any genuine change of key center within a tonal composition. He found that what others thought to be modulation was in fact only a temporary tonicization (Tonikalisierung) of a given related harmony. Thus, as Schenker saw it, there is in tonal composition no modulation (2, p. 113).

This concept of tonicization involves more than the simple secondary dominant two-chord progression with which theorists had long been familiar prior to Schenker. It also involves more broadly functional relationships which, nonetheless, do not constitute modulation. Rather, they represent chromatically intensified areas of one overall tonality (2, pp. 131-132). This, again, necessitates listening and thinking in large scale context.

Schenker attributed the organic unity of tonal music
to harmony, fundamentally. Consequently, motivic development and manipulation as a means of organization are seen as secondary in importance. (2, p. 162).

The system of analysis for which Schenker is known, as previously illustrated, involves graphically reducing musical examples (from phrases to entire movements in length) to a simple linear representation, employing elements of both "species" counterpoint and figured bass. He found that when technical ornamentation and elaboration were stripped away from a composition, what remained appeared to be the linearized span of a triad - the tonic triad of the composition (2, p. 165). By the time the composition ends, the potential of the triad for exploitation has been linearly realized. That is, the innate tension is released with the downward movement from one of the upper intervals of the triad to the tonic note, over the span of the composition in question. This same phenomenon occurs in small as well as large scale musical segments.

In the step by step Schenkerian reductive procedure, one moves from the foreground (again, the composition as it stands) through a middleground (a level where some but not all of the embellishment and elaboration of the composition has been graphically omitted) to the final background which reveals the ultimate tonic triad in its horizontalized form (2, p. 166). This ultimate triadic line is called
the **Urlinie** - the fundamental musical line of a composition. It represents a linear movement from \( \hat{8}-\hat{7}-\hat{6}-5-4-\hat{3}-2-1 \), from \( \hat{5}-\hat{4}-\hat{3}-2-1 \), or from \( \hat{3}-2-1 \) (the caret specifically designates tones of the **Urlinie**) (2, p. 174). As can be seen, the **Urlinie** always begins on \( \hat{8}, \hat{5}, \) or \( \hat{3} \) and proceeds to work its way down to the tonic note as the composition unfolds.

Schenker also uncovered a **I - V - I** movement common to the bass motions in tonal composition (2, p. 176). The motion from **I** to **V** is ascending; the return motion to **I** may be either ascending or descending. When represented together, the bass line and the **Urlinie** provide a contrapuntal picture of the essence of the composition. This combination is called the **Ursatz**, the three basic forms of which are illustrated below:

![Fig. 2 - Ursatz: basic forms](image)

The motion of the bass from tonic to dominant to tonic is to be understood as a reaffirmational gesture of the tonic; it swings (as on a pendulum) from **I** to **V** to **I**. Schenker
called this bass movement *Bassbrechung*. Thus, the bass line does not achieve the tonic (as in the *Urlinie*); rather, it expresses or reaffirms the latter (2, p. 179). Again, the bass movement may be either of continuous ascension or it may reverse its direction as illustrated below:

![Diagram of Bassbrechung](image)

Fig. 3 - *Bassbrechung*: basic directions

The occurrence of the V in the bass is always matched with that of the 2 in the *Urlinie* (2, p. 180).

The motions from 8 to 1, 5 to 1, and 3 to 1, Schenker believed, are goal-directed motions. The term *Zug* describes such an intervallic motion. These *Züge* are responsible for the important drive in which tonal music moves from a situation of tension to that of release or repose (2, p. 185). Over the span of a *Zug*, a composition unfolds into time and space, hence the dynamic character of tonal music. On a larger scale, it is to be understood that the tensions created by the delay of goal-motion achievement are the source of musical coherence and unity (2, p. 313). All *Züge* are expressed in ascending or descending linear intervals, denoting, depending on the length of the prolonged harmony, primary or secondary importance in the unfolding composition (2, p. 314).
Whereas the ultimate reductive level (background) reveals the Ursatz, the middleground is an area in which are represented the composer's expansional activities and smaller scale (intermediate) goal-drives. The term Auskomponierung ("working out") describes these "secondary triadic events and potentialities within the overall tonal complex" (2, p. 217). It is on this middleground level that Schenker deals with the problem of dissonance, which he believed stems from the passing tone.

Passing tones are seen to exist as both the familiar step-wise movement in between tones of a triad, and as motion of entire passing sonorities between areas of consonance (2, p. 230). Their function here is to expand, create tension, and provide connecting bridges between initial and subsequent goal tones (2, p. 249). In the following illustration, the basic Zug of a fifth (G to C) is worked out through the use of two passing sonorities—the ii\(^7\) and V\(_2\) chords:

![Fig. 4 - Passing sonorities](image)

The overall tonality of the above segment remains C (I).
In this manner, Schenker's middleground reduction graphs differentiate between prolongational techniques (passing and neighboring tones and sonorities) and the essential movement of the Urbinie. One finds that in his larger scale illustrations, prolongations of sonorities (consonant and dissonant, depending on the Zug in question) can extend for many measures at a time.

In connection with the middleground level of perception, Auskomponierung refers to the variety of techniques used to extend the unfolding triad; prolongation, as illustrated above, usually describes smaller scale extensions of a particular chord function (2, p. 258). The term Kopfton is synonymous with the initiating tone of the Urbinie; it is always 3, 5, or 8. This tone plays a part on both middle and background analytical levels as it provides a point of reference for both short and long term goal motions (2, p. 262).

Another middleground phenomenon revealed in Schenkerian reduction analysis is the practice of transferring a tone by octave to a higher or lower register. This is seen to occur either directly by skip, or indirectly by means of a complex working out technique (2, p. 280). The fact that the tone is transferred to another register does not alter its role in the Urbinie.

A related technique which serves to prolong a composition is the delay of the beginning of the Urbinie. Here,
a step-wise goal motion (Anstieg) leading up to the Kopfton precedes the motion of the Urline (2, p. 284). This Anstieg may assume the reduced forms 1-2-3\(^\wedge\), 1-2-3-4-5\(^\wedge\), 3-4-5\(^\wedge\), or 5-6-7-8\(^\wedge\). The goal of the Anstieg is the beginning of the Urline. Thus, it is depicted in the following illustration as the unstemmed notes preceding the Kopfton (in this case, \(\wedge\)):

![Fig. 5 - Anstieg](image)

When it occurs in a composition, the Anstieg may complete its motion to the Kopfton quickly, or it may extend over many measures.

The concepts of Untergreifen and Übergreifen are also used by Schenker to explain the prolongation of a harmony. The use of the Untergreif is said to occur when the soprano line reaches down and associates itself with two or more middle-voice tones. Once it has pulled these tones into its own soprano line, it then continues in an upward motion toward its original goal in the Urline. In the example below, the Urline may be seen to be prolonged by the Untergreif represented in quarter notes:
Fig. 6 - Untergreif

In actual composition, Untergreifen are found both between the tones of the Umlinie and between tones of the Umlinie and important structural neighboring tones (2, p. 291). The similarity between the Anstieg and the Untergreif exists only in their common ascending motions. The latter phenomenon, however, occurs only after the compositional Umlinie has begun to unfold (2, p. 290).

A related but different type of prolongation is achieved by the use of "Ubergreifen. This technique involves a dipping down into the middle register followed by an ascent to the original Umlinie goal-motion path; as such it is clearly similar to the Untergreif (2, p. 292). Here, however, the nature of the return ascent is different in that there exists a two-tone descending-ascending pattern whereby for each step up there is interposed a step down as illustrated below:

Fig. 7 - Ubergreif
The Übergreif also occurs in chordal (superimposed) manner as illustrated in the following example:

![Figure 8 - Übergreif (superimposed)](image)

In both of the above examples the slurs specify the ascending/descending pattern. Unlike the Untergreifen, Übergreifen may occur at any point in a composition, before or after the Urlinie has begun (2, p. 295).

Thus, the middleground in a Schenkerian reduction analysis is a level on which are shown the various methods of extension and prolongation of musical ideas in tonal composition. It follows that the more complicated these techniques (Auskomponierung) become, the more detailed the middleground sketch must be (2, p. 308). This, of course, is not true of the background sketch which reflects only the skeletal structure of the composition.

Form

Schenker believed that all musical masterpieces have in common a Gestalt origin; such music is conceived (and is to be perceived) as a whole, just as one perceives a building as an entity rather than the sum of its parts (bricks, steel, concrete, etc.). It is this Gestalt
quality which is seen to account for the unity and coherence in music. The treatment of this quality determines form in tonal music.

Form is determined in the Schenkerian approach by the application of "delaying" and "interruptive" techniques to the unfolding Ursatz. "Interruption" (Unterbrechung) refers to a broad, major prolongation of the basic Ursatz; "delay" (Aufhaltung), on the other hand, implies a smaller scale prolongation of the Ursatz motion (2, p. 379).

The point at which one distinguishes "delay" from "interruption" is the point where the Ursatz has reached the \( \frac{2}{V} \) situation. If the \( \frac{2}{V} \) moves conclusively, definitely towards \( \frac{1}{I} \) (once the \( \frac{2}{V} \) has been established), the technique is "delay." This technique may involve prolonging material before or during the \( \frac{2}{V} \), but from \( \frac{2}{V} \) to \( \frac{1}{I} \) there will be no further compositional activity. Schenker believed that both one-part and ternary forms belong in this "delay" category (2, pp. 381-382).

The one-part form may be seen as a prolongation in both Bassbrechung and Urlinie of the standard Ursatz from Kopfton to goal-tone. The following Schenker analysis of Schumann's Opus 48, No. 4 reveals a one-part form, derived from the Auskomponierung of the G major tonality throughout the length of the piece. The slurs in this case denote goal motions from I to I, I to II, and II to V.
This figure demonstrates the Urlinie motion of $\hat{3}$ to $\hat{1}$ via various passing and neighboring tones of less structural importance (indicated by proportionately decreased note values). Similarly, the bass is seen to move from I to V to I via passing tones.

Schenker found that this one-part form appears in both vocal and instrumental music, with or without the use of repeat signs. Occasionally, the I in the Bassbrechung which normally occurs simultaneously with the Kopfton is omitted, in which case the Urlinie itself offers the key for analysis (2, p. 385). Note that the one-part form has essentially uninterrupted motion of successive tones of the Urlinie.

When, in the "delay"-type structure, a neighboring tone is given harmonic support, a ternary form may result. In the event that the Urlinie motion originates on $\hat{8}$, the motion may be divided into an $\hat{8}-\hat{5}/\hat{5}-\hat{1}$ structure for analytical purposes. The $\hat{5}$ acts as a point of arpeggiation.
or division. A prolongation of this type may result in the ternary sonata form.

Unlike the "delay" forms, the "interruption" (Unterbrechung) forms result from the manipulation of the $\frac{2}{V}$ to $\hat{1}$ motion. What is seen to happen is a repetition of the previous $\hat{3}$ or $\hat{5}$ situation after the arrival at $\hat{2}$ in the Ursatz. Used at this crucial point, the interruption occurs at a moment of great energy; the $\frac{2}{V}$ tension is trying to resolve to $\hat{1}$. The goal-drive begins over, however, with $\frac{3}{I}$ or $\frac{5}{I}$ and proceeds through a final $\frac{2}{V}$ to $\hat{1}$. The first $\frac{2}{V}$ is called a "divider" (Teiler) of the I (2, p. 393); it is structurally the more important of the two $\frac{2}{V}$ occurrences.

The resulting form is the binary, the outline of which will be either $3-2//3-1$ or $5-2//5-1$. These movements are depicted in the following illustration of "interruption" forms:

![Fig. 10 - Basic "interruption" forms](image)

It is to be understood that only Ursatz forms beginning on $\hat{3}$ or $\hat{5}$ can become interrupted in this pure binary sense.

Sonata forms, on the other hand, are interrupted to form $\hat{3}-2//\hat{3}-1$, $\hat{5}-2//\hat{5}-1$, and $\hat{8}-5//\hat{5}-1$ structures (2, p. 397).
Sonata Form

Schenker's interpretation of the three-part sonata form may be summed up as follows:

**Exposition.** The exposition serves to exploit the initial harmonic event as it moves from I to V (the "divider"). The harmonic motion is either I-V, I-III-V, or I-III (in which case the V appears in the development section). Any and all motivic action is derived from "diminutions" (of a sort) of the fundamental harmonic tones of the *Urlinie*; such activities are to be understood as harmonic rather than thematic events (2, pp. 419-420).

**Development.** The development section serves to continue the *Auskomponierung* activity begun in the exposition with manipulative and elaborative treatment of the fundamental Ursatz-Zug (2, p. 422). The end of the development section coincides with the arrival at the $\hat{\text{V}}$ point in the Ursatz.

**Recapitulation.** The function of the remaining recapitulation section, it follows, is to continue the drive to the final goal-tone (2, p. 427). The coda serves to reaffirm the tonality.

**Rhythm**

Basically, the Ursatz is seen to be arhythmical. At the point where elaboration and manipulation begin to extend the linearized primary triad, rhythmical events take on a more significant role. The more complex the goal-motion
becomes, the more complex the rhythmical characteristics become (2, p. 461). The overall emphasis in Schenker's approach is on harmonic rhythm (2, p. 463); thus, rhythms per se are relegated to a secondary, functional significance (2, p. 473).
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CHAPTER III
ARTICLES SURVEY METHOD

This survey begins with the year 1940, five years after Schenker's death. The decision to initiate the search at this point was made so that Schenker's final work, Der Freie Satz, published in the year of his death, might have some time to become distributed and assimilated. Since Der Freie Satz contains Schenker's mature ideas on perception and understanding of music, it would seem appropriate to allow at least five years to pass after its publication so that scholars and critics might have the opportunity to familiarize themselves with his concepts before rendering judgments on the nature of his contributions.

The problem of assessing what has been said about Schenker in American scholarly journals and music magazines since 1940 is compounded by several factors. First, most of his works have not been translated into English and made available to the American public. Secondly, much of what has been written or reviewed has dealt with works of Schenker's students; in many cases, the reader or reviewer is not dealing with original concepts, but with somewhat diluted Schenkerian material. Often, the Schenkerian protégé will fail to clearly distinguish between what
Schenker said and what he (as interpreter) is extrapolating Schenker to say. Thus, the reader may or may not be getting pure Schenkerian concept. This fact complicates the meaning of both favorable and unfavorable reviews of Schenker's concepts.

In general, the articles surveyed seem to fit into three categories with respect to their purpose.

Category I Articles

Those articles whose principal aim is to explain or survey Schenker's works will be discussed in this category. Most articles about Schenker in music lexicons are category I in nature. It was also found that articles which fall into categories II and III frequently begin with explanatory paragraphs surveying what the writer feels to be the essence of Schenker's theories.

Category II Articles

This classification applies to those articles whose principal aim is to criticize, in either a positive or a negative manner, Schenker's works. Again, these articles are sometimes dealing in part or entirely with works of Schenker's disciples in the field of music theory.

Category III Articles

Articles in this category demonstrate the application of Schenkerian concepts to specific musical problems. It should be noted that often this application of Schenker is
more an extrapolation or extension of his theories by the current writer to deal with a specific problem.

Frequently it is found that an article will actually extend into two or more of the above categories; nonetheless, there is usually a marked degree of emphasis discernable. The articles to be discussed will appear in the order of the above listings.
CHAPTER IV

CATEGORY I ARTICLES

As indicated earlier, most articles in music lexicons such as Grove's Dictionary of Music and Musicians, the Harvard Dictionary of Music, and Baker's Biographical Dictionary of Musicians briefly introduce Schenker, albeit, as Slatin has shown (1), with numerous biographical errors concerning his birth and death dates.

A much more comprehensive overview of Schenker's works occurs in a 1952 review of Felix Salzer's Structural Hearing in which Milton Babbitt observes:

What Schenker has contributed is a body of analytical procedures which reflect the perception of a musical work as a dynamic totality, not as a succession of moments of or juxtaposition of 'formal' areas related or contrasted merely by the fact of thematic similarity or dissimilarity. Schenker's essential concern is with the means whereby the inceptually static triad is activated in time in accord with the principles of structural polyphony, which makes possible the unfolding through various levels of the total temporal-spatial unity which is the musical composition. No other analyst has even attempted what Schenker has thus accomplished, and, regardless of the degree of agreement with the precise nature of this accomplishment, recognition of this achievement is the least due Schenker's memory (2, p. 262).

Continuing with his exposé of Schenker's contributions, Babbitt attaches special importance to the former's concept of Tonikalisierung:
Schenker's concept of *Tonikalisierung*, when developed to the fullness of its inherent implications, affords not merely a method of relating such relatively stable regions hierarchically to one another and to the whole - the organic triad space in which they are contained as events of extension and inflection - but of defining the relation between events in the small, by indicating that, for example, the differences between so-called 'modulations' and the inflection of a single triad by so-called 'applied dominant' are of degree rather than of kind, differences in extent and emphasis, rather than in conception or even, necessarily, in procedure (2, p. 262).

In another review of the Salzer *Structural Hearing* book, the critic sees Salzer's work in many ways to be a successful textbook for Schenker's theories. This reviewer describes Schenker's efforts thusly:

With enormous ingenuity and considerable plausibility Schenker applied his theory to music from Bach to Brahms, claiming that the music before Bach and after Brahms, for various reasons, did not have the coherence he found in the best works of the tonal era. He put forth his theory as a critical yardstick, since it showed that even in that era the tight integration formed by harmony expressed contrapuntally and counterpoint bound by harmony was lacking wholly or in part in the music of such composers as Gluck, Tchaikovsky, and even Wagner (3, p. 127).

Consequently, it may be observed that those articles which are available in this category reflect a generally favorable position on Schenker's contributions. The lexicon articles, of course, are without subjective comment on the matter.
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CHAPTER V

CATEGORY II ARTICLES

Articles whose purpose is to offer positive or negative criticism of Schenker's efforts are considerably more abundant than those of the first category. For example, Paul Henry Lang, in an editorial comment, compares and contrasts two types of music criticism as exemplified by Donald Francis Tovey's *Beethoven* and Adele Katz's *Challenge to Musical Tradition*. Lang contends that

Schenker - and his fervent disciples even more - attack all those who find beauties that cannot be proved by logic or reduced to their constituent atoms. Tovey is able to acknowledge the virtues of his adversaries without losing sight of their mistakes, to search out the errors but also then find the reasons for these errors (1, p. 300).

As to Schenker's claim that graphic reduction analysis is an art, Lang responds

Schenker's and his disciples' musical theory and philosophy is not art, its whole outlook - at least as expressed in their writings - lacks feeling. There was seldom a colder spirit than theirs; the only warmth one feels is the warmth of dogmatism. Music interests them only insofar as it fits into their system, and large territories of music admittedly are beyond the sovereignty of Schenker's theory. This fact invalidates the claim for the discovery of the basic problems of music (1, p. 300).

At this point, one needs to remember that Schenker intended his system to apply only to the music of the acknowledged masters from Bach to Brahms. This period represented to
Schenker the era of most musical significance - the real masterpieces of music. This fact is frequently overlooked by reviewers and critics who are assessing someone's attempts to apply Schenkerian principles to music outside the chronological boundaries he observed.

A more favorable view is taken by David Beach in his "A Schenker Bibliography." This article divides Schenker's works into theoretical volumes, editions of music, and articles and reviews. Another section lists works about Schenker and his theories in a categorization followed approximately in the present essay. In his opening remarks, Beach notes

Heinrich Schenker has emerged as one of the most significant individuals in the history of Western music. His contribution to the field of music theory is unique - that is, his theories represent the only instance of what might be properly labelled a theory of tonality (2, p. 2).

The author proceeds to acknowledge the controversy surrounding Schenker, but asserts

Nevertheless, whether one is willing to accept all, part, or none of Schenker's ideas, it cannot be denied that they have exerted more influence on musical thought in the twentieth century than those of any other theorist (2, p. 3).

Beach expands this argument by reminding his readers that

Schenker's ideas have also greatly influenced the teaching of harmony and counterpoint, analysis, and even the composition of tonal music. There are numerous courses offered at colleges and universities in this country which are based to some degree on his approach to music (2, p. 25).
The nature of Schenker's achievement is likened by Allen Forte to "a particular kind of high-level achievement in science: the discovery or development of a fundamental principle which then opens the way for the disclosure of further new relationships, new meanings" (3, p. 3).

Schenker, Forte remarks, opened the way for a deeper understanding of musical structure with his discovery that the manifold of surface events in a given composition is related in specific ways to a fundamental organization (3, p. 4).

Forte also notes that Schenker, in his editions of the late Beethoven sonatas gave a major impetus to the entire modern movement toward better editing practices. He employed the procedure, now standard, of consulting autographs and first editions in order to arrive at the best possible reading (3, p. 5).

Forte, however, is not entirely satisfied with the Schenker system; he suggests "further refinement and amplification are required if it is to fulfill its promise." He continues "The important deficiencies in his system arise from his failure to define with sufficient rigor the conditions under which particular structural events occur" (3, pp. 16-19). The "event" referred to here is the occasion of the Anstieg. He presents a copy of Schenker's analytical sketch of Handel's Air in B flat (from Der Tonwille, 1924) and a copy of his own sketch of the same piece, which he believes is a "more accurate representation of its structure" (3, p. 19). In the following illustration,
the first reduction graph depicts Schenker's interpretation of the Air; the second shows Forte's "improvement."

Fig. 11 - Schenker and Forte's respective sketches of Handel's Air in B Flat (3, p. 19).

As may be observed, the two interpretations differ radically on the matter of the correct Kopfton - 3 or 5. Further, Forte sees the motion as interrupted and therefore in binary form.

Forte continues his article by enumerating five areas of unsolved problems in music theory where he believes Schenker's ideas can help. These areas include:

1. "Constructing a theory of rhythm for tonal music" (3, p. 20).
2. "Determining the sources and development of triadic tonality" (3, p. 21).
3. "Gaining information about the compositional technique" (3, p. 21).
4. "Improving theory instruction" (3, p. 25).
5. Understanding the structure of problematic modern works (3, p. 25).
In a concluding statement, the author expresses his hope that as his ideas are more widely understood and applied, the image of Schenker as a visionary will be replaced by one of a unique, original and highly gifted person. For the conceptual framework which he expounded, as well as for the vast amount of information about specific musical structures which he provided, he deserves recognition by all intelligent musicians (3, p. 30).

In Stanley Persky's review of Salzer and Schachter's *Counterpoint in composition* (New York, 1969), the critic finds himself "becoming increasingly convinced of the value and relevance of contemporary analyses of the Viennese theorist, Heinrich Schenker" (4, p. 151). Persky lists the benefits of Schenkerian style analysis as the following:

1. the musical description of a piece of music in musical notation thus avoiding the shades of meaning and individualization of terms used for musical ideas that have led to the current situation with regard to the semantics of music theory.

2. the description of large scale pitch movement throughout a piece that allows for the realization of the roles of the parts of traditional forms (introduction, development, coda, etc.) and the role of register in maintaining coherence.

3. the establishment of a hierarchy for local pitch events and their relation to the total unfolding of the pitch movement (4, p. 151).

This reviewer goes on to note that by use of Schenkerian analysis "the analyst may become aware of the highest levels of compositional craft that are to be found in the masterpieces from the past and so establish models for contemporary composition" (4, p. 151).
In a subsequent review of the same Salzer and Schachter text, another critic has some positive impressions of Schenker's treatment of harmony and counterpoint. John Rothgeb, in this review, writes:

one of Schenker's great contributions [was] to have recognized and explained the distinction between Harmony and Counterpoint. Schenker was the first to show that Harmony was not synonymous with 'chord,' and that Counterpoint, contrary to its manifestations in the typical 'harmony' textbook, had a significance deeper than the usual rules of chord connection.

Thanks to Schenker, we now understand that the seventh chord, not to mention the ninth chord and so forth, is a result of voice leading and not a product of the superposition of thirds above a triad (5, p. 308).

William Mitchell and Felix Salzer's publication of *The Music Forum*, a collection of music essays and analyses which frequently devote themselves to introducing the concepts of Schenker and applying them to various musical problems, has attracted the attention of several critics.

For example, Henry Clarke finds the "unflagging vitality of the ideas of Heinrich Schenker" present in the second volume of *The Music Forum* (6, p. 90). This reviewer sees one inherent advantage of Schenker's contextual perspective to be that "The Schenkerian symbols draw together wider horizontal connections and reveal clearer tonal relationships than the usual blow-by-blow analysis" (6, p. 91). Schenker's essay on Bach's *Sarabande* in Suite No. 2 for Unaccompanied Violoncello is singled out by Clarke to demonstrate not only Schenker's logic, but also his "charming fantasy. . . . Pathetic fallacy or not, he [Schenker]
relishes the thought that a certain motion 'poses the threat' of consecutive fifths or that a certain instrument 'in almost human fashion likes to express itself fully" (6, p. 91).

In another review of the first two volumes of The Music Forum, Arthur Komar's critical effort turns out to be more of an exercise in applying Schenkerian techniques to argue specific points. As such, it finds itself opposed to some of the conclusions reached by contributing editors to The Music Forum. In this review, Komar sees the central issue (regarding the appropriateness of the Schenkerian approach) to be one of general methodology. Specifically, he objects to Schenker's relegation of the importance of rhythm to foreground rather than middleground or background levels (7, p. 322).

Howard Boatwright, in his review of Allen Forte's Contemporary Tone Structures, objects to the author's use of Schenker's analytical techniques for contemporary music. Comparing modern pedagogy to that of the nineteenth century (where "every theory student knew what a chord was, what a melodic line was, and exactly how the forces of melody and harmony were interlaced"), Boatwright points out

... in these days what a chord is, and what is present in the texture through the action of melody are no longer commonly shared knowledge. Until we do share such a general and well-codified theory... a Schenker type of analysis will gain nothing of great practical value (8, p. 117).
In a more specific criticism of shenkerian reduction analysis, the reviewer likens the analytic procedure to the dismantling of a watch by stages, which (interestingly enough) presupposes Schenker's concept of Gestalt unity. Boatwright remarks:

One can describe the appearance of the watch in stage one, with only a few parts removed, in stage two, with more parts removed, and in stage three, with the back of the case showing . . . . Is this information worth much to a watchmaker? . . . . we may ask the same question about these [Schenkerian] analyses. Are they of real interest to the composer or teacher? - to the listener or reader (8, p. 118).

The comprehensive nature of Schenker style reduction sketches led another reviewer of Forte's *Contemporary Tone Structures* to fault Schenker's concept in that "it tends to minimize vertical considerations in harmony as well as certain eclectic harmonic origins, which frequently have considerable meaning" (9, p. 69).

Another point of disagreement with the Schenker system is brought out in William Newman's review of Forte's *The Compositional Matrix*. Comparing Forte's system as described in this book with Schenker's ideas, Newman specifies that:

The most salutory difference in Mr. Forte's approach comes at one of the most vulnerable points in Schenker's analytical armament. And that is Mr. Forte's careful attention to considerations of meter, even when they are overruled by considerations of tonal function (10, pp. 27-28).

Yet, the validity of the reduction sketch is steadfastly defended in another review of Forte's *The*
Compositional Matrix. In this review, Robert Trotter writes

A good analytical diagram presents (to the qualified viewer) a picture of the interplay of melodic and harmonic bass lines, clarifies the essential outer-voice relationships, and demonstrates expanding techniques such as transfer-of-voices, motion within a chord, various transfers-of-register... reserves Roman numerals... for vital structural points in the harmonic unfolding - and subsumes all these under a governing unity...

I scarcely need to say that all of these reduction levels contribute to the ineffable, supra-verbal mood of music qua music-language, and that all participate in the musicological juncture, being legitimate areas into which speech-language can humbly penetrate when driven by a passion for musicological understanding (11, p. 171).

Finally, in this category of articles which serve to point out strengths or weaknesses in the Schenker approach, Peter Berquist's review of Sonia Slatin's dissertation ("The Theories of Heinrich Schenker in Perspective") evaluates Schenker favorably as one of the most significant figures in music theory during the twentieth century... The validity of his insights into musical structure is attested by their continuous penetration into common theoretical discourse... His work is in fact so urgently relevant to the reforms presently needed in the teaching of musicianship and analysis, i.e., music theory, that anyone at all concerned with education in this area at any level owes it to themselves and their students to become acquainted with Schenker's work and use it to make such education more effective and more relevant to music as it is performed and experienced (12, p. 40).
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CHAPTER VI

CATEGORY III ARTICLES

The application of Schenker's approach serves as a purpose for many of the Schenker-related articles written in American music journals since 1940. For example, as early as 1949, in a paper read at the annual meeting of the American Musicological Society in New York, Felix Salzer discussed the concept of musical motion as the source of continuity and coherence. A distinction was drawn between chord grammar and chord significance; this separation later emerged as a principal tenet of Salzer's Structural Hearing (1952).

In the above paper, Salzer demonstrated an early intention to expand the use of Schenker's ideas. Salzer suggests the application of the Schenkerian concept of single-tonality in a composition to "compositions of the most divergent styles, whether they be by Dufay, Marenzio, Haydn, Schubert, or Hindemith." Referring to the unfolding of a composition over the length of the Ursatz, Salzer makes his point about directed motion:

It is this intricate interplay between the inflexibility of the structural framework and the elasticity of reproductive activity of the prolongation that explains a most significant factor in the art of composition: the purpose and meaning of directed motion (1).
Ernst Oster, in an article on register significance, bases his argument on Schenker's premise that, as Oster puts it, "the fundamental line as well as the bass appear in a single and primary register which is maintained through the composition, despite frequent excursions to higher or lower octaves" (2, p. 56). Oster intends to show a "number of instances where register contributes in an essential way to clarifying certain contrapuntal, structural, or thematic-motivic connections and relations" (2, p. 57). Various segments of works by Bach, Mozart, Beethoven, Schubert, Mendlessohn, and Brahms are examined before the conclusion is reached that "in some works, particularly in piano works, register assumes a significance as great as that of harmonic and contrapuntal texture or the unfoldment of thematic-motivic relationships" (2, p. 71).

Israel Silberman's article "Teaching Composition Via Schenker's Theory" recounts the author's experience in attempting to teach composition by a reverse procedure of Schenkerian reduction analysis. Given a reduction sketch of the first movement of Beethoven's Piano Sonata in F Minor, Op. 2, No. 1, a group of students, briefed on Schenkerian principles by Silberman, jointly composed a movement using the available middleground sketch of the Ursatz as a model. The result was an entirely different sounding composition with the same middleground framework. Silberman, reflecting on the results of his experiment, notes that
there are many portions of Schenker's theory that are of inestimable value in analyzing the music of the periods named above [late Baroque, Classical, and Romantic] and that may by used as the basis for a system of composition much truer to the methods and intentions of the composers than anything to be found in current textbooks (3, p. 295).

The author concludes his article by remarking that

To continue to teach large forms or even small forms without using the organizing principles abstracted by Schenker from the masterworks is to fly in the face of what I believe to be the best explanation of Classical style and the most promising method of instruction in that style yet developed (3, p. 301).

David Beach's "The Functions of the Six-Four Chord in Tonal Music" begins by reviewing various historical viewpoints on the properties of the six-four chord prior to Schenker. Beach then reinterprets these properties in view of Schenker, and finally applies the ideas analytically to "demonstrate the necessity for interpreting correctly a structure as seemingly insignificant as the six-four chord" (4, p. 3).

Beach observes that Schenker's treatment of passing chords (chords resulting from voice-leading activity) as such must have a bearing on contemporary handling of the six-four chord problem:

The last idea [passing chords], especially, is important to our investigation of six-four chords because it suggests that the six-four may have a linear function (resulting from voice-leading) rather than a harmonic function (representing a scale-step) (4, p. 13).

The following uses of six-four chords are listed and explained through Schenker's linear concept:
1. Cadential six-four: delays the dominant harmony (4, p. 13).

2. Auxiliary six-four: prolongs a scale step by means of melodic embellishment (usually on I or V harmonies) (4, p. 16).

3. Passing six-four: connects a first inversion triad with its parent triad, prolongs the harmony (4, p. 16).

4. Bass-arpeggiated six-four: has no dominant element; merely extends the parent harmony (may also result from use of thematic materials in the bass voice) (4, p. 16).

Beach's concluding generalization is that the six-four chord can best be understood if it is "related to its context; and it is precisely this context which determines its function" (4, p. 24).

Roy Travis's intention in his "Towards a New Concept of Tonality?" is to evaluate selections from Stravinsky's Le Sacre Du Printemps and Bartók's Mikrokosmos in view of Schenker's "certain principles and techniques of analysis." In summarizing Schenker's idea of Auskomponierung, Travis writes that "Music is tonal when its motion unfolds through time a particular tone, interval, or chord;" he also notes that structure and prolongation are the means for this unfolding of the sonority or tone (5, p. 261). Travis has thus expanded Schenker's theory to include sonorities and tones other than the basic triad. For instance, Travis reduces the first nine measures of Le Sacre Du Printemps to the following sonority (5, p. 262):
The entire Travis reduction sketch of these nine measures is illustrated below:

![Travis reduction sketch](image)

Fig. 12 - Roy Travis's reduction sketch of the first nine measures of Stravinsky's *Le Sacre Du Printemps* (5, p. 262).

As can be seen, this reduction is well outside of Schenker's premise of triadic organization.

The article continues to examine the Bartók pieces, and in so doing introduces, based on an "approximate reduction of the underlying rhythmic organization," Travis's "'proportional rhythm graph'" for No. 133 of the *Mikrokosmos* (5, pp. 275-276). Travis concludes that tonal systems appearing initially in the future will have to be explained by equally new systems of analysis (presumably, one such as his elaboration on the Schenkerian technique displayed above) (5, p. 284).

Another derivative of the Schenker system turns up in "Layered Music-Theoretic Systems" by Eric Regener. A "layered" system begins with what Schenker called the "foreground" to describe the musical work to be analyzed in its unreduced, unaltered state. Regener calls this
level this "first layer." This system proceeds to label successively reduced levels as second, third, fourth, etc. "layers" (6, p. 54). The end result is a graph such as the following which describes the beginning measures of the Mozart Sonata K. 331:

Fig. 13 - Eric Regener's "layer" graph of the opening measures of Mozart's Sonata K. 331 (6, p. 55).

In this example, the unstemmed quarter notes represent tones of such little structural significance as to belong to the first layer only. The eighth notes represent tones of a second, more important layer; the stemmed quarter notes represent tones on the third layer of structural importance; and the half notes depict tones of the fourth, structurally most important layer (6, p. 55). The material which spans the linear gap between the second and third half notes on e2 seems perhaps to correspond to the Schenkerian phenomenon of the Untergriff.

Regener continues by describing two recent attempts to formalize the Schenker system. The first is Michael Kassler's "A Trinity of Essays" (Ph.D. dissertation, Princeton University, 1967) in which are asserted certain axioms [ statements assumed to be "true" ], rules of inference [ providing sources for other "derived" axioms ], and a decision procedure [ establishing the authenticity or
innaccuracy of a "derived" axiom]. The rules of decision are derived from Schenker's prolongation concept. The Kassler system is intended to discover whether or not a piece of music in question can be explained by the Schenker analytical method (6, p. 57).

Regener next describes his own speculative layer-related mathematical system which would view a piece of music as a set of differential equation solutions (6, p. 58). The author concludes by pointing out his preference for a mathematical system based on the layered concept borrowed from Schenker, and expresses a desire that someone will continue to develop this type of method.

Another Roy Travis article continues to expand the application of the Schenkerian concept of directed motion. Dealing with two piano pieces by Schoenberg and Webern, respectively, the author admits that "the music of atonality and serialism does not readily yield to analysis from the standpoint of directed motion" (7, p. 85). Travis's reading of Schoenberg's Op. 19, No. 2 (Sechs Kleine Klavierstücke) finds the essential movement from the first to the ninth measures to be in "two diverging streams of thirds, each of which has its source in the reiterated 'dominant' third, G/B. The tones of this interval are retained throughout, and eventually take on the meaning of inner voices" (7, p. 86). In the following illustration, Travis's analysis of these opening measures displays a V-I motion:
Fig. 14 - Roy Travis's reduction of the first nine measures of Schoenberg's Op. 19, No. 2 (7, p. 86).

Here again one finds a considerably broadened interpretation of Schenker's concept of Auskomponierung being applied to analytical problems of contemporary compositions.

In a series of articles (8, 9, and 10) by Carl Schachter and John Rothgeb on the nature of Schubert's Moment Musical, Op. 94, No. 1, the statement - criticism - rebuttal scheme of scholarly debate is based on Schenkerian analytical techniques. Schachter's interpretation of the first eight measures is as follows:

Fig. 15 - Carl Schachter's reduction of the first eight measures of Schubert's Op. 94, No. 1 (8, p. 223).

Rothgeb, while agreeing with Schachter on e² as the first
tone of the Zug, disagrees on how this $e^2$ is achieved. Schachter sees the tone as one of the "evolutions" of the opening broken triad, $g^1 - e^1 - c^1$ (8, p. 223). Rothgeb argues "The motive $g^1 - e^1 - c^1$ as a whole is formed in such a way to project $e^2$ as the goal of the entire unit, giving the $e^2$ a meaning radically different from that of the $e^1$" (9, p. 129).

Furthermore, Schachter sees in the first eight measures of the Trio (mm. 30-37) the principal tone as being the $d^2$ in m. 34 (8, p. 231). Rothgeb maintains, however, that the essence of these measures is really the Zug of a third: $g^1$ (m. 30) - $a^1$ (m. 33) - $b^1$ (m. 37) (9, p. 139). The point is of course that both arguments take the Schenkerian concept of structural tones for granted. Schachter subsequently prints a rebuttal to the Rothgeb article, and generally defends his previous position (10).

These arguments illustrate the fact that, just as Schenker saw it, the process of reductive analysis is more an art than a science. It follows that two different readings of the same passage may indeed yield different conclusions.
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7. Travis, Roy, "Directed Motion in Schoenberg and Webern," Perspectives of New Music, IV (Spring-Summer, 1966), 85-89.


Schenker's theories have provided subjects for a number of dissertations and theses at American universities since 1940. The most thorough review and explanation of Schenker may be found in the Sonia Slatin dissertation "The Theories of Heinrich Schenker in Perspective" (1). Slatin traces the evolution of Schenker's concepts as they developed from the time of his critical essays of the late nineteenth century through the publication of his final work, Der Freie Satz, in 1935.

The Slatin dissertation contains chapters on Schenker's biography, with corrections to certain erronious data found currently in many musical lexicons; on Schenker's relationship to the trends of musical philosophy of his time; on his concepts of Stufe, Tonikalisierung, Umlinie, Ursatz, background, middleground, and foreground; on his conception of contrapuntal techniques as a means of working out a composition (Auskomponierung); and on the Gestalt nature of musical masterpieces, unified by a single tonality as Schenker saw it. Slatin's essay concludes with an exegesis of Schenker's contributions to the understanding of the musical experience.

Another dissertation, by Anne Pierce, studies the
nature of rhythm in tonal composition, based on an observation that pitch and certain fundamental durations of the temporal element represent the primary aspects of music (2). It is further asserted that compositions embody both metrical and structural (pitch) accents; the method for ascertaining structural pitch importance is based on Schenker's _Der Freie Satz_. Included in the appendix of this paper, Pierce has provided a lengthy discussion of Schenker's ideas on embellishment, on foreground and middleground levels, and on his concepts of rhythm and meter.

The dissertation eventually finds structural accents to be a function of durations of individual and group accents, of the nature of resolutions of structural groups, and of the effects of changes of register, density, texture, timbre, and various performance techniques.

Arthur Komar's dissertation "A Theory of Suspensions" focuses its attention on the compositional significance of the suspension. In order to approach the problem of contextual use of suspensions, Schenker's theories are explained and extended. The paper continues by formulating a theory of meter to describe the metrical nature of suspensions; it describes reasons for both their general and specific use. Problems of distinction between suspensions and appoggiaturas, anticipations, and common tones are also considered. Komar's study generally finds justification for the extensive use of suspensions, and illustrates a wider analytical application of Schenker's theories in dealing with this phenomenon (3).
In his "A Clarification of the Tonality Concept," William Thompson finds tonality to be a particular central tone within a composition. Given this type of tonal point of perspective, musical relationships are evaluated in conjunction with the Gestalt theory of organization. The theories of Schenker are compared and contrasted with those of Hindemith; Schenker's are faulted because they do not apply to music composed before or after the common practice period. Thompson further specifies that

The most illogical and unrealistic facet of Schenker's theory of tonality follows from the general method which he employs in accounting for the peculiarities of musical materials... he falsely assumes that musical materials were theoretically derived, this task followed by the application within musical compositions of what nature offers (4, p. 201).

Hindemith's concepts are seen to be an advance over Schenker's, although the former's theory of interval roots is a point of objection to Thompson. The author proceeds to suggest a "tonal perspective" approach based on root quality of intervals. Factors which contribute to this decision regarding tonality include context, repetition, tessitura, temporal location, and dynamics; this method is seen by Thompson to be universally applicable.

"The Application of Schenkerian Concepts of Musical Structure to the Analysis Segment of Basic Theory Courses at the College Level," by Dennis Kudlawiec, explores its subject by investigating the basic tenets of Schenker's theories, the implications of these theories for study of
musical structure and analysis, the reflection of Schenker's concepts in certain college textbooks, and the need for a change in the theory curriculum (5).

The author's explanation of Schenker's theories is based on Der Freie Satz, Adele Katz's Challenge to Musical Tradition, and Felix Salzer's Structural Hearing. A further investigation into the nature of traditional concepts of musical structure is followed by a comparison of these ideas with Schenker's approach. Allen Forte's Tonal Harmony in Concept and Practice and William Mitchell's Elementary Harmony are cited and discussed as examples of applied Schenkerian theory. This dissertation finds Schenker's method superior to the traditional way of explaining the musical process; it concludes with remarks and suggestions for further study in this area.

Michael Kassler's second essay in "A Trinity of Essays" deals with two-voice interpretations of musical compositions based on the two elements present in Schenker's Ursatz. The purpose of this project is to explain all of Schenker's theories and evaluate their suitability for use in a formalized theory of tonality. One of the end products of this dissertation is a general method for compositional analysis. This Kassler-style investigation of the composition (to determine its ability to be analyzed and understood via Schenker's system) is seen to provide in itself a useful analytical approach. Rules of inference, referred to earlier
in the present study, are based on certain prolongation techniques revealed by Schenker in his discussion of background and middleground structural levels (6).

Vernon Kliewer's "The Concept of Organic Unity in Music Criticism and Analysis" examines the nature of organic unity and its applicability to the study of music. It is found that organic unity in a composition implies that the musical elements are completely interrelated, that the composition is a well integrated complex, and that there is much affinity of the parts and the whole of the composition (7).

Schenker's view of organic unity, as interpreted in Katz's Challenge to Musical Tradition and Salzer's Structural Hearing, is given considerable discussion in Kliewer's chapter on "Organic Unity and Music Analysis." The author writes that

Their analyses [Katz, Salzer] demonstrate, in the light of their analytic procedure and in the light of the deduced meaning of organic unity, how a musical composition becomes a musical entity. Their consistent manner of demonstration involves what may be called a 'new' analytic procedure (new in the sense that it is not primarily concerned with listing the 'sections' of a composition or enumerating thematic occurrences) (7, pp. 142-143).

The author terminates his dissertation with the thought that if concepts in this area could be rigorously defined, a norm would then be available as a valuable tool for critical aesthetic judgments.

Theodore Krueger, in his translation of Der Freie Satz, provides considerable biographical information on
Schenker's life. His section on Schenker's theories and their development points out a number of Schenker's firsts as well as certain questionable theories and prejudices attributed to the latter. Krueger notes that some of Schenker's more unyielding prejudices regarding the superiority of German genius began to disappear during later life. It is also noted that a principal impediment to the dissemination of Schenker's ideas has been the arrogance (or extreme self-confidence) with which Schenker wrote about music, claiming, for instance, that his Der Freie Satz was "The First Text Book on Music" (8, p. xxxi).

Krueger also provides the reader with a chronological survey of Schenker's writings on music, including the differences apparent in the three editions of Der Freie Satz. Interestingly, Krueger has chosen to translate Urlinie and Ursatz as Proto-line and Proto-Structure throughout his edition of Schenker's last work. This practice was avoided by Sonia Slatin in her dissertation on the grounds that these words (and others) are not translatable (8).

In a thesis on "The Analytical Systems of Hindemith and Schenker as Applied to Two Works of Arnold Schoenberg," Nathan Miron evaluates Schoenberg's Gurre Lieder and the first movement of his String Quartet No. 4 using both a Schenker-style analysis and the Hindemith technique. Both pieces, of course, are outside the historical period for
which Schenker intended his theories. Miron applauds the comprehensive nature of Schenker's system (9, p. 36), but faults it for inexactness and its tendency to "force the music into a preconceived mold rather than to explain the phenomena which actually take place in the music" (9, p. 38).

Another thesis deals with the same two systems of Schenker and Hindemith. After comparative analyses of various musical examples from the thirteenth to the twentieth century, Grace Knod finds that her efforts utilizing both the Schenker system and the Hindemith system yield similar results. The author also feels that often the Schenker approach seems to force the composition into a preconceived mold (10, p. 80). Regardless of what she sees to be a dogmatic attitude (10, p. 83), Knod, too, appreciates the comprehensive nature of Schenker's approach to musical understanding.
CHAPTER BIBLIOGRAPHY


CHAPTER VIII

TEXTBOOK SURVEY METHOD

Schenker's influence on the pedagogy of music theory in this country since 1940 may be observed not only in the number of articles and research papers related to his work, but also in the music textbooks published since that date. The degree of Schenkerian influence varies considerably when it appears in these texts. Some texts, for example, merely list Schenker or Schenker-related works in the bibliography, or refer to him in passing somewhere in the book. Other texts have adopted one or two of Schenker's major analytical techniques, but not the entire approach. Still other texts are entirely based on Schenker's philosophy of musical interpretation.

This discussion will begin with those music texts displaying the least Schenkerian influence, and move in the direction of increasing indebtedness to the works of the theorist. This survey has directed itself to include music theory (harmony) books, form, structure, and style analysis books, and a few texts on general musical philosophy. It is felt that all of these areas of study are sufficiently related to music theory to warrant their inclusion in the overall survey.
Although the debt is not directly acknowledged, Wallace Berry, in his discussion of Wolf's Blumergruss in a section on vocal music in the former's Form in Music (1966), seems to be echoing Schenker as he writes "Unity is achieved, in part, by artful correspondences of linear motion and direction, intervallic structure, and disjunct-conjunct features among the phrases of the vocal part" (p. 446). Berry continues "little if anything is more vital in musical form than the controlled maintainence, and effective change, subsidence, and direction of motion" (p. 447). It is not difficult to see the relationship between these statements and Schenker's concept of the Zug (goal-directed motion). An even more obvious influence from Schenker may be detected in Berry's statement that "the perception of organic unity and vitality in a musical form is a fundamental part of the aesthetic experience of listening (or performing) . . ." (p. 449).

In his Perspectives in Music Theory (1974), Paul Cooper, while not adopting the entire Schenker system, does overview the principles of structural levels, the Urline, and the Ursatz. Cooper does not touch upon Schenker's concept of structural unity through the Auskomponierung of a single
triad in a composition, but an example from Salzer's Structural Hearing (1952) is quoted to display the reductive analysis technique (2, pp. 166-167). Cooper, for some reason, gives Schenker's dates erroneously as 1869-1935.

At another point in his text (in a discussion of Chopin's almost nonfunctional use of harmonies), the author uses his own Schenker style analysis which, Cooper admits, "gives considerable insight into the basic structures" of the musical example in question (2, p. 214).

The elements of goal-directed motion and contextual understanding of music receive significant emphasis in William Newman's The Sonata in the Classical Era (1972). At one point the author writes

"In Classical music especially this tonal organization is a prime means of achieving the tension and relaxation . . . Indeed, the tonal organization must be said to have preceded, even engendered the thematic organization of the sonata cycle . . . The sonatas of Christian Bach and the early ones of Haydn . . . are filled with busy passages that say little or nothing thematically yet say much tonally by heading toward a well-defined goal and being constantly on the go.

To perceive the tonality of the sonata form to best advantage, one does well to start with the largest possible view - perhaps with . . . a flexible application of Schenker's Ursatz . . . that also takes rhythmic organization into full consideration (3, p. 147).

In his discussion of modern music in his Changing Forms in Modern Music (1945), Karl Scherman writes

"This music merely asks that it may not suffer from prejudgment, which, of course, is no judgment. Prejudgment results from prejudices like those of the German conservative who sees
in modern music the downfall of German imperialism and the dangerous rise of American democracy (4, p. 10).

This remark is footnoted to refer to Schenker's *Erläuterungs-Ausgabe der Letzten Fünf Sonaten Beethoven*. Some years later Eschman's opinion of Schenker had improved. In his *The Teaching of Music Theory* (1965), Eschman writes:

I would like to mention an author whose influence has been rather widespread and beneficial. I refer to Heinrich Schenker. Extremely conservative in his point of view (always insisting upon Urlinie or analyses conditioned by tonality), he has at the same time widened our idea of the bounds of tonality. In his final analysis, the influence of the tonic chord covers an entire composition (5, p. 264).

This represents another misinterpretation of Schenker's point of view. One needs to remember that Schenker's efforts were directed towards music from Bach to Brahms - music of the tonal era; the concept of the Urlinie was developed after years of study of the music from this era, not the recent (current) era of atonality. Eschman, in his search for a universally applicable system of analysis, seems to insist on measuring Schenker against the problematic age of atonal or pantonal music.

Schenker's contributions are discussed somewhat more fully in Elie Siegmeister's *Harmony and Melody*, Volume I (1965), where the author remarks that

Heinrich Schenker, in a number of theoretical works, pointed out the limited insight into harmony that even the most concentrated study along the old lines [chord-by-chord] can give. In his doctrine of the Urlinie . . . he revealed the inadequacy of the chord-by-chord analysis to account for the true harmonic structure of music (6, p. 3).
Schenker’s concept of harmony, as the development of broad tonal functions rather than the step-by-step movement of single chords, did much toward restoring harmony to its integral relationship to the whole of music. His writings have influenced many composers and theorists in their understanding of musical motion. But unfortunately, since Schenker never developed his analytical theories into a practical plan of instruction, they have not replaced the conventional ‘harmony-exercise’ method as a basis for study (7, p. 4).

Siegmeister suggests a four-part approach to musical analysis: an overview of form, a study of melodic and rhythmic patterns, an evaluation of harmonic structure, and a synthesis of elements forming the whole (6, p. 369). Regarding the last of the above four steps, the author writes "The last conclusion concerning harmony is perhaps the most important, for it concerns the broad direction of harmonic motion" (6, p. 367). This suggests the influence of Schenker on Siegmeister’s pedagogical priorities.

In the second volume of Harmony and Melody, the author again embraces Schenkerian thought in her discussion of modulation as opposed to single tonality within a piece:

More recently, the term 'modulation' has been applied only to key changes sustained for a certain length of time and confirmed by a strong cadence. Chromatic harmonies not leading to a definite modulation are now seen as part of the home key. In this expanded concept of tonality, a key includes foreign as well as diatonic chords. We no longer consider the appearance of even the most distant harmonies as necessarily a modulation; often such harmonies simply represent movement from the diatonic center to the chromatic outer regions of a key (7, p. 263).

This is another indication of Schenker’s impact on current
ideas about tonality, even if his principles are not totally employed in this particular textbook.

Adele Katz and Ruth Rowen introduce Schenker's concept of the **Zug** without defining it as such in their *Hearing - Gateway to Music* (1959). In chapter fourteen of this text ("The Horizontal Chord"), the following sample melody is given, and the reader is asked to decide what chords have been horizontalized:

Fig. 16 - Sample melody for analysis from Katz and Rowen's *Hearing - Gateway to Music* (8, p. 119).

The text continues "What motion lies in the top voice of these three chords? . . . . Here the scale tones 5 4 3 are supported by the I V I chords" (8, pp. 119-120).

In their discussion of "Neighboring Tones Around a Horizontal Chord," the authors offer the following (opening) four measures of Mozart's *Piano Sonata K. 547A* as an illustration:

Fig. 17 - Katz and Rowen's illustration of a prolonged F chord (8, p. 120).
The question is asked "What chord is prolonged throughout the entire passage?" Clearly, these concepts were introduced by Schenker. (Katz, of course, was a personal student of Schenker's for a time.)

Cooper and Meyer's The Rhythmic Structure of Music (1960) acknowledges Schenker's contribution to its text thusly:

this book, or any book that deals with melodic analysis, has been influenced by Heinrich Schenker. One does not have to accept a whole gospel in order to learn from it. It is probably very rarely, if ever, true that a method of musical analysis is wholly wrong. It is often true that it simply goes too far (9, p. 146).

Cooper and Meyer seem particularly fond of Schenker's technique of reductive analysis. Their text offers the following reduction analysis of the development section in the first movement of Beethoven's Symphony No. 8:

Fig. 18 - Cooper and Meyer's reduction of the development section of Beethoven's Symphony No. 8 (9, p. 178).

The authors conclude that "Melodic and rhythmic reduction . . . often reveals the rhythmic structure of extended patterns . . . . it can also be useful in the analysis of rhythmic organization of phrases, periods, and sections" (9, p. 70).
In his chapter on melody in *Essentials of Eighteenth Century Counterpoint*, Neale Mason employs Schenker's device of beaming together important structural tones. Mason, however, uses the technique for his own pedagogical purposes. The following sample illustrates his somewhat broadened usage of the beamed structural tones:

![Fig. 19 - Mason's expanded use of beamed structural tones (10, p. 20).](image)

In the above sample and subsequent reduction, Mason has outlined an ascending and descending line in half notes. These beamed melody notes resemble in appearance the notes of the Schenkerian *Urlinie* except that the *Urlinie* always descends; on the other hand, the direction of the *Bassbrechung* can be both ascending and descending. Regarding graphic reduction, Mason writes:

> The vivid picture of the structure of a melodic line such a graphic analysis presents is extremely revealing of the true relationship and relative importance of the notes within a melodic line, as well as the method by which direction and coherence may be achieved (10, p. 20).

The Schenker reductive technique also shows up in the first volume of Ellis Kohs's *Music Theory* (1961). Under a section on "Analysis of Melodic Structures," Kohs offers the following reduction of the opening measures of J.S. Bach's *Three Voice Invention No. 12 in A Major*:
The author refers to the above reduction as a "scheme;" no mention is made of Schenker.

The presence of Schenker is felt in Wilson Coker's *Music and Meaning* (1972). Here the author introduces his concept of musical indices, by which he means "salient points within musical gestures . . . they mark these points for attention in themselves" (12, p. 90). Coker admits that "index signs contain and are significant of the structural tones in the Schenker and Hindemith modes of musical analysis" (12, p. 92). The author proceeds to apply the reduction technique to both tonal and post-tonal era musical examples. For instance, the first eight measures of Brahms's *Violin Concerto III* are assessed to consist of the following "scalar outline:"

![Fig. 20 - Kohs's reduction of the opening measures of J.S. Bach's *Three Voice Invention No. 12* (11, p. 23).](image)

![Fig. 21 - Coker's "indexical pitch-class structure" of mm. 1-8 in Brahms's *Violin Concerto III* (12, p. 102).](image)
As to post-tonal music, Coker presents the introductory eight measures of Charles Ives's *Majority*. These opening measures, played on piano, contain broad multiple tone clusters up to fourteen adjacent semitones in texture. They are to be played by pressing a board of specified length across various portions of the keyboard, producing a pantonal effect. Nevertheless, Coker reduces the passage to the following "indexical structure of pitch class:"

![Musical notation]

Fig. 22 - Coker's reduction of mm. 1-8 in Charles Ives's *Majority* (12, p. 96).

The *Ursatz* concept has been applied in both of the above examples. As might be expected, the Brahms piece seems to lend itself much more readily to this type of Schenker analysis.

At another point in his text, Coker is discussing broad scale tonal functions. The main theme of Schumann's *Piano Concerto* Op. 54 is reduced to its "indexical pitch class structure" thusly:
Fig. 23 - Coker's reduction of mm. 12-19 of Schumann's Piano Concerto Op. 54 (12, p. 105).

The author describes the above example as a "fairly simple example of such a harmonic schema for indices and their prolongation by elaborating chords . . . ." (12, p. 105).

Roger Sessions displays a certain amount of Schenkerian influence in his Harmonic Practice (1951). In his discussion of Tonikalisierung, the author writes

Though I am far from subscribing to all of Schenker's theories, this conception [tonicization] seems to me of the greatest value, not only for the analysis of musical form, but for the clarification of the nature of harmonic thinking and especially of harmonic elaboration . . . . If the distinction between tonicization and modulation is clearly understood in principle, it is quite unnecessary to labor the frequent instances which may be regarded as either one or the other, the answer depending on whether the instance is regarded in its relation to detail or to larger structure (13, p. xvii).

Sessions devotes an entire chapter (chapter eight of his text) to tonicization. He observes that "tonicization is in itself a form of elaboration, or prolongation . . . ." (13,
p. 252), thus adopting, willingly or not, another principle of music (prolongation of harmonies) from Schenker's general theories.

Sessions emphasizes broad scale listening as he notes that "This 'becoming aware of a larger context' is the main problem which the listener faces in regard to music which is unfamiliar to him . . . ." (13, p. 253). Unlike Schenker, however, this author accepts the existence of both tonicization ("which is more or less a wide inflection within the elaboration of a single key or progression") and modulation, which "relates to the larger features of a composition . . . . on the largest scale - the concept of modulation merges with that of tonicization" (13, p. 371).

Leonard Meyer, in his Explaining Music (1973), proves to be one of few contemporary scholars who does not try to stretch the application of Schenker's theories across the music composed in this century. Pointing out that different techniques of analysis may be used for different levels of understanding, Meyer writes

conventional harmonic analysis is appropriate to the study of the lowest level of harmonic progression, while the techniques of Schenker are relevant of the understanding of higher levels - the middleground and background (14, p. 24).

This text makes extensive use of reductive analysis as the author argues his various points; in fact, both rhythmic and harmonic reduction graphs are employed. In his chapter on "Hierarchic Structures," Meyer observes
that "a semi-cadence might be defined as one in which a mobile, goal-directed, harmonic process is temporarily stabilized by decisive rhythmic closure" (14, p. 85). This idea of goal-directed motion is clearly Schenkerian. Furthermore, the term "prolongation" is used throughout the text just as Schenker used it.

Much of the second half of Explaining Music is based on Schenker. The author acknowledges this in his introduction to "Implication in Tonal Melody" (part II of the text), but proceeds to list a significant difference: whereas Schenker dealt more with the background and middleground organization of tonal music, Meyer has addressed himself to explaining "foreground and its adjacent levels" (14, pp. 109-110). This text, like others in its category, seems to adopt and apply selected aspects of Schenkerian theory. The practice of beaming together both ascending and descending linear motions, for example, is used extensively. The author, however, omits any discussion of organic unity achieved through the unfolding of a tonic triad; the concepts of the Urlinie and the Ursatz are consequently by-passed.

Douglass Green's Form in Tonal Music (1965) is even more permeated with Schenkerian concepts. The author acknowledges this in the preface to his book where he refers to Salzer's Structural Hearing (based, of course, on Schenker). Green writes "Although applied in a different way and, indeed,
to different ends, the view of form as an interaction of tonal structure and design owes its origin to Dr. Salzer's book" (15, p. viii).

Early in his text, Green describes a chord succession as a "series of chords moving within an area," and then equates this phenomenon with that of chord prolongation (15, pp. 18-19). Schenker's technique of indicating an interruption of harmonic movement graphically with two vertical lines (||) shows up in exactly this manner in Green's chapter on "Phrases in Combination" (15, p. 57).

Although this author does not adopt the use of Urlinie or Ursatz configurations as he explains musical forms, there are several instances where he furnishes the reader with what he calls a "bass outline of essential tones" (15, p. 114) or "summary bass outline" (15, p. 202). In this manner, Green sketches the first movement of Beethoven's Symphony No. 9 as displayed below:

![Fig. 24 - Green's "summary bass outline" of Beethoven's Symphony No. 9, first movement (15, p. 202).](image)

It is interesting to notice the I-III-V-I movement in the above bass outline. In Schenkerian Bassbrechung terminology, this movement through III might be described as movement
through a "divider." In many of Green's analytical outline sketches, this same I-III-V-I movement emerges as the essential progression, suggesting that this author has come to the same conclusions as Schenker on this central issue.

In his summary of sonata form, Green writes "the tonal structure of the normal sonata form can be explained as a progressive movement (exposition) that is prolonged (development) and finally begun again and completed (recapitulation) (15, p. 209). Further, at the end of his text on form in tonal music, the author observes that I-V-I and I-III-V-I harmonic structures are the most common (15, p. 301). Again, this conclusion was reached earlier by Schenker in his Bassbrechung concept. Green does not interpret this to mean that the tonic chord is unfolding throughout the composition; still, one sees significant correlation between Green's approach and the idea of bass movement expressed earlier by Schenker.

The problem of analyzing modern music is dealt with in William Graves's Twentieth Century Fugue (1962). The author writes that "Analytical techniques available at the present time clearly reflect our dilemma . . . ." yet he suggests that "Salzer's extension of the Schenker theory is perhaps the most liberal and yet specific approach to modern problems of analysis offered to date" (16, p. 43).

Graves proceeds to analyze a fugal excerpt from Hindemith's String Quartet in E⁰ (first movement) using both a Schenker style linear evaluation and a Hindemith chordal
and chordal root analysis. Assessing the Schenker-Salzer method to be "more sympathetic to a larger view of the overall" (16, p. 46), the author abandons further attempts to use Hindemith's system. This text continues to describe its musical examples in terms of "prolongation of motion within a single chord" (16, pp. 48-49), and sums up the characteristics of modern fugue in three central harmonic or contrapuntal harmonic procedures:

1. Projection of a basic chord over long spans (termed 'prolongation' by Salzer),

2. Projection of a single tone over long spans, without chordality (an elemental form of prolongation), and

3. Free linear counterpoint, stressing a nuclear tone or 'tonic chord,' and its neighbors above and below at a distance of a second or third (termed 'completely contrapuntal structure' by Salzer) (16, p. 51).

Allen Forte's statements that "A musical structure is a complex of ordered and interrelated tonal events which unfolds in time" (17, p. 6), "A composition with all its details may be conceived as a composite of three structural levels: foreground, middleground, and background" (17, p. 8), and "relations between tones exist over time-spans of various lengths" (17, p. 8) indicate the debt his Contemporary Tone Structures (1955) owes to Schenker. The concepts of the Urlinie and the Ursatz, however, are not specifically mentioned.

In his chapter on "The Analytic Procedure," Forte describes his approach to modern tone structures as a linear,
contextual evaluation of tones (17, p. 17). The author's basic tool for his analysis of modern music is Schenkerian style reduction. The bulk of this text consists of reductions and explanations of his reductions of various works of Stravinsky, Milhaud, Sessions, Copland, Bartók, Hindemith, and Schoenberg.

A particular strength of Schenker's view of tonality is acknowledged in William Newman's *Understanding Music* (1953), where the author writes

"a number of musicians, led by the late Viennese theorist Heinrich Schenker, insist on that view [regarding a tonal scheme as the prolongation of a single tonality] and more when they argue that a composition written in one unifying key cannot at the same time be in several keys. Strictly speaking, this is unassailable logic, somewhat equivalent to saying that a man does not forsake his citizenship simply by making a grand tour of several foreign countries (18, p. 87)."

Another source of pro-Schenker sentiment is Mitchell and Salzer's *The Music Forum* (three volumes: 1967, 1970, and 1973) which is specifically interested in presenting and debating Schenker. The editors provide in each volume a series of essays on various aspects of musical understanding, are Schenker-related. Mitchell and Salzer write

"Such a stress is called for at a time when the efficacy of Rameau's theories comes increasingly in doubt, when linear views are in an ascendant position, when the dissemination of Schenker's views is clearly in evidence, some hundred years after his birth (19, p. viii)."

Salzer and his co-author Carl Schachter acknowledge in the preface to their *Counterpoint in Composition* (1969) that
The analytical approach throughout this book is based upon the work of Heinrich Schenker. Analytic insights are projected in the form of voice leading graphs. These graphs employ symbols derived from musical notation to reveal the function of tones and groups of tones in relation to their immediate context, to larger context, and ultimately, to the composition as a whole....

Sometimes we use Schenker's terms foreground, middleground, and background; at other times we use the equivalent terms, immediate, intermediate, and remote levels of structure (20, p. x).

One finds in this text a more accurate presentation of the Schenkerian approach to understanding musical structure. Although the concept of triadic unity unfolding through time is not directly endorsed (or rejected, for that matter), one does tend to notice the descending nature of most of the beamed structural tones in the musical examples. The fact that these Züge are generally descending in direction conforms to the concepts of Auskomponierung advanced by Schenker.

A large-scale exposition/interpretation of Schenker's theories is the purpose of Felix Salzer's Structural Hearing: Tonal Coherence in Music (1952). Salzer builds continually around the theme that tonality is equivalent to chord prolongation. Many of Schenker's terms (Urlinie, Ursatz, Zug, Bassbrechung, etc.) are not left entirely intact in this treatment of Schenker; in fact, the assertion that unity in tonal music is derived from the unfolding of a single Zug (third, fifth, or octave) is not embraced per se in Salzer's verbal explanation of his accompanying examples (which appear in the second volume of this work). Nonetheless,
the reduction graphs tend (almost without exception) to display Ur
linie-Züge of thirds, fifths, and octaves. Similarly, the graphs show Bassbrechung motion of I-V-I and I-III-V-I.

Salzer eventually gets around to the matter of single tonality within a composition. He writes,

The voice-leading graphs proved that all chords in a piece in A, for instance, whether they are consonant or dissonant, diatonic or chromatic, belong to the single key or tonality of A, provided that they are organic off-shoots of the structural framework, expressing the tonality of A (21, p. 254).

Salzer was one of the first scholars in this country to extend Schenker's concepts to music composed in this century. A number of examples in his text are provided for this purpose.

The remaining large-scale presentation/application of Schenker's theories is Adele Katz's Challenge to Musical Tradition. Katz is more orthodox to Schenker in her presentation of his concepts. While in place of Ur
linie and Ursatz she uses "primordial melodic outline" and "primordial harmonic function" or "basic structure" (22, p. 18), the idea of a Zug of an octave, fifth, or third unfolding through a linear descent in a composition is elucidated. Published in 1945, this book was the first major source of Schenkerian theory made available in this country after 1940.

Katz's attention is principally directed to explaining various works by composers from Bach through early Schoenberg in terms of Schenker analysis. She stops short of applying
Schenker's system to Schoenberg's twelve-tone technique of composition. Her assumption is that the "sole principle on which coherence [in twelve-tone music] rests is the use of a main motive as the life-giving force out of which the material of an entire work is derived" (22, p. 384).
CHAPTER BIBLIOGRAPHY


CHAPTER X

CONCLUSION

Heinrich Schenker may be said to have exerted a very real influence on American music theory and its pedagogy since 1940. Most of his principal theories have become manifest in the textbooks of Katz, Salzer, Mitchell, and Forte. Many of his ideas have appeared in the texts of Sessions, Cooper, Berry, Newman, Coker, Mason, Kohs, and others. Schenker has also received considerable attention in the pages of American music journals since 1940, where the trend has been generally pro-Schenker. His analytical techniques are frequently found to be the basis for scholarly discourse on various musical topics, especially in the Journal of Music Theory. Further, a number of research papers written in this country since 1940 have dealt with Schenker and Schenker-related topics. The Slatin and Krueger dissertations, in particular, display a desire by scholars to disseminate Schenkerian concepts to a wider audience.

Just as scholars have historically been reluctant to accept comprehensive theories on music "in toto" (Schenker himself accepted little from Rameau's teachings other than the invertibility of the triad), so American scholars have hesitated to adopt the entire body of theories which was
offered by Schenker. Part of the reason for this lies in the fact that, until recently, most of Schenker's works were unavailable - or at least inaccessible - in English translations in American libraries. Another factor has been Schenker's style of arrogant, boastful presentation of his material. A third reason is that there is no simple way to understand why Schenker saw organic compositional unity as resulting from the unfolding of a single triad without wading through several of his lengthy later works, or, perhaps, Slatin's 700+ page dissertation on his theories.

All too often that for which Schenker has been "shelved" has been some of his early emphasis on (exclusive) German genius, certain mystical qualities he attributed to the number five, and his contempt for music outside the chronological boundaries of the Bach to Brahms era. Both Krueger and Slatin point out in their respective dissertations, however, that these elements of Schenker's attitude are actually insignificant aspects in view of his total theoretical contributions to the understanding of music. The importance of his contextual approach and unified-organic-whole perception of music is, in itself, almost sufficient reason to overlook his personal preference for German Common Practice Period music.

Consequently, American scholars have tended to accept and apply selected areas of Schenkerian thought. Even Katz and Salzer seem to have played down Schenker's emphasis
on the descending linear *Urlinie* as the source of basic unity in a composition. Their texts do indeed present the concept of the triad unfolding in time, but the primary *Urlinie-Züge* of $\hat{8} - \hat{1}, \hat{5} - \hat{1}$, and $\hat{3} - \hat{1}$ seem to have received less attention than Schenker would have liked.

The two most popular aspects of Schenkerian analytical technique revealed in the pedagogical literature since 1940 are the practice of beaming together important structural tones (for visual analysis), and the concept of the linearized or prolonged chord. This second idea has led to considerable re-thinking about the bounds of tonality and so-called modulations (Sessions's *Harmonic Practice*, for example).

Thus, Schenker has left his stamp on the study of music theory in this country. It seems quite likely that his contextual (as opposed to chord-by-chord) approach to musical analysis and understanding will continue to grow in popularity and use. Whether the entire body of Schenkerian theories (including the principles of the *Ursatz*) will eventually be accepted and taught cannot be reliably predicted at this point, but the current trends are in his favor.
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