TONALITY AND HARMONIC MOTION IN COPLAND'S

APPALACHIAN SPRING

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TONALITY AND HARMONIC MOTION IN COPLAND'S

APPALACHIAN SPRING

THESIS

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In *Appalachian Spring*, Aaron Copland creates a unique tonal environment. Although often considered a tonal work, it contains many non-functional progressions and techniques that belie common-practice norms. The entire first movement, and sections of other movements contain no harmonic motion, in part because tonic and dominant chords sound together as a single sonority. In other movements, harmonic motion is increased by shifts to third-related keys, and non-functional progressions. Also, the variations on the melody "Simple Gifts" never employ common-practice techniques. Through the free use of materials, Copland creates an individualistic example of tonality in twentieth-century music.
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INTRODUCTION

During the mid-1930's, American composer Aaron Copland (1900-1990) began re-evaluating his then-current compositional style. His Symphonic Ode (1932), Piano Variations (1933), Short Symphony (1933, later scored as the Sextet in 1937), and Statements (1934) were the culmination of a writing style that had often been called austere by critics, and had enjoyed only limited success with audiences.¹ As a result Copland decided "... that it was worth the effort to see if I couldn't say what I had to say in the simplest possible terms."² The first composition in his new, more accessible style was El Salon Mexico of 1934, which was consequently the first to receive wide critical acclaim. This work was followed by Rodeo, Billy the Kid, Lincoln Portrait, and Appalachian Spring, among others. Yet these very works that brought national attention to Copland are also the works that have received the least attention from music theorists and analysts.

Part of the problem may be that Copland's music as a whole is rarely discussed, even in major compilations of twentieth-century music.³ A survey of the major English-language music theory and

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² Berger, 27.

³ Lawrence Starr makes this point and offers compelling documentation in the first footnote of his article "Copland's Style," Perspectives of New Music, XIX (1980), 87-88.
musicology journals also finds little material on Copland's music.\textsuperscript{4} When Copland's music is discussed in detail, as in the previously cited book by Arthur Berger, the more popular scores tend to receive less attention than do the serious works. For example, the *Piano Variations* receive 13 pages of attention, the *Short Symphony* 10 pages, the *Piano Sonata* eight pages, and the *Sonata for Violin and Piano* on seven pages. In contrast, *Billy the Kid* is discussed on six pages, *Lincoln Portrait* and *Rodeo* each merit five pages, with *Appalachian Spring* mentioned on only four pages, one of those only in a footnote. Berger does devote fifteen pages to the *Third Symphony*, and although it contains the *Fanfare for the Common Man* in the third movement, he is quick to point out there are no folk songs or extra-musical elements in the work.\textsuperscript{5}

*Appalachian Spring* is among those works considered popular, and which has received less attention than the other, more "seriously-minded" works. However, many sections of the work contain complex techniques that belie its seemingly simple style. In discussing *Appalachian Spring*, Wilfrid Mellers notes:

> The prelude's marvelous evocation of spring in the world and in the heart is achieved through an open texture, a luminous scoring, and a harmony of telescoped concords

\textsuperscript{4} Among the journals consulted were *Journal of Music Theory*, *Journal of the American Musicological Society*, *Perspectives of New Music*, *Journal of Musicology*, *Music Theory Spectrum*, *Music Forum*, and *Music Analysis*. The Starr article is a notable exception in these journals (see footnote 3).

\textsuperscript{5} Berger, 73.
exactly comparable with the techniques of Copland's earlier abstract pieces . . .\textsuperscript{6}

Lawrence Starr agrees:

That Copland's "popular" scores may be rich not only in subtle musical invention but also in extra-musical meanings and implications of a broad and complex nature opens entirely another aspect of the composer's contribution that needs extensive new study and evaluation.\textsuperscript{7}

So it seems an in-depth analysis of *Appalachian Spring* might serve to facilitate the comparison of Copland's works in both popular and serious styles. An outline of the work follows, to provide an overview of the harmonic elements that exist in the work. These elements can be found in other Copland works and also works of other composers, but will not be discussed in this thesis.

The opening section of *Appalachian Spring* contains a notable lack of harmonic motion. The first measures outline an A-major triad, and there is a recurring a in the bass. But the key of A is not confirmed, partly because leading tones tend not to resolve, but instead act as extensions of the tonic formed by stacking E major and D-major chords above and below the A major chord. These extended sonorities will be examined in the first chapter to determine how they create the static harmonic motion of the first movement.


\textsuperscript{7} Starr, 81.
The next several movements of *Appalachian Spring* contain much more harmonic motion than the first movement. There are many sections that follow common-practice procedures on a local level, but do not employ common-practice key relationships on a broader level. In addition, some sections with traditional chord progressions utilize non-traditional voice-leading, such as consecutive dissonances. There is also an extended area of chromatic voice leading in the third movement of the work. The second and third chapters of this thesis will explore the harmonic motion and use of tonal materials in the second through fifth movements.

The seventh movement of *Appalachian Spring* contains the folk song "A Gift to be Simple" which one might expect to contain traditional harmonic language. But instead of simple I, IV, and V chords, Copland creates several different harmonizations. In one variation a static I-IV background accompanies every measure of the theme. Another variation contains only two voices and so is ambiguous about what chords are actually being implied. Still another contains traditional chord changes in the upper voices but a bass line which does not support those chords. Copland's techniques of making the folk song variations tonal but not conforming to traditional practice will be discussed in the fourth chapter, along with a brief analysis of the sixth and eighth movements.

The conclusion of this study will discuss the most important techniques employed by Copland throughout *Appalachian Spring*, especially the ways he uses harmonic language to create static and
dynamic sections. It will also examine the non-traditional tonal elements in the work, including the third related keys. If the harmonic language employed in *Appalachian Spring* can be understood, then this knowledge can serve as a starting point in the analysis of Copland's other popular and serious works, and works of other composers.
CHAPTER I

HARMONIC STASIS

Appalachian Spring, subtitled Ballet for Martha, was composed in 1943-1944 for Martha Graham's ballet company, and is dedicated to Elizabeth Sprague Coolidge, who commissioned the work. The original ballet score used a chamber orchestra of 13 instruments, but the work is most widely performed in a condensed suite written for symphony orchestra by the composer in 1945. The suite is in eight movements played without a pause. Each of these movements will be examined separately, with general conclusions drawn at the end of this thesis.

Movement 1

The first movement of Appalachian Spring opens with the clarinet outlining an A-major triad over an a in the low strings, which does not break with common-practice-period procedures. But the harmony that follows, outlined in mm. 4-6 (see Ex. 1) is an E-major chord over an A-major chord, with a bass-note a in the cellos. This

1 The suite for full orchestra score will be used in this analysis. Each movement will be numbered individually to prevent large measure number references. The first movement begins with m. 1 on the first measure, and ends with m. 50 on the measure before rehearsal [6].
chord places I and V together vertically, immediately indicating a movement away from common-practice techniques in this section of the movement.

There are several techniques at work in the A/E sonority. First, the leading tone g♯ is present in the same chord as its note of resolution, namely the tonic, a. Instead of g♯ moving up by half step to a, they co-exist in the same chord, which helps suspend one normal expectation of tonal voice leading. By eliminating the necessity of the leading tone on scale-degree seven resolving to scale-degree eight, Copland is able to create a static environment with a highly attenuated sense of forward motion.

Another factor to consider is the choice and placement of intervals used in the A/E sonority. Thirds are at the outside of the chord, with a g♯ extending above e at the top, and a c♯ extending below e at the bottom. The middle of the chord consists of two perfect fourths separated by a major second. These intervals of fourths and seconds

Example 1, movement 1, mm. 4-6.

\[
\begin{align*}
\text{Example 1, movement 1, mm. 4-6.}
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\]
will be shown to be important in the makeup of some of the melodic ideas in this work. These combined fourths also give the impression of an E-major chord with an added fourth above the root replacing the conventional third. Even though there is an E-major triad with a g# at the top of the chord, the E-major without the third scale degree in the middle further diminishes the effect of the potential leading-tone g#.

One final important factor here is the prominence of the A/E sonority. It occurs here only as a vertical sonority, without any melodic elements present that might draw the listener's attention away from the pronounced harmonic profile. The chord also repeats immediately, and this gives it more emphasis, especially as this occurs so early in the work. Because this chord is so prominent, the harmonic elements that tend to negate any sense of motion are magnified and confirm the static nature of this section.

After the second repetition of the A/E sonority, the trumpet intones a c#-e interval in m. 9 while the flute plays an A-major chord. But before A major becomes established as a single tonality, the French horn, bassoon, strings, and clarinet create another combined chord beginning in m. 10. Instead of an E-major chord above A-major, now there is a D-major chord sounding below A-major. In his 1982 dissertation, Parmer Fuller describes this chord as a transposition down a fifth of the A/E sonority.² This is true to a point.

² Parmer Fuller, Copland and Stravinsky: A Study of the Traditional and Innovative Techniques Used by the Two Composers in their Search for a Tonally based Musical Language in the Twentieth Century (PhD dissertation, University of California, Los Angeles, 1982), 6-7.
The D/A sonority does emphasize IV more than I, but the transposition Fuller describes seems to indicate there is a modulation to a new key area, which is surely not the case. One reason to doubt a modulation is that the lowest-sounding pitch, occurring in the harp, remains on a, instead of dropping to d. Another factor is that the a played by the trombone, bassoon, and flute previous to this chord maintains the A triad as a continuous linear strand, while the E-major chord stops sounding two beats before the D-major chord arrives. While the D/A sonority does not constitute a modulation of the A/E sonority, it does emphasize different notes from the A-major scale. In the static environment of this first section, there is no real progression from chord to chord. Instead, the A-major triad is embellished with notes from the E-major chord for several measures, then with notes from the D-major chord for other measures. This builds up an aggregate of notes that make up the A-major scale, but without the voice-leading functions that introducing these notes in a traditional tonal manner would have created. In this instance, the A-major chord remains the primary tonal center, even while other notes of the scale are introduced. The static environment is maintained, with the pitch-class a being the tonal center.

The first extended melodic idea enters in the flute, with the first violin doubling it up an octave at m. 13 (see Ex. 2). The first three notes here move from a to its leading tone g# and back to a. On the
surface this motion from scale-degree seven to eight seems to challenge the static environment that has been established up to Example 2, movement 1, mm. 13-19.

![Musical notation](image)

...this point. If it had been accompanied by a bass movement from V to I, or if the half-step motion returned, this passage might offer a more serious challenge to the static environment. But these motions do not occur. In fact, the background harmony sustains the D/A sonority, giving no support to the melodic motion. In addition, the g# has already been sounded as part of the A/E sonority. In that context, the g# is not the leading tone to a, but is rather a chord tone that coexists with a. So even though this melody seems to emphasize motion from scale-degree seven to eight, the sustained sonorities undercut any directedness in this motion.

There is one other half-step in the melody, descending from d to c# in m. 16. As with the leading-tone motion in m. 14, this half-step does not affect the static environment. The notes in the cellos support the d, and this pitch does fall on a downbeat. The viola and violin at the same time, however, support the c#, which might be heard as the resolution of an accented dissonance in common-practice terms when
the d on the downbeat moves to c-sharp on beat three. With the presence of the A/E and D/A sonorities though, both half-step motions are consonances in the measures in which they fall. So the two half-step motions function differently from their typical voice leading role in moving from one chord to another; in this context, they are equivalent to arpeggiating between thirds in a triad, which is ultimately a harmonically static movement.

The remainder of this melody is more clearly based on the two sonorities. Overall, the first five notes are taken from the first chord, while the remaining seven can be found in the second chord. On a more basic level, the whole melody is an arpeggiation of an A-major chord with a g# added in m. 14, and d's added in mm. 16 and 18. From this perspective, the half-steps introduced by the addition of the g# and d give a sense that the melody has direction in a very local sense, but by the end of the melody, the lack of movement in any overall sense is also clear.

From mm. 13-19, there is an alternation between the two opening sonorities, with some overlap where a chord is sustained while the next chord enters. At m. 19 the harmony remains on the A/E sonority. This is the first section of the work where the sustained a in a lower voice is not present. The cello moves between f# and c# in these measures as the A/E and D/A sonorities alternate. Although the cello line looks like a traditional bass movement by fifth, the chords above it are not in root position, which weakens the bass motion.
Measures 22-27 are an almost exact repetition of mm. 8-12, though the two passages differ in terms of orchestration. Another difference is that the trumpet part in mm. 26-27 contains three half notes, and enters two beats later than the corresponding part in the clarinet in m. 12, which has two quarter notes and one half note. This clarinet line is part of the D/A sonority that is being introduced there for the first time, and so it imitates the rhythm of the A/E sonority. When the trumpet part enters in m. 26, the D/A sonority is well established, and so one might posit that more liberty can be taken in repeating this section.

The flute melody that enters in m. 28 appears to be an inversion of the one in mm. 13-20 in contour, but it does not contain the exact interval content of the first melody (see Ex. 3). The first six notes

Example 3, movement. 1, mm. 28-36, Flute I and Oboe I.

are taken from the middle of the A/E sonority, containing the two fourths separated by the whole step discussed earlier. With the addition of the seventh note c#, the melody unfolds the A/E sonority with the exception of the top g#. The oboe continues the melody in m. 32, which on the surface might seem to be different in range and
contour from the flute's beginning. While the flute begins with a whole step and covers the expanse of a tenth, the oboe part does not contain any whole-step motion, and covers the expanse of an eleventh. However, if the e in the oboe in m. 33 were moved up an octave, then the aggregate of the melodic notes would form the D/A sonority with the exception of the top c#, mirroring the flute. In addition, the last three notes in the flute and oboe have the same contour of a descending octave followed by a descending third.

In a certain sense, the effect of the flute and oboe melodies might be seen to resemble the traditional antecedent-consequent phrase. The entire melody is eight measures long, and is divided into two similar four-measure phrases. But the traditional harmonic motion that would be expected, the movement to a half cadence in m. 31 and to a full cadence in m. 35, does not occur. Instead, the A/E and D/A sonorities are sustained for four measures each, although they do not line up exactly with their corresponding melodic phrases. The A/E sonority does not enter until the fourth note of the flute melody, and the same occurs with the D/A sonority and the oboe melody. This changes the accentuation in the melody, with the fourth note having more emphasis than the first. So even with a melody that taken alone seems to have a traditional structure, Copland dilutes its effect by the placement of the two chords that accompany it.

The bassoon phrase in mm. 36-39 contains the first root-position triad since the opening clarinet phrase. After moving up a whole step from d to e and back, the bassoon then climbs to f# and a before
returning to f#. The listener perhaps expects the bassoon to continue back to a because the opening clarinet phrase outlines the triad, falls to the third, then returns to the fifth. When the bassoon falls to the third and then does not return to the fifth, the first real tension of the movement occurs. Up to this point, every chord has had the third or fifth scale degree in the lowest voice, except for the clarinet at the beginning. Also the D- and E-major triads have sounded in tandem with the A-major triads, creating the two sonorities found in this section. When the bassoon outlines the D-major triad without the simultaneous sounding of the A-major triad present, common-practice tonality can come into play, and a plagal cadence may be expected. But even more tension is added when this cadence is interrupted and the bassoon remains on f#, creating a melodic tension that does not resolve until mm. 45-46 when the bassoon finally moves from f# to a.

The bassoon phrase heralds the end of the static environment that has existed for the first thirty-seven measures of this movement. Beginning at m. 40 the A/E and D/A sonorities begin breaking down as the oboe and strings push toward a cadence. Measures 40 and 41 contain notes from the D/A sonority, but on beat three of m. 41 a ii7 chord (b d a f#) is held for four beats. The next sustained chord (f# a e d) is in m. 43, which is a first inversion IV chord with an added e. After the chord in m. 43 sounds in an inversion in m. 44, the bassoon enters again in m. 45 along with the strings. The chord that is formed (d e b f#) is tonally ambiguous. The d in the cellos along with the f# in
the bassoons recall the interrupted plagal cadence in m. 39, with the f# tending to resolve up to a and the d tending to resolve down to a. The e, f#, and b, however, could be viewed as an incomplete V chord with and added ninth, tending to resolve as an authentic cadence. The result is that the D- and E-major chords that had previously been static extensions above and below the A-major chord are now functioning harmonically, and are folding back into the tonic a from both directions (D -> A <- E). In this way the first movement gains harmonic closure in spite of its otherwise generally static nature.

The first movement cadences on an octave a in m. 46, as the clarinet reiterates the same arpeggiated A-major triad that opened the movement. It should be noted that in the six measures before the final cadence, the leading tone g# does not appear. Perhaps Copland, in an attempt to retain the static nature of the movement, did not want to create a strong sense of cadence, or perhaps he thought the g# would overshadow the sense of the plagal cadence. He may have then avoided any half-step voice leading motion, including the half-step that would normally occur in the A-major plagal cadence from d to c-sharp. In cadencing on the octave a instead of an A-major chord, the movement is brought to a harmonic resolution with minimal reference to any traditional voice-leading procedures.

A review of the first movement of Appalachian Spring brings up several important points: first of all, the movement is clearly centered

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3 Fuller notes this simultaneous cadential motion from IV and V to I, but fails to recognize that a static environment has moved to a dynamic one in this passage.
on pitch-class a. The only pedal-tone pitch in the harp is a; the melodic material revolves around a; and the two principal sonorities used in this movement are based on the A-major chord. This first movement, however, is not in the key of A in a common-practice sense. Two of the main tenets of common-practice harmony are functional chord relationships and fundamental-bass movement, neither of which really occur here. The chords IV and V do not have subdominant and dominant functions, but become an integral part of the tonic sonority.\(^4\) And even though there seems to be a fundamental-bass movement between mm. 13-19, the bass is not the real root of the chords in use there, and this significantly attenuates the potential of these bass notes to create a forward harmonic drive.

This lack of root movement in the first movement leads to the other major departure from traditional tonality--the lack of harmonic motion. The static environment is achieved in several ways. First and foremost, the A/E sonority suspends the effect of the leading tone g\(^\#\) by sustaining it over the A-major chord without resolution. In addition, there are only isolated instances of half-step motion, so traditional voice-leading cannot take effect. Finally, there is an alternation between the two principal chords of the movement, which have been shown to be different versions of the same A-major extended chord. Even though there are two chords of different pitch content, they both belong to the same tonal center, namely a.

\(^4\) The material around [5] is an exception, where the chords do gain functionality.
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CHAPTER II

HARMONIC MOTION

Movement 2

The opening motive of the second movement begins with a unison skip from the a above the treble staff down an octave, then back again (see Ex. 4). The unison motion continues, repeating the a and moving up a third to c-sharp and back to a. After this pitch is sustained in m. 2, notes from the A-major triad are arpeggiated down two octaves from the e above the staff to the a below it, which again is sustained into m. 4. Just as Copland opened the first movement with strong A-major material, he does the same here in the second movement. The difference is in the material that follows. In the first movement, the outlined A-major triad was followed by the A/E sonority which solidified the static nature of the harmony. In this

Example 4, movement 2, mm 1-4, Violin and Viola.

\[\begin{align*}
\text{Example 4, movement 2, mm 1-4, Violin and Viola.}
\end{align*}\]

sustained in m. 2, notes from the A-major triad are arpeggiated down two octaves from the e above the staff to the a below it, which again is sustained into m. 4. Just as Copland opened the first movement with strong A-major material, he does the same here in the second movement. The difference is in the material that follows. In the first movement, the outlined A-major triad was followed by the A/E sonority which solidified the static nature of the harmony. In this

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1 Measure numbers in the second movement start with 1 at [6] and end with 104 the measure before [16].
second movement, the A-major material is followed by seven measures of chords that resemble the opening sonorities, but which give a sense of modulation instead of stasis.

There are four major chords, A-flat, G, F, and E that form a modulatory sequence beginning in m. 5. They are all in second inversion, and so resemble the top half of the first movement sonority (which consists of a first inversion chord below a second inversion chord, separated by a whole step). There are also some other elements that are like the opening combined chords. Rhythmically, there is a similarity to the very first statement of the A/E sonority in m. 4 of the first movement (see Ex. 5). Two quarter notes are followed by a dotted half note, then by two more quarter notes and another dotted half. The quarter notes are twice as long as the eighth notes in the second movement, and the dotted half notes are three times as long as the corresponding quarter notes in the second movement, but the overall effect of short, short, long is maintained in both versions. This, of course, is also the primary rhythmic element of the second movement.
There are, however, a number of differences between the chord sequence and the opening sonorities. For example, the six notes of the A/E combined sonority are sustained after they have sounded, while none of these chords are. This is the primary reason why the opening sonorities are static: sustaining the two chords together removes the sense of moving from one to the other. In the second movement, however, there is a strong sense of motion as each chord enters. Another major difference is that the combined sonorities are stable foundations over which melodic elements are placed, while the chord sequences are unstable, partly due to the voice-leading elements that will be discussed shortly. The chord sequences are used several times in the second movement, and are developed rhythmically as well as harmonically.

There is an interesting dichotomy in how the pitches themselves move up registerally, while the chords themselves move down by whole and half steps (see Ex. 6). The first two chords, A-flat and G, are connected by a whole step, which is also true for the third and fourth chords, F and E. Between the second and third chords G and F though, there is only a half-step connection, giving the impression that the chords are grouped together into two pairs. There seem to be two levels of voice leading in this section. The first level occurs between the b in the second chord and c in the third chord. Being the only actual half step in the passage, it helps drive the chords forward, and serves

2 In several of the first movement combined sonorities, the second note sounded is not sustained. However, this is the common pitch between the two chords, and so is still sounded in the top half of the sonority.
as a connection between the two pairs of chords. The second level of voice leading is the half steps that would exist if all four chords were in the same register. In that case, each note in the first chord would move down a half step to its corresponding note in the second chord, instead of skipping up a major seventh. Because of the difference in register, this voice-leading motion is not readily apparent, but it is still a functional element in this sequence of chords.

When the descending chord sequence repeats in m. 8, the last E-major chord is left out, creating tension because the balanced pairs of chords in mm. 5 and 6 are not continued in mm. 8 and 9. This tension is increased in mm. 10 and 11 when the complete chord sequence appears again, but this time as an uninterrupted series of eighth notes without the quarter-note pauses found in the previous measures. The chord sequence ends on a V chord in A major, and is followed by two beats of rest, further delaying the tension that has been built up. The release finally occurs in m. 12 with the return of the primary motive in A major. Before studying the next section, however, three other instances of descending chord sequences will be examined.
The next occurrence of the chord sequence is in mm. 49-51 (see Ex. 7). In this passage, the chords are grouped in pairs, as in the first passage. The preceding melodic fragment in m. 48 ends on c-sharp, on which the clarinet also begins forming a second-inversion F# major chord, followed by the oboe on an F-major chord. This differs from the passage at the beginning where the previous melody ends on the pitch a, but the bassoon and cello begin on the pitch e-flat to form a second-inversion A-flat major chord. Here there is a definite chromatic shift down from the pitch a to the A-flat chord, where from m. 48 to 49, the common pitch c# is maintained and a chromatic shift is not felt. In m. 50, the F# chord (respelled as G-flat) is repeated in the flute, and connects with an F-major chord in the clarinet. Then in m. 51, the F chord is repeated, sounding in the bassoon, and is paired with the E-major chord in the second clarinet. Unlike m. 11, though, where the E chord functions as the V of A major, the pitches b and e in the E chord move up a half-step to the pitches c and f in m. 53. These notes in m. 53 are part of a quartal chord which seems to lead to a new key center of F major. It should be noted that the chord
sequence in mm. 49 to 51 is used to modulate to F, while the sequence in mm. 5 to 11 does not modulate, ending in the same key area by which it was preceded. So depending on the context, not only is the chord sequence a way to modulate, but it also serves as a motive that will be developed further in the movement.

The descending chord sequence returns again from mm. 69 to 81, the longest and most complex passage in which it appears. Like the first passage, the chord sequences are not used to modulate; they are enclosed between two stable sections that are in F major. Also, most of the passage uses the same four chords found in mm. 5 to 11. The A-flat/G pair of chords begins in m. 69, followed by the F/E pair in m. 70. An ascending scale element is added, with whole steps rising above above the chords. The chord sequence sounds again in mm. 71 and 72, this time written in six-eight time without the quarter note pauses, similar to m. 11.
A six-measure passage arrives next that successively adds to the length of the chord sequence and the range of the melody (see Ex. 9). The chords in m. 73 move from A-flat to G in eighth and quarter notes with the melody moving up from c to d. The chord sequence commences again in mm. 74-75, this time moving from A-flat to F in constant eighth notes, with the melody moving from c to e in mm. 74-75. The third time the complete four-chord sequence sounds in mm. 75 and 76, but the melody still spans the c to e interval. Finally in mm. 77 to 78, the melody moves from c to f while the chord sequence extends down to E-flat for the first time. As can be seen from example 9, the same melodic pitches do not always coincide with the same
chords or parts of chords. This misalignment creates several points of dissonance, and increases the tension. The constant eighth notes in the chords, the syncopation in the melody, and the quarter- and eighth-note rests between the sequences also increase the tension.

With the arrival of the g in m. 79, the melody finally reaches the peak of its ascent, and begins its descent. The second-inversion C chord in m. 79 retains the common tone g from the preceding E-flat chord, which is similar to the transition into m. 49. Unlike all the other chord pairs in the sequence, the first two, C and B-flat, are a whole step apart. Up to this point, the descending nature of the chord sequences have been masked by their rise in register. Now in mm. 79 and 80 the melody parallels the first note of each chord in octaves. These parallel octaves not only emphasize the descending chord sequences, but also point out the departure from common-practice procedures. The chord sequence is followed by the same quartal chords found in m. 53. This time, though, the pitches c# and f# in the F# chord must descend a half step to the quartal chord, instead of ascending as the pitches did in mm. 51-53. Perhaps Copland is trying to diminish the modulatory effect of the chord sequences by changing their resolution each time they occur. This gives a sense that no matter where the chord sequences modulate to, they can be followed by any number of chords with equivalent effect.

One final instance of the descending chord sequence is in mm. 99-100. These four chords are similar to the ones in m. 5. The first pair, A-flat and G, are played after the preceding melodic line ends on the
pitch A, as in the beginning. The next pair, G-flat and F, is a half-step down from the first pair, unlike m. 6 where a whole step separates the two pairs. The change is made by Copland to modulate to a different key. Whereas the sequence in mm. 5-11 ends on the V chord of the subsequent A-major material, the sequence here in mm. 99-100 ends on the V of the B-flat material that begins the third movement. The last four measures of the second movement emphasize the arrival in B-flat by outlining a B-flat/F sonority between the clarinet, oboe, and flute. There is a smooth transition from the chord sequence to the B-flat/F sonority, with the same rhythm and instrumental colors being maintained.

Now let us return to the primary melodic motive of the second movement. It seems to be clearly based in A major when it sounds in mm. 1-4. When it is presented again, a I chord could sound during m. 12, and a V chord resolving to I could be heard in m. 13. But since the first two presentations of this motive are in unison, any questions about harmonic implications are left unanswered. There is an abrupt modulation to the key of C in m. 16, one of a number of third-related key areas in Appalachian Spring that will be discussed in more detail later in this thesis. The harmony outlined in m. 16 is unclear, with an A minor seventh or C-major with added sixth possible on the first two beats, and a C-major with added fourth or a Gsus\(^7\) possible on the last two beats (see Ex. 10).\(^3\) The chord that begins to emerge in m.17 is

\(^3\) The term "suspended chord" or in this case Gsus will be assumed in this paper to mean a chord with an unresolved fourth scale degree instead of a third scale degree.
easier to define. Every pitch in m. 17 belongs to the F/C sonority, with the second violin outlining the F chord and the first violin outlining the C chord, while the cello and viola play the pitches f and g which connect the two chords. Measure 18 is a repeat of m. 16, but now it becomes clearer that the F/C sonority is present here also, but with several pitches not occurring in their normal register.4

When the flutes enter in m. 19 with the primary motive now based on C, the harmonic implications of this melody become clear. The second violin plays the complete F/C sonority for five measures with the viola and cello emphasizing different pitches from that combined chord. The result is that the melodic motive which could be harmonized using common-practice procedures is instead given a static harmonic background. In other words, the primary motive does not move anywhere harmonically, and becomes a relatively neutral harmonic element in the development of the movement. Thus, even

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4 The normal register would have only C, E, and G in the upper register, and F, A, and C in the lower register.
though the motive is played several times in the key areas of A, C, and F, there is no harmonic motion within the motive itself.

The first harmonic motion by fifths in this movement begins in m. 24 with the brass and string entrances. This motive does not clearly spell out dominant-seventh chords, but the distinct impression of suspended seventh chords is given. The harmonies outlined in mm. 24-28 are C: ii$\text{sus}^7$ - $V\text{sus}^7$ A: $V\text{sus}^7$-Isus-$V\text{sus}$ (see Ex. 11). These harmonies are the result of quartal chords with a second added inside the first fourth. The two skips up a fourth in these chords could be seen to reference back to the melody in m. 33 of the first movement, or more likely reference the chorale melody that immediately follows Example 11, movement 2, mm. 24-28, Brass and Strings.

this section in m. 29. It should be noted that these arpeggiated chords are the primary motivic material in these measures. The flute, clarinet, and oboe, which have had the melody up to this point, move to a background role with constant eighth notes moving in an oscillating pattern.
The chorale melody in mm. 29-47 and mm. 85-98 forms the structural basis for this movement. It is also one of the only thematic elements that returns in later movements. The stability of the traditional harmonic motion present in the chorale makes it stand out from the sections based on the combined sonorities and the chord sequences. The chorale melody repeats four times with the first, third, and fourth repetition being almost identical, and the second containing five additional chords (see Ex. 12). The harmonic structure of the chorale is as follows (the extra chords from the second repetition are in parentheses): A: I_6sus-IVmaj^7 (iii_6-iii_7-IV-vi-I_6) V-I.

Example 12, movement 2, mm. 33-39.

The role of the static opening motive of the second movement can now be better understood in the context of the chorale section. When the opening motive was introduced previously in the movement, Copland was careful not to give it an underlying harmony; it was

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5 The chorale melody returns at [51] and [71].
either presented in unison or over the static combined sonority. Therefore, when this opening motive appears in the chorale section, it does not bring with it any harmonic implications based on previous contexts. Instead it is free to conform to the harmony of the chorale, and becomes a kind of descant to the chorale melody. In this way the motive can stand alone as a melody, but clearly becomes an accompaniment when it appears with the chorale.

In examining the chorale melody, there is an interesting mix of traditional and twentieth-century techniques being used. During the first repetition of the chorale melody, the bass and soprano move in strict contrapuntal motion until the last note when they both move down to the tonic and mediant respectively. However, the intervals between the bass and soprano are a P₄, M₃, m₂, M₇, P₅, and P₈, a series in which two dissonant intervals (m₂, M₇) succeed one another, not to mention the two consecutive leaps of a fourth in the same direction with which the bass and melody begin. Also, even though the interval successions in the five additional chords present in the second repetition are acceptable by common-practice procedures, the successive parallel motion between the bass and soprano would in traditional practice be avoided.

The only other new material in the second movement occurs in mm. 53-56 and mm. 82-85 (see Ex. 13). This transitional material uses the same rhythm as the descending chord sequences, but it is composed of quartal intervals, similar to mm. 24-28. Copland also
Example 13, movement 2, mm. 53-56.

compresses the rhythm in mm. 54-55, leaving out the quarter notes and changing the time signature, similar to mm. 71-72 in the chord sequences. Because the chord material is not tertian, it is difficult to label with a traditional chord symbol. However, the six-note group begins and ends on c, and contains a g and b-flat, which makes the remaining f and d appear to function as suspensions waiting to resolve to e, creating a V7 chord. This interpretation seems to be confirmed when the arpeggio in mm. 55 and 84 extends up to the pitch f, which becomes the tonic in the subsequent key area. The material from mm. 57-63 is very similar to mm. 12-23. The most noticeable difference is that the transitional passage in mm. 16-18 is replaced in m. 61 by the quartal V7 chord from m. 55. The other major difference is the harp plays the B-flat/F sonority in its normal configuration during mm. 62-68, unlike the strings in mm. 19-23, which mix the pitches from the two chords.

Each of the major sections of the second movement have been examined separately. Now these sections will be examined together to see how they function as a whole. The second movement seems to begin in A major, but as has been noted earlier, there is no harmonic
material to confirm a tonic. Copland also removes the three sharps from the key signature at [6] which could have been retained from the first movement. Perhaps this was done to facilitate the descending chord sequences without having to cancel a key signature, but it seems more likely that Copland did not want the beginning of this movement to be considered in A major. Also, if he had wanted to emphasize the key of C major, he might have changed the key signature at m. 16 where the modulation to the C/F sonority occurs.

The area where Copland returns three sharps to the key signature again is at [9] when the chorale melody enters. This is the first section of the movement where traditional tonality can be found, so it is not surprising that Copland adjusts the key signature to reflect the prevailing tonality. It is also telling to look at the other two key-signature changes in the movement. When the chorale section ends, the key signature at [11] is changed back to a neutral signature without sharps or flats, even though the opening motive is played shortly after in the key area of F major. Again, Copland does not give this key area a key signature, but instead waits until [14] to add one flat for the return of the chorale in F major. Key signatures may not always be accurate indicators of tonality, but it cannot be coincidental that in the entire second movement the only sections with a key signature are the two traditionally tonal chorale sections.

The motion of the second movement offers a distinct contrast to the static nature of the first movement. The primary methods in achieving the forward drive are through the harmonic rhythm, the
rhythmic motion and the tempo. The basic pulse of the second movement is about four times that of the first movement. Whereas the first movement has quarter notes played at 66 to 88 beats per minute, the second movement uses eighth notes played at 160 beats per minute. The eighth notes occur on at least two beats in each measure, and in many cases on three and four beats in each measure. This gives the movement a driving pace, which is increased even more by the scattered measures in meters of six-eight and seven-eight. When rests appear in all parts, they are often used to add tension by delaying the resolution of a chord. Even in the chorale section, which has a slow harmonic rhythm, the eighth notes continue to sound in the descant above the chorale.

The harmonic rhythm plays a role in the motion of the second movement in some sections, but in others it has less impact. Of course, compared to the first movement, which basically did not contain harmonic motion at all, any rate of harmonic motion would be an increase. So even the sections in the second movement that sustain a combined sonority for five to seven measures seem to promote more motion than the first movement. The same is true for the chorale section where each chord is held anywhere from two to six beats. This would normally be seen as slow harmonic rhythm, but following the static first movement, it does not seem slow. Also, the descending chord sequences are used to link various sections of the movement, and their fairly quick motion of one and a half to two beats on each chord helps compress the transitional sections of the movement.
The function of key relationships in the second movement should also be addressed. It has been shown that the only two established key areas are A and F major in the two chorale sections. There is also a short section at mm. 16-25 that could be considered to be in C major. After a start in A major, there is a shift to this area in C major, and then A major returns with the chorale entrance. The chord sequence at mm. 49-51 moves down a third to F major, a key which is later confirmed in the second chorale. Third-related keys distantly related by common-practice standards dominate this movement. In examining *Appalachian Spring* as a whole, third-related keys will be seen frequently. There could even be some basis for seeing a double tonic complex in the overall structure of the piece.\(^6\) However there are enough exceptions, including the static sections of the first two movements and key areas that are not third related, to undercut the notion that a double-tonic network of keys is at work in some exclusive sense.

**Movement 3**

The third movement of *Appalachian Spring* begins with a B-flat major triad in the harp, bassoon, and brass\(^7\). In the third and fourth

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\(^7\) Measure numbers in the third movement begin with 1 at [16] and end with 61 the measure before [23].
measures, the second bassoon moves from b-flat to a and back, then
to f, g, a, and b-flat, outlining a I-V6-I-V-I bass progression.
However, the trumpet, French horn, and first bassoon move in
parallel motion in mm. 3 and 4 from a B-flat triad and back, then up to
D minor, C major, and ending back on B-flat. The overall effect is
contrapuntal, with the upper voice being paralleled by two
other voices moving against the bass. The clarinet melody enters a
beat before m. 9 accompanied by the strings (see Ex. 14). The

Example 14, movement 3, mm. 9-10.

\[ \text{melody and bass line move in parallel motion, forming the progression I-v6-vi7-v in B-flat. This progression is repeated in mm. 14-16, with B-flat triads sounding in the brass in mm. 11-13 and 17-20. The B-flat triad is clearly the central point of tonal reference in these first twenty measures, but common-practice procedures are not in evidence, particularly considering the parallel triads in the first seven measures and the minor v chords in the following three measures.} \]

In mm. 21-22 a short motive appears made up of the clarinets
descending in sixths, counterpointed with the bassoon, and moving
harmonically B-flat: I-V-iii-vi-ii-flatVI (see Ex. 15). The deceptive resolution at the end is arrived at when the clarinets on the perfect fifth c-g move to b-flat, and the bassoon moves up a half-step from c to d-flat. This second-inversion G-flat chord at [19] begins the

Example 15, movement 3, mm. 21-23.

only extended section that contains chromatic voice leading in Appalachian Spring. There are some points of dissonance between the melody and harmony such as the C-flat against the B-flat in m. 23. The presence of these dissonant intervals is one indication this section is in a composite G-flat major/minor mode. A mixed major/minor mode is also indicated by the underlying progressions moving from major I to minor iv.

The individual voices in mm. 23-26 seem to be disjointed, without any half-step voice leading at all (see Ex. 16). But if the lower two and upper two voices are examined as pairs, an interesting cross relationship occurs. First in the lower parts, the d-flat in the bass moves to b in m. 24, with the b-flat tenor part moving to d. However,
Example 16, movement 3, mm. 23-26.

if the bass d-flat (c#) were to resolve to d in the tenor, and the tenor b-flat (a#) to b in the bass, chromatic voice leading appears. These cross relations occur in the bass voices from mm. 28 to 29, and from mm. 30 to 31. The same cross relationship can be found in the alto and soprano voices in mm. 25 and 26. The g-flat on beat three in the soprano can move to the g in the alto and back to a in the soprano, while the e-flat in the alto can move to e in the soprano before returning to f# in the alto. The result is both voices move up a half step from beat three to four of m. 25, and then move up a whole step to the downbeat of m. 26.

Many parts of the melody in this section are based on the same intervals, a whole-step enclosed within a perfect fourth. This whole-step/perfect fourth motive is found in m. 23 in the first violin and viola part, the third beat of m. 25 into the first beat of m. 26, and is found inverted in the first violin and viola on the last four beats of m. 25. Looking on to the next seven measures one finds the same motive in the first violin at m. 27, 29, and appearing inverted on the first
three beats of m. 31 (see Ex. 17). The measures in which this motive is altered can also help explain this section. In m. 28, the intervals are compressed, with a half-step enclosed by a diminished fourth. Because this motive lowered the second and third notes to arrive on b-flat, the shift down to b-flat and g in the bass was made smoother. Another form of the motive appears in m. 31 in the violin and French horn parts, where the whole step on the second and third beats is followed by a major third, not a perfect fourth. There is a sense the motive fails short of the expected interval of a fourth, especially when the same pitches return again in m. 32. This time, however, another pitch, g-sharp, is added which extends past the expected interval of a fourth (d-g). The augmented fourth from d-g# helps propel the music forward to the new key area of C-sharp. There is also a half-step voice-leading motion from the d on the third beat of m. 32 which resolves down to the c# on the third beat of m. 33.
This section from mm. 23-33 also seems to be a development of some of the motives found elsewhere in *Appalachian Spring*. The major sixths in the bass form the outer boundary of the many first- and second-inversion chords in the work, including the combined sonorities in the first movement, and the descending chord sequences in the second. The whole step within the perfect fourth is found in the brass motive in m. 24 of the second movement, and can be found later in the oboe motive at m. 30 in the fourth movement.

The clarinets and bassoon at [20] play another short motive similar to mm. 21-22, except this time the deceptive resolution does not occur and the key area stays in C-sharp. Measures 36-37 condense mm. 23-26 into one phrase (see Ex. 18). The second violin motive is the same as mm. 23-24, and the soprano motive is similar to the top voice in mm. 25-26. Looking on to mm. 38-39, the alto voice has the

Example 18, movement 3, mm. 36-39.

![Example 18](image)

same contour as the violin in mm. 27-28 but now it starts on the same pitch as the previous phrase, instead of starting a major sixth
lower, as the violin does in m. 27. Another difference is the addition of the descant part in the first violin which also forms cross-relation voice leading with the second violin.

In mm. 40-41, the cross relations do not occur; instead the soprano voice parallels the alto melody (see Ex. 19). The alto voice in mm. 40-41 is exactly like the melody in mm. 29-30 except the second beat starts up a fourth from the previous note, instead of up a second.

Example 19, movement 3, mm. 40-44.

The bass parts move down a whole step over the span of mm. 36-44, ranging from g#-e# to g-e in m. 40 and then down again to f#-d# in m. 42. This is in contrast to mm. 23-33 where the bass voices move down a fourth during those eleven measures. The change in the bass is necessary to modulate to the intended key. In mm. 23-33 Copland modulates from G-flat to C-sharp and the bass must move down a fourth, whereas in mm. 36-44 the music modulates only from C-sharp to B. The cross relations found in the bass and tenor in mm. 23-33 do continue, though, in the lower voices in mm. 36-44. All the
voices in mm. 42-44 are identical to mm. 31-33 where the modulation to the new key occurs.

The clarinet and bassoon parts in mm. 45-46 are again identical to mm. 34-35 except for the transposition. The clarinet melody from mm. 9-10 returns this time in the oboe part in mm. 47-49, but is still accompanied by the descending chord progression with the minor iv and v chords. The oboe continues with a new motive in mm. 49-51 that starts with a descending fourth followed by three whole steps. The accompaniment does not spell out complete chords, but the effect is B: I6 iv VI I9. These two motives return again in the clarinet and flute in mm. 53-56. This time the new motive is accompanied by four quartal chords that move down in parallel motion with the melody. One final echo of the chromatic section is heard in mm. 57-58 before a flute arpeggio ends the movement.

There are a couple of techniques employed by Copland that are important to understanding the third movement. The first is the use of mixed major and minor mode. This mixed modality is seen early in mm. 9-10 when minor v and iv chords follow a major I chord. It continues with the minor iv chords in mm. 23 and 26, and the A naturals in the melody in mm. 26 and 28 which are a minor third up from the tonic note f#. The mixed modality in movement three could be seen as a development of the suspended chords in the second movement, such as mm. 24 and 53 where the second and fourth scale degrees are suspended without resolving to the third scale degree. In essence, Copland does not clearly indicate whether these are major or
minor tonalities. This ambiguity is one small way that common-
practice tonality is not allowed to take hold for very long. Now in the
third movement, as a contrast to the absence of the third scale degree,
Copland includes major and minor third scale degrees that sound
together in some measures. So the presence of mixed modality in the
third movement could be an outgrowth of ambiguous tonal elements
in the second movement.

One other important technique in the third movement is the cross
relations between voices. It appears Copland wanted to use
chromaticism to contrast the diatonicism occurring in much of the
piece, but may also have wanted to keep the angular skips of the
thirds and fourths found in other sections. His solution was to write
two voices separated by a sixth which move together by half and
whole step. He then inverted certain pitches to disguise the
chromaticism and create more angular skips in each voice (see Ex. 20).
Since these cross relations occur continuously in the lower parts and a

Example 20, movement 3, mm. 38-39.
number of places in the upper parts, it seems unlikely that Copland originally conceived this section with the notes in the arrangement they ultimately appear in the score.
CHAPTER III

KEY RELATIONSHIPS

Movement 4

The fourth movement of Appalachian Spring is one of the longest and contains more key changes than any of the other movements.\(^1\) Some of the key centers are only a few measures long, but each of them has a function in creating the forward harmonic motion that runs through the movement. Each of the points of modulation will be examined to find what common procedures are used and how they are important to the piece as a whole.

The movement begins in the key of B, where the previous movement ended. The motives that open the movement are based on a half-step inscribed in a perfect fourth, a motivic fragment which can also be found at rehearsal [2] in the first movement, and rehearsal [9] in the second movement. The oboe plays this fragment in m. 1 on the pitches e-d#-b on beats one and two, and on the pitches c#-e-f# on beats three and four if the passing tone d# is disregarded. The piccolo in m. 2 begins with the same motivic fragment, except on the pitches b-a#-f#. This half-step within the perfect fourth also appears in many of the modulatory sections of this movement.

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\(^1\) The fourth movement begins at rehearsal [23] with measure 1 and ends with measure 100 at the measure before rehearsal [35].
The first sign that the key area of B may not be stable is the a-naturals in the scale passage in m. 3. The flute in m. 4 also has an a-natural to begin with, but as the scale moves back up the leading tone a# is restored. The first four measures have a tonic pedal, while the next four contain a dominant pedal. The melodic fragments continue in mm. 5-8, followed by a descending pattern in the woodwinds consisting of the melodic fragments from mm. 1-8 (see Ex. 21). This descending pattern in m. 9 contains both half-step/perfect fourth

Example 21, movement 4, mm. 9-10.

fragments seen in mm. 1 and 2, and it also contain two pitches from the IV, I, and V chords respectively. There is a similarity here to the opening sonorities in combining different tonalities together. This descending pattern also serves as a model for upcoming modulatory sections.

The tonic pedal returns in mm. 10-13 when the full four-measure opening theme of the movement is played for the first time by the first violin. The descending pattern returns again in m. 15, only this time the perfect fourth/half-step fragments are followed by
descending thirds that seem to modulate to the key of E major (see Ex. 22). Again, a comparison to the combined sonority can be made with Example 22, movement 4, mm. 14-16.

the descending thirds outlining E and B major chords. Perhaps this descending pattern could serve as a representation for the third-related keys in this work. Just as this descending chain of thirds can stop anywhere to arrive at a new key, so too can a series of third related keys become a chain to reach any other key. This current modulation from B to E major is not a modulation from I to V, but is instead a third-related chain that moves from B major through the pitch g# to reach the desired key of E major.

The melodic fragments from the beginning of the movement return in mm. 16-19, now apparently in the key of E major. There is harmonic instability, though, as the flute and piccolo play scale passages that include a#, the seventh scale degree in B major. The key of B is strengthened in mm. 20-21 as two melodic fragments also are sounded with the a# leading tone. The clarinet in m. 22 removes the a# on beat one, but adds it back in on beat two. Measure 23 finds all the strings and woodwinds playing concurrent ascending and
descending B-major scales, ending on a unison b, which is V of the following E-major material. With so little confirmation of the key of E major from mm. 16-24, one wonders if the entire section from mm. 1-24 is in the key of B major with a transposition of some of the melodic fragments in mm. 16 and 18. The key signature is not as much help as it was in the second movement, because we find the entire section from mm. 1-24 with five sharps, with a change to three sharps in m. 25. So in considering the key signatures, E major is not significant at m. 16 or m. 25.

A new melodic motive is introduced in m. 25 by the trumpet. It is accompanied by an oscillating I ii7 I ii7 pattern in the strings and oboe. The I ii7 pattern continues until m. 32, when the pattern changes to I6 IV I6 IV, and then IV I6 IV I6 in m. 33. These chord symbols are not exact representations of the chords: the I6 chord contains the notes g#, a, and e and the IV chord consists of a, b, and e. The effect of the suspended chords discussed in the second movement seems to be at work here, with certain chords implied but not actually conforming to strict Roman-numeral analysis. In m. 34 a sudden modulation to the key of F-sharp major takes place. The pitches g# and e on the last beat of m. 33 move outwards a whole step to f#, while the a moves up by half step to the a# in m. 34. The chord progression F#: I ii7 V repeats six times from mm. 34-39. The melody in mm. 34-36 is new, but it is built from motivic fragments that have already appeared, such as the half step within the fourth from m. 1 and the octave skips
from m. 2. Starting in m. 37 the opening theme from m. 10 returns, but only sounds for three measures before stopping in m. 40.

Another abrupt modulation occurs on the downbeat of m. 40, this time to an A-major chord. The pitches on the fourth beat of m. 39 are c#, e, g#, and c#. The lowest pitch c-sharp moves down a third to a, while the g-sharp moves up a half-step to a. The other two pitches are retained in the new chord as common tones. It is difficult to determine how this A-major chord functions, because the next 29 measures continue to modulate frequently. The strings play alone during mm. 40-47, employing the half-step/perfect fourth motive seen at the beginning of this movement to modulate. In the following analysis, each measure will be seen to have its own key center as naturals and sharps are added in succeeding measures; within each measure the only chords present are I, IV, and V in the key of that measure.

The half step within the perfect fourth motive alternates between the first and second violin parts, and so the motive will be extracted from both parts in the examples to illustrate its effect in the modulations. In m. 40 the motive only occurs once, on a-g#-e, and does not move on to modulate, leaving the measure in A major (see Ex. 23). The motive is linked twice in m. 41, from a-c#-d to d-f# g-natural in m. 41. This adds g-natural to the measure, and shifts the key to D major. Measure 42 contains the same chain as m. 41, and so remains in D major. The motivic chain moves from a-g#-e to e-b-d#
Example 23, movement 4, mm. 40-43.

Example 24, movement 4, mm. 44-47.

in m. 43, adding g# and d# to the measure causing a modulation to E major. In m. 44 the chain seen in m. 43 is repeated, except as an ascending series instead of a descending one (see Ex 24). Measure 45 modulates to B major when the notes b-a#-f# from the motive appear, adding the leading tone a# to the measure. The first three notes in m. 46, g#-e-a cancel the leading tone a#, while the last three notes, e-b-d# reaffirm the key of E major. Measure 47 contains the motive e-d#-b again, and ends with g#-e-a, which returns to an A-major chord, the dominant of the next D-major section.

The melody introduced by the trumpet in m. 25 now returns in m. 48 played by the clarinets and French horns. This melody is
developed over the next ten measures during a harmonically stable section in D major. The only chords present in mm. 48-53 are I, IV, and V, but more variety emerges in mm. 54-56 with minor iii and vi chords added. The brass, percussion, and piano play accented notes on the upbeat of three and the downbeat of four during these ten measures. The pitches played on these two beats are g and b on the upbeat of three going to a unison a on beat four. The strings outline the I, IV, and V chords in eighth notes through the measure, but join with the brass and percussion on the upbeat of three into four.

A sudden shift into F major occurs in m. 58 when the melody which has been centered around a (V of D) jumps up a third to c (V of F). The melody and accompaniment parts from the previous section remain, but are now redistributed between the instruments. The first trumpet joins the violins and viola on the melody. The oboe, clarinet and timpani play only the accented upbeat of three and beat four, while the bassoon, French horn, second trumpet, trombone, piano, and low strings continue the eighth-note chordal accompaniment. There are a couple of minor rhythmic changes in the melody, but overall mm. 58-61 are virtually identical to mm. 48-51.

The octave c-naturals on the fourth beat of m. 61 move in two directions, with some going up a half step to c#, and others down a third to a-natural on the first beat of m. 62. The modulating chain from m. 40 returns in the violins, with the upper woodwinds and piano playing an A-major scale pattern, and the low strings, trombone and bassoon playing the descending pattern e-d-c#-b-a. Measures 63
and 64 are a repeat of mm. 41 and 42, except all the woodwinds join in on the ascending chain in m. 64. An abrupt modulation moves down a third from the unison d-naturals to B major in m. 65, which works the same way the modulation into m. 62 occurred. Not only is this modulation the same, but all the thematic material in mm. 65-66 is the same as mm. 62-63. The modulating chain returns once more in mm. 67-68 moving from a#-f#-b to f#-c#-e# which produces a modulation to F-sharp major before ending up on beat four with a B-major chord (V of E).

A new section begins at m. 69, but it contains material similar to several previous sections. For example, the E-major triads in the lower instruments are reminiscent of the triads at the beginning of the third movement. The rhythm of three quarter notes followed by an eighth note and quarter note in the bass seems to be a development of the accented eighth/quarter rhythm on the upbeat of three into four in mm. 48-61 (see Ex. 25). Also the melody that

Example 25, movement 4, m. 48 and mm. 69-70.

\[
\begin{align*}
\text{Example 25, movement 4, m. 48 and mm. 69-70.}
\end{align*}
\]

enters in the trumpet and upper woodwinds in m. 73 seems to be a development of the melodic material in m. 48. While there is a skip up
a major third on beat three of m. 48, in m. 74 the skip becomes filled in with a passing tone. The melody shifts down a step in mm. 75-76 as the lower parts move to D major, and then all the parts return to E major in mm. 77-78.

The chords move down a third to C major in m. 79 while the melody moves up to the pitch e, the third scale degree in C major, which mirrors the melody starting on the third scale degree of B in m. 73. In mm. 79-82 there is a two-four measure followed by three five-eight measures, in which the melodic pattern forms a sequence that moves down a step from the pitches f to e, then up a third from e to g (see Ex. 26). After the two-four measure interrupts the pattern

Example 26, movement 4, mm. 80-84.

in m. 83, the sequence continues, moving from b to a to c before returning to b during mm. 84-87. The other instruments in mm. 84-87 form a combination of ascending triads and clusters that repeats twice over the four measures (see Ex. 27). These four measures are an example of pandiatonic writing where there is no real chord structure, and no prominent melody with tonal implications.
Example 27, movement 4, mm. 84-85.

[Music notation image]

The last cluster in m. 87, a-b-d, seems to expand to g#-b-e forming the E-major chord found on the last beat of m. 88. The low strings, bassoon, timpani, and French horn play a dotted-eighth and sixteenth-note rhythm on the pitch b going to an e in mm. 88-89, but the other instruments sound an E-major chord going to a B-major chord. The harmonic effect is a second-inversion I chord moving to V with a tonic pedal, and then to IV, also with the tonic pedal. In m. 90 the V chord over the e moves to a iii chord, then to IV which continues over a b before moving to I on the downbeat of m. 91. There is a sense of an E/B sonority sounding on the downbeats of mm. 89 and 90 when the B-major chords sound over the e in the bass. The cadence into m. 91 is interesting in that tonic is approached from dominant and subdominant at the same time. The bass on the fourth beat of m. 89 moves from b up a fourth to e, while the melody moves from a down a fourth to e.

The melody in this section from m. 88-91 is based on the half-step/perfect fourth motive that appeared in the first measure of this movement. The contours of these melodies are different, however, as
the opening melody moves back up after the three note motive, while the melody in mm. 88-91 continues to unfold down an octave. The first three notes of the melody in mm. 92-94 are based on the trumpet melody from m. 25, where the first note moves down a whole step before skipping up a major third. The rest of the melody in m. 93 is identical to the end of the melody in m. 90. Looking on to mm. 95-96, this melody in the clarinet and bassoon is a combination of the beginning of the previous two melodies. Yet another motive based on earlier material is found in m. 97. The half-step/perfect fourth motive is followed by a minor v6 chord that resolves on I on the downbeat of m. 98. The first-inversion chord employing the two eighths/quarter note rhythm was seen several times in the first and second movements, while the minor v chord was used in the third movement. In m. 99 the oboe plays the motive from m. 9 of the third movement, accompanied by a major I and minor v chord, but the accompaniment goes on to end on a major V chord at the end of m. 100, rather than the minor v that had ended the third movement.

There is much more motivic development in this movement than in any other movement of the work. Although the half-step/perfect fourth motive is found in the first and second movements, it is not used to the extent it is in the fourth movement. A variety of key relationships also make the fourth movement unique. Third-related keys occur frequently, although modulations by fifth also are present. Even rhythmic sections are developed, with syncopated figures and odd time signatures occurring frequently throughout the movement.
Copland seems to use the fourth movement to develop ideas that do not have a chance to evolve in the previous movements because of the programmatic aspects of the work.

Movement 5

The fifth movement contains a number of key changes, but unlike the fourth movement, all of the key changes are related by third. Even though the movement departs from common-practice modulation, it is the most traditional movement in respect to form. The entire movement is composed in an arch form. There is not an exact correspondence in all the sections but the intention seems clear enough. The chart in figure 1 illustrates the different sections and how they compare. The principal departure from the arch form is in m. 99, where another repetition of the main theme should occur between the D material and C material. Perhaps because of the length of the B material between mm. 74-95 where the theme is stated four times, Copland decided to leave out another statement of the theme in

<table>
<thead>
<tr>
<th>Measure</th>
<th>1</th>
<th>18</th>
<th>28</th>
<th>34</th>
<th>44</th>
<th>56</th>
<th>66</th>
<th>74</th>
<th>96</th>
<th>( )</th>
<th>99</th>
<th>110</th>
<th>120</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section</td>
<td>A</td>
<td>B</td>
<td>C</td>
<td>B</td>
<td>D(X)</td>
<td>B</td>
<td>A</td>
<td>B</td>
<td>D</td>
<td>(B)</td>
<td>C(X)</td>
<td>B</td>
<td>A</td>
</tr>
</tbody>
</table>

2 The fifth movement begins with measure 1 at rehearsal [35] and ends with measure 137 at the measure before rehearsal [51].
m. 99. Another statement here might seem repetitious, and could take some emphasis away from the last statement of the theme at m. 110. The other departure from the arch form is indicated by the X's in the chart where extra material appears in mm. 50-55 and 106-109 just before the last statements of the theme in each half of the movement.

A transitional section begins the fifth movement that is a development of the main theme of the movement, which first appears at m. 18. This developmental material is similar to mm. 129-137 at the end of the movement, thus framing the movement with material derived from the main theme. In mm. 1-4 the strings play a B-flat chord followed by an octave e-flat twice, each time echoed by the piano, harp, oboe, and flute on e-flat two octaves higher. The violin plays two descending sixths. a-flat-c and g-b-flat in m. 5, accompanied by an ascending scale from f to b-flat. The progression from ii to V in E-flat major seems to be sounding here. After an octave b-flat is played in the upper woodwinds, piano, and harp in m. 6, the two descending sixths and the ascending scale repeat twice in mm. 7-8. The trumpet and trombone shift down a whole step in m. 9 to form the progression ii-V in D-flat major.

The descending sixths and ascending scale continue in m. 10, when the strings complete the brass progression from the previous measure with the progression V-I in D-flat major, this time followed in the woodwinds, piano, and harp with two d-flats. In m. 12, the trombone plays the same ascending scale from a-flat to d-flat that the
cello just played in m. 10, but instead of descending sixths in the trumpet, a descending fourth a-flat-e-flat is followed by a descending fifth a-flat-d-flat, as in the theme at m. 18. The progression V-I in D-flat played by the brass is the same as at m. 10. The brass continue in m. 13 with a shift up a fourth in m. 12 to play V-I in G-flat major. A unison g-natural sounds in m. 14 in the cello and French horn which breaks up the ii-V and V-I progressions of the last thirteen measures. There is almost the sense of an augmented sixth moving out to V, taking the outer limits of the trombone from the a-flat in m. 12 to the g-flat (f#) in m. 14 moving out to g-natural. The B-flat chord to the octave e-flat in the strings that opened this movement returns in m. 15-16, followed by a major third skip back to the g-natural in the horn and viola. The viola begins playing eighth notes on the g in m. 17 and thus accelerates into the first statement of the main theme in the next measure.

The main theme of the fifth movement is played by the flute and first violin beginning in m. 18 (see Ex. 28). The only instruments accompanying the theme are the bassoon on a sustained g, and the second violin repeating the pitch g in eighth notes. The theme appears to be in C major, a determination supported by the prominent notes in the melody, by the key signature change, and by the accompaniment functioning as a dominant pedal. Besides the pedal, however, there are no other harmonic clues to determine how tonality functions in this section. This lack of functional harmony is similar to the beginning of the second movement, where the melody
Example 28, movement 5, mm. 18-21.

was played in unison. In that case, the harmony was left out to avoid any conflicts when the melody sounded with the chorale theme. Perhaps the same situation is at work in this movement, with the lack of harmonic material necessary to make the theme work in the canon passages in mm. 79-87.

The theme is centered in register on c, with most of the melody moving between g, a fifth above c, and f, a fifth below c. The upper limit of the theme moves up a third from g in m. 18 to a in m. 19, then to b in m. 20 before moving back down to a in m. 21. The lower limit of the theme is reached in m. 22 as the melody skips down thirds c-a-f before moving back up to c. Measures 24-25 are again based on thirds, this time moving down e-c-a in the middle range of the melody before moving back up to g-e-c-e-g in mm. 26-27. As the melody begins moving up in mm. 24-25, the accompaniment begins adding tension with an a now sounding with the g pedal. A cluster of three notes g-a-b-flat sounds in m. 26 for three beats before contracting down to a minor second, g-a-flat, on beat four of the measure.
A short development section begins in m. 28 with the oboe and trumpet (see Ex. 29). The first oboe plays two descending fifths, while the second oboe starts a fourth below it and plays a descending fifth and descending sixth. The rhythm and intervallic skips seem to be based on the opening motive from m. 18. The trumpets play the same pitches as the oboes, but distribute them between the parts so the first trumpet plays two descending seconds with the second trumpet a fifth below playing one descending second. Because of the intervals

Example 29, movement five, mm. 28-31.

\[ \text{Example music} \]

sounded, the trumpet part could be a development of the seconds in mm. 23-26, or simply a reiteration of the major seconds in the accompaniment. The oboe and trumpet motive is repeated in m. 29, then the violins and woodwinds take the descending fifths from the oboe part, and move down from d-g in m. 30, to c-f in m. 30-31, and to b-flat-e-flat in mm. 31-32. The accompaniment returns to g-a-flat on beat three of m. 31 and continues on those pitches until moving to a unison g in m. 34.
The main theme returns in the violins in m. 34 with the viola playing the eighth-note g's. This time the bass enters in m. 35 playing a two-octave ascending scale counterpointed against the descending theme in mm. 36-38. The first change in the theme arrives in m. 40 when the rhythm on the last two beats becomes an eighth and dotted quarter note, instead of two quarter notes. An accompanying line is also added in m. 40 in the second violin and trumpet that is almost a mirror to the theme, starting a fifth below it and moving up as the theme moves down.

A six-measure dissonant section begins in m. 44 when the fifth c-g on the last beat of m. 43 moves outward to form the boundaries of the first three melodic notes b-flat, e-flat, and a-flat (see Ex. 30). On the next three beats the melody moves in to b-flat, d-flat, and g-flat while the cello and French horn move from a unison g to a second f-g. The arpeggiated quartal chord and first inversion g-flat chord repeat in mm. 45-46 before moving down a whole step to g#-b-e in mm. 47-48, and up a half step to a-c-f in mm. 48-49. The cello and French horn also move down to a unison f in mm. 47-48 and up a half step to
f-sharp and a in mm. 47-48, forming a diminished triad with a major seventh each time. The woodwinds and piano also add an additional note, d-sharp, to the last two chords, creating an F half-diminished seventh with a major seventh in mm. 47-48 and an F# fully diminished seventh with a major seventh in mm. 48-49.

Another transitional six-measure section begins in m. 50, but these measures are all diatonic in C, instead of chromatic as were the previous six measures. The upper woodwinds play a repeating obbligato part based on the first four notes of the main theme. The forward motion through the section is achieved mainly by a descending line in the bass, cello, and second trombone. This descending scale moves from b down to e in mm. 50-51, and c down to f in mm. 52-53. The scale continues down to e and d in m. 54, but instead of resolving the scale on c and relieving the tension, the d is reiterated at the end of mm. 54-55, thus increasing the tension. The clusters in the high strings and brass from mm. 50-55 move closer together over the six measures, also increasing the tension. More eighth notes are added to each measure in this section, increasing the rhythmic drive to m. 54 where a quarter note rest delays each chord, and two quarter note rests in m. 55 further delay the last chord. Finally the tension is resolved when after two and a half beats of rest the theme enters moving from g down to c, and the bass, cello, and trombone move up to c in mm. 56-57.

Even though the first violin plays the first four notes of the theme starting in m. 56, the cello goes on to play the next four measures of
the theme with the viola doubling the cello in mm. 57-59, and the bass doubling in mm. 59-60. The theme is repeated in mm. 61-65 by the same instruments, only this time a strictly contrapuntal descant is added in the flute and piccolo. The trumpets in m. 66 play two descending sixths, b-d, and a-c, which are an expansion of the first four notes of the main theme. These descending sixths were used in m. 5 by the violins, and in fact mm. 66-73 are all very similar to the opening section from mm. 5-14. After the sixths in the trumpet transpose up a fifth in mm. 68-69, the final note g becomes the leading tone to a-flats in the woodwinds, piano, and harp. This is similar to the shift from g-flat up to g in m. 14, except the g at the beginning was the fifth scale degree of the subsequent C major material, whereas in mm. 69 and 71, the a-flat is the first scale degree in the upcoming statement of the theme in A-flat major in m. 74.

The descending fourth and fifth is missing from the beginning of the A-flat statement of the theme, as well as the statements at mm. 79 and 83. The cello plays the first four measures of the theme from mm. 74-78 accompanied only by the strings. This statement seems to be cut short by a sudden shift up a third to the key of C major. The cello, viola, oboe, and bassoon start the theme in m. 79, only this time a canon at the fourth enters a measure later in the first violin and clarinet. This statement of the theme is on F but is still in the key of C. The theme on C is modified in mm. 80-81 to prevent the two themes from descending in perfect fourths in m. 81. Another key shift up a third occurs in m. 83 to the key of E major. The same modified theme
in E and canon up a fourth on A is played in mm. 83-86, with the only difference from mm. 79-82 being a redistribution of the instrumentation.

The cello and viola end on g# in m. 87, a third above their starting pitch e in m. 83, but in this instance the g# functions as a dominant pedal to the statement of the theme in C-sharp major by the piccolo. The flute continues the theme in mm. 90-93, with the trumpet finishing it in mm. 94-95. The second violins play octave g's throughout the theme, while the harp alternates between g and a-flat. The quarter note rhythm from m. 44 returns in mm. 96-98, but this time without the quartal chords and the dissonance in the accompaniment. Two first-inversion chords are outlined, moving from a-flat down a whole step to g-flat. A move down another half-step to the first-inversion F chord begins in m. 99 with the flute and oboe starting the motive seen in m. 28. This motive in mm. 99-105 is on the same pitches as before, but with some minor rhythmic differences, with the addition of a first-inversion F chord in the trumpet and violin, and with the addition of the f-g-flat cluster in the accompaniment.

The accompaniment returns to the unison g repeated in eighth notes by the viola at the end of m. 105, then the violins enter in m. 106 on a development of the intervals from the beginning of the main theme. Descending fourths and fifths are alternated along with thirds in the violins from mm. 106-117, and in the trumpet and viola from mm. 111-117. With the exception of these instruments and the
repeated g's in the cello, the entire orchestra plays the main theme in fourths from mm. 111-119. The theme is in C as at the beginning, but is now paralleled a fourth below. Again, there are a few rhythmic changes in the theme, but basically this is only an elaborated restatement of previous material, not a development section.

The material that opened the movement and returned in mm. 66-73 is stated again at the end of the movement from mm. 120-132. The descending sixths, b-d and a-c, heard in the trumpet in m. 66 are played in mm. 120, 121, and 122, each time followed by the octave c's. The transposition up a fifth from mm. 68-69 is also seen in mm. 123-124, but instead of repeating as the trumpet does in mm. 70-71, the b-d and a-c sixths return in the trumpet and French horn in mm. 125-126. A half-step shift up to d-flat is seen in mm. 126, 128, and 130 which is similar to the shifts in mm. 14 and 69, but unlike the previous two times where a modulation occurred, this is only a momentary shift in pitch content.

One might expect the last chords in this movement to be in C major to resolve the many statements of the theme over dominant pedals. Instead, the g-a-b-c bass line is answered by the chord a-c-f-a-c-g in m. 133, which could be seen as an F\(^9\) chord in first inversion, or an F/C sonority without the pitch e. The chords are followed by c-f in the bass line in mm. 133-134, then by f-c in mm. 136-137. There is some sense of a I-IV-IV-I progression in the bass line, but there is no sense of resolution in the chord itself. Perhaps this chord signals the
return of the static material from the first movement that appears in the upcoming sixth movement.
CHAPTER IV

DEVELOPMENT AND VARIATION

The last three movements of Appalachian Spring are important in that they take material presented earlier in the work and present it in a new context. The sixth movement contains melodies that are similar to others found earlier in the work. It also restates the opening material of movement one in a condensed version. The seventh movement contains variations on "The Gift to be Simple" melody. Although the folk melody is not present in previous movements, the harmonic devices Copland uses in the variations are similar to those used earlier in the work. The last movement also contains new material, but like the sixth movement it reprises material found elsewhere in the work. The chorale theme from movement two is restated, as well as a final statement of the opening measures of the work.

Movement 6

The sixth movement is the shortest section of Appalachian Spring consisting of only 34 measures.\(^1\) The opening melody of the movement, beginning on the pick-up notes to m. 1, is similar to

\(^1\) The movement begins with m. 1 at rehearsal [51] and ends with m. 34 at the measure before [55].
several other melodies in the work (see Ex. 31). It starts with two ascending fourths like the chorale theme from the second movement. It then descends using the half-step/perfect fourth motive found in movement four before descending another fifth as the melody in m. 15 of the first movement does. The melody in m. 3 is exactly the same as the second repetition of the chorale theme from mm. 33-36 of the second movement. There seems to be a compound melody present

Example 31, movement. 6, mm. 1-4.

with the f moving up to g, a, then up to c in m. 4, while the other line moves down from f to e, d then a in m. 4. The top voice has the half-step/perfect fourth motive in measure 4 on c-b-g then the lower voice moves from a to c before the upper voice moves down again in m. 5.

The accompaniment in the strings and harp continues the ambiguous chord from the end of the fifth movement that contains a first-inversion F major chord with an added g above. On beat three of m. 1 the f moves to an e creating an A minor seventh chord, which becomes a first-inversion chord when the cello and bass move to c on beat 4. After the same chords are repeated in mm. 3-4, a first-
inversion F-major chord in m. 5 moves to A minor on beat three, and a second-inversion F-major chord on beat five.

After a sudden shift to an E-major chord on the first two beats of m. 8, the strings, bassoon, and flute move to an A-major chord with a major seventh on beats three and four. The progression E-major to an A-major-seventh chord repeats twice in mm. 9-10 in a slightly different voicing from m. 8. The bassoon in m. 12 enters on a b, adding a ninth to the A-major-seventh chord still sounding, which also forms an A/E sonority. This extended chord does not remain, however, as the bassoon plays the b alone in m. 13, then shifts up a half-step to c in m. 14, forming the first note of an A-flat/E-flat sonority. It is interesting to note that the b which was in the middle of the A/E sonority is transposed up a half-step to become the lowest pitch in the A-flat/E-flat sonority.

The A-flat/E-flat sonority unfolds in the strings in mm. 14-15. Measures 14-23 are basically an exact repetition of mm. 4-12 from the first movement, including a shift to a second combined chord, D-flat/A-flat. Measures 24-34 have the same chord progression as mm. 40-50 in the first movement, with the exception of two notes. The first difference is the pitch g sounds in the first violin on beat three of m. 25 instead of an f, and so does not form the ii7 chord found in m. 41 of movement one. The other difference is in m. 28 where an a-flat is played in the second violin instead of a b-flat. The resulting chord (d-flat, e-flat, a-flat, f) is a IV chord with an added second, which resolves as a plagal cadence to the octave a-flat in m. 29. If the B-flat
were present, there would be a greater sense of a V chord in the cadence as is the case in the first movement.

Movement 7

The seventh movement begins with the Shaker melody "The Gift to be Simple" and is followed by four variations of the tune.\(^2\) The original melody in A-flat major is heard in the clarinet in mm. 1-16. A second statement of the melody in mm. 20-36 appears in the oboe part in G-flat major. An augmented version of the melody is sounded by the trombone and viola in mm. 38-62 along with canonical entrances by the trumpet and violin. The second variation in mm. 69-100 is in C major with the trombone counterpointed against the trumpet. A short, condensed variation appears in the woodwinds in mm. 101-116, still in C major. The fourth and final variation is a broad, majestic statement of the melody in mm. 117-134 by the full orchestra.

The key of A-flat major that was established in the sixth movement remains in effect at the beginning of the seventh movement. A solo clarinet plays the first half of the folk melody in mm. 1-8, is joined by the second clarinet in octaves in mm. 9-12, and then competes the melody alone in mm. 13-16. The overall melody has a range of just one octave, which is typical of folk music. Another common characteristic is the predominance of scale-degrees 1, 3, 5, and 2,

\(^2\) The seventh movement begins with m.1 at rehearsal [55] and ends with m.134 at the measure before [67].
which imply tonic and dominant harmonies. In fact, as shown in Example 32, a satisfactory harmonization of this melody is possible using only I and V chords. As will be seen in each occurrence of the melody, however, Copland avoids this harmonization and instead creates several other tonal contexts in which to place this folk melody.

The accompaniment for mm. 1-16 consists of flute, piccolo, and harp sustaining octave e-flats and a-flats during the clarinet melody. The e-flats predominate, appearing for over twenty-five beats compared to the a-flats, which are sustained for just over six beats during the sixteen measures. The effect of these e-flats is that of an inverted dominant pedal point above the melody. There is some sense of the progression V-I in mm. 4-5 and m. 8 for example, but because the accompaniment is only doubling the a-flats in the melody in these instances, there is no more sense of the harmonic background than what the scale degrees in the melody already imply. Measures 14-16
have a more solid I-V-I progression, with the pitches c and e-flat in
the melody forming a complete I chord with the a-flat in m. 14 and
the b-flat in the melody in m. 15 sounding the fifth of a V chord with
the e-flat.

A sudden modulation to G-flat major occurs in mm. 17-18, when
the octave a-flats on beat two of m. 17 move to g-flat and b-flat on
beat one of m. 18 and g-flat and d-flat on beat two. The pitches d-flat
to g-flat signal a V-I progression in m. 19, after which the oboe and
bassoon enter with the melody in tenths in m. 20. The oboe melody is
an exact repeat of the previous clarinet melody with no variations. In
mm. 20-27 the trumpet plays the same sustained tonic and dominant
pitches as the flute, piccolo, and harp did in mm. 1-16, and the flute
and French horn continue these pitches in mm. 28-35. The pitches in
the trumpet and French horn in mm. 20-35 are now below the oboe
melody, and so true dominant and tonic pedals occur under the
melody.

At first the bassoon part in mm. 20-35 might seem to be strictly an
embellishment of the melody, paralleling it a tenth below. However,
along with the pedal points in the brass and the melody, the bassoon
pitches form a series of chords, some of which appear functional. For
example, the third to fourth chord in m. 20 spells a V-I\textsuperscript{6} progression,
and m. 22 contains pitches from a V chord, both of which might be
seen in a traditional harmonization as in example 33. These chords
are isolated instances though, and occur along with non-functional
progressions, and non-tertian chords. Two examples of non-tertian
chords are the cluster d-flat, e-flat, and g-flat found on the downbeat of m. 20 and the cluster g-flat, a-flat, and c-flat found on the last part of beat one in m. 33. These clusters are an important element in the accompaniment of the next section. They also show how Copland, even in stating the folk melody without variation, has already transformed the accompaniment away from common-practice techniques by using clusters along with tertian chords.

The first variation of the folk song melody begins on the upbeat before m. 38 in the trombone and viola. The melody in this variation is half the speed of the previous melody, sounding with quarter and eighth notes instead of eighth and sixteenth notes. In m. 46 the French horn and violin enter in a canon with the trombone and viola. There is a false entrance of a third voice in the canon when the bass and cello enter with a fourth in mm. 48-49 that seems to echo the melody, but instead continues in an accompanimental role only. The violin and French horn in mm. 46-62 complete the entire first half of the folk song melody. In m. 52 after the trombone and viola complete the first sixteen measures of the folk melody, there is a scale-wise line which leads back to another statement of the first eight measures of the melody in mm. 55-62.

The accompaniment during this canonical section begins in m. 36 and lasts until m. 62. There is no harmonic progression at all, but instead only movement between different elements from the extended chord shown in Example 33. This group of pitches is similar to a C-flat/G-flat sonority with the addition of the a-flat. It also
Example 33, movement. 7, pitches from mm. 36-62.

contains all the pitches of the G-flat scale with the exception of the leading tone f. The effect of this extended chord is to create a static harmonic region in which the folk-song melody sounds.

There are several different accompaniment patterns in mm. 36-62 that form the extended chord. In the woodwinds, piano, and second violin in mm. 36-46 there is an alternation between the pitches d-flat-g-flat and e-flat-g-flat, giving a sense of the cluster d-flat-e-flat-g-flat which was seen in m. 20. The harp in mm. 36-62 arpeggiates triads from the extended chord, including G-flat major, E-flat minor, and C-flat major. The flute and clarinet in mm. 47-54 alternate between a second-inversion E-flat minor triad and an A-flat minor triad. In mm. 55-62 the flute and clarinet change again, now alternating between the cluster d-flat-e-flat-g-flat and the cluster g-flat-a-flat-c-flat-e-flat. Even though Roman-numeral analysis could be used to identify these various chords as I, vi, IV, ii7, etc., the result would have little meaning: these chords do not progress from one to
the other but rather exist as one sonority, the extended chord identified in example 34.

The seven measures starting at m. 63 are used to modulate to C major before the second variation of the folk melody begins in m. 69. A second-inversion C-flat chord is emphasized in the cello, second violin, and bassoon, but a sense of the G-flat chord is still carried in the flute and doublebass. It is important to understand how each pitch is functioning when the modulation to the key of C major occurs. On the last beat of m. 66, the bassoon and second violin parts have the pitches c-flat and d-flat. The c-flat moves up to c by half-step, and the d-flat skips up a minor third to e in m. 67. The c-flat (b-natural) to the c is the only leading tone motion at the point of modulation. The cello skips down a tri tone from d-flat in m. 66 to g in m. 67, the flute and oboe skip up a major third from e-flat to g, and the clarinets skip down a minor third from e-flat to c. There seems to be a combination of a chromatic shift from a C-flat major triad to a C-major triad along with a tri tone shift from the pitches d-flat to g in the cello. There also is a tri tone shift from the first variation's key area of G-flat major to the second variation's key area of C major.

The second variation of "The Gift to be Simple" melody lasts from mm. 69-100. The trumpet plays the melody in mm. 69-84, and then is joined on that part by the oboe and clarinet in mm. 85-100. A contrapuntal line against the trumpet melody appears in the trombone part in mm. 69-84, and in the trombone and French horn parts in mm. 85-100. The only other instruments in this section are
the violin and viola which play short scale-wise flourishes in mm. 79-84 and mm. 93-100. The tempo of this variation is the same as the first statement of the melody, which is twice as fast as the previous variation.

A large portion of the contrapuntal parts between the trumpet and trombone are quite traditional in nature. Measures 69-72 and mm. 77-80 contain two voice exchanges, parallel tenths and a parallel sixth moving to a third. Also, every interval in mm. 85-96 is a consonance with the exception of the fourth in m. 92. There is some nontraditional movement including parallel fifths in mm. 73-74 and mm. 96-97, and consecutive dissonances in mm. 81-82 and mm. 96-98. Despite the passages that do not follow the traditional practice of counterpoint, this variation could still be seen to function as in Example 33, implying simple tonic and dominant harmony.

The third variation in mm. 101-116 is still in C major and contains elements from other variations compressed together. The cello and bass parts are a simpler version of the bass line in the next variation, sustaining the same pitches found in mm. 126, 128, 130, 132, and 133. In mm. 110-116, the first flute and clarinet are counterpointed against the second flute and bassoon in a similar manner to mm. 93-100 in the second variation. The first clarinet part in mm. 101-104 contains the second half of the folk melody, while the bassoon contains the first half of the folk melody in the same measures. By mm. 105-109, however, the bassoon and second clarinet move to an
accompanimental role, as the first clarinet and oboe continue the second half of the melody.

The fourth and final variation, also in C major, lasts from m. 117-134, and is written for full orchestra (see Ex. 34). The contrapuntal voices from the second variation return accompanied by an expanded version of the bass line seen in the third variation. The trumpet melody seen in mm. 69-84 now appears in the flute, first clarinet, trumpet, and first violin, while the trombone part from mm. 69-84 appears in the oboe, second clarinet, French horn, second violin, and cello. As was stated previously, even with some of the dissonances that appear between the melody and the contrapuntal line, these voices could be harmonized adequately with the tonic and dominant chords in example 32. However, the bass line that appears in the Example 34, movement 7, mm. 118-125.
bassoon, trombone, timpani, harp, piano, and doublebass in mm. 118-134 does not conform to this I-V harmonization, and does not always support the pitches it is harmonizing.

Let us examine the bass line in mm. 118-125 more closely to see how it functions in this variation. It begins on the pitch c in m. 118 forming a I chord along with the two upper voices, then moves to a in m. 119, creating a vi chord that could still harmonize the upper voices. When the bass moves to f in m. 120 implying a IV chord, however, the e and g in the upper voices are no longer chord tones. The bass lower voices move in parallel octaves in mm. 120-121 from f to g, where a I six-four chord on the first beat could be implied, but the bass line does not function tonally in the remainder of the measure. The bass line is also not functional in mm. 122 and 124, and in mm. 123 and 125 the bass simply doubles one of the upper voices.

The bass line in mm. 126-133 also seems independent of the two upper voices (see Ex. 35). The bass pitches in the even numbered measures appear to be structural while the pitches in the other measures seem to be passing tones between the structural pitches. The c in m. 126 implies a I chord, the a in m. 128 provides a bass for a vi7 chord, and the f in m. 130 could be part of a V4 chord. The progression in mm. 132-133 seems clearly to be IV-ii7-I. In m. 127, however, the b natural in the bass implies a V6 or a vii diminished, but the upper voices still seem to be part of a I chord. There could be an argument for the progression 6 4 4 in mm. 129-130, except that
Example 35, movement 7, mm. 126-133.

the upper voices move to intervening notes between these two chords. Finally in m. 131, it is difficult to identify the implied chord, except perhaps a iii\(^7\) on the last beat.

Even if a chord label is attached to each measure in this variation, there is still not a functional progression to link them together. It seems more likely that the scale-wise motion in the bass in mm. 122-125 and mm. 126-133 is more important in creating forward drive in this variation than the harmonic content. The bass line in mm. 118-120 can also be seen moving down by thirds as the melody moves up by thirds. Perhaps after several instances where extended chords have been used to restrict harmonic motion, now the unfolding of a I chord in the melody over a IV chord in the bass is an example of an extended chord being used to advance the harmonic motion. Another possibility is that the bass movement down in thirds is a small scale model of the larger scale key modulations by thirds throughout this work.
**Movement 8**

The eighth and final movement of *Appalachian Spring* begins with a new theme introduced by the strings in the first 18 measures. This theme is played by the woodwinds alone in mm. 19-27, and then by the strings and woodwinds in mm. 27-35. The chorale theme from the second movement returns in mm. 36-51, then the arpeggiated triad in the clarinet from mm. 2-3 of the first movement returns again in mm. 52-54. Finally, a C/G sonority is played by the strings in mm. 56-59 before the harp and orchestra bells play an ascending third from e to g. There are no parts for brass in this movement, with the exception of a nine-measure French horn part in mm. 27-35.

The first-violin theme in mm. 1-18 seems to be in the key of C major with the exception of the e-flats in mm. 6 and 15, but the accompaniment is more difficult to classify (see Ex. 36). There is a mixed modality in the accompaniment, with chords appearing from the keys of C major and C minor (or perhaps E-flat major). The upper three parts are largely second-inversion triads, but the bass does not always support these chords. For example, the third beat of m. 1 has a D-minor chord in the upper parts, but the g in the bass does not agree with that chord. Another example is in m. 5, where a C-major chord is followed by B-flat major, but the f and g in the bass change how these chords function.

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3 The eighth movement begins with m. 1 at rehearsal [67] and ends with m. 62 ten measures after rehearsal [73].
This opening section of the eighth movement is similar to the third movement, where minor iv and v chords occur after a major I chord, and major and minor third scale degrees sound together in some measures. What is different in this eighth movement is that the chords from the keys of C major and C minor are employed more for their coloristic effect rather than for their functional implications. The same pitch in the melody may be harmonized with various chords to allow different effects. For example, the pitch f in the melody is first harmonized with a D-minor chord over g in the bass in m. 1, then with a D-minor chord in m. 2, with a D-flat major chord over g in the bass in m. 3, and finally with an F-major chord in m. 4. These chord
changes do not affect the harmonic progression, but rather provide momentary changes in the harmonic color. There is actually no real harmonic progression at all, because many of the chords merely parallel the motion of the melody, and do not drive to a harmonic cadence.

The theme is transposed up a fifth in mm. 19-26 when it appears in the woodwind choir (see Ex. 37). It is difficult to determine whether this transposition should be interpreted as a modulation to G minor, B-flat major, or whether it remains in C major and simply emphasizes chromatic scale degrees. As in the previous 18 measures, there is no harmonic progression here to provide a context for identifying a dominant key area. There are more parallel chords in this section than in the first section, with five parallel chords in the upper three
voices moving down from B-flat to E-flat in mm. 20-22 and mm. 24-26. The theme returns to its original transposition in mm. 27-35 when the strings return to join the woodwinds. These nine measures are virtually identical to mm. 10-18 with the exception of the cadence. In mm. 16-17 a deceptive resolution occurs from V-VI in the key of C major, while in mm. 33-34 an authentic cadence in C major occurs from V-I.

The chorale theme that appeared in mm. 30 and 86 of the second movement, and briefly in mm. 3-4 of the sixth movement returns in mm. 36-51 in the eighth movement. The structure of the theme here is exactly the same as its first appearance in the second movement, with similar first, third, and fourth repetitions and an expanded sequence of chords in the middle of the second repetition. In m. 52, the arpeggiated triad in the clarinet that opened this work returns, followed by a C/G sonority in mm. 56-59. The work closes with an ascending third in the harp and orchestra bells from e to g in mm. 60-62. Even though most of the movement contains new thematic material, the return of the material from the first and second movements provides a satisfying conclusion to the movement and the work as a whole.
CONCLUSION

Now that a thorough examination of *Appalachian Spring* has been made, let us try to extract some general techniques that are important through the work. One technique is the use of harmonic language to create static and dynamic sections in the work. A related technique is tonal material being employed in non-traditional ways. Also third-related key areas are more common than key areas related by fifth. Each of these elements helps shape this work, and can be used to compare *Appalachian Spring* to other Copland works of the same period, as well as to works of other composers.

The static nature of the first movement is due in large part to the unique qualities of the extended chords. Because the leading tone is present in the same chord as its note of resolution, the normal expectation of voice leading is suspended. There appears to be a harmonic progression between the two combined chords, but a closer examination reveals that both chords are extensions of the A-major triad and do not progress from one to the other. The combination of the extended sonorities with traditional melodic elements in the first movement is one of the many areas in the work where the character of a melody is changed when non-traditional harmonic techniques are juxtaposed against it. One example is the opening melody of the second movement appearing in mm. 19-23 over an F/C sonority. The result is the harmonic implications of the melody are weakened by the static nature of the extended chord.
result is the harmonic implications of the melody are weakened by the static nature of the extended chord.

Other static sections are found in later movements. The main theme of the fifth movement is sounded over a dominant pedal, under a repetitive accompaniment, and in canon with itself. In each of these cases there is no common-practice harmonic motion, even though the melody itself implies a traditional harmony. The melody at the beginning of the sixth movement also implies a traditional harmonic background, but an extended chord sounds below it, diminishing the harmonic motion. The same is true for the first variation of the folk song in the seventh movement, where a melody with clearly harmonic implications becomes static when another extended chord is arpeggiated above it.

Not only is non-traditional harmonic language used to create static sections in this work, but it is also used to create harmonic motion without traditional progressions. One example is the descending chord sequences found in mm. 5-11 and several other sections of the second movement, which create forward motion without common-practice progressions or cadences. Another example is the transitional sections in the fifth movement, such as mm. 44-55, where both chromatic and diatonic passages create harmonic drive without traditional techniques. An additional example is the fourth variation of the folk song in the seventh movement where the bass line creates a non-traditional progression that still has forward motion.
The previous examples have highlighted how non-traditional harmonies have been used to create static and dynamic areas in *Appalachian Spring*. There are also several areas where tonal material can be found, but it is applied in unique ways. For example, the chorale theme in the second movement is built over a common-practice chord progression, yet there are successive dissonant intervals between the bass and melody, and the melody itself contains two consecutive leaps of a fourth. The melody that begins the third movement is tonal in nature, but is accompanied by minor v chords. A third example is the beginning of the eighth movement where a tonal melody is accompanied by a series of chords, the majority of which are traditional on their own. However, the chords are taken from the keys of C major and C minor and often move in parallel motion, and so do not constitute a traditional harmonic progression.

There are a large number of key changes in this work, with many of them related by thirds, although keys related by fifth are also present. Some of these third-related key areas create a continuing harmonic drive through their sudden modulations. For example, in mm. 48-62 of the fourth movement the repeating I, IV, and V chords are given direction when the key jumps from D major, to F major, and then to A major. The same is true in mm. 74-95 of the fifth movement, where the key modulates from A-flat major, to C major, E major, and then to C-sharp major. These sudden modulations are necessary to maintain the forward motion in this section where the melody has previously been accompanied by a static pedal.
The third-related key areas also operate on a larger scale as links between broad sections of the work. For example, the first half of the second movement is generally in the key of A major, but after a modulation through the descending chord sequence in mm. 49-51, the second half of the movement is in the key of F major. The fifth movement is in the key of C major, with the exception of the quick key changes mentioned above. After some tonally ambiguous measures at the beginning of the sixth movement, the music modulates down a third to A-flat major, where it remains for the first sixteen measures of the seventh movement. Of course, the opening material in A major from the first movement returns at the end of the last movement in the key of C major. The chorale theme from the second movement in A major also returns in the eighth movement in the key of C major.

There may be some justification to see these large-scale third-related key areas as an outgrowth of the stacked thirds that comprise many of the prominent tonalities in Appalachian Spring. The opening sonorities are ultimately inversions of two stacked triads, or five pitches stacked in thirds. Other extended chords in thirds occur between the fifth and sixth movements, and during the first variation of the folk song melody. The structural bass pitches under the chorale theme in mm. 37-38 of the eighth movement are e-g-c, while the structural bass pitches during the last two variations of the folk song melody in movement seven are c-a-f-d-c. The folk song melody itself outlines the thirds c-e-g-e in its first four measures. Also the clarinet opens and closes the work with a broken triad. Perhaps these
prominent stacked thirds are simply the result of a strong connection to tertian harmony, with the third-related keys being an extension beyond common-practice key relations by fifth.

The static and dynamic areas, non-traditional harmonies, tonal material used in unique ways, and third-related keys are all important elements in the structure of Appalachian Spring. Now that the major tonal and harmonic elements have been reviewed, let us try to draw some conclusions about this work. The harmonic language Copland creates in Appalachian Spring is a mixture of traditional and non-traditional elements. The majority of melodies and chords employed in this work are tonal, even by common-practice standards. However, when these melodies are joined together, they rarely follow common-practice techniques.

There are sections of the work which seem to employ twentieth-century techniques, such as pandiatonicism. While this might be true in isolated sections, there are too many key changes and too much chromatic leading-tone motion in the work as a whole to consider it to be pandiatonic. The model of the double-tonic complex also looks viable considering the third-related keys in the work. Although many of the key areas in the work are related to A major or C major by third, there are enough exceptions, including the key areas of B and B-flat major, to cast doubt on any claim that a double tonic complex is at work in this work in some exclusive sense.

So if Appalachian Spring is not tonal in a traditional sense, is not pandiatonic, is not highly chromatic, and does not employ a double-
tonic complex, perhaps there is not an existing label to place on it. In trying to express his complex harmonic ideas in a simple style, maybe Copland ended up with a work that does not fit into any previously established mold. This may be what makes \textit{Appalachian Spring} a significant work: it is individualistic. It embodies the essence of the American character through its free use of materials, creating a unique example of tonality in twentieth-century music.
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