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Melodic Diminutions

This chapter introduces the student to a number of concepts essential to the work presented later in the book. In particular, it sets out those concepts within a Schenkerian orientation, emphasizing the differences between that orientation and the more conventional one in which basic components of musical structures are often accorded a perfunctory and mechanical treatment.

The present discussion is not intended to serve as a substitute for a thorough grounding in harmony and counterpoint. Rather it should be regarded as a combination of review and reorientation, in which certain fundamental ideas, terms, and analytical notational devices are presented, providing a firm basis for the far more comprehensive work to follow, and preparing the student to make the structural distinctions that underlie a good Schenkerian analysis.

Many of the ideas introduced in this chapter are brought in again in later sections of the book where they will be understood more directly in the context of the Schenker approach.

The topic of this chapter has a long history in the pedagogy of music, as will be illustrated below. First, however, a brief explanation. The term *diminution* refers to the process by which an interval formed by notes of longer value is expressed in notes of smaller value. The various kinds of musical events involved in this “diminishing” process are known collectively as *diminutions*, and they comprise the *passing note* (P), the *neighboring note* (N), the *consonant skip* (CS) and the *arpeggiation* (Arp), as well as subspecies of these.

The term diminution derives from the Italian word *diminuimento*. We can see precisely what it means by looking at a historical example, an illustration

from an early Italian treatise on diminution which was used to train singers to improvise embellishments of vocal lines (*passagi*).¹

Example 1 is taken from the first part of Bovicelli's book, in which he gives a systematic treatment of the diatonic intervals, illustrating in great detail how each interval formed by long notes may be expressed in notes of smaller value. Here we see four of the ways in which the ascending fifth D-A can be embellished.² (In all, Bovicelli offers twenty-four different diminutions of this fifth.)

EXAMPLE 1. Giovanni Battista Bovicelli, *Regole Passagi di musica* (1594)



In the first diminution of the ascending fifth, the top note, A, is approached by a motion that spans the third F-G-A, partially filling out the large interval. In the second diminution, the voice skips away from D to F, then returns before proceeding upward to complete the fifth. Then, in the third diminution, we see a complete stepwise motion between the first and last notes of the interval; and the remaining diminutions of the fifth are variants on this stepwise completion.

The English-language equivalent of the term diminutions is *divisions*. From an English treatise dating from 1659, we see that the tradition of systematic and explicit teaching of diminution technique is indeed a long and honorable one.³ The process with which Simpson's treatise is concerned is "breaking the ground," which he describes as follows: "Breaking the ground (a melodic bass figure) is the dividing its notes into more diminute Notes. As for instance, a Semibreve may be broken into two Minims, four Crotchets, eight Quavers, sixteen Semiquavers, etc."⁴

Example 2 is one of a large number in Simpson's book illustrating model divisions of a ground. For better legibility the notation has been transcribed in accordance with modern practice and the notes of the ground are aligned to coincide with those of the divisions (diminutions).⁵

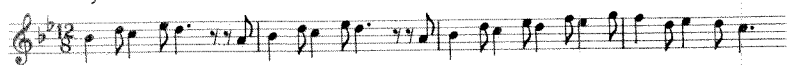
The diminutions on the lower staff of Example 2 follow the five-note pattern repeated in the ground (a melodic sequence). Thus, in the diminu-

1. Giovanni Battista Bovicelli, *Regole Passagi di musica* (Rules of Musical Embellishment), Venice, 1594. Published in facsimile by Bärenreiter-Verlag, Kassel and Basel, 1955.
2. *Ibid.*, p. 20. The example has been transcribed into modern notation.
3. Christopher Simpson, *The Division-Viol or, The Art of Playing Extempore upon a Ground*, 2nd ed., London, 1665. Published in facsimile by J. Curwen & Sons, London, 1955.
4. *Ibid.*, p. 28.
5. *Ibid.*, p. 56.

EXAMPLE 2. Christopher Simpson, *The Division-Viol* (1665)



c. Rhythmic reduction



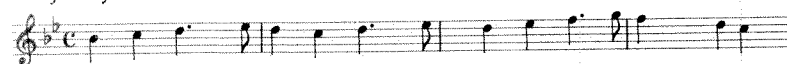
d. Analysis using stem and slur notation



e. Further analysis of the theme



f. Rhythmic reduction of the theme



Beginning with m. 2 of Example 3*b*, the diminution which originally served as a *suffix* to the main note of the theme is also to be construed as a *prefix*. Thus, the quarter note D of the theme *a* in m. 2 is represented by the diminution B \flat -C-D. And in m. 3 the prefix-type diminution applies to the first three notes of the theme, as indicated by the diagonal lines of the illustration.

Example 3*c* omits the eighth-note passing tone to produce a *rhythmic reduction* of the first phrase of the theme. Here in m. 1 the reduction omits the passing eighth notes (P) shown at *b* and enlarges the first eighth note to a quarter and the fourth eighth note to a quarter to reveal the simpler underlying pattern. This procedure continues systematically for the remainder of the excerpt. Rhythmic reduction will be used frequently and to good advantage in subsequent portions of this book (e.g., in Chapter 7).

In Example 3*d* we abandon meter and barlines and introduce elementary analytic notation consisting of the stem and the slur. These symbols have special significance in Schenkerian analysis, since they provide a lucid way to represent relations among the pitches of a tonal configuration, in this case a melodic line. This process of differentiation is unequivocal in the case we are now considering, for we can refer to the basic structure of the theme in making analytic decisions. Thus, the stemmed notes are the notes of the theme as first revealed in the rhythmic reduction. (Compare 3*d* with 3*c*.) Slurs indicate *dependency*. The D attached to the initial B \flat is dependent upon that note, just as the subsequent E \flat is dependent upon C. With only stem and slur notation, it is possible to achieve a correct and convincing basic analysis from which a more refined reading may be obtained, using the full repertory of Schenkerian symbols which will be introduced gradually in the presentations that follow.

Since the variation can be subjected to analysis to reveal its relation to the theme, it seems reasonable to assume that the theme itself can undergo the same process. This is shown in Example 3*e*. To understand the analysis given there, it is necessary to introduce another basic type of diminution, the *neighbor note*.⁷ The neighbor note, in its *complete* form, departs from the main note, the note upon which it is dependent, and returns to it. A good example of this is the lower neighbor note C in m. 2, which stands between two statements of D, the main note in this context. The reader can easily verify for himself that all the neighbor notes in the theme are of the complete type. For example, the upper neighbor note E \flat at the end of m. 1 stands between two statements of D.⁸

Example 3*f* displays a rhythmic reduction of the theme, omitting or, rather, absorbing the diminutions which are operative within the theme itself. This final part of the rather large example is crucial, for it embodies one of the basic concepts of Schenkerian analysis: The elementary types of diminutions, such as the passing and neighbor notes introduced thus far, may and do occur in durationally expanded form; they are not restricted to the durations of short notes. Here (Example 3*f*) it is apparent that the passing note C in m. 1 has the duration of a quarter note. It is still a passing note, however, since it connects the two notes that form the tonal interval of a major third from scale degree $\hat{1}$ to scale degree $\hat{3}$, an interval which has structural priority here since it is a member of the tonic triad.⁹ Similarly, C in m. 2 is a lower neighbor note to D, although it has full *metrical value*, the duration of a quarter note.

Example 4 gives the notation for the first variation by Brahms on Handel's *Air in B \flat* . Here the lower neighbor note of the complete type is the characteristic diminution in the upper voice, while consonant skips involving sixteenth notes characterize the diminutions in the lower voices. (The deeper significance of repeated skips of this type will be taken up in the section on compound melody in Chapter 2.) Here, where the complete context is given—not just the upper voice, as in Example 3—a fundamental principle of Schenkerian analysis is illustrated in the most lucid manner: *The function of a note is determined by its harmonic and contrapuntal setting*. Thus, in the first beat of the first measure the upper-voice A must be read as a lower neighbor

7. The terms neighbor note and neighboring tone are interchangeable. The neighbor note is also known as the auxiliary note (tone).
 8. A neighbor note is characterized by its placement with respect to the note upon which it depends as either upper or lower. A passing note is described by its direction in the configuration as either ascending or descending.
 9. Scale degrees here and elsewhere are given as numbers with carets. We assume that the reader is familiar with the primal position of the tonic triad within the tonal system. See the section Harmonic Relations in Chapter 5.

note between two occurrences of B \flat because the harmony governing that quarter-note duration is the B \flat triad (I), and A can only be dependent upon B \flat , since it is unsupported.¹⁰ Within the second quarter note of the first measure, however, B \flat is the dependent lower neighbor note between two occurrences of C, because here C is the main note, as defined by the F triad (V) that governs that duration. One more fact requires emphasis here: C itself, on the second quarter, is a passing tone between B \flat and D in the theme, for it is a durational expansion of the passing-note type (recall Example 3*f*). This function too is supported by the harmonic and contrapuntal context, for the F triad (V) on the second quarter note of the first measure is structurally dependent upon the two B \flat triads (I) which surround it. Corresponding to this structure, in the upper voice, the structural interval is the third from B \flat to D. Consider how disorienting it would be if one were somehow to understand B \flat on the first quarter as lower neighbor note to C on the second quarter and the following D on the third quarter as the upper neighbor to C. This would effectively destroy the coherent tonal relations presented at the beginning of the theme, even placing in jeopardy the integrity of the tonality (B \flat) itself.

EXAMPLE 4. Brahms, Variation 1 on Handel's *Air in B \flat*



As the second example of theme and variation, Example 5 presents, at *a*, the first two measures of J. S. Bach's *Aria variata alla maniera italiana* (BWV 989), together with his third variation on that portion of the aria, *b*, a rhythmic reduction in eighth and quarter notes, *c*, and analysis using slur and stem notation, *d*.

Let us first consider the diminutions and expanded diminutions in the variation theme (*Aria*) itself. The upper voice begins on the tonic note, A, which is then supplied with the lower neighbor note G \sharp , followed by A, to form a complete neighbor-note figure. On the fourth eighth note, B, the upper neighbor of A, enters. Since there is no return to A, this neighbor note is described as an *incomplete* upper neighbor note. To make the description complete, one would also want to observe that the neighbor note follows the

10. The expressions "harmonic tone" and "nonharmonic tone" are best avoided, here and elsewhere. They are misleading since they do not acknowledge the existence of structural levels in the Schenkerian sense. However, the reader does not have to concern himself with levels at present, since that concept will develop in a natural way as we proceed.

Example 5. Bach, *Aria variata* (BWV 989)

a. Aria



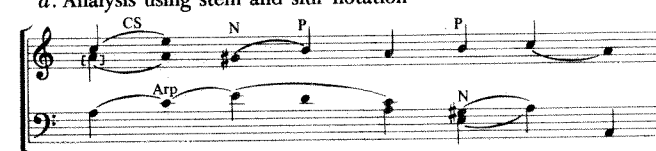
b. Variation 3



c. Rhythmic reduction



d. Analysis using stem and slur notation



main note here. That is, it is of the suffix, not the prefix type.¹¹

In the second measure an expanded passing note B connects A to C with traditional embellishments indicated by symbols and small notation. These fixed embellishments are, of course, themselves diminutions which belong to the outermost surface of the music. For example the small note F \sharp near the end of the first measure is a *descending* passing note. Notice that the bracketed skips in the first measure are only incidentally consonant skips. The direct motion from A to G \sharp in the soprano is interrupted by the upper neighbor B. Compare *b* and *c* at this location in the music: the progression A-G \sharp occurs there without interruption.

Variation 3 (Example 5*b*) introduces complicated diminutions, the components of which are labeled. The upper voice of the variation does not begin on A, but on C, which lies a consonant third above it. The reason for this will be suggested below. On the first two beats of the upper voice in the second

11. Incomplete upper neighbor suffixes are not uncommon. Incomplete lower neighbor suffixes, however, are quite rare. See the section The Neighbor Note as Motive, below.

measure is a figure composed of incomplete upper neighbor and incomplete lower neighbor, of suffix and prefix types respectively. The figure is complete, since the main note delimits it on both ends. The rhythmic reduction *c* removes the neighbor-note diminutions and restores the full quarter note value to the main notes A and B. A similar complete neighbor-note figure is the traditional turn—for example, B–A–G#–A.¹²

The rhythmic reduction shown in Example 5c reveals an underlying design that is not immediately apparent in Variation 3c: the succession of three thirds, bracketed in the example. The first of these comprises the motion from C to E through the passing note D; the second is the motion from G# to B through the passing note A; the third and final motion is from A to C through the expanded passing note B. The latter, of course, is part of the original melodic theme. Thus, it seems likely that the composer prepared the final third by the two faster preceding thirds, hence began the variation melody on C rather than on A. In the analysis presented in Example 5d, a further differentiation is effected; with the omission of the passing eighth notes in the upper voice of *c* the opening C has attached to it the consonant skip to E, and the next important structural note in the line, B, is introduced by the consonant skip from G#. The bass, subjected to analysis, begins with an arpeggiation (Arp) of the A-minor triad.

Beginning in Chapter 7, the reader will be given more detailed and cogent reasons for analytical decisions such as those made in Example 5d. For the present we are concerned to demonstrate the role of diminutions in elaborating and otherwise transforming more basic structures. By reversing the diminutions process a convincing analysis revealing an even more basic structure is produced, as in Example 5d.

To conclude the discussion of Example 5, it is important to make a general observation, namely, that diminutions often displace the notes upon which they are dependent, sometimes causing musical elements which belong together to occur in different temporal locations. There is an example of this in the first four notes of the bass line in Variation 3 (Example 5b). The rhythmic reduction at *c* shows that the bass note B, a passing note, belongs together with the D of the upper voice, also a passing note. However, the diminution of A by the complete neighbor-note figure A–G#–A in sixteenth notes causes the bass note B to be displaced by one sixteenth note, that is, by the second A, which completes the neighbor-note pattern.

The third and final illustration of diminution technique as practiced in the traditional theme-and-variation genre is given in Example 6. This shows a portion of the theme of the third movement of Beethoven's *Ninth Symphony*, *a*, the corresponding segment of the first variation, *b*, a rhythmic reduction to

EXAMPLE 6. Beethoven, *Ninth Symphony*, III

a. Theme
Andante molto e cantabile

b. Variation 1

c. Rhythmic reduction

d. Analysis using stem and slur notation

The musical notation consists of four systems, each with a treble and bass staff. System *a* shows the Theme in 3/4 time, marked 'Andante molto e cantabile'. System *b* shows Variation 1, which is a rhythmic reduction of the theme, with notes marked with 'P' (passing) and 'N' (neighbor) and some with 'CS' (consonant skip). System *c* shows the rhythmic reduction of the variation, with notes marked with 'N', 'CS', and 'P', and some with '(App)' (appoggiatura). System *d* shows the analysis using stem and slur notation, with notes marked with 'N', 'Arp', and 'P', and some with '6 - 5' and '4 - 3'.

eighth-note and quarter-note values, *c*, and an analysis using stem and slur notation, as in Example 5d.

A rhythmic reduction of the outer voices of Variation 1 to eighth and quarter notes is shown at *c* in Example 6, and this can profitably be compared with the Theme at *a*, whose melodic contours it follows with completeness and exactitude. The first diminution consists of a consonant skip from D to B \flat . This B \flat is then suspended above the bass E \flat , where it becomes a neighbor note to A. Because of the preparation of B \flat as a consonance and its resolution to A, it is easily understood as a suspension, and that aspect of the rhythmic reduction is shown by the tie enclosed in parentheses here and in three analogous positions that follow. Up to the end of the second measure, the diminutions consist of the pattern consonant skip-neighbor note. There the passing note E \flat from the Theme is brought in and suspended over the bar line to resolve to D. Then begins an ascending motion which incorporates two neighbor-note prefixes (G–F and C–B \flat). (Prefixes of this type are often called appoggiaturas.)¹³ The goal of that ascending motion is D on the downbeat of m. 4, which then descends to resolution on C over the dominant harmony.

12. A caveat is in order here, however; namely, the second note of the turn sometimes must be read as a passing note. See Example 11.

13. *Appoggiatura* and *échappée* are names used in the literature to refer to forms of neighbor notes.

Before it resolves, however, it is expanded by the consonant skip to F. This F is followed by E \flat , the upper neighbor of D, as shown by the dotted line in Example 6c. Such *indirect* neighbor-note configurations—that is, situations in which the neighbor note is not directly adjacent to the note upon which it is dependent—are not uncommon in elaborate diminutions. Another instance is shown in Example 9.

The abbreviations above the top voice of Variation 1 (Example 6b), point out diminutions not shown in the rhythmic reduction at c. Thus, the consonant skip from D to B \flat in m. 1 is filled in by a passing note, as is the skip from C to A at the end of that measure. The characteristic diminution of the second half of the phrase is the turn, comprising upper and lower neighbor notes (that is, a form of the complete neighbor-note figure). This figure begins on the third beat of m. 2, where F is introduced by its upper and followed by its lower neighbor note. The figure on the next beat is somewhat more complicated. Here E is again the lower neighbor note and G the upper, but the latter is incomplete, for the melody skips away in order to bring in the passing note E \flat of the Theme (compare a). It would be incorrect to describe the skip in this figure from G to E \flat as a consonant skip, since it would confuse the correct relations, suggesting that G is not a dependent neighbor note. The turn figure continues over the first three beats of m. 3, then is altered, again in order to bring in a passing note (C) in the Theme (compare a). And, most elegantly, when the melodic goal D on the downbeat of m. 4 is reached, its diminution is still the turn, but that form of the turn which begins on the lower note. Moreover, the composer uses the *chromatic* lower neighbor C \sharp to modify D rather than the diatonic lower neighbor C, a note that has just served as ascending passing note. Other chromatic neighbor notes are the E \flat in mm. 2 and 3 and the C \sharp in m. 3.

Example 6d gives an analysis of the Theme using the minimal analytic notation introduced thus far—that is, the stem and slur. This provides some interesting information about the organization of the Theme, for with the removal of the diminutions shown above at c are revealed the arpeggiations signified by the abbreviation Arp. (Arpeggiations are discussed in greater detail in the section The Arpeggiation as Motive, below.) It is of interest, however, to point out that the opening note of the Theme, D, is the bottom note of the arpeggiation in mm. 2–3, and occurs again as the goal of the melodic ascent discussed above, falling on the downbeat of m. 4. The connection between these three occurrences of D is indicated by the dotted line in the analysis at d.

In considering Example 6d just a moment longer, it is important to observe that A in the upper voice of the first measure was regarded as a main note in the rhythmic reduction at c, preceded by its upper neighbor B \flat . However, its function in the Theme is that of lower neighbor note to B \flat ;

hence, it appears as a stemless notehead slurred to B \flat . The bass note E \flat which accompanies it is also a neighbor note, as is the bass note A which follows in m. 2. In this subtle way the bass reflects the upper voice.

In the second part of the phrase, the bass moves note for note against the upper voice, but the structural configurations in each voice differ. While the upper voice presents an ascending arpeggiation D–F–B \flat –D, the bass moves downward stepwise from B \flat to F. Here, and in every real interval of a fourth filled by stepwise motion, two passing tones are adjacent.

Finally, a comparison of the upper voice of the last measure as it appears in the Theme, a, and as it appears in the analysis, d, reveals that the latter has omitted F in order to show the neighbor note E \flat directly attached to D. This D is shown in the analysis with an eighth-note flag, a symbol not yet introduced and intended only to distinguish this D from the two previous occurrences of that note in the upper voice, pointing up the fact that it appears as the sixth above the bass. It is part of the $\frac{6}{4}$ formation, which resolves to the $\frac{5}{3}$ in the traditional manner, thus making D structurally dependent upon C over the dominant harmony and weakening its harmonic support, compared with the previous two occurrences.

Learning to read diminutions correctly is a basic skill of analysis, and the student will be offered many opportunities to develop that skill in the presentations that follow. It is probably not an exaggeration to say that without learning to read diminutions it is not possible to express one's ideas about a tonal composition in a convincing and logical way, using Schenkerian analytic symbols.

Thus far in this section attention has been given to diminutions as they occur in the theme-and-variations genre, since the theme is a given and one can always refer to it to verify the reading of the diminutions in the variations. Now, however, the three following sections will present examples of diminutions in melodic themes where they serve as *motives*. Here the term motive is used in its conventional meaning, to designate a characteristic melodic figure of a composition, one that is repeated and may be transformed in various ways over the span of the work.

The Neighbor Note as Motive

A famous instance of the neighbor note as a motive—one might even say musical motto—is the opening theme of Brahms's *Second Symphony*, shown in Example 7a. Three occurrences are labeled there, beginning in the very first measure. In all three, the neighbor note has full metrical (quarter note) value. The opening subject employs all three types of basic structures as motives: the neighbor note, the arpeggiation, and the passing note. These comprise the motivic surface of the subject of this work.

EXAMPLE 7. Brahms, *Second Symphony*, I

In a later section of the same movement (Example 7*b*), we see that the neighbor-note motive is presented first in its original rhythmic form of three even quarter notes, then in three even eighth notes. The integrity of the three-note figure is indicated by the composer's slurs. As a result, the underlying triple pulse of m. 63 changes to a duple pulse (6/8) in the following three measures, and this, in turn, produces the expanded rhythmic pattern shown in Example 7*c*, which reminds us that diminutions have a profound effect upon rhythmic structures in tonal music. Displacement and representation are two terms introduced earlier to characterize general processes involving diminutions. Now it should be evident that rhythmic expansion and contraction are also general musical aspects associated with diminutions.

Example 7 was mainly concerned with the complete lower neighbor-note figure. The next illustration, Example 8, shows, with equal prominence, both a complete upper neighbor figure and a complete lower neighbor figure. The lower neighbor figure consists of G \sharp over E \sharp attached to A and F \sharp . These are, of course, chromatic neighbors and must be so, for G \natural and E \natural would strongly imply the function of descending passing notes (Example 8*c*).

EXAMPLE 8. Haydn, *Symphony in D major*, No. 104 ("London"), III

The analysis given in Example 8*b* shows how the single pitch A is circumscribed and highlighted by its neighbor notes. And the neighbor notes themselves are given special emphasis through the sforzato on the third beat of the measure. Observe that the last neighbor note B in the motive occurs in m. 3 and is of the indirect type, since it is separated from the first A by the consonant skip upward to D. Meanwhile, the second phrase of the theme (mm. 5–8) features passing notes, as shown in the analysis at *b*. Notice, however, that the leading tone C \sharp in the next-to-last measure is also a neighbor note dependent upon D and is slurred accordingly in the analysis.

A curious feature of the theme is the sudden appearance of B on the last beat of m. 6, the first sforzato since m. 3. Is it possible that this is a reference to the upper neighbor note B of the previous music? With the analytical techniques to be attained in the subsequent chapters, the reader will be able to determine easily that this is the case.

As illustrated in Example 8, the neighbor note differs fundamentally from the passing note in musical function, for it always serves as an *adjacency*, whether directly contiguous to the main note(s) or presented indirectly because of an intervening consonant skip. Thus, the neighbor note always relates to another single note (the main note), whereas the passing note is a *connective*, hence joins two notes.

Example 9 offers a beautifully idiomatic instance of the incomplete lower neighbor note as a prefix: an unusual ascending appoggiatura that is a characteristic motive in a famous and beloved work. In the second two-measure group the vertical third E over C \sharp is brought in via the double neighbor-note figure F \sharp –D \sharp –E and D–B \sharp –C \sharp . Again, as in Example 8, the chromatic inflections are essential; otherwise a passing-note function would be implied.

Below the cited passage we give a rudimentary analysis (Example 9*b*). The C \sharp on the downbeat of m. 1 is defined as a neighbor note by the harmony. However, it is such a striking event that one could almost imagine it as

EXAMPLE 9. Chopin, *Prelude in A major*, Op. 28, No. 7

sounding with the upbeat E; indeed, this does happen in the corresponding upbeat to the second phrase in m. 4, where C# and E (now an octave higher) occur together vertically. Further interpretation of the structure of this opening phrase would lead to a discussion of analytic matters not yet broached.

When the upper neighbor-note motive of the *Chorale St. Antoni*¹⁴ (Example 10a, m. 1) is applied to C three measures later, the result is an incomplete upper neighbor note (D) as suffix. Not only does the upper neighbor motive occur as a short note in the first measure, but it is also immediately repeated as the quarter-note E \flat in the second measure—an expansion of the diminution to full metrical value. And there is a final reference to this expanded neighbor note in the last measure with the motion C–B \flat .

EXAMPLE 10. Haydn, *Divertimento in B \flat , II (Chorale St. Antoni)*

Example 10b is an analytic sketch that shows how the relations labeled in Example 10a can be more concisely and coherently rendered with the minimal notation introduced thus far. Again, the sketch reveals an underlying regularity: both D and C in the upper voice have consonant filled-in skips attached to them. (Compare Example 137a, p. 133.)

The components of the opening or head motive in the Bach solo cello piece shown in Example 11a are upper and lower neighbors to G. The rhythmic reduction (Example 11b) suggests that the middle note of the second triplet in m. 1 should be read as a passing note, not as the return to the main note G, which would reduce to a very erratic rhythmic pattern. This is one of many instances when upper and lower neighbors of a turn are connected by a passing note, a possibility that was mentioned earlier. Notice that in this figure the first neighbor note, A \flat , is indirect—not directly contiguous to the main note. This is shown analytically by the slur in the next reduction, Example 11c.

14. The *Chorale St. Antoni*, attributed to Haydn, is taken from his *Divertimento in B \flat* . Though Haydn's authorship of the chorale itself is uncertain, it will be accepted here for ease of reference when the piece is cited again in Chapter 7 (Examples 135, 136, and elsewhere). Brahms's *Variations on a Theme by Haydn*, Op. 56a, is in fact based on the same chorale.

EXAMPLE 11. Bach, *Cello Suite in C minor, Gavotte II*

In addition to the neighbor-note figure, the other diminution characteristic of the subject here is the consonant skip. Although this skip is suggested by the interval formed between the two neighbors A \flat and F, that interval is only incidental, and is not a “real” third as are those formed by the subsequent skips. Some readers will notice that the skips of thirds in Example 11c can be read in two ways: (1) with the upper note as the main note; (2) with the lower note as main note. Once again, it is not possible to discuss this reading—which we believe to be the correct one—without introducing matters extraneous to the discussion at this point.

The complete upper neighbor-note figure is the predominant characteristic motive of Schubert's famous lied *Ständchen* (Serenade), the opening vocal phrase of which is shown in Example 12. In the analysis at b several aspects are worthy of comment. First, the tie has been used as an additional symbol for the neighbor-note figure. The slur signifies that the main note is effective over the span of the figure. The slur from the neighbor to the main note indicates dependency, as usual. Following the two neighbor-note figures in the melody is a consonant skip upward to D. Here the two occurrences of D are associated by means of a dotted line. Most important, however, is the labeling of the melodic G in m. 2 as a lower neighbor note, standing between

EXAMPLE 12. Schubert, *Ständchen* from *Schwanengesang*

two statements of the main note A, one supported by the bass note D, the other by the bass note A. Moreover, the bass note supporting the lower neighbor G is itself an incomplete neighbor note dependent upon the bass note A (V). Thus, we have neighbors as diminutions in the eighth-note triplet figures and also as expanded diminutions, where each component of the figure has the durational value of a full measure (A–G–A). Finally, in the last two measures of the melody, A passes through G to F. Attached to G is the consonant skip down to E, filled in by the passing note F. Here again, we see the small passing note F within the third G–E and, in the same context, the expanded passing note G connecting A to F.

The neighbor-note figure pervades the lied, *Ständchen*. Another occurrence is shown in Example 13. Here, in the coda, the upper voice executes the slow neighbor-note figure A–B \flat –A, an enlargement of the original eighth-note triplet figure. In addition, there is a further reference to the opening music with the consonant skip from A to D. An event association of this kind, from the analytical standpoint, is in accord with Schenkerian concepts of motive.

EXAMPLE 13. Schubert, *Ständchen* from *Schwanengesang*



The incomplete neighbor note as prefix or suffix can, theoretically, be either upper or lower neighbor, yielding four possibilities for this species of diminution. However, the incomplete lower neighbor note as suffix occurs very seldom in tonal music. Example 14 shows one of the rare instances—in a chorale both composed and harmonized by Bach. The analytic sketch (Example 14*b*) offers the suggestion that the dissonant incomplete neighbor note C in the soprano (last eighth note before m. 1) is an *anticipation* of the consonant C in the tenor (downbeat of m. 1). Many, if not almost all, such incomplete lower neighbor suffixes can be understood as anticipations in this way.

EXAMPLE 14. Bach, Chorale No. 149, *Nicht so traurig*

In Example 14*b* the upper voice D at the opening is interpreted as a passing note between E \flat and C. In the bass at this point is the reverse motion, a filled consonant skip from C to E \flat . The resulting interaction between the two outer voices is called a *voice exchange*, a topic which is covered at greater length in Chapter 6. Here the exchange reinforces the reading of C in the upper voice at *a* as an anticipation.

Example 15 presents an example of incomplete lower-neighbor suffix in a context similar to that shown in Example 14. Again, the neighbor note (D) may be construed as an anticipation and again that reading is supported by the incipient voice exchange marked by crisscrossed double arrows.

EXAMPLE 15. Bach, Chorale No. 291, *Was frag ich nach der Welt*

Example 16 is the final illustration for this section. Its purpose is to demonstrate the reading of complex diminutions and to emphasize the importance of reading them correctly.

EXAMPLE 16. Bach, *French Suite in C minor*, Sarabande

In m. 1 of Example 16a the second beat in the upper voice offers two possibilities for interpretation: (1) the D is a lower neighbor to E \flat , or (2) the D is an accented passing tone and the E \flat is attached to it as a neighbor note. As is evident from the labels above the top staff, we have chosen the latter reading, and this is given in full notation in the rhythmic reduction at b, directly below.

Also of interest in Example 16 is the upper voice A \flat in m. 2. This is an indirect neighbor note, separated from the main note G by the consonant skip from G to C. This A \flat is an incomplete upper neighbor of the suffix type. As a motive it is the prototype for the four statements that follow, identified by brackets in the rhythmic reduction. Thus, the correct reading of the diminution in m. 2 reveals the underlying regularity of the upper-voice structure as it expresses the neighbor-note motive. An analytic interpretation of the passage is given at c without comment, but with additional annotations identifying the passing notes and neighbor notes in the bass. Example 16d shows an incorrect reading. The stems are given to the neighbor notes, reversing the relation between neighbors and main notes. As a result, the neighbor-note motive is lost and the stepwise progression of the upper voice from G in m. 1 to B in m. 4 is broken after D.

The Passing Note as Motive

Neighbor notes and passing notes are often closely and organically related in a motive. Example 17 provides an instance. There we see that the thematic motive initially consists of a lower neighbor (F) and a consonant skip from G \flat to E \flat . In m. 2 an ascending passing note F fills the consonant skip; then in m. 3 the expanded descending passing note F enters as the characteristic motive of the theme, having evolved from F as lower neighbor and F as ascending passing note in the first two measures. Thus F has functioned both as neighbor and passing note. The unusual bass in m. 3 is sketched at b: both A and C resolve to B \flat in m. 7.

EXAMPLE 17. Brahms, *Intermezzo in E \flat minor*, Op. 118, No. 6

Example 18 shows the passing note in three different contexts and in association with both the neighbor note and the consonant skip in a famous melody by Schubert, the second theme of the first movement of the *Unfinished Symphony*, here played by the cellos. The analytic sketch at b presents the motivic components of the theme. These begin with the consonant skip from G down to D and continue with two statements of the lower and upper neighbor notes to G connected by the passing note G, a turn figure. At the end of the third measure two passing notes fill in the consonant ascending skip from D to G. In this motion the F \sharp recalls the earlier lower neighbor to G, of course, as indicated by N on the sketch. Thus far the passing note has fulfilled two functions: it has connected the neighbor notes and it has filled in the consonant skip. A function of greater magnitude is then realized in the sixth measure of the example, where G \sharp is understood as an expanded chromatic passing note connecting G and A. The G \sharp may be regarded as an indirect passing note here, since there is a motion above it to B, which is the upper neighbor of the goal note, A, in the last measure. It is important to recognize that the G \sharp is an expanded passing note, while the A which follows immediately and connects G \sharp to B is a passing note of shorter span, a traditional diminution of which we have seen a number of examples so far.

EXAMPLE 18. Schubert, *Symphony in B minor*, No. 8 ("Unfinished"), II

Example 19a displays a theme in which passing notes are combined with neighbor notes and consonant skips. In the first four-measure phrase there is first a skip away from the initial note C and then a descent to D in the upper voice. This D is then supplied with chromatic neighbor-note diminutions in eighth notes. The second phrase continues in eighth notes ascending through passing notes to A (m. 6), then returning to E via F. In the concluding two measures sixteenth-note motion is introduced, carrying a turn around F.

The rhythmic reduction (Example 19b) reveals that the melodic contour of the beginning of the second phrase (m. 5) is the same as that of the first. That is, D-G-F-E parallels C-F-E-D. The analytic sketch (Example 19c) shows

EXAMPLE 19. Mozart, *Symphony in C major* ("Linz"), K. 425, IV

the structural relations precisely, using the by-now-familiar stem and slur notation (and ties). Since the second phrase offers the greatest complexity, let us begin with it. First, the high A in m. 6 is defined by the harmony as a note dependent upon G, specifically, an upper neighbor to G. It is separated from G by the chromatic passing note G \sharp , and is therefore a variety of indirect neighbor note.¹⁵ This chromatic passing note is omitted from Example 19c to clarify the relation. Thus, the melodic interval spanned from the D in m. 5 is the fourth, D–G. Filling this interval are the passing tones E–F–F \sharp .

The sketch in Example 19c shows that the final melodic motion in the theme is the ascent from E to G in the last two measures. There the sixteenth notes form a turn around F, as indicated by stems, slurs, and ties. Shown at *d*, meanwhile, is an incorrect reading—incorrect, because the neighbor note G attached to the ascending passing note F is misinterpreted, with the result that G becomes the main note and F is its lower neighbor, a reversal of the real structural situation. This reduction does not sound like the original at all.

Just as in the case of the neighbor note, the passing note can be direct or indirect. In its indirect form the passing note is not immediately contiguous to one of the main notes it is connecting because the direct connection is interrupted by another type of diminution, either a consonant skip or a

15. It must be made clear that A is an upper neighbor to G, not G \sharp ; the latter is a chromatic passing note leading to that upper neighbor.

neighbor note (as in Example 16). The present example (19) provides three excellent instances of this type of passing note, which must be understood in order to construct good Schenkerian analyses. The first instance is the F in the upper voice at the end of m. 6. The rhythmic reduction shows that this F is analogous to E in m. 2, which serves as a passing note connecting F with D. However, F in m. 6 is separated from the main note G because of the slur from G to E incorporates F as a passing tone, while the slur from G to A shows the dependent neighbor-note relation between the two. The first F in m. 7 (the sixteenth note) is the second instance of indirect passing note, since it is separated from the main note E by the upper neighbor G. Again, the analytic notation clarifies, this time by placing stems on the main components of the concluding motion, E–F–G. The analytic sketch shows D in the upper voice of m. 3 as an expanded passing note between C (m. 1) and E (m. 7). This, then, is the third instance of an indirect passing note in the theme—indirect because D is separated from C by the consonant skip to F.

One of Chopin's beautifully expansive melodic themes is shown in Example 20. It begins with an arpeggiation from F through D \flat down to A \flat on the downbeat of m 2.¹⁶ The first interval of the melody, the third from F to D \flat , is filled in by the passing tone E \flat . This passing tone is of the *accented* variety, since it falls on the accented beat of the measure, displacing the main note. (The remainder of the discussion is directed to Example 20*b*). Notice that the initial F in the melody is connected by a curved line to the F in the left-hand accompaniment figure. This is to show that the accompaniment doubles the upper-voice components throughout, a fact which is important in helping to explain the unusual and characteristic motive which occurs in the

EXAMPLE 20. Chopin, *Nocturne in D \flat major*, Op. 27, No. 2

16. Arpeggiations in this and previous examples have not been discussed in order to focus on the main topic. The following section is devoted to the arpeggiation.

upper voice of m. 4. After $A\flat$ is reached in m. 2 the upper voice ascends (through an arpeggiation) to $A\flat$ an octave higher, and the association of the two $A\flat$'s is indicated by a dotted curved line (a modified tie). However, before the high $A\flat$ sounds, its upper neighbor $B\flat$ is brought in and occupies over half the measure. As soon as it resolves on the sixteenth note $A\flat$ a descending arpeggiation unfolds, two notes of which have half-step lower neighbors attached. This half-step motive proves to be in preparation for the striking $A\sharp$ - $B\flat$ over the next two measures. The $A\sharp$ here is a greatly expanded chromatic passing note which connects $A\flat$ of m. 2 with $B\flat$ of m. 5. Since $A\flat$ and $A\sharp$ are not adjacent, the passing note is of the indirect type. However, the direct form is given in the accompaniment. In the analytic sketch, notice the curved line from upper to lower $A\flat$ in m. 2. This lower $A\flat$ then moves to $A\sharp$ in m. 4 and finally to $B\flat$ in m. 5, expressing the passing-note motion without interruption.

The main purpose of the next example, Example 21, is to illustrate the *consonant passing note* (CP). This is a note that could be simply a passing dissonance above the bass, but is highlighted and given special emphasis by consonant support. Thus, in m. 2 of Example 21, the passing tone G connecting the upper and lower neighbor notes of G is supported by $E\flat$, which makes the interval between upper voice and bass a consonant 10th instead of the dissonant 7th which would have been formed (as G over $A\flat$) had the bass not changed. Similarly, in m. 3 the passing note F in the upper voice is given its own bass note. The F on the downbeat of m. 4 is an indirect passing note that relates back to the main note G on the downbeat of m. 3. Thus, the small motion in the upper voice of m. 3, G-F- $E\flat$, is repeated in expanded form by G (m. 3)-F- $E\flat$ (m. 4), the latter indicated by the stemmed notes.

EXAMPLE 21. Brahms, *Rhapsody in E \flat major*, Op. 119, No. 4

In the opening phrase of the theme of the second movement of Beethoven's Op. 2, No. 1 (Example 22), passing tones fill in the descending

EXAMPLE 22. Beethoven, *Piano Sonata in F minor*, Op. 2, No. 1, II

fourth that begins with the upper-voice C in m. 3. The second of these (A) is another example of a consonant passing note. In general, every enlarged passing note (with metrical value or greater) that has consonant harmonic or contrapuntal support is consonant. The classic Schenkerian case, however, arises within the interval of a fourth, as in Example 22.¹⁷

Passing notes occur in all voices, of course. Occurrences in the bass are especially important as motivic elements in the High Baroque period. An illustration from Handel's music is given in Example 23. The bass line is set out in continuous eighth notes. When the passing notes are removed in the analytic sketch, we discover an ascending bass arpeggiation from E to B. Notice the different functions the passing note A performs as it connects G and B: first it accompanies the upper-voice neighbor notes $F\sharp$ and $D\sharp$, then it comes in below the enlarged passing note $F\sharp$ in m. 3 as it leads upward to B, the bass note which supplies the major structural support for that F.

EXAMPLE 23. Handel, *Sonata for Flute and Continuo in E minor*, II

17. The expression *consonant passing tone*, important in Schenker's writings, will not be extensively used in this volume, since the general relation between passing notes as diminutions and enlarged passing notes has already been described and illustrated.

In the opening of the Handel *Oboe Sonata* movement shown in Example 24, the bass diminutions create a complex and interesting pattern. As we see in the reductions at *b* and *c*, removal of the passing notes in m. 1 reveals the consonant skips attached to bass C and A \flat . The bass E \flat resulting from the last of these then connects to F, which in analytic notation (at *c*) is given a flag to indicate its special neighbor-note relation to G.¹⁸ On the other hand, the surface arpeggiations that begin in the second part of m. 2 are attached to a stepwise progression in the bass that spans a fourth from C to G. In both the rhythmic and analytic reductions each note of the stepwise bass is followed by an ascending consonant skip of a fourth—exactly the reverse of the bass pattern in m. 1—unifying the bass progression motivically over the phrase.¹⁹

EXAMPLE 24. Handel, *Sonata for Oboe and Continuo in C minor*, I

Example 24 consists of three parts of musical notation. Part *a* shows the original score for the first measure, with fingerings (6, 4, 6, 6) and a circled 1 above the first note. Part *b* is a rhythmic reduction of the first measure. Part *c* is an analytic reduction of the first measure, with labels CS, P, CS, and numbers 10, 7, 10, 7, 10, 7, 10 between the staves.

An example of complex diminutions closes this section. It demonstrates the importance of understanding diminutional processes; for what may appear to be a highly irregular surface can always be resolved into a pattern of diminutions, most often into a pattern that results from combining various types of diminutions.

Example 25*a* presents such an irregular surface, on the last quarter note of the first measure. This is the result of the confluence of diminutions at that

18. This interpretation touches upon an important aspect of melodic analysis, and one which cannot be treated extensively and adequately in this context—namely, the matter of properly segmenting and grouping patterns created by diminutions. Here, for example, E \flat is the note related by consonant skip to A \flat , and F is the lower neighbor to G. The motion E \flat -F-G created by their concatenation is coincidental.

19. The numbers 10-7 between the staves symbolize a linear intervallic pattern and are placed in Example 24 for future reference. The same applies to Example 31*d*.

point. The rhythmic reduction at *b* shows that the bass note C belongs with the upper-voice note E on the last beat (a IV chord). However, this temporal correspondence does not occur because the accented passing note D comes at the beginning of the beat, displacing C and giving it the duration of a sixteenth note, in accordance with the rhythmic motive of the upper voices at the beginning of the Sarabande. By changing the two accented passing notes F and D to unaccented passing notes in a succession of even eighth notes starting on the downbeat, the rhythmic reduction brings C in on the last quarter note directly beneath E. The additional complicating factor in the original *a* is the final sixteenth-note F in the upper voice, an incomplete upper-neighbor suffix, for this falls together with the sixteenth-note C in the bass, creating a dissonant situation which is momentarily startling.

EXAMPLE 25. Bach, *Partita No. 5 in G major*, Sarabande

Example 25 consists of three parts of musical notation. Part *a* shows the original score for the first measure, with a circled 1 above the first note. Part *b* is a rhythmic reduction of the first measure. Part *c* is an analytic reduction of the first measure, with labels CS, P, N, CS, P, CS between the staves.

The analysis in Example 25*c* places the melodic components of *a* in proper perspective. The bass in m. 1 is a filled-in consonant skip, and the more significant bass progression of mm. 1-2 is represented by the stemmed notes G-G \sharp -A. The G \sharp is an expanded chromatic passing note that also has attached to it a consonant skip, while the intermediate goal of the bass motion is A. The latter proves to be an indirect upper neighbor to G in m. 3: indirect because the lower neighbor F \sharp is introduced, resolving to G first. The melodic organization of the first three measures is remarkably regular, despite the fact that each has a different rhythmic pattern. As the analysis shows, each main note is followed by its upper neighbor note. In m. 1 the upper neighbor note itself is supplied with an upper neighbor, the F, which seemed to

cause a structural discontinuity. But in reality it does not, because the underlying voice leading (a topic presented in Chapter 2) is unaffected by local temporal displacements.

The Arpeggiation as Motive

Several examples have already been introduced which contain arpeggiations: for instance, Examples 7 (p. 18) and 20 (p. 27). Arpeggiation is such a familiar term that we have not defined it in detail. However, in Schenkerian terms, structural arpeggiation always involves the arpeggiation of a complete consonant harmony. Hence it is distinct from the consonant skip. It may occur in notes of short duration with respect to the metrical organization of a work or in notes of metrical or greater value. Both will be shown in the examples that follow.

Arpeggiations in themes are plentiful, especially in the Baroque and Classic periods, where they are often artfully combined with the other principal diminutions, neighbor and passing notes. Consider Example 26, a famous Beethoven symphony theme. The opening arpeggiation, the characteristic motive of the scherzo, is spanned out over the first three measures, with the upbeat F, arriving at high F on the downbeat of m. 4. The analysis uses the dotted line to show the projection of the low F of the upbeat to the goal F in m. 3. As a subsidiary feature of the arpeggiation, we see the consonant skips following the first two notes.

EXAMPLE 26. Beethoven, *Seventh Symphony*, III

The two subsequent four-measure phrases are also composed of arpeggiations, as shown in the analysis, but these arpeggiations are filled in by passing notes. Like the elements of the opening arpeggiation, each component of these arpeggiations takes up a full measure. While the first arpeggiation terminates on F, the second terminates on G, and the third on A, creating the ascending melodic pattern F-G-A, within which G is a passing tone. For the

first time, roman numerals are given as part of the analysis, here to show that the initial F is supported by I, the enlarged passing note G by V, and the final A again by I. Thus, in this theme, although we perceive the arpeggiation to be the characteristic motive, there is a slow underlying melodic progression involving the passing tone. And, of course, passing tones occur in the upper voice in the service of the descending arpeggiations.

Example 27 shows the opening thematic statement of a Chopin waltz. A characteristic motive, the ascending arpeggiation, appears in m. 10 and is interpreted analytically in *b*. It reappears at m. 16, now in descending form. There each occurrence of B is preceded by the upper-neighbor diminution C, harking back to m. 11, in which C participates in the turn around B. There is no arpeggiation of larger scale as in Example 26. Instead, the melody of the consequent phrase descends stepwise to E in m. 16. The corresponding ascending motion from E to B occurs in the bass from m. 10 through m. 14.

EXAMPLE 27. Chopin, *Waltz in E minor* (posth.)

Over the course of this introductory chapter we have pointed out several times that the fundamental types of diminutions do not occur in isolation in well-composed tonal music, but are always combined to form variegated structures. This is illustrated once again by Example 28.

The analysis in Example 28*b* interprets the complete music given at *a*, showing that the overall design consists of three measures of analogous pattern: a descending arpeggiation from the top note through two subsidiary arpeggiations. This is indicated by the large slur containing two smaller slurs. The neighbor note and the consonant skip shown in the analysis are secondary features. The upper voice, which consists of the head notes of the arpeggiations, forms a stepwise progression that ascends from F to B \flat (the stemmed notes at the top). Each of these notes is connected by a dotted line to its counterpart an octave lower, which is always approached by an ascending arpeggiation.

EXAMPLE 28. Bach, *Partita No. 1 in B \flat major, Allemande*

The rhythmic reduction (Example 28c) reduces the sixteenth-note motion to eighth-note motion. Here we have a rhythmic texture typical of Bach: a very active surface and a slower-moving pattern that sustains it.

Finally, in Example 28d, the arpeggiations are shown in collapsed or verticalized form in a single register above the stationary bass note, B \flat , showing in a simple way how the arpeggiations are in the service of the ascending line in the uppermost part, from F to B \flat .

As is well known, keyboard music in various periods exploits the arpeggiation in striking and diversified ways. A famous example is provided in Example 29 (compare Example 146, p. 154). Whereas the arpeggiations in the previous example (28) were in the service of an ascending line (thus involving the passing tone), the arpeggiations of the present passage are in the service of a slowly unfolding neighbor-note formation, a turn, as shown on a single staff in Example 29c. In Example 29b the opening arpeggiation, which is the characteristic motive of the theme, is not the only arpeggiation in the first phrase; there is another and slower arpeggiation of the tonic triad that begins on C, passes through E \flat (m. 2) and arrives at the goal note G on the downbeat of m. 3. This note is then followed by its upper neighbor A \flat . The second phrase arpeggiates the dominant triad from G out to D over the first two measures. The lower neighbor F, which corresponds to the upper

EXAMPLE 29. Mozart, *Piano Sonata in C minor, K. 457, I*

neighbor A \flat in m. 4, then enters and completes the turn G–A \flat –F–G. Both arpeggiation and neighbor note occur here in expanded form, effecting a dynamic and coherent presentation of the thematic idea.

Example 30 presents the opening of a work that features arpeggiations of various kinds. Indeed, in this beautiful composition, the last of the so-called three-part inventions, Bach assigns a special role to the arpeggiation. It first occurs as the final motive in the three-measure theme, preceded by a pattern that comprises neighbor notes (both small and large) and passing notes, as shown in Example 30b. In the full notation (Example 30a), each metrical beat (dotted-eighth value) of m. 3 seems to consist of an arpeggiation. This strictly metrical reading produces a slow arpeggiation descending through the B-minor (tonic) triad from B to B. The rhythmic grouping within each beat, however, divides it exactly in half: D–B–D, F \sharp –B–F \sharp , etc.

EXAMPLE 30. Bach, *Sinfonia No. 15 in B minor*

Example 30c shows the arpeggiation that results from this rhythmic reading: a descent from D to B, with F# in the first beat interpreted as a consonant skip. We prefer this latter reading, but the analytic mechanisms required to justify it cannot be presented to the reader at this juncture, and an act of faith is required. The important point here is that underlying the surface arpeggiation is a more fundamental arpeggiation that organizes the structure.

Before leaving Example 30 it behooves us to draw attention to one more aspect: the diagonal arrows that cross between the staves. One of these lines connects B in the upper voice with B in the bass; the other connects D in the tenor with D in the upper voice. This is an instance of voice exchange, a topic that will be taken up in greater detail in Chapter 2.

As in the previous two sections, on the neighbor note and the passing note, we end this section with an example of complex diminution involving the arpeggiation, occurring at a later point in the same Bach Sinfonia (Example 31).

The cascading arpeggiations in Example 31a contain an underlying stepwise motion in the upper voice which is accompanied by a regular pattern in the bass, but this motion is somewhat concealed. Systematic analysis brings it to the surface, as shown in the successive reductions below the given passage.

EXAMPLE 31. Bach, *Sinfonia No. 15 in B minor*

In Example 31b we have a rhythmic reduction which distributes the notes of the arpeggiation evenly over each beat, in accord with the 9/16 time signature. This simplifies and clarifies the arpeggiations greatly; however, there remains the peculiar clash of G over F# marked by the asterisk at the end of m. 13. Clearly this results from the imitative design, with the left-hand arpeggiation beginning one metrical beat after the right hand in m. 12, so that the right-hand part finishes first in m. 13. The next reduction, also rhythmic (Example 31c), is constructed with this fact in mind.²⁰ In addition, the arpeggiation on the third beat in mm. 12 and 13 is brought into the lower octave, for reasons that will become clear in a moment. One result of this is that the clash between G and F# at the end of m. 13 disappears.

Finally, in Example 31d, the analytic sketch shows the descending stepwise line which governs the arpeggiations, one in each measure. The other diminutions and expanded diminutions in this sketch offer a good opportunity to review some of the more recondite types presented in the previous sections. Each stemmed note in the upper-voice line that descends stepwise from B to F# has attached to it, in addition to the arpeggiation of a triad, a consonant skip (B-D, A-C, G-B), and—most important—an incomplete upper-neighbor suffix. This neighbor note is of the *indirect* type, for it is separated from the main note in each case by the consonant skip and the arpeggiation. This notwithstanding, its subordinate function with respect to the main note remains clear.

Notice that the composer retains the arpeggiation pattern consistently to the end of the progression, with the final bass arpeggiation A-F#-D in m. 13. Thus, at the cadence on III in m. 14 the bass does not present a note of the dominant of III, such as A or C#, although the upper-voice G at that point suggests such a dominant (A⁷) chord. Continuation of the arpeggiation pattern in the bass was of primary concern to the composer, and the conflict between bass F# and descant G at the end of m. 13 is a secondary feature that does not affect the structure of the passage.

Exercises

For each of the excerpts construct a rhythmic reduction and an analysis using stem and slur notation. Use ties where applicable. The rhythmic reduction and the analysis should be aligned vertically, following the pattern of the examples in this chapter. Label all diminutions, using the abbreviations N (neighbor note), P (passing note), CS (consonant skip), and Arp (arpeggiation). Comment upon any special or unusual features in the diminutions.

20. This procedure effectively eliminates one beat from each measure, converting the 9/16 meter to 6/16.

1. Sample Exercise: Beethoven, *Piano Sonata in G major*, Op. 14, No. 2, I

Allegro

Solution:

a. Rhythmic reduction

b. Analysis using stem and slur notation

Comments:

1. The rhythmic reduction preserves the arpeggiation in the right-hand part, but loses it in the left hand because of the omission of the unaccented sixteenth notes.

2. The analysis in stem and slur notation shows that there are three different types of diminutions used in this thematic statement: the consonant skip, the arpeggiation, and the neighbor note.

3. The neighbor notes in the right-hand part are uniformly half-step incomplete lower neighbors of the prefix type. To maintain the half-step motive, Beethoven introduces the chromatic notes A# and G#, which produce the nonstructural interval of a diminished fourth (D-A# and C-G#).

4. Beginning in m. 2, expanded neighbor notes come into play: E is upper neighbor to D, C is upper neighbor to B, and A is upper neighbor to G. Similarly, in the bass, the arpeggiation continues in mm. 3-4, but the components of the arpeggiation are neighbors to the previous arpeggiation components. To avoid confusion (i.e., too many N's), these expanded neighbor notes are not labeled in the musical analysis.

2. Chopin, *Waltz in B minor*, Op. 69, No. 2

ad libito

The E# in the upper voice of m. 6 comes from the F# in the previous measure and proceeds to E \flat in m. 7.

3. Beethoven, WoO 78

Con espressione

This is a variation on a familiar theme. A correct analysis will reveal the underlying melody in the upper voice.

4. Mozart, *Piano Sonata in G major*, K. 283, I

Allegro

When constructing the rhythmic reduction listen carefully for the slower motion that underlies the sixteenth-note diminutions in mm. 8-9.

5. Berlioz, *Symphonie fantastique*, II

38

p dolce e tenero

For the purpose of the exercise only the outer voices need to be represented in the solution.

6. Beethoven, *Piano Sonata in B \flat major, Op. 22, I*

7. Bach, *English Suite in A minor, Sarabande* (ornaments omitted)

8. Schubert, *Impromptu in A \flat major, Op. 142, No. 2*

Allegretto.
sempre legato

9. Chopin, *Nocturne in F \sharp minor, Op. 48, No. 2*

Andantino

2

Voice Leading: Counterpoint and Figured Bass

Every student of tonal harmony and counterpoint knows how important the concept of voice leading is to those disciplines. A clear understanding of the essentials of voice leading, as well as its ramifications, in the core repertory of tonal music is absolutely basic to the study of Schenkerian analysis, since Schenkerian analytic procedures always give primary consideration to the horizontal dimension of the musical composition. It is of fundamental importance to understand the principles of voice leading that control the motion of the linear components of that dimension. The present chapter undertakes an overview, beginning with voice leading as presented within traditional species counterpoint and concluding with a survey of figured bass notation as it represents the more elaborate voice leading of the free tonal composition.

The study of voice leading is the study of the principles that govern the progression of the component voices of a composition both separately and in combination. In the Schenkerian tradition, this study begins with strict species counterpoint, a pedagogical system devised by Johann Joseph Fux (1660–1741) and diligently studied by Haydn, Mozart, and Beethoven, among others.

The Species Counterpoint Model

The Fuxian system organizes the study of counterpoint according to five categories, or *species*. The work consists of completing exercises that consist of composing a contrapuntal line (or lines) against a given part, the *cantus firmus*, in accord with certain rules that are set out for each of the species. These rules concern voice leading, the shape of the contrapuntal line, and